



# High Road Training Partnership: Healthcare Grant Administration Guide

FY 25 – 27

State Funded Grant Program

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## **Purpose of the Grant Administration Guide**

Funding under the High Road Training Program: Healthcare (HRTTP: HC) is provided through the 2024-2025 State Budget, which allocated approximately \$28,500,000 for High Road Training Partnerships in the Health and Human Services sector.

This guide serves as a comprehensive resource to assist Fiscal Agents/Grantees in running and operating a compliant grant program. It applies to all entities receiving funds under HRTTP: HC. 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.

Any updated versions of this document will be posted on the HRTTP Grantee Portal.

## General Information

### Grantee Portal

The H RTP Grantee Portal is located within the [California Workforce Development Board](#) website and hosts various guides, directives, and resources to support your project. Documents and information are always up to date and maintained throughout the grant term.

- Website: <https://cwdb.ca.gov/hrtp-grantee-portal/>
- Password: HighRoad

### CWDB Point of Contact

The California Workforce Development Board Program Implementation and Regional Support Branch (Program Branch or PIRS) utilizes a dedicated inbox per initiative to handle all grant administration and project management communications. Use [H RTP Initiative Inbox](#) for all H RTP Healthcare project inquiries, which will be responded to within 48 hours, Monday – Friday.

When emailing the initiative inbox, include the following information in the subject line:

***Grant Program/Initiative Name, Fiscal Agent/Grantee Name, and the Inquiry Topic.***

Areas of assistance include, but are not limited to:

- Project development and implementation guidance
- Budget and fiscal, including allowable use of funding and payment status
- Course corrections, adjustments, and modifications
- Cal-E-Grants technical assistance
- Grant program reporting

### Participant Data Collection

Participant data collection for this grant program will be captured using the [Cal-E-Grants \(CEG\) website](#). The [Participant Data Guidance](#) for CEG and related resources is on the CWDB website, under the Grants tab. Any questions or technical assistance requested related to participant data collection and reporting should be sent to the [Research and Evaluation inbox](#). Inquiries will be responded to within 24 hours, Monday – Friday.

## **Role of the California Workforce Development Board**

### **Program Implementation and Regional Support Branch (PIRS)**

The CWDB Program Implementation and Regional Support Branch (Program Branch or PIRS) manages grant administration and project management. The Program Branch will be the main point of contact throughout the grant term. Each project will be assigned a Program Analyst who can be contacted via the [H RTP Initiative Inbox](#).

### **Equity, Climate, and Jobs Field Branch (ECJ)**

The CWDB Equity, Climate, and Jobs Field Branch Specialists have subject matter expertise in various focus areas and industries throughout the state and play a pivotal role in collaborating and building connections with key regional leaders to sustain High Road initiatives in the long term. When applicable, each project will be assigned to a Field Specialist who can be contacted through their individual emails.

### **Policy, Research and Legislation Branch (PRL)**

The PRL Branch's Research and Evaluation Unit provides clarification and support related to participant data reporting requirements and procedures, including technical assistance related to Cal-E-Grants data entry, account setup, password reset issues, and assistance with participant eligibility and placement inquiries. The unit can be reached at the [Research and Evaluation Inbox](#).

## **Role of the Employment Development Department**

Although the Employment Development Department (EDD) does not manage this grant program, they provide the Standard Agreement and fiscal support. The Program Branch works closely with EDD during the execution and processing of invoices for the Standard Agreement.

The EDD will be involved in the following grant program areas:

- Standard Agreements setup, execution, and amendment(s).
  - The EDD Contract Service Group manages the grant agreement process and may reach out to the Fiscal Agent/Awardee with necessary paperwork or share executed documents.
- Payment
  - The EDD Financial Reporting and General Ledger Group and the Fiscal Programs Division oversee the reimbursement process. The warrant will be mailed to the Fiscal Agent/Awardee in accordance with the California Prompt Payment Act after it is processed and approved by the Financial Reporting and General Ledger Group and forwarded to the Fiscal Programs Division.

## **Role of the Fiscal Agent/Grantee**

### **Requirements and Responsibilities**

The term "Fiscal Agent/Grantee" refers to the agency that enters into an agreement with the State of California. As the first point of contact for the CWDB, the Fiscal Agent/Grantee

is expected to be:

- Knowledgeable of the project's status, including but not limited to, program, partnership, and regional activities, participant service delivery, project deliverables, work plan progression, and obstacles or delays to the project or overall outcomes.
- Responsible for tracking and entering participant data in a timely and accurate manner, maintaining real-time case management services, and meeting all data reporting requirements (if serving participants).
- Attentive and responsive to all communication with the CWDB and proactive in providing staffing change updates to the Specific Points of Contact (SPOC) form.
- Experienced, practiced, and knowledgeable in managing State Standard Agreements and adhering to fiscal rules and requirements, including the timely submission of monthly invoices and retention of or expenses for monitoring/auditing purposes.
- Responsible for collecting and reporting all data, deliverables, and partnership outcomes to the CWDB via comprehensive and detailed progress report responses and project check-ins.
- Adherent to and compliant with all requirements outlined in this Grant Administration Guide and in accordance with the Request for Application.

### **Specific Points of Contact**

All Fiscal Agents/Grantees must designate certain staff as Specific Points of Contact (SPOC), who will keep the CWDB updated on the status of certain project areas. A SPOC form identifies those individuals within the project who will be responsible for the following areas:

- **Project Lead** (Main Point of Contact)
  - Responsible for responding on behalf of the grant to the CWDB regarding grant administration, project status and activities, and information requests.
- **Fiscal Point of Contact**
  - Responsive to fiscal questions (e.g., invoices) on behalf of the grant.
- **Participant Data Reporting Point of Contact**
  - Responsive to participant data reporting questions, follow-up, and information requests outside the Cal-E-Grants data capture system.
- **Networking Contact(s)**
  - Additional project team members and/or partners will receive information on networking opportunities, webinars, communities of practice, and peer-learning events.

During the grant term, Fiscal Agents/Grantees should use the Initiative Inbox to advise of any changes to the SPOC form. The Fiscal Agent/Grantee is responsible for keeping the SPOC form up to date.

## Project Management

### **Project Management and Cal-E-Grants Staff Accounts**

Cal-E-Grants (CEG), the online system used to submit CWDB applications, will also be utilized for project management. Accordingly, all staff directly reporting on program and fiscal outcomes are required to have and maintain a CEG account by the start of the grant period.

The existing CEG Administrator for each organization can create individual accounts for additional staff.

*Individual accounts not linked to the Administrator account should be avoided.* If staff accidentally create an account that is not linked to the Administrator account, notify CWDB staff immediately via the [H RTP Initiative Inbox](#).

### **Create Cal-E-Grants Staff Accounts**

To create staff accounts, the Administrator should log into CEG and take the following steps:

1. Select the Manage Users button at the top of the CEG webpage.
2. Select the Add a New User button (located in the top right corner above the yellow bar). A Create New User pop-up screen will appear.
3. Enter the new user's contact information (first and last name, email, and phone number) and permission type.
  - a. The permission type drop-down will provide four options: .
    - i. **Administrator:** Can create, edit/update, delete, and/or submit applications, add users and/or update the permissions of existing users, and have access to more sensitive aspects of the grant.
    - ii. **User:** Can create, edit/update, and submit applications and has more restrictive access to aspects of the grant.
    - iii. **Data User Only:** Can enter the participant's data for the grant program.
    - iv. **Subrecipient:** As a grant partner, the subrecipient can enter participant data for the grant but does not have access to grant management.
4. Select Create once all information is entered.
5. Newly added staff will receive email notification with a hyperlink to create a password and formally create an account using their individual credentials.

If a CEG password needs to be reset, contact [H RTP Initiative Inbox](#) for assistance.

## Project Progress and Modifications

### **Communicating Adjustments, Changes, and Deviations**

If significant adjustments or deviations from the project's proposed work occur, the Fiscal Agent/Grantee should contact CWDB via the [H RTP Initiative Inbox](#) before making any changes. Minor adjustments, changes, and/or deviations should be documented during

quarterly check-ins or in the semi-annual progress reports.

The assigned Program Analyst will provide guidance and instructions to the Fiscal Agent/Grantee if the adjustments or deviations will require a modification to the project's exhibits, as not all adjustments will require modification.

### ***Requests for Modification***

The Standard Agreement acts as a binding contract between the CWDB and the Fiscal Agent/Grantee. Modifications to the agreement may result in amendments and/or revisions of applicable exhibits.

The following change types will require modification:

- **Budgetary** adjustments that move funds from one line item to a different line item (e.g., moving funds from Staff Salaries into Participant Supportive Services).
- **Partnership** (contractor and/or subrecipient) changes, including but not limited to additions or removals of partners, budgetary adjustments, or scope of work revisions.
- **Scope of work** adjustments, including changes to anticipated completion dates or reorganization of objectives/activities.

The Fiscal Agent/Grantee should contact [H RTP Initiative Inbox](#) for questions regarding a potential budget modification. During the modification process, the Fiscal Agent/Grantee will be asked to provide reason(s) for and a thorough justification for all changes requested. Insufficient justification will result in the rejection and/or return of a Modification Request. Completion of the Modification Requests and Exhibit Revisions processes should take approximately two (2) weeks.

### ***Modification Types***

The CWDB has two types of modifications: informal and formal. Both require the same review, vetting, and approval process outlined in the Standard Agreement Modification Process section. The difference between the two is the method of execution.

- **Informal Modification:** is the *standard modification request type used under state-funded grant programs*. The CWDB has the authority to approve exhibit revisions internally and without formally amending the standard agreement. Modifications approved through Informal Modification are legally binding and will replace the documents within the standard agreement. The Fiscal Agents/Grantees must keep a record of their 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/Grantee with formal approval via email of the modification for their records.
- **Formal Modification** is used for *grant term extension and/or to increase or decrease the award grant amount*. A formal modification amends the standard agreement and may take 4 to 5 months to execute. The Fiscal Agent/Grantee will

need an executed grant agreement to move forward with changes made as outlined in the formal modification request.

#### *Modification Request Process Summary*

To initiate a modification request, the Fiscal Agent/Grantee must complete and submit a Modification Request in the CEG system. Modification requests are not official until the request is completed, submitted, and approved by the CWDB. Insufficient justification and/or summary will require additional details and resubmission and/or denial of the request.

The Fiscal Agent/Grantee will take the following steps to submit a request for modification:

1. Submit a completed Modification Request in CEG.
  - a. If assistance is needed at any step of the process, contact the Program Branch at [H RTP Initiative Inbox](#).
2. Once received, the CWDB will review the Modification Request's justification and summary for adequate information.
  - a. If additional information is required (including Prior Approval Forms), the CWDB will identify what details/clarification are needed.
  - b. If approved, the CWDB will provide the next steps, including guidance on specific exhibit revisions that need to be made.
3. After the justification and summary of the Modification Request is approved, the CWDB will open the applicable exhibits (tabs) within CEG and notify the Fiscal Agent/Grantee that they are open for editing.
  - a. Only revisions identified in the approved request are allowable. The CWDB must approve any additional edits **before** including them in the approved justification and summary of the Modification Request.
4. The Fiscal Agent/Grantee will complete all exhibit (tab) revisions, saving frequently to ensure progress is not lost. Upon completion of all edits, click *Submit*.
5. The CWDB will review the updated exhibits and determine whether the Modification Request is complete.
  - a. If additional information is required, the CWDB will reopen the submitted exhibits until the matter is completed.
  - b. If approved, the CWDB will approve the request and provide formal written approval, along with any pertinent information.

**Note:** For a formal modification request, the CEG Modification Request status will appear as *Submitted for Approval* until the Standard Agreement is executed.

#### *Modification Request Submittal*

To complete and submit a Modification Request in the [Cal-E-Grants](#) system, the Fiscal Agent/Grantee should take the following steps:

1. Select *Grants*.
2. Click on *Grant ID* and select the appropriate grant program.
3. Select *New Modification Request*.

- a. Modification Requests, both completed and in process, can be found under the *Modification Requests* tab (located between the *Budget Allocation* and *Invoices* tabs).
4. Enter a name for the request.
5. Select the *Classification/Type* of request (e.g., Budget Modification, Partnership Changes, Work Plan Adjustment, etc.).
6. Provide justification for your request.
  - a. Justifications should include information such as the description and cost allocation of the item and/or service to be procured, the need for and/or reasonability of the modification, and how this supports the goals and objectives of the project.
7. Provide a summary of the request.
  - a. The summary should include the following:
    - i. Total amount being moved.
    - ii. Line item(s) in which funds are being added to or removed.
    - iii. Adjusted total(s) for each line item.
  - b. **Example:**
    - i. *Requesting the move of \$5,000 from Staff Salaries to Staff Travel (\$750) and Supportive Services (\$4,250). The adjusted line-item allocations would be as follows:*
      1. *Staff Salaries: \$30,000.00 (Original: \$35,000.00)*
      2. *Staff Travel: \$5,000.00 (Original: \$4,250.00)*
      3. *Supportive Services: \$25,000.00 (Original: \$20,750.00)*
8. Select *Save* once all information has been entered.
9. Read and accept the *Acknowledgment* notice that will appear, then select *Proceed*.
10. Click *Submit* for Review.

#### *Exhibit Revision Submittal*

After the justification and summary of the Modification Request is approved in the [Cal-E-Grants](#) system, the Fiscal Agent/Grantee should take the following steps to edit and submit the exhibits (tabs) identified by the CWDB:

1. The CWDB will email a notification when the modification request's justification and summary are approved, and the applicable exhibits (tabs) are open for editing.
2. The *Administrator* or *User* will edit the applicable exhibits (tabs):
3. Select *Save* after each exhibit (tab) has been edited.
 

**Note:** The Fiscal Agent/Grantee should save their work and contact Program Branch staff to review edits prior to final submission. This ensures all requested edits are made.
4. Select *Submit for Approval* when all edits are completed.
 

**Note:** Once *Submit for Approval* has been selected, the exhibit tabs will be locked and can no longer be edited.

#### *Modification Request Cutoff/Timeline*

Fiscal agents/grantees should evaluate their projects before the end of the grant term to determine if any final modifications are required. To ensure seamless and efficient

processing, all modification requests **must be** submitted **60 days** before the grant term's end date.

Modification requests received outside the listed timeframe may not be considered for approval.

## **Project Reporting**

### ***Project Check-Ins***

Project virtual check-ins will occur quarterly for the grant term's first year during the second month of the quarter (e.g., **Q1: January – March, project check-in will occur in February**). These recurring virtual meetings will be scheduled between the Fiscal Agent/Grantee and the CWDB Program Analyst at the start of the grant term. At the end of the first year, the CWDB will determine the schedule of the check-ins for the remainder of the grant term.

Project check-ins provide opportunities for Fiscal Agents/Grantees to share successes and challenges and raise program-related questions and/or concerns. Program Analysts and CWDB staff can also learn more about the project and partnerships, share upcoming deadlines, and provide timely technical assistance.

The CWDB will communicate with the Fiscal Agent/Grantee to confirm the agenda, check-in dates, and meeting times. The CWDB encourages crucial partners and key program staff to attend the check-ins to the extent feasible, but participation will be up to the Fiscal Agent/Grantee's discretion.

### ***Progress Reports***

Progress Reports are submitted via Cal-E-Grants after each semi-annual reporting cycle and cover the activities that occurred within that period. The purpose of the Progress Report is to capture the following relevant information:

- Project status and outcomes to date.
- Project progression, work plan adjustments, and areas of opportunity.
- Successes and challenges experienced.
- Innovations, best practices, and lessons learned.
- Qualitative and quantitative data, including participant outcomes if applicable.
- Fiscal spending (state-funded and leveraged, if applicable).
- Technical assistance needs.

The Fiscal Agent/Grantee must provide complete and comprehensive responses demonstrating project implementation activities, progress, successes, and challenges. If the project serves participants, all participant-related data should be uploaded to CEG at the time of report submission. Failure to adhere to proper reporting requirements may impact the fiscal agent/grantee's performance, evaluation, and future funding opportunities.

### *Progress Report Submission Schedule*

- January 1<sup>st</sup> through June 30<sup>th</sup> – **Report due July 20<sup>th</sup>**
- July 1<sup>st</sup> through December 31<sup>st</sup> – **Report due January 20<sup>th</sup>**
  - Grant programs that start within a reporting period will be held to the same reporting schedule. For example, a grant term with a start date of April 1<sup>st</sup> will report April 1<sup>st</sup> – June 30<sup>th</sup>, with a report due date of July 20<sup>th</sup>.

### *Progress Report Submittal*

To complete and submit a Progress Report in the [Cal-E-Grants](#) system, the Fiscal Agent/Grantee or *Administrator*-level staff should take the following steps:

**Note:** *Administrator*-level staff accounts can be added following the instructions in the *Create Cal-E-Grants Staff Accounts* section of this Grant Administration Guide.

1. Locate and select *Grants*.
2. Locate and select the appropriate grant program's *Grant ID* button.
3. Select *New Report*.  
**Note:** The *Title* field box is optional and not required when submitting the progress report.
4. Select the appropriate quarter and type of report (e.g., Development, Implementation, or Expanding).
5. Select the *Narrative* tab and follow the prompts to complete the progress report.
6. Select *Save* after completing the *Narrative* tab.  
Upload supporting documentation with the progress report, when needed, in the *Documents* tab (e.g., Implementation Plan, Participant Success Stories, Photo/Media Release Form, etc.):  
Take the following steps to upload supporting documents:
  - a. Select *New*.
  - b. Enter the document's name and its document format (e.g., Word, Excel, PDF).
  - c. Select *Save*.
  - d. Under the *Document* tab, locate the document entry you created and select *Upload Files*.
  - e. Locate the document on your computer.
  - f. Upload the document.
  - g. Select *Done* when the upload is complete.
7. Review the *Narrative* tab and verify that all questions are answered with detailed responses. Select *Submit*.

### ***Close-Out Report***

The Close-Out Report evaluates the entire report and highlights the results of the project's regional approach, strategies, accomplishments, challenges, and more. The Fiscal Agent/Grantee will complete and submit the Close-Out Report in the CEG system, consulting with partner organizations and project teams, as applicable. The Close-out

Report must be submitted 30 days after the grant term end date. Guidance on the Close-Out Reporting process will be provided during the last quarter of the grant term.

### *Grant Close-Out Preparation*

The CWDB recommends starting close-out activities and preparation 60 days prior to the end of the grant term.

- Close-out activities of the Program section of the report include ensuring participant data and activities are up to date and in the CEG system, compiling qualitative and quantitative data, assessing the project's outcome achievements, documenting lessons learned and best practices, and others.
- Close-out activities of the Fiscal section include activities such as spending down remaining grant funds, paying off contractors/partner organizations for goods and services delivered, and informing the CWDB of unspent funds.
  - Grant funds *cannot be spent after the grant term ends*. Pre-payment cannot be made for activities occurring outside of the grant term.
  - Unspent grant funds will revert to the State of California.

### **Periodic Review and Information Requests**

The CWDB may conduct periodic reviews and request information as needed at any time throughout the grant term. If the Fiscal Agent/Grantee is not performing in accordance with programmatic requirements, they will be subject to non-performance remedies. These include, but are not limited to, being placed on cash hold until issues are resolved, implementing an action plan to ensure deliverables are met, or de-obligating grant funds.

### **Fiscal Expenditure Reporting**

#### ***Fiscal Report (Invoice) Submittal***

Invoices are completed and submitted monthly via CEG by the Fiscal Agent/Grantee, in arrears, before or by the 20<sup>th</sup> of the month following the invoice period (e.g., January's reporting period is January 1<sup>st</sup> to January 31<sup>st</sup>, the invoice is due February 20<sup>th</sup>).

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

#### ***Fiscal Report (Invoice) Submission Instructions***

To complete and submit an invoice in the [Cal-E-Grants](#) system, the Fiscal Agent/Awardee or *Administrator*-level staff should take the following steps:

**Note:** *Administrator*-level staff accounts can be added following the instructions in the Create Cal-E-Grants Staff Accounts section of this Grant Administration Guide:

1. Locate and select *Grants*.
2. Locate and select the program's *Grant ID* for the appropriate grant program.
3. Select *New Invoice*.

**Note:** Completed and in-process invoices can be found under the *Invoices* tab (located between the *Modification Requests* and *Progress Reports* tabs).

4. Select the month being invoiced (e.g., if the grant term begins in January 2025, select *January 2025*).

5. Review the disclaimer and complete the *Authorizing Signature Name* before proceeding.
6. Complete the following invoice information:
  - a. **Grant Fund Expenditure:** The amounts for each line item for which expenses occurred during the invoice period in which reimbursement is requested. These should align with existing budget allocations and the Expenditure Plan.
  - b. **Leveraged Fund Expenditure (if applicable):** Amounts for each line item for which expenses occurred during the invoice period in which Leveraged/Match funds are being accounted for. These should align with the existing budget allocations and the expenditure plan.  
**Note:** Additional details regarding Leveraged/Match Funds can be found under the [Fiscal Monitoring and Documentation](#) section of this administration guide.
7. Select *Save* after completing the invoice.
8. Upload supporting documentation if applicable in the *Documents* tab.(e.g., equipment purchase receipts).
9. Select *New*.
  - a. Enter the document's name and select the document's format (i.e., Word, Excel, PDF) and save.
  - b. Under the *Document* tab, locate the document entry created and select *Upload Files*.
  - c. Locate the document on your computer to upload.
  - d. Select *Done* when the upload is complete.
10. Review to ensure all amounts are correct
11. Select *Submit*.

### **Payment**

Invoice payments (e.g., warrant) will be made in accordance with and within the time specified in the California Prompt Payment Act ([Government Code Section 927, et seq.](#)). Warrants are mailed to the address listed on STD 204 and/or STD 205 after being processed and approved by the EDD Fiscal Programs Division.

Holidays, fiscal year-end (June 30<sup>th</sup>), or unforeseen circumstances such as natural disasters, epidemics, etc., may affect this timeline. If the warrant is not received after the designated payment lead time per the California Prompt Payment Act, contact [HRTP Initiative Inbox](#).

### **Leveraged/Match Funds**

This grant program does not have a leveraged/match fund requirement for *Planning & Development* projects but does have a 1:1 leveraged/match fund requirement for *Training Implementation* and *Expanding* projects. This requirement was outlined in the Request for Application and approved as part of the application/award. If leveraged funds are identified in the executed standard agreement, the Fiscal Agent/Grantee is held to such contributions and is required to track and report on the invoice in CEG.

The Fiscal Agent/Grantee is required to track leveraged funds separately from grant funds and must provide all supporting documentation to show how leveraged funds were spent within the grant term, if monitored and reviewed.

The CWDB defers to the federal leveraged/match funds guideline as outlined in the [Office of Management and Budget Guidance, Part 200, 2 CFR](#).

### ***Allowable Costs and Prior Written Approval***

Costs are generally allowable when they are reasonable and necessary to fulfill project outcomes and deliverables. In certain circumstances, depending on the nature of a proposed purchase, the CWDB may request corroborating information in the form of Prior Approval documentation for new expenses that were not included in the original budget. In these instances, *formal notice of approval must be obtained from the CWDB before purchases can be made.*

*Prior Written Approval* may be revoked or rescinded at any time during the grant term if the CWDB determines the Fiscal Agent/Grantee is not in compliance with program requirements and state and federal guidelines.

### ***Types of Prior Written Approval***

The following are some examples of Prior Approval expenses and forms the CWDB uses when determining the allowability of certain expenses.

#### **CWDB Use of Funding Approval**

- If the CWDB cannot determine how the expenses/costs contribute to the project, additional information will be requested to corroborate how an expense/cost relates to the scope of work, deliverables, outcomes, and/or project activities.
- Proper justification for the expense, including but not limited to, description and cost allocation of item(s) and/or service(s), justification of use and necessity for the project, and details on how it will further project goals and objectives.

#### **CWDB Purchase Justification Approval**

- If a purchase (expense), individual unit purchase(s) or purchase order(s), is over \$2,500.
- Three (3) competitive quotes for the purchase over \$2,500 must be obtained to justify that the excess cost is reasonable.
  - 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 procured via a *Noncompetitive Proposal (Sole Source)*, where only one vendor can provide an item or service and is unable to obtain competitive bids. Contact the CWDB for further

guidance on requirements and documentation.

**Example:** Fiscal Agent/Awardee plans to purchase ten (10) laptops at \$500 each, for a total of \$5,000 (over the threshold of \$2,500). The Fiscal Agent/Awardee must complete and submit the *CWDB Purchase Justification Form* and obtain three competitive quotes for the laptop purchase.

### **CWDB Use of Funding for Child Care Approval**

- If childcare is provided as a Participant Supportive Service.
- Fiscal Agent/Grantee must adhere to the following stipulations when providing this Supportive Service:
  - Childcare costs must not exceed \$1,400.00 per child per month.
  - Child care providers must be selected from the California Department of Social Services' [Care Facility Database](#) and be actively licensed.
  - Maintain three quotes for a licensed childcare provider for three years.
  - Obtain receipts from the participants for the childcare costs and retain them in accordance with CWDB's Document Retention Guidance.

### ***Proof of Payment for Contracted Funds***

The CWDB does not request proof of payment with the invoice (e.g., receipts), but the Fiscal Agent/Grantee and their partners/contractors/subrecipients receiving grant funds must maintain records of all expenses for monitoring/auditing purposes. All costs must 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.

### **Monitoring and Documentation**

#### ***Record Retention***

The CWDB relies on federal standards regarding [Record Retention and Access](#). Fiscal Agents/Grantees are required to maintain the project and fiscal records in a manner that will allow 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/Grantees will retain all records pertinent to the standard agreement for three (3) calendar years from the date of the final payment on this standard agreement. Specific documentation and records to be used for this purpose are within the Fiscal Agent/Grantee's discretion to determine and produce if requested.

#### ***Monitor and Audit***

After grant approval, Fiscal Agents/Grantees may be monitored and/or audited by the state in accordance with existing policies, procedures, and requirements governing the funding source and grant program. The purpose is to identify areas of strength and non-compliance. If selected, the Fiscal Agent/Grantee is expected to:

- Be responsive to all compliance monitors' fiscal and program management requests.
- Provide reasonable and timely access to records and staff.
- Facilitate access to subcontractors and communicate with compliance monitors promptly and accurately.
- If performance is insufficient or the project is not performing and making progress toward deliverables, the state will consider placing the agency on cash hold and possibly de-obligating grant funds.
- Conduct regular oversight and monitoring of all contractors and Subrecipients and their contractors.
  - This requirement will ensure that expenditures meet the cost category and limitation requirements of CWDB and that all Fiscal Agents/Grantees are compliant with other applicable laws and regulations and provide technical assistance as needed.
- Ensure that all awarded funds are compliant with state regulations and listed federal regulations.
- Comply with Financial Audit Requests.

## **Administrative & Additional Requirements**

### ***Subrecipient and Contractor Distinctions***

The Fiscal Agent/Grantee must determine the relationship with partners and entities on a case-by-case basis prior to entering into a contractual agreement. When deciding 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 type of provider and agreement should be analyzed, and no single factor should be considered in isolation. Not all characteristics will be present in every relationship; however, 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 program compliance requirements and are held to the standards and expectations of the Fiscal Agent/Grantee. Contractors are required to follow procurement selection rules but are exempt from program-related requirements.

[State-Funded Program: Subrecipient and Contractor Management](#) provides complete guidance on the distinction between subrecipients and contractors and the roles and responsibilities of all parties to an agreement.

### ***Communication & Branding***

#### ***Branding Guidelines***

Fiscal Agents/Grantees can find the [High Road Branding Guidelines](#) on the High Road Grantee Portal under the *Branding* banner. These guidelines serve as a reference for Fiscal Agents/Grantees and their partners/contractors/subrecipients to ensure branding

regarding their project is consistent and aligns with the CWDB. The document includes guidance on the following:

- Utilization of the H RTP logo, usage with Partner Logos, tagline, and pattern.
- Proper use of the H RTP typeface and color palette.

#### *Communication Guidelines*

Fiscal Agents/Grantees can request the H RTP communication guidelines by contacting [H RTP Initiative Inbox](#). These guidelines serve as a reference for Fiscal Agents/Grantees and their partners/contractors/subrecipients to ensure messaging regarding their project is consistent and aligns with the CWDB and the funding source. The document includes guidance on the following:

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