



Helping Justice-Involved Reenter Employment 2.0  
Grant Administration Guide  
2025-2026

## Table of Contents

|                                                             |    |
|-------------------------------------------------------------|----|
| Purpose of the Grant Administration Guide .....             | 4  |
| Grant Agreement.....                                        | 4  |
| General Grant Information .....                             | 5  |
| Grantee Guidance .....                                      | 5  |
| CWDB Points of Contact .....                                | 5  |
| Participant Data Collection & Reporting.....                | 5  |
| Role of the California Workforce Development Board.....     | 5  |
| Program Implementation and Regional Support Branch .....    | 5  |
| Policy, Research, and Legislation Branch.....               | 5  |
| Workforce Policy and External Affairs Branch .....          | 6  |
| Role of the Fiscal Agent/Grantee.....                       | 6  |
| Fiscal Agent/Grantee Requirements and Responsibilities..... | 6  |
| Specific Points of Contact .....                            | 6  |
| Project Management .....                                    | 7  |
| Cal-E-Grants: Project Management and Staff Accounts.....    | 7  |
| Creating Cal-E-Grants Staff Accounts.....                   | 7  |
| Project Progress and Modifications.....                     | 7  |
| Communicating Project Progress and Changes .....            | 7  |
| Project Modifications .....                                 | 8  |
| Modification Process Summary .....                          | 8  |
| Modification Request Submittal .....                        | 9  |
| Exhibit Revision Submittal .....                            | 9  |
| Project Reporting Quarterly Check-Ins .....                 | 10 |
| Progress Reports .....                                      | 11 |
| Semi-Annual Reporting Schedule .....                        | 11 |
| Progress Report Submittal .....                             | 11 |
| Close-Out Report .....                                      | 12 |
| Grant Close-Out Preparation.....                            | 12 |

|                                                   |    |
|---------------------------------------------------|----|
| Close-Out Report Submittal .....                  | 12 |
| Periodic Review and Information Requests .....    | 13 |
| Monthly Fiscal Expenditure Reporting.....         | 13 |
| Invoice Report Submittal.....                     | 13 |
| Payment.....                                      | 14 |
| Fiscal Monitoring and Documentation .....         | 14 |
| Allowable Costs and Prior Written Approval.....   | 15 |
| Equipment and Other Services.....                 | 15 |
| Applicable Laws .....                             | 16 |
| CWDB Use of Funding Approval .....                | 16 |
| CWDB Use of Funding for Child Care Approval ..... | 16 |
| CWDB Advisory Board Payment Approval.....         | 16 |
| Administrative and Additional Requirements .....  | 16 |
| Monitor and Audit.....                            | 16 |
| Subrecipient and Contractor Distinctions .....    | 17 |
| Record Retention .....                            | 17 |
| Communication and Branding.....                   | 17 |
| Branding and Communications Guidelines.....       | 17 |

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

This guide was created as a comprehensive resource for Fiscal Agents/Grantees and applies to all entities receiving state funds. 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.

The Fiscal Agent/Grantee is responsible for running and operating a compliant grant program. The purpose of the Grant Administration Guide is to assist with this process.

## **Grant Agreement**

Fiscal Agent/Grantee has entered into a Grant Agreement with the California Workforce Development Board (CWDB), setting forth the complete terms of receipt, administration, and implementation of the Fiscal Agent/Grantee's grant and funded program. The CWDB has provided this Grant Administration Guide in order to assist the Fiscal Agent/Grantee in working with CWDB, including invoicing and reporting systems. However, the Fiscal Agent/Grantee is responsible for running and operating a compliant grant program. Fiscal Agent/Grantee's staff should review it in its entirety to ensure understanding of the complete Grant terms. In case of conflict between the terms of the Grant Agreement and this Grant Administration Guide, terms of the Grant Agreement shall govern.

## General Grant Information

### Grantee Guidance

The CWDB has a webpage designated for each grant program. For specific guidance, visit the [Grantee Guidance](#) page, scroll to the bottom to locate the Program Specific Guidance section, and select the program.

### CWDB Points of Contact

The CWDB Program Implementation and Regional Support (PIRS or Program) Branch uses a dedicated inbox for each initiative to handle all grant administration and project management communications. Inquiries will be responded to within 48 hours, Monday to Friday.

When contacting the grant program inbox, always include the *grant program or cohort name in the subject line, the name of the Fiscal Agent/Grantee, and the topic of inquiry*. 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 & Reporting

All participant data entries for this grant program must be captured on the Cal-E-Grants (CEG) website. The *Participant Data Guidance* for CEG and related resources can be found on the Cal-E-Grants Guide on the [Grantee Guidance](#) page on the CWDB website.

The Research and Evaluation inbox is designed to receive and respond to questions and requests for technical assistance related to participant data collection and reporting. All participant data inquiries should be sent to [ResearchUnit@cwdb.ca.gov](mailto:ResearchUnit@cwdb.ca.gov), with a response time of within 48 hours, Monday to Friday.

## Role of the California Workforce Development Board

### Program Implementation and Regional Support Branch

The Program Implementation and Regional Support (PIRS or Program) Branch 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 to a Program Analyst who can be contacted through the initiative inbox.

### Policy, Research, and Legislation Branch

In addition to project and program evaluation, the Research and Evaluation staff provide clarification and support related to participant data reporting requirements and procedures, including but not limited to technical assistance related to data entry in CalJOBS and Cal-E-

Grants, account setup, password reset issues, and assistance with participant eligibility and placement inquiries.

### **Workforce Policy and External Affairs Branch**

The regional and industry engagement specialists under the Workforce Policy and External Affairs Branch have subject matter expertise in a variety of focus areas and industries throughout the state. They play a pivotal role in building connections and collaborations with key regional leaders to sustain CWDB and administration initiatives in the long term.

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

### **Fiscal Agent/Grantee Requirements and Responsibilities**

The term “Fiscal Agent/Grantee” refers to the awarded agency that enters into an agreement with the State of California. As the primary point of contact for the CWDB and in compliance with the Grant Agreement, the Fiscal Agent/Grantee is expected to fulfill the following:

- Understand and fulfill the duties and obligations in this State Grant Administration Guide and the complete Grant Agreement.  
Always be knowledgeable about the project and its fiscal status. This includes, but is not limited to, the project activities, partnerships (i.e., partners, contractors, and Subrecipients, etc.), and regional activities; participant service delivery; project deliverables and Work Plan progression; expenditure and grant program budget obstacles or delays to the project or overall outcomes,
- Have knowledge, experience, and practice in managing State Standard Agreements and adhering to fiscal rules and requirements.
- Assume responsibility for tracking and entering participant data timely and accurately on the Cal-E-Grants website, maintaining real-time case management services, and meeting all participant data reporting requirements (if serving participants).
- Maintain active communication with key partners and the CWDB, as well as communicate any obstacles impeding the progression and success of the project to the CWDB.
- Organize and coordinate regional activities.
- Collect and report all data and partnership outcomes to the CWDB.

### **Specific Points of Contact**

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

- Project Lead Contact: The project lead who will engage with the CWDB on grant administration, project status, activities, and information requests.
- Fiscal Contact: The person who knows the project budget and expenditures and responds to grant budget questions.
- Participant Data Reporting Contact: The person who knows and/or oversees participant data entries and responds to participant data inquiries.

- **Networking Contact:** Any additional person to share information on webinars, community of practice (CoP), peer learning events, networking opportunities, etc.

The Fiscal Agent/Grantee is responsible for keeping the SPOC form current, adjusting or editing it, and notifying the CWDB of the changes in staff and points of contact.

## Project Management

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

Cal-E-Grants (CEG), will also be used for project management. All staff directly reporting on project and fiscal outcomes are required to have a Cal-E-Grants account by the start of the grant period. The existing Cal-E- Grants Administrator for each organization can create individual accounts for all staff. *Individual accounts not linked to the Administrator account should be avoided.* If a staff member accidentally creates an account that is not linked to the Administrator account, CWDB staff must be notified immediately.

### Creating Cal-E-Grants Staff Accounts

After logging into Cal-E-Grants, the Administrator will take the following steps to create a staff account:

1. Log in to the Administrator's account.
  2. Select the **Manage Users** button at the top of the [Cal-E-Grants](#) website.
  3. 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.
  4. Enter contact information for the new user (first and last name, email, and phone) and permission type.
    - a. The Permission Type drop-down has four options: *Administrator*, *User*, *Data User Only*, and *Subrecipient*.
      - i. *Administrator:* Can create, edit, update, delete, and/or submit applications, add users and/or update permissions of existing users, and have access to more sensitive aspects of the project.
      - ii. *User:* Can create, edit/update, and submit applications, but has restricted access to other aspects of the project.
      - iii. *Data User Only:* Can enter participant data for the grant project.
      - iv. *Subrecipient:* Can enter participant data for the project but does not have access to grant management as a grant partner.
  5. Select **Create** once all information is entered.
- Note:** Newly added staff will receive an email 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, contact the initiative inbox for assistance.

## Project Progress and Modifications

### Communicating Project Progress and Changes

As described in the Grant Agreement, the CWDB must be promptly notified via email of any anticipated adjustments or deviations from the proposed work before any changes occur. Most changes and adjustments must be documented in a Modification Request on the CEG website, except for grant fund reallocations within a line item, not exceeding 10 percent of the total amount of that specified line item.

**Example:** The total amount for the Staff Salaries line is \$200,000 for two positions. \$100,000 is allocated to a Program Manager position, and \$100,000 is allocated to a Case Manager position. The Fiscal Agent/Grantee wants to move \$20,000 from the Program Manager's salary and add it to the Case Manager position.

Not all project adjustments will require formal amendment. When applicable, the CWDB Program Team will provide guidance and instruction on the next steps.

### **Project Modifications**

Modifications to the Grant Agreement may be formal or informal. The formal modification would require amending the Grant Agreement, whereas an informal modification would not. Both formal and informal would require revisions to the applicable application tab or exhibit. Please see the Grant Agreement for details regarding modifications to the budget, program, or other aspects of its grant or operations.

### **Modification Process Summary**

To initiate modification, the Fiscal Agent/Grantee must complete and submit a Modification Request on the Cal-E-Grants website. Modification requests are not official until they are completed, submitted, and approved by the CWDB.

The Fiscal Agent/Grantee will be asked to provide reason(s) and a thorough justification for all changes requested. Insufficient justification will result in a request being rejected and/or returned for additional details. Once additional details are added, it can be resubmitted.

The modification process will include the following steps:

1. Complete and submit a Modification Request on the Cal-E-Grants website by providing information for the Justification and Summary.
  - a. If assistance is needed, contact the Program Branch through the initiative inbox before starting a modification request on the Cal-E-Grant website.
  - b. If there is any change to the leveraged or match funds, reach out to the initiative inbox with a description of the change, the reason for the change, and the impact of the change on the budget.
2. Once the Justification and Summary are received, the CWDB will review the Modification Request for approval, rejection, or return for additional information. If approved, the CWDB will open the identified application tab or exhibit for revisions and notify the Fiscal Agent/Grantee of the approval (on the Justification and Summary), including guidance on how and/or what to revise on the identified application tab or exhibit.
3. Make the requested revisions to the identified application tab or exhibit in the Cal-E-

Grants system. Any revisions made outside of the approved Justification and Summary may delay the modification request process and/or result in rejection of the request.

Once the revisions are submitted, CWDB will conduct a second review and approval process. Prior written authorization may be needed depending on the nature of the request. If required, the CWDB will notify and request approval for additional information from the *Reference Allowable Costs and Prior Written Approval* guidance under the Fiscal Monitoring and Documentation section. If the revisions are consistent and align with the approved Justification and Summary, the CWDB will provide formal written approval and any pertinent information or next steps.

### Modification Request Submittal

The Fiscal Agent/Grantee must complete and submit a Modification Request within the grant term on the Cal-E-Grants website.

Take the following steps to complete and submit a Modification Request:

1. Log in to the [Cal-E-Grants](#) website.
2. Select the **Grants** button.
3. Select the **Grant ID** button and then choose the appropriate grant program.
4. Select the **New Modification Request** button.
  - a. Modification Requests, both completed and in process, can be found under the *Modification Requests* tab (located between the *Budget Allocation* and *Invoices* tabs).
5. Enter a name for the request.
6. Select the *Classification/Type* of request (e.g., Budget Modification, Partnership Changes, Work Plan Adjustment, etc.).
7. Provide justification for the 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 the item supports the goals and objectives of the project.
8. Provide a summary of the request.
  - a. Summary should include the following:
    - i. Total amount being moved.
    - ii. Line item(s) in which funds are being moved into and moved from.
    - iii. Adjusted total(s) for each line item.
    - iv. **Example:** *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:*
      - *Staff Salaries: \$30,000.00 (Original: \$35,000.00)*
      - *Staff Travel: \$5,000.00 (Original: \$4,250.00)*
      - *Supportive Services: \$25,000.00 (Original: \$20,750.00)*
9. Select the **Save** button once all information has been entered.
10. Read and accept the *Acknowledgment* notice that appears, then select the **Proceed** button
11. Select the **Submit for Review** button.

### Exhibit Revision Submittal

Take the following steps to edit and submit revised application tabs or exhibits:

1. The CWDB will send an email notification when the Justification and Summary of the modification request is approved and open the identified application tab or exhibit for revisions.
2. The Administrator and/or designated staff will revise the identified application tab or exhibit.
  - a. Budget Summary tab: Under the Modified Grants Funds column, the grant allocations will be pre-populated from the grant allocations of the Grant Funds column (which is the original budget). To make edits, locate the impacted line item (s) and enter the correct amount per the approved Justification and Summary of the Modification Request. The amount for the Total Funding under the Modified Grants Funds column should be the same as the Total Funding under the Grant Funds column.
  - b. Columns and field boxes for leveraged or match funds are locked and cannot be edited.
  - c. Budget Narrative tab: If there is no grant fund allocation for a line item, ensure the response box for description is blank.
3. When edits are complete, select the **Submit for Approval** button.

It is highly recommended that the Fiscal Agent/Grantee periodically save the revisions to each tab or exhibit by clicking the **Save** button on each tab or exhibit to prevent loss of work.

**Note:** There may be an instance where you receive the completion notification, but the status of the submitted Modification Request is under review on the Cal-E-Grants website. The status will change to *Approved* once the revisions to the modification request are incorporated into the Grant Agreement.

### **Project Reporting Quarterly Check-Ins**

As described in the Grant Agreement, project check-ins will occur quarterly for the first year of the grant term. These recurring virtual meeting check-ins will be scheduled between the Fiscal Agent/Grantees and the Program Analyst at the start of the grant term. At the end of the first year, the CWDB will determine the frequency of check-ins for each project for the remainder of the grant term.

The quarterly check-ins provide opportunities for Fiscal Agents/Grantees to raise program-related questions and/or concerns and obtain timely technical assistance. Program Analysts and other CWDB staff can also learn more about the project and partnerships, including immediate challenges, successes, and needs. Information gathered will further assist the CWDB in informing future opportunities and evaluations.

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

## **Progress Reports**

As described in Section 7 of the Grant Agreement, the Fiscal Agent/Grantee shall provide regular Progress Reports. Progress Reports are submitted on the Cal-E-Grants website. Progress Reports are submitted 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).
- Technical assistance needs.

The Fiscal Agent/Grantee is responsible for providing complete and comprehensive responses that address whether deliverables were met or unmet, successes, and challenges in project implementation. If artificial intelligence (AI) tools are utilized, the Fiscal Agent/Grantee is responsible for ensuring that the generated content is reviewed and revised for accuracy and alignment with the project's activities. Failure to provide complete and comprehensive answers may impact the Fiscal Agent/Grantee's grant administrative performance and project evaluation and/or result in termination of the Grant Agreement.

## ***Semi-Annual Reporting Schedule***

The reporting schedule for the progress report is:

- January 1 through June 30 – Report due July 20
- July 1 through December 31 – Report due January 20

If the 20<sup>th</sup> falls on a weekend or holiday, reports are due on the last business day before the 20<sup>th</sup>. Grant programs that start within a reporting period will still be held to that reporting schedule. For example, a grant term start date of April 1 will report April 1 – June 30 with a report due date of July 20<sup>th</sup>.

## ***Progress Report Submittal***

The Fiscal Agent/Grantee will complete and submit all progress reports on the Cal-E-Grants website.

Take the following steps to complete and submit a progress report:

1. Log into the Cal-E-Grants website.
2. Locate and select the **Grants** button.
3. Select the program's **Grant ID** button for the appropriate grant program.
4. Select the **New Report** button
  - a) The *Title* field box is optional and not required when submitting the progress report.
5. Select the appropriate quarter and type of report (e.g., Development, Implementation, or Expanding).

6. Select the **Narrative** tab and follow the prompts to complete the progress report
7. After completing the Narrative tab, select **the Save** button.
8. Upload supporting documentation to the **Documents** tab as needed. These could include an Implementation Plan, Participant Success Stories, Photo/Media Release Form, etc.
9. Select the New button.
10. Enter the document's name, select the document's format (i.e. Word, Excel, PDF) and then save.
11. Under the Document tab, locate the document entry you created and select **Upload files**.
12. Locate the document on your computer to upload.
13. Choose the **Done** button when the upload is complete
14. Review the **Narrative** tab and verify all questions are answered with detailed and comprehensive responses and then select the **Submit** button.

### **Close-Out Report**

The Fiscal Agent/Grantee will complete and submit the Close-Out report on the Cal-E-Grants website. If multiple partner organizations are involved, the Fiscal Agent/Grantee should consult with partners and 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 toward the end of the grant.

The Close-Out report will evaluate the entire grant term and must be submitted 30 days after the grant term end date.

### ***Grant Close-Out Preparation***

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

- On the project side, ensure all participant data and activities are up to date, compile qualitative and quantitative data, assess outcomes achieved by the project, document lessons learned and best practices, and more.
- On the fiscal side, ensure activities such as spending down 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, nor can pre-payment be made for activities occurring outside of the grant term. Any unspent grant funds will revert to the State of California.

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

The Fiscal Agent/Grantee will complete and submit the Close-Out Report on the Cal-E-Grants website.

Take the following steps to complete and submit the Close-Out Report:

1. Log in to the [Cal-E-Grants](#) website.
2. Select the **Grants** button.

3. In the upper left corner, select the drop-down menu under Grants and change the List Views to All.
4. Choose the appropriate Grant ID from the list and select the **Grant ID** hyperlink (example, G-0355).
5. Select *Close Out* from the Quarter drop-down menu. Note: The *Title* field box is not required to complete the Close Out Report.
6. Ensure the appropriate report is selected.
7. Select the *Narrative* tab and enter the responses.
  - a. Make sure to select the Save button to save progress.
8. After responding to questions in the *Narrative* tab, select the **Save** button.
9. Select the *Documents* tab to upload supporting documentation, if applicable.
  - a. Select the **New** button.
  - b. Enter the name of the document and select the format of the document (i.e., Word, Excel, PDF), then select the **Save** button.
  - c. On the *Documents* tab, locate the document entry created and select the **Upload Files** button.
  - d. Locate the document to upload.
  - e. Select the **Done** button when the upload is complete.
10. Review the *Narrative* tab to ensure all questions are answered with detailed responses, then select the **Submit** button.

### Periodic Review and Information Requests

As set forth in the Grant Agreement, the CWDB may conduct periodic reviews and request information at any time (and as needed) throughout the grant term. If the Fiscal Agent/Grantee is not performing in accordance with program requirements, the Fiscal Agent/Grantee will be subject to the remedies for non-performance. These may include, but are not limited to, being placed on cash hold until issues are resolved or de-obligation of funding.

### Monthly Fiscal Expenditure Reporting

The Fiscal Agent/Grantee will complete and submit all monthly invoices in the Cal-E-Grants system. Invoices are due before or by the 20th of the month following the invoice period. Invoices must be submitted even when there is a \$0 balance for the month.

### Invoice Report Submittal

The Fiscal Agent/Grantee will complete and submit the monthly invoice on the Cal-E-Grants website.

Take the following steps to complete and submit an invoice:

1. Log in to the [Cal-E-Grants](#) website.
2. Select the **Grants** button.
3. Locate and select the program's *Grant ID* for the appropriate grant program.

4. Select the **New Invoice** button. **Note:** Completed and in-process invoices can be found under the *Invoices* tab (located between the Modification Requests and Progress Reports tabs).
5. Select the appropriate month to invoice (e.g., if the grant term begins in January 2025, select *January 2025*).
6. Review the disclaimer and complete the *Authorizing Signature Name* before proceeding.
7. 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):** The amounts for each line item for which expenses occurred during the invoice period for which Leveraged/Match funds are being accounted for. (These should align with the existing budget allocations and the Expenditure Plan.)

**Note:** Additional details on Leveraged/Match Funds are in the *Fiscal Monitoring and Documentation* section of this administration guide.
8. Select the **Save** button after completing the invoice.
9. If including supporting documentation (e.g., equipment purchase receipts), upload it in the *Documents* tab.
  - a. Select the **New** button.
  - b. Enter the document's name and select the document's format (i.e., Word, Excel, PDF). Then, select the **Save** button.
  - c. Under the *Documents* tab, locate the document entry created and select the **Upload Files** button.
  - d. Locate the document to upload.
  - e. Select the **Done** button when the upload is complete.
10. Review to ensure all amounts are correct, then select the **Submit** button.

## Payment

The warrant generally will be mailed to the Fiscal Agent/Grantee at the address listed on STD 204 and/or STD 205 by the 45<sup>th</sup> calendar day after the invoice is processed by the Financial Reporting and General Ledger Group and forwarded to the Fiscal Programs Division.

Holidays, fiscal year-end, or unforeseen circumstances such as natural disasters, epidemics, etc., may affect the payment timeline.

Please email the initiative inbox if the warrant has not been received 45 days after the processing date.

## Fiscal Monitoring and Documentation

This section is intended to help Fiscal Agents/Grantees keep appropriate documentation on file in the event of monitoring/auditing. The CWDB will amend this section as new issues are brought to the CWDB's attention.

If Fiscal Agents/Grantees have specific questions or require assistance with monitoring and/or documentation, they should email the initiative inbox.

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**

The Grant Agreement sets forth detailed provisions regarding allowable costs. Please review carefully and reach out to CWDB staff for clarification on approval of expenditures. Fiscal Agent/Grantee may invoice for Project expenses that are reasonable and necessary to fulfill Project outcomes as described in the Grant Application and this Agreement. For (i) expenses not in the original budget, or (ii) in other cases as instructed by CWDB, prior approval by CWDB is required before the Fiscal Agent may incur an expense to be paid for with Grant Funds. CWDB may require specific types of documentation for certain expenses, as set forth in the Grant Administration Guide or otherwise communicated by CWDB to the Fiscal Agent/Grantee.

### **Equipment and Other Services**

Fiscal Agent may enter into subcontracts for the purchase of equipment or provision of other services that support Fiscal Agent's delivery of Program services, as set forth in Fiscal Agent's Grant Application, or as otherwise approved in advance in writing by CWDB. At all times, the Fiscal Agent is responsible for compliance with Grant Agreement terms, the quality of Program services, and liability to CWDB incurred in the delivery of Program services, including the support of other subcontractors.

**Procurement requirements.** If the purchase of equipment or services is over \$10,000, the Fiscal Agent must obtain at least three written, competitive quotes to justify that the purchase price of the equipment is reasonable. Fiscal Agent is required to submit quotes to CWDB, but shall keep them on file and provide them to CWDB upon request. This competitive quote requirement pertains to individual unit purchases over \$10,000 (such as, e.g., a \$11,500 piece of necessary equipment); purchases for multiple units, such as twenty laptops at \$550 per item; and for service contracts supporting the Fiscal Agent's Program delivery (such as, e.g., a tech support or site security contract). Complete terms of subcontracts for equipment or services utilizing over \$100,000 of Grant Funds must be pre-approved in writing by CWDB prior to execution. The Fiscal Agent/Grantee does not have to submit the quotes to the CWDB but must keep the quotes on file for monitoring purposes.

- a. **Sole source procurement.** If the Fiscal Agent wishes to purchase equipment or services over \$10,000 and has determined that only a single vendor can provide the item or service as required, the Fiscal Agent shall obtain written pre-approval by CWDB before executing the subcontract. All sole source purchases (regardless of price) will require a Proprietary Letter, *i.e.*, a letter from the entity explaining its rights to its specialized goods or services. Fiscal Agents will not need to submit this

letter to the CWDB, but are required to obtain and keep it on file and provide it to the CWDB upon request.

### **Applicable Laws**

In addition to the above requirements, the Fiscal Agent shall comply with any additional applicable laws and regulations regarding the securing of competitive bids and negotiations. Please find CWDB's policy on Subrecipient and Contract Management, as well as a complete list of CWDB policies here, and a complete list of EDD Workforce Directives here.

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

If the CWDB determines additional information is needed to corroborate how a purchase is related to the scope of work, deliverables, outcomes, and/or project activities, the Fiscal Agent/Grantee will be required to complete the Use of Funding Approval form. The Fiscal Agent/Grantee must provide proper justification for the expense. This includes details addressing how the proposed cost supports the original project outcomes. The CWDB will initiate this document and process it if required.

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

If the Fiscal Agent/Grantee will provide childcare as a Supportive Service, the *CWDB Use of Funding for Child Care Approval* form must be submitted for consideration.

The Fiscal Agent/Grantee must adhere to the following stipulations when completing the form:

1. Reimbursable childcare costs must not exceed \$1,400 per child per month.
2. Maintain three quotes for a licensed childcare provider for three years.
3. Obtain receipts from the participants for the childcare costs. The receipts must be kept on file for three years after the grant term ends.

### ***CWDB Advisory Board Payment Approval***

If the Fiscal Agent/Grantee allocates any grant funds as payment to advisory board members for the project, the following must be adhered to:

1. Payment may be up to \$250 per board member per meeting for the grant term.
2. Total payment cannot exceed \$2,500 per board member.

## **Administrative and Additional Requirements**

### **Monitor and Audit**

As described in the Grant Agreement, 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:

1. Be responsive to all compliance monitors' Fiscal and Program Management requests.
2. Provide reasonable and timely access to records and staff.
3. Facilitate access to subcontractors and communicate with compliance monitors promptly and accurately.
4. 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 funds.

5. Conduct regular oversight and monitoring of all Fiscal Agents/Grantees and their contractors.
  - a. 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.
6. Ensure that all awarded funds are compliant with State regulations.

### **Subrecipient and Contractor Distinctions**

Section 11 of the Grant Agreement sets forth provisions regarding subcontractor and subrecipient arrangements. Fiscal Agent/Grantee shall review and comply with these provisions.

### **Record Retention**

As set forth in the Grant Agreement, 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 this contract for three (3) calendar years from the date of final payment on this contract. Specific documentation and records to be used for this purpose are within the Fiscal Agent/Grantee's discretion to determine and produce if requested.

The CWDB applies federal standards regarding [Record Retention and Access](#) to its state grant-funded initiatives.

### **Communication and Branding**

#### ***Branding and Communications Guidelines***

Fiscal Agents/Grantees can request initiative/grant branding and communication guidelines through the initiative inbox. This document provides guidance on implementing the funding guidelines requirements. It is a reference for Fiscal Agents/Grantees and contractors implementing projects and programs around the state to ensure branding and messaging are consistent and in alignment with the CWDB and the funding source. The document includes guidance on the following:

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