WIOA Completing an Expenditure Claim Report (ECR)

These instructions provide an overview of how to access, complete, and submit an Expenditure Claim Report (ECR) on the California Adult Education Online Application and Reporting website at https://caadultedreporting.org/.
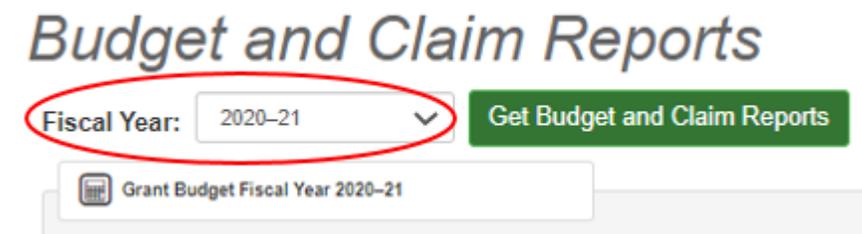
Access the ECR

1. Login to the reporting site and select "WIOA" from the green menu bar at the top of the page.

2. Click on the "Budget and Claim Reports" link with the WIOA Navigation menu on the left side of the page.

3. Select the desired fiscal year from the drop-down menu and click the green "Get Budget and Claim Reports" button.

4. The California Department of Education (CDE) must accept the Grant Budget in order to gain access to the expenditure claim module. Access is made by clicking

the button that says, "I would like to work on my Claim", or a similar variation. This example shows a first quarter claim:

5. Review the ECR Guidelines and scroll to the bottom to continue to the data entry page by clicking the continue button. Download a copy of the instructions for reference, if desired. The displays will look similar to this example:

Claim Summary and Navigation Menu

6. The first page of the ECR module is the Claim Summary. It shows progress made on completing the claim and a detailed summary of the budget and expenditures for the quarter. A list of action items will update as the sections of the claim are entered and the data is saved. All of the listed items need to be completed before submitting the claim.

Workforce Innovation and Opportunity Act

First Quarter Expenditure Claim Report Fiscal Year 2020–21

Claim Progress

Welcome to the Expenditure Claim Report (ECR) application. Complete the various sections using the ECR Navigation menu on the left. After data has been entered in each of the menu sections, the final step is to review, approve and sign the ECR in order to submit it electronically to the California Department of Education. Access the Review and Approve section to print the ECR for review or approval purposes. The following items need to be addressed before the claim may be submitted:

- Section 231 PCA 14508 RC 3905 has not been started
- Section 231 PCA 13978 RC 3913 has not been started
- Section 243 PCA 14109 RC 3926 has not been started
- Budget Narrative needs review
- Non-federal Sources of Funds Expended for WIOA, Title II: AEFLA Grant-Related Activities has not been started
- Contact Information is missing

7. Proceed through the application using the ECR Navigation menu. Click each link in the menu to open the separate pages of the claim. The menu items are customized for each agency, which means expenditure sections are only available if funding was awarded in that area. The application will automatically return to the Claim Summary page upon completion of each section.

To enter data for the claim, select the desired expenditure section from the ECR Navigation menu.
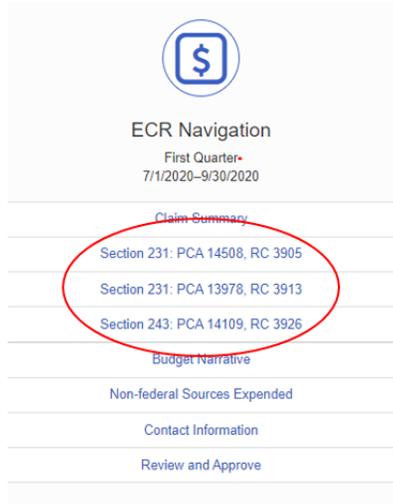
Budget Revisions

8. For the First Quarter ECR, the expenditure section pages will pre-populate with the approved values from the Grant Budget. If the budget needs to be revised during the program year, update the values within the ECR. Use the "Budget" column to make these changes. If budget revisions are not necessary, do not modify the values in the budget column.

|	Object Code	Budget	First Quarter 7/1/2020–9/30/2020	Sec 7/1/20
A	Quarterly Reimbursement Limit ❶		$13,617	
B	1000	20000	10000	
C	1000 Administrative Costs	0	0	
D	2000	0	0	
E	2000 Administrative Costs	0	0	
F	3000	10000	2500	
G	3000 Administrative Costs	0	0	
H	4000	10000	2500	
I	4000 Administrative Costs	0	0	
J	5000	10000	2500	
K	5000 Administrative Costs	4470	1100	
L	Add: Carryover from Previous Quarter ❶			
M	Total Budget & Claimed ❶	$54,470	$18,600	
N	Maximum Reimbursement Available ❶		$13,617	
O	Reimbursement Amount ❶		$13,617	
P	Excess Claim Amount Carried Over to Next Quarter ❶		$4,983	

💾 Save and Continue

The budget amount, for any row of the claim, must always be equal or greater to the expenditures entered in that row. Here are two examples of budget adjustments we are frequently asked about:

- A budget adjustment is needed in the second quarter. Expenditures in the amount of ten dollars were claimed in the first quarter and are accurate. When adjusting the budget up or down during the second quarter, the budget amount may not be less than ten dollars. To fix this, first adjust the "Budget" column; then add any new expenditures under the "Second Quarter" column.

- An adjustment is needed in the second quarter to reduce the budget to zero and to remove ten dollars of expenditures, which are showing in error. To fix this, start with the "Second Quarter" column to reduce the cumulative expenditure value so it is lower than the budgeted amount. Enter the 10 dollar reduction as a negative number with the minus symbol "-10". Then adjust the value in the budget column to zero.

Additional expenditure adjustment information is provided later in this document.

9. A justification is required if any Object Code is updated by 10 or more percent; or if Administrative Costs exceed five percent. This information should be entered in later section of the application. The application will ask for the information, if applicable.

10. The application will automatically highlight changes for entries that need corrected. Look for error descriptions in the notification box at the bottom of the page. Errors must be corrected in order to save the page. Here is an example of a message received when the budget amount is higher than the award amount: The message says, "Budget is over the award amount by $1,000".
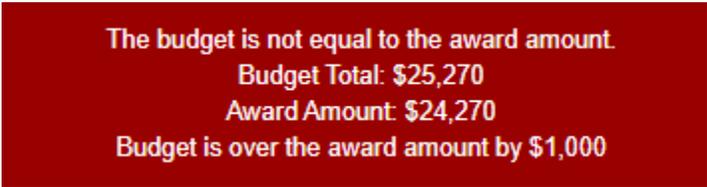
The budget is not equal to the award amount.
Budget Total: $25,270
Award Amount: $24,270
Budget is over the award amount by $1,000

Adding Expenditures

11. Expenditures may only be added in the current quarter. Other quarters will be visible but entries are not permitted. The application will automatically add expenditures for each quarter and reflect the cumulative amounts in the "Total

Expended To-Date" column.

	Object Code	Budget	First Quarter 7/1/2020– 9/30/2020	Second Quarter 7/1/2020– 9/30/2020	Third Quarter 7/1/2020– 9/30/2020	Final 7/1/2020– 9/30/2020	Total Expended To-Date
A	Quarterly Reimbursement Limit ⓘ		$31,137	$62,275	$93,412	$124,550	
B	1000	500	5	$0	$0	$0	$5

Enter the expenditures in the appropriate rows based on the Object Code. Use whole numbers and zeros where applicable. Error notifications warnings will appear when the totals are too high, or too low, for the budget; and the fields will be shaded. Once finished, click the green "Save and Continue" button. The page will not save if there are visible errors.

Add expenditures for each section that funds were awarded.

CDE may return a claim for changes during the review process. Return to these expenditures pages, if applicable adjustments are necessary. Once a claim is approved by CDE, it will not be reopened for editing. Any adjustments must be made in future quarters.

Adjusting a Previous Quarter

12. The system will accept negative numbers to shift expenditures between Object Codes if adjustments to a previous quarter are necessary. Negative numbers in the first quarter are not appropriate. Here are a few common situations we are frequently asked about:

- If there are new expenditures for the current quarter, first determine the amount of the expenditures for the current quarter. Then, subtract the amount of the adjustment and show only the final value for that Object Code.

- If there are no new expenditures for the current quarter, show the amount to be reduced as a negative number with a minus sign.

- Refer to the previous section, "Budget Revisions", for details on adjusting an expenditure when the budget is impacted.

Budget Narrative and Administrative Costs Justification

13. Continue through the application to review or fill out the remaining sections of the ECR, including the Budget Narrative. The Administrative Cost justification field is located on this page.

    The Budget Narrative will populate from the Grant Budget. Review and if necessary, update the information in the Description column before submitting the claim. If Administration Costs over five percent are not necessary, do not enter information in the Justification field. The application requires this page be opened and saved, even if no changes were made.

Budget Narrative

Describe specific costs for the amounts budgeted in each object code and category description. Update any descriptions below if the budget has been revised this quarter. After review, if no changes are necessary, click the button to "Save and Continue".

Show Help?

Object Code	Budget Category Description	Description
1000	Certificated Personnel Services	Certificated Personnel Services from budget (max 250 chars) 206 characters left
2000	Classified Personnel Services	Classified Personnel Services from budget (max 250 chars) 208 characters left

ADMINISTRATION COSTS OVER FIVE PERCENT OF THE TOTAL GRANT AWARD

The above named agency requests 18.3 % of the total grant award for administration costs.

SEC. 233. LOCAL ADMINISTRATIVE COST LIMITS

   a. IN GENERAL — Subject to subsection (b), of the amount that is made available under this title to an eligible provider
      1. not less than 95 percent shall be expended for carrying out adult education and literacy activities; and
      2. the remaining amount, not to exceed 5 percent, shall be used for planning, administration (including carrying out the requirements of section 116), professional development, and the activities described in paragraphs (3) and (5) of section 232.
   b. SPECIAL RULE — In cases where the cost limits described in subsection (a) are too restrictive to allow for the activities described in subsection (a)(2), the eligible provider shall negotiate with the eligible agency in order to determine an adequate level of funds to be used for noninstructional purposes.

Justification (Explain the need to use more than five percent of the total grant award for administration costs).

Admin cost justification from budget

(max 250 chars)
214 characters left

[Save and Continue]

Budget Shift Justification

14. When making a budget revision, if any Object Code is changed by more than 10 percent, the application will require a justification. When this happens, the Claim

Summary page will display a notification, like the one below, that the justification is missing and new menu option will be available in ECR Navigation menu.

- Section 231 PCA 13978 RC 3913 has not been started
- Section 243 PCA 14109 RC 3926 has not been started
- Budget Narrative needs review
- Section 231 PCA 14508 Resource Code 3905 Object code 1000 Budget Shift Justification missing
- Section 231 PCA 14508 Resource Code 3905 Object code 2000 Budget Shift Justification missing
- Non-federal Sources of Funds Expended for WIOA, Title II: AEFLA Grant-Related Activities has not been started
- Contact Information is missing

Select the "Budget Shift Justification" link to complete this section.

Budget Narrative

Budget Shift Justification

Non-federal Sources Expended

Contact Information

Budget Shift Justification

Complete a justification narrative for each Object and Resource Code that exceeds the previously budgeted amount by a 10% or more variance. No justification is required for Object Code 3000.

Section 231: PCA 14508, RC 3905, Object Code 1000	Section 231: PCA 14508, RC 3905, Object Code 1000 justification comments.
	(max 250 chars)

Section 231: PCA 14508, RC 3905, Object Code 2000	Section 231: PCA 14508, RC 3905, Object Code 2000 justification comments.
	(max 250 chars)

💾 Save and Continue

Non-Federal Sources of Funds

15. The Workforce Innovation Opportunity Act is a supplemental grant, and reporting the non-federal dollars spent for adult education activities is required. Report these expenditures quarterly. Claims are generally returned for correction when these fields are left blank.

Show the expenditures by program section for each of the categories, State General, Other Non-federal, and In-Kind, in the "Current" column. Expenditures will automatically calculate in the cumulative totals. Reduce expenditures using negative numbers to correct overstated errors made in a previous quarter.

State General Funding

	Current	Cumulative ⓘ
Section 225: ABE, ELA, ELCE, and ASE ⓘ	5000	$5,000
Section 231: ABE, ELA and ELCE ⓘ	5000	$5,000
Section 231: ASE (HSE, HSD) ⓘ	5000	$5,000
Section 243: IELCE ⓘ	5000	$5,000
Totals, State AEFLA Matching Expenditures	$20,000	$20,000

The total percent of state matching, as a comparison to the grant award, is shown at the bottom of the page. Make sure to meet or exceed the 25 percent requirement by the end of the year. Add comments if necessary.

Totals, State AEFLA Matching Expenditures

	Current	Cumulative
Section 225: ABE, ELA, ELCE, and ASE	$15,000	$15,000
Section 231: ABE, ELA and ELCE	$15,000	$15,000
Section 231: ASE (HSE, HSD)	$15,000	$15,000
Section 243: IELCE	$15,000	$15,000
Totals, State AEFLA Matching Expenditures	$60,000	$60,000

Percent State Matching

Total Grant Award: $177,388
Total, State AEFLA Matching Expenditures: $60,000
Percent State Matching Expenditures to Total Grant Award: 33.82%

Comments (if any):

[💾 Save and Continue]

Contact Information

16. Provide contact information for the person who prepared the claim. This person should be able to speak to the information provided and answer questions that come up during the review process.

Contact Information

Enter the name, email address, and phone number of the person who prepared this Expenditure Claim Report.

Name *

Email *

Phone * [ ] [ ] Ext. [ ]

☑ Once the expenditure claim report is approved by my agency's authorized designee, please send me a copy of the confirmation email.

☑ Attach a copy of the Expenditure Claim Report with Agency Approval to this email.

[💾 Save and Continue]

Review and Print the ECR

17. Agency approvals are required before submitting the claim to CDE. Begin by selecting "Review and Approve" from the ECR Navigation menu. This page is accessible at any time during the claim preparation process to provide access to the "Preview and print a draft…" link shown here:

1. Review

- Notification email must be sent and acknowledged before claim can be submitted

Print a draft copy of your ECR and review all pages. Make changes if needed then return to this page.

🖨 Preview and print a draft copy of the Expenditure Claim Report

Review the content in the prepared PDF. If errors are noted, return to any section of the application to make changes.

Agencies are reminded to follow their organization's business practices for the review, approval and signature of the claim. If your organization prefers to sign hardcopies or keep paper records, please do so. However, hardcopies should not be mailed to CDE, as this deliverable is an electronic only submittal. If requested, the contact person will receive an electronic copy of the draft ECR. Authorized designees identified in the next section will also receive a copy of the draft ECR.

Send Notification

18. Next, review the information in the table under step two, "Agency Approval". Click the blue "Send Notification" button to notify these individuals the claim is ready for approval and signature.

2. Agency Approval

An authorized designee must acknowledge receipt of an electronic notification in order to proceed with approval and submittal of the Expenditure Claim Report.

Click the "Send Notification" button or "Send Another Notification" button to send a notification to your authorized designees listed below. It may take a few minutes for this email to be received. There is a link in the email that must be acknowledged in order to move on to item 3 below.

Name	Title	Email	Contact Type
Superintendent Name	Superintendent	cbrenneman@cde.ca.gov	Superintendent/College President/Chief Executive Officer
Fiscal Manager Name	Director of Fiscal Services	cbrenneman@cde.ca.gov	Fiscal Manager
Adult Education Director Name	Director of Special Programs	cbrenneman@cde.ca.gov	Adult Education Director
Authorized Designee Name	Director of Compliance and Accountability	cbrenneman@cde.ca.gov	Other Authorized Designee

Send Notification

This notification contains a link that must be clicked in order to proceed to the approval process. **Only one person receiving the message needs to click the link. If allowed by your organization, the person who prepared the claim may also approve the claim.**

The page will refresh with a confirmation notice once the notification sent.

✔ Notification Sent on 10/19/2020 2:08:24 PM

- If changes are made to the data after sending the message, another notification must be sent.

- If the first email is not received or another notification needs to be sent, use the notification button to resend the message.

Special Note: Since the level of the approving official is different for every organization, the approval process must be flexible enough to meet the different needs of the various organizations, which receive funds in this grant, including K-12 schools, community colleges, state and local governments, and community organizations. We recognize this process sends emails to a lot of contacts and have plans to improve this step in the future. We also recognize that it is common for this task to be delegated, especially in the K-12 environment.

 Agencies should follow the business rules of their organization structure to complete this step.

Click the Link

19. This is an example of the notification and the link that must be clicked in order to proceed to the last step, "Electronic Signature and Submit to CDE":

Add Agency Signature and Submit to CDE

20. The reviewer may edit the claim, proceed through the approval process, or delegate this task. Since there are multiple ways the approver may enter the application to sign the claim, several notifications are provided in the application to assist with completing this last step.

- The Claim Summary page will provide a notice to proceed to the "Review and Approve" section and a green check mark after the header. Click the link and proceed through to step 3 on the next page to get to the Electronic Signature page.

- The Review and Approve page will also display a link under the step 2 header. If you haven't logged out since sending the notification to view the acknowledgement notice, refresh the page to see the acknowledgement. Then, proceed through to step 3, to access the Electronic Signature page.

> Email has been acknowledged. Proceed through Electronic Signature process to send to CDE

- The person clicking the link in the email will see a page entitled "Acknowledgement Completed", with options to edit, or proceed through the approval process. They do not need to access the "Review and Approve" page.

Acknowledgement Completed

> Thank you, the Authorized Designee notification has been acknowledged.
> You may now proceed through the Expenditure Claim Report approval process.

View / Edit your Expenditure Claim Report

To preview and print a copy of your Expenditure Claim Report for review prior to approval and submittal, click on the "Review a PDF of Expenditure Claim Report" link.

If you need to make changes to your expenditure claim report, prior to submitting, click the "Edit my Expenditure Claim Report" button.
Please Note: Changes made to the expenditure claim report will reset the approval process, you will need to resend the Authorized Designee Notification.

🖶 Preview and print a draft copy of the Expenditure Claim Report

`Edit my Expenditure Claim Report`

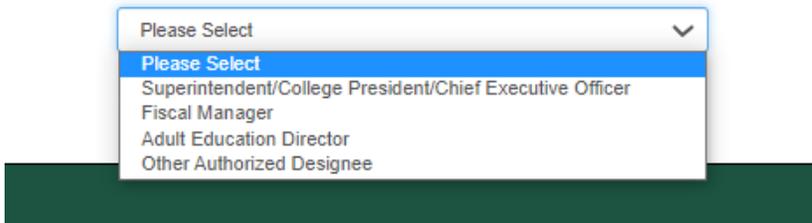**Approve / Submit your Expenditure Claim Report**

If you are ready to approve and submit the Expenditure Claim Report, click the "Proceed through the ECR approval process" button to complete the approval process.

`Proceed through the ECR approval process`

21. The Electronic Signature page has a prominent header. This page is the final step. Select the title of the approver from the drop-down menu.

Electronic Signature

1. **Select the Approver:**

Please Select ∨
Please Select
Superintendent/College President/Chief Executive Officer
Fiscal Manager
Adult Education Director
Other Authorized Designee

Certify by clicking the checkbox "I Accept", and clicking the green button, "Approve Expenditure Claim Report and Submit to CDE". This button is the one

that actually submits the claim. Until this step is finished, the deliverable has not been submitted.

Electronic Signature

1. Select the Approver:

Fiscal Manager ⌄

Name: Fiscal Manager Name
Contact Type: Fiscal Manager
Title: Director of Fiscal Services
Email: cbrenneman@cde.ca.gov

2. Certification:

Required certification (2 CFR 200.415): "By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)."

☑ **I Accept**

Approve Expenditure Claim Report and Submit to CDE

22. Congratulations! You have submitted!! The confirmation page provides a link to a PDF of the ECR and confirms CDE has successfully received the claim. An email will be sent to the authorized designees and if requested, the agency contact, that includes the agency approved claim.

Expenditure Claim Report Submit Success

Your Expendititure Claim Report was successfully submitted on Monday, October 19, 2020.
You may print a copy for your records.
A copy of this document will be emailed to you and, if requested, to your agency contact person.
No further action is required at this time. However, you may be contacted by program staff in the future if there are any questions about your submittal.

🗎 print a copy of the ECR

Check Status

23. Return to the "Deliverables Dashboard" on the main WIOA menu, or to the main page of the "Budget and Claim" page to view the status of the claim. The status will show as "Review Pending", "Approved", or "Not Approved".

   - A claim may be returned to the agency for edits before it is approved by CDE. This shows as "Not Approved". Review the comments, update the claim and resubmit. This will require agency re-approval.

- The agency may request the claim be returned, if the status shows as "Review Pending". Contact your fiscal analyst by email to make this request.

- Once approved by CDE, a claim may not be returned or edited. Make adjustments in the next quarter. Limited exceptions are given for revisions to Final Expenditure Claim Reports.

- Once approved by CDE, the PDF link will update and the CDE approvals will be visible on the file.

Occasionally the system may hiccup. If something looks incorrect with a file, please contact your assigned fiscal analyst or technical support for assistance.

Please do not hesitate to contact the Adult Education Office with any content or process questions.

For technical support, please contact Adult Ed Support at the Outreach and Technical Assistance Network (OTAN). Support is also available by telephone at 916-228-2580, from 8:30 a.m. - 4:30 p.m., Monday through Friday.

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