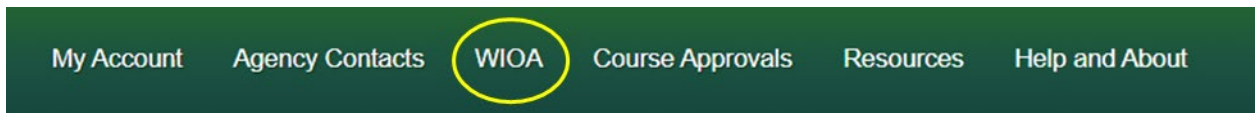


WIOA Completing an Expenditure Claim Report (ECR)

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/>. User access at a level meeting: Editor, Approver, or OAR Admin is required to submit a claim. Users with Read Only access may view these pages but may not edit or submit data.

Access the ECR

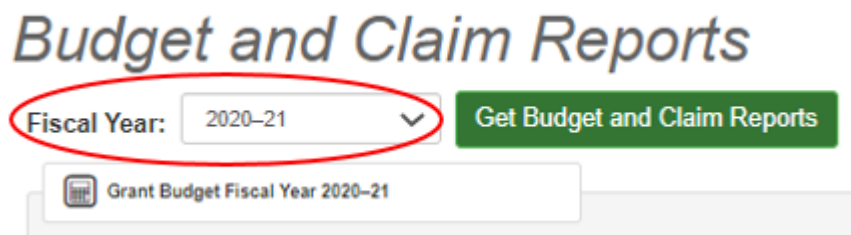
1. Login to the reporting site and select “WIOA” from the green menu bar at the top of the page.



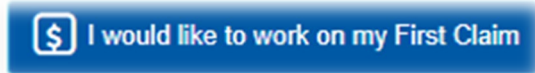
2. Click on the “Budget and Claim Reports” link with the WIOA Navigation menu on the left side of the page.



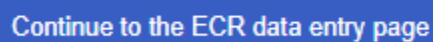
3. Select the desired fiscal year from the drop-down menu and click the green “Get Budget and Claim Reports” button.



- The California Department of Education (CDE) must accept the Grant Budget and have received a mailed hardcopy of the grant award notification 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:



- 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

- 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

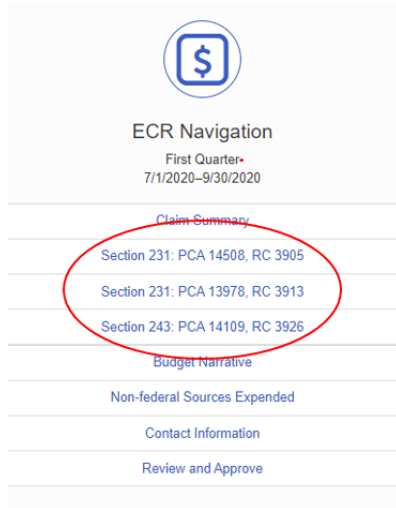
Claim Progress

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

- 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

- 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 7/1/2020
A	Quarterly Reimbursement Limit ⓘ		\$13,617	
B	1000	<input type="text" value="20000"/>	<input type="text" value="10000"/>	
C	1000 Administrative Costs	<input type="text" value="0"/>	<input type="text" value="0"/>	
D	2000	<input type="text" value="0"/>	<input type="text" value="0"/>	
E	2000 Administrative Costs	<input type="text" value="0"/>	<input type="text" value="0"/>	
F	3000	<input type="text" value="10000"/>	<input type="text" value="2500"/>	
G	3000 Administrative Costs	<input type="text" value="0"/>	<input type="text" value="0"/>	
H	4000	<input type="text" value="10000"/>	<input type="text" value="2500"/>	
I	4000 Administrative Costs	<input type="text" value="0"/>	<input type="text" value="0"/>	
J	5000	<input type="text" value="10000"/>	<input type="text" value="2500"/>	
K	5000 Administrative Costs	<input type="text" value="4470"/>	<input type="text" value="1100"/>	
L	Add: Carryover from Previous Quarter ⓘ			
M	Total Budget & Claimed ⓘ	\$54,470	\$18,600	
N	Maximum Reimbursement Available ⓘ		\$13,617	
O	Reimbursement Amount ⓘ		\$13,617	
P	Excess Claim Amount Carried Over to Next Quarter ⓘ		\$4,983	

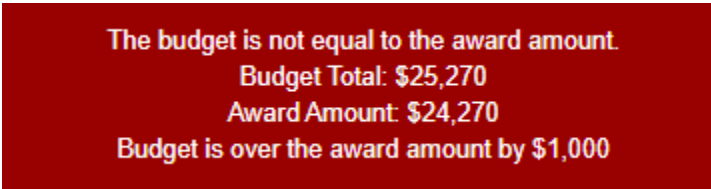
Save and Continue

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	<input type="text" value="500"/>	<input type="text" value="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.

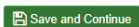
Budget Narrative

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	<div style="border: 1px solid #ccc; padding: 5px;"> Certificated Personnel Services from budget </div> <p>(max 250 chars) 206 characters left</p>
2000	Classified Personnel Services	<div style="border: 1px solid #ccc; padding: 5px;"> Classified Personnel Services from budget </div> <p>(max 250 chars) 208 characters left</p>

ADMINISTRATION COSTS OVER FIVE PERCENT OF THE TOTAL GRANT AWARD
<p>The above named agency requests 18.3 % of the total grant award for administration costs.</p> <p>SEC. 233. LOCAL ADMINISTRATIVE COST LIMITS</p> <p>a. IN GENERAL — Subject to subsection (b), of the amount that is made available under this title to an eligible provider</p> <ol style="list-style-type: none"> 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. <p>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.</p>
<p>Justification (Explain the need to use more than five percent of the total grant award for administration costs).</p> <div style="border: 1px solid #ccc; padding: 5px;"> Admin cost justification from budget </div> <p>(max 250 chars) 214 characters left</p>

 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

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 ⓘ	<input type="text" value="5000"/>	\$5,000
Section 231: ABE, ELA and ELCE ⓘ	<input type="text" value="5000"/>	\$5,000
Section 231: ASE (HSE, HSD) ⓘ	<input type="text" value="5000"/>	\$5,000
Section 243: IELCE ⓘ	<input type="text" value="5000"/>	\$5,000
Totals, State AEFLA Matching Expenditures	\$20,000	\$20,000

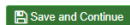
The total percent of state matching, as a comparison to the grant award, is shown at the bottom of the page. **Make sure to meet or exceed the 25 percent requirement by the end of the year.** The system will require the minimum of 25 percent in the final claim. Anything less than this amount will cause the page to error and you will not be able to save. 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

Viewing the reported non-federal expenditures over the course of a larger period of time assists CDE with identifying significant drops or increases in data reporting but also in regional and statewide trends in adult education. Interestingly enough, data reporting errors have also been caught using this technique.

A five-year trend table will be provided in the final claim for your review. Consider the data in the percentage and the value of matching funds. Is this consistent or inconsistent for your agency? What factors may have contributed to a large

variation between this year and last year, or previous years, if any? School closures and lack of instruction at jail facilities due to COVID-19 are two major impacts that might have changed the amount of In-Kind resources received during the pandemic. Includes comments in the space provided that speak to any significant changes reflected in your current year matching.

Five Year Average

Listed below are the non-federal expenditures your agency reported for the past five years. If the amount reported for the current year are significantly different than the five year average, please include a comment below as to what attributed to the difference.

Fiscal Year	Award Amount	Total Non-federal expenditures reported	Percentage of Award
2019–20	\$ 836,055	\$ 4,658,110	557.2 %
2018–19	\$ 913,897	\$ 5,006,396	547.8 %
2017–18	\$ 929,698	\$ 4,313,887	464.0 %
2016–17	\$ 970,381	\$ 3,787,220	390.3 %
2015–16	\$ 1,129,907	\$ 3,325,833	294.3 %

Troubleshooting tip: If your agency was part of a consortium/coalition or was not actively funded for a grant cycle, the table may display your information as a zero. This does not mean that your reported information is missing but more that the information is just not available to display in this table.

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

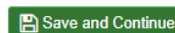
Enter the name, email address, and phone number of the person who prepared this Expenditure Claim Report.

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. Approvers identified in the next section will also receive a copy of the draft ECR.

Electronic Approval and Submission

18. The approval process has changed as a result of the system change to individual user logins as of August 3, 2021. The steps will differ depending on the user’s role:

- a. Read-Only: This user can review the budget but no save or action buttons will be available.
- b. Editor: This user can prepare and review the budget, but will not be able to submit it. Click the blue “Send Notification” button to notify the agency Approver or OAR Admin that the budget is ready for approval. The notification will be sent to the Approver or OAR Admin via email outside of the reporting site application.

An user with Approver or OAR Admin access is required in order to proceed with approval and submittal of the Grant Budget.

Click the "Send Notification" button to send a notification to authorized users within your agency. It may take a few minutes for this email to be received.

[Send Notification](#)

- c. Approver or OAR Admins: This user may prepare the budget document but does not need to do so. If an Editor clicked the “Send Notification in the preceding step, an email will be sent to the Approver and OAR Admin letting them know the budget is ready. After reviewing the PDF of the draft budget an Approver, or OAR Admin may make changes or just certify and submit the budget.

Note: Agencies should reflect their organizational business structure in the roles designated to staff within the system to ensure the user has the appropriate authority to complete an action, like approving a fiscal document.

- 19. If the claim was prepared by a user with Editor access, an email notification will be sent to the Approver and OAR Admin that the claim is ready for approval. The subject will read as “SUBJECT: WIOA 2020–21 Final Expenditure Claim is ready for approval” or similar.

To quickly review and approve the claim, click the ‘Review and approve claim” link within the email. Or login to your account, then navigate all the way through the application to get to the Review and Approval section.

[Review and approve claim](#)

The application will automatically recognize the user and will skip the “Send Notification” step if the user has authority to submit the document to CDE. Once the claim is ready to approve, the Approver or OAR Admin should enter their title and click the “I certify and would like to submit to CDE” button. This will sign the claim with the user’s credentials and submit it CDE. The approval for the claim looks very similar to the budget application shown in the picture below.

Review and Approve

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

 [Preview and print a draft copy of the Grant Budget](#)

If you are ready to submit your Budget Worksheet to the California Department of Education, Adult Education Office, enter your title and click the "I certify and would like to submit to CDE" button below.

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)."

cbrenneman@cde.ca.gov

Title: *

 I certify and would like to submit to CDE

Trouble shooting tip #1: If the notification email hasn't been received within a few minutes, you may use the notification button to resent the message or ask your OAR Admin to check the email address in the "Manage Users" section of the main menu in the reporting site. Email addresses shown in the "Agency Contacts" section are for a separate activity. Contact Adult Ed Support with questions.

Trouble shooting tip #2: Check your agency's junk and spam filters. New users to this site may need to add the reporting site or the mailing list email to their safe senders list. Contact your agency's information technology staff for whitelist or spam filer assistance.

Trouble shooting tip #3: If changes are made to the data in any of the sections after sending the notification message, another notification must be sent.

20. A confirmation of the claim submittal will be sent to your agency. The document will show the agency approve in the table titled "GRANTEE APPROVAL".

For questions regarding information contained on this document please contact:		
Contact Name: Karen [REDACTED]	Contact Phone: [REDACTED]	Contact Email: [REDACTED]

GRANTEE APPROVAL		
<small>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)."</small>		
Approved By: Shannon [REDACTED]	Title: Chief Financial Officer	Date/Time Approved: 9/13/2019 3:14:21 PM

21. 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 Expenditure 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

22. 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. Contact your CDE Fiscal Analyst with questions.
- 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 your CDE Fiscal Analyst at 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.

End of Document