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California Community Colleges Chancellor's Office

Division of Workforce and Economic Development

Request for Applications

K12 STRONG WORKFORCE PROGRAM

- Funding Year:** 2018-2019
- RFA Release Date:** January 9, 2019
- Application Deadline:** Applications must be received by 5:00 p.m. on Friday, March 15, 2019 in [NOVA](#)
- Questions Deadline:** Written questions about specifications in the Request for Applications must be received by 5:00 p.m. on Friday, January 18, 2019, via email to: K12SWP@cccco.edu
- Bidders' Conference:** January 23, 2019

Administered by the
California Community Colleges Chancellor's Office
Workforce and Economic Development Division (WEDD)
1102 Q Street
Sacramento, CA 95814-5901

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SECTION I: GENERAL INFORMATION

A. Background and Purpose

The California Community Colleges Chancellor's Office (CCCCO) in partnership with the California Department of Education (CDE) is seeking applications from eligible Local Education Agencies (LEAs) for K12 Strong Workforce Program funding. \$150,000,000 in ongoing funding has been appropriated under Education Code Section 88827 for the K12 Strong Workforce Program to create, support, and/or expand high-quality career technical education programs at the K12 level. Funding is intended for efforts that are aligned with the workforce development efforts occurring through the Strong Workforce Program, that are responsive to regional economic priorities, and that increase the transition from secondary to post-secondary and career with an emphasis on a collaborative approach between the K12 and Community College systems.

Eligible LEAs are requested to submit a collaborative and fiscally integrated project application consisting of one or more of any combination of the following eligible applicants:

- School districts
- County offices of education
- Charter schools
- Regional occupational centers or programs operated by a joint powers authority, provided that the application has the written consent of each participating local educational agency

As eligible LEA applicants partner with a community college or community college district in their proposed application, it is allowable and encouraged for LEAs to partner with multiple community colleges or community college districts in order to sequence courses, and pathways.

High-value applications shall encompass a collaborative regional approach in order to reduce duplication: including the participation of multiple K12 institutions through existing relationships, community colleges, workforce partners, Adult Education programs, special education programs (including workability), and community based organizations that are:

- Committed to collaborative regional efforts to align pathways, workforce, employment, and student services;
- Informed by, aligned with, and expanding upon [regional priorities](#) and planning efforts occurring through the Strong Workforce Program; and
- Ready to focus on student outcomes for Career Technical Education using metrics aligned with the K12 SWP (inclusive of Workforce Innovation and Opportunity Act, the CDE College/Career Indicator, and the quality indicators required by Perkins).

B. Core Principles

The K12 Strong Workforce Program is based on the following workforce principles ([Education Code 88821](#)):

- California’s economic competitiveness is fueled, in part, by the strength of its regional economies and its skilled workforce.
- Upward social and economic mobility helps keep the state’s economy diversified and vibrant.
- The attainment of industry-valued “middle skill credentials” serves as a gateway for a large and diverse number of careers in the state’s economy.
- California’s local educational agencies, community college districts, interested public four-year universities, local workforce development boards, economic development and industry leaders, and local civic representatives should collaboratively work together to inform the offerings of courses, programs, pathways, and workforce development opportunities that enable students to access the current and future job market and further social and economic mobility.

C. Alignment with California Workforce Pathways Joint Advisory Committee: Guiding Policy Principles to Support K–14+ Pathways

The Guiding Principles help to prioritize a policy pivot towards purposeful integration of the student experience across systems and into college and career while addressing industry needs, by incorporating the following Guiding Policy Principles:

- Focus on a Student-Centered Delivery of Services for all K–14+ college and career pathways, which accommodates multiple entry points to facilitate students’ needs to build their skills as they progress along a continuum of education and training, or advance in a sector-specific occupation or industry.
- Promote Equity and Access by eliminating institutional barriers and achievement gaps for all students to realize their educational and career aspirations.
- Achieve System Alignment in the economic regions of the state in order to create a comprehensive and well-defined system of articulation of high quality K–14+ pathway courses (i.e., both in-person and online) and work-based learning opportunities with a specific emphasis on career technical education. Bring greater coherence to programming, common use of terminology, appropriate data collection and sharing, and attainment of student outcomes in a timely way that lead to upward mobility in California’s industry sectors.

- Support the Continuous Improvement and Capacity Building at all levels and components to ensure smooth transitions in the system and focus efforts on implementation of state standards, attainment of student outcomes, and a strengthening of California's regional economies.

D. Alignment with Strong Workforce Program

The K12 SWP legislation specifies that funds are provided to, “create, support, or expand high-quality career technical education programs at the K12 level that are aligned with the workforce development efforts occurring through the Strong Workforce Program.” The legislation goes on to say that the educational workforce plans developed by each region are to be the vehicle for achieving this alignment.

“The local education agency shall use its consortium’s plan developed pursuant to Section 88823 to inform their efforts to create, support, implement or expand upon career technical education courses, course sequences, programs, and pathways, and to the extent possible, integrate available local, regional, state, and private resources to improve the successful outcomes of pupils enrolled in career technical education courses, course sequences, programs, and pathways.” 88828 (b)

The legislation provides that K12 LEAs are to be full participants in the development and annual revision of this plan. In the first year of K12 SWP implementation, current regional collaborative efforts with LEAs will inform the 2019-20 regional plan revision. LEAs seeking K12 SWP funds should be active participants in the [regional planning process](#). Applications for these funds should be responsive to the regional and local labor market and employment gaps and the goals identified in these plans.

E. Letter of Intent to Apply Requirement

All applicants intending to submit an application are required to submit a Letter of Intent (LOI) by **5:00 pm on Friday, February 15, 2019** via the [online NOVA system](#). You will be prompted to establish a NOVA user account before the LOI can be submitted.

F. Funding

Per [Education Code §§ 88827](#) statewide funding of \$150,000,000 shall be apportioned annually by the CCCCO to the fiscal agent of each [Strong Workforce Program Career Technical Education Regional Consortium](#) based on the following weighted factors in each region:

- The unemployment rate. This factor shall comprise 33 percent of the allocation formula.
- The region’s total average daily attendance for pupils in grades 7 to 12, inclusive. This factor shall comprise 33 percent of the allocation formula.

- The proportion of projected job openings. This factor shall comprise 34 percent of the allocation formula.

The following K12 Strong Workforce Program regional allocations table shows funding amounts available for 2018-2019 based on the weighted factors:

Regional Consortium	K12 SWP Allocation
Bay Area	\$ 29,422,144
Central Valley-Mother Lode	\$ 22,371,470
Inland Empire-Desert	\$ 18,961,442
Los Angeles	\$ 26,059,654
Orange County	\$ 12,828,373
North-Far North	\$ 14,819,649
San Diego-Imperial	\$ 14,701,200
South Central Coast	\$ 10,836,068
TOTAL	\$ 150,000,000

Eligible LEA applications will be reviewed and awarded by the Strong Workforce Program regional consortium K12 Selection Committee. Each regional consortium shall form one (1) K12 Selection Committee during the 2018-19 year made up of individuals with expertise in K12 career technical education and workforce development and as called for in Education Code §§ 88829.

Unless otherwise determined by the K12 Selection Committee in consultation with the Strong Workforce Program Career Technical Education Regional Consortium, the total application ADA¹ will use the following percentages to guide funding awards:

- 4 percent is designated for applicants with total average daily attendance of less than or equal to 140
- 8 percent is designated for applicants with total average daily attendance of more than 140 and less than or equal to 550
- 88 percent is designated for applicants with total average daily attendance of more than 550

For any applicant consisting of more than one school, school district, county office of education, charter school, or regional occupational center or program, or any combination of those entities, the sum of the average daily attendance for each of the partner entities shall be used.

¹ Average Daily Attendance as reported to CDE for prior year P2 ADA

The following funding levels are available for applicants in the 2018-19 application period based on the total ADA for all participating schools/institutions identified in the application. Applicants should consult the following funding level chart to guide decisions about application budgets and work plans based on the maximum allowable grant amount. Please note that the total ADA for the application is equal to the sum of all the individual schools/institutions identified in the application (not the overall district ADA). Applicants must enter the ADA for the participating schools/institutions in the online application and the system will auto-calculate the total ADA for the application.

Funding level dollar amounts apply only to requested K12 SWP grant funds and do not include matched funds.

ADA of Participating Schools/Institutions	Funding Level
Up to 140 ADA	Up to \$250,000
Up to 550 ADA	Up to \$500,000
Up to 10,000 ADA	Up to \$1,000,000
Over 10,000 ADA	Up to \$5,000,000

Obtaining a grant in the first year will not prohibit LEAs from applying again, when future years of funding is released. Subsequent funding requests could be to augment, phase in, improve the pathway or sequence of courses, or to scale to a larger number of students.

Please note that applications requesting smaller amounts of funding to be used solely for planning are welcome, and can be part of phase in toward implementation. If funded, the recipients of these planning grants are encouraged to apply for funding through K12 SWP in subsequent years to implement their Pathway Improvement plans.

The K12 Selection Committee may adjust funding levels to align with the proposed scope of work in the application. The K12 Selection Committee may, at its discretion, award less than the amounts requested, based on review of the application and the committee's responsibility to ensure a portfolio of awards that best meets the needs of the region economy and the intention of the legislation.

G. Required Match

For any funding received from this program, the K12 SWP grant requires the applicant to provide a proportional dollar match as follows:

- For regional occupational centers or programs operated by a joint powers authority or county office of education, one dollar (\$1) for every one dollar (\$1) received for this funding.

- For local educational agencies, two dollars (\$2) for every one dollar (\$1) received for this funding.

The matching funds must be used to support the specific program, or programs, for which the applicant was awarded a grant. Funds from sources that will not directly serve K12 students in the specific program(s) cannot be used as a match.

The local match may include funding from the following sources:

- School district and charter school local control funding formula apportionments;
- Federal Carl D. Perkins Career and Technical Education Improvement Act of 2006, or its successor;
- Partnership academies program;
- Agricultural career technical education incentive program;
- Community College Strong Workforce Program that directly serves K12 pupils (i.e., via early college credit, etc.);
- California Adult Education Program (CAEP) area(s) that directly serves students under the age of 18, as approved the local board;
- Business, industry, philanthropic sources that will directly support the program; or
- Any other source, except those described below.

The local match may **NOT** include funding from any of the following:

- California Career Pathways Trust,
- California Career Technical Education Incentive Grant Program,
- Career Technical Education Facilities Program Grant,
- Public School Facilities Bond (Proposition 51)
- The same local match that is being used for a concurrent California Career Technical Education Incentive Grant
- The same local match that is being used for another concurrent K12 SWP grant/application

The applicant is encouraged to include both financial and in-kind resources in the local match; however, financial resources must account for at least fifty percent (50%) of the match required and in-kind resources may not account for more than fifty percent (50%) of the match. The application will require an explanation of the match.

In-kind matches may include resources such as supplies, staff/faculty time, teacher salaries, CTE facilities built that are directly related to the program (as long as the Department of State Architect close out is not complete), leased facilities/space for the program, etc. In-kind matches will be evaluated to determine if they represent a substantial commitment to the project.

The grant recipient must make expenditure information on career technical education programs available quarterly for purposes of determining if the grant recipients have met the dollar-for-dollar match requirement specified in [Education Code Section 88828](#),

and for monitoring the use of funds provided pursuant to [Education Code Section 88827](#).

H. Performance Period

Successfully awarded project applications will be funded from July 1, 2019 through December 31, 2021. There will be no extensions to the performance period.

I. Eligibility Requirements

Eligible LEAs may consist of one or more, or any combination, of the following:

- School districts
- County offices of education
- Charter schools
- Regional occupational centers or programs operated by a joint powers authority or county offices of education, provided that the application has the written consent of each participating local educational agency

(Note: Adult Education Programs are not eligible to apply as a lead or partner LEA, but may be included under a district LEA applicant if they serve students under the age of 18, as approved by the local board. Adult Education Programs may also be included in the application as a “Collaborative Partner” and are encouraged to work with K-12, community colleges and other stakeholders in partnerships that provide pathways to higher education and employment for all students).

LEAs applying to receive a K12 SWP grant must comply with all of the following:

- The LEA shall be located in and offer instruction within the geographical boundaries of the region from which it is applying for funds. LEAs located near the boundary of another region and that have a substantial number of students being served by a college in that region may apply for funds in the adjacent region if the neighboring college in that region agrees to partner with the LEA. LEAs that offer site based instruction in multiple regions may apply in each region within which they have a site. LEAs that offer primarily online/virtual instruction may apply only in the region within which their chartering district is located. LEAs may not request funding for the same Pathway Improvement application from multiple regions.
- The LEA should engage in regional efforts to align workforce, employment, and education services.
- The LEA must use their [Strong Workforce Program Career Technical Education Regional Consortium’ plan](#) to inform their efforts to create, support, implement or expand upon career technical education courses, course sequences, programs, and pathways, and to the extent possible, integrate available local, regional,

state, and private resources to improve the successful outcomes of pupils enrolled in career technical education.

The LEA applicant must partner with one community college or community college district in their proposed project application. It is allowable and encouraged for LEAs to partner with multiple community colleges or community college districts.

Please note that there is no limit to the number of K12 SWP applications an eligible agency can submit as the lead applicant agency/ fiscal agent or as a partner agency.

J. CTE Program Requirements

The applicant, or the applicant's CTE program (as applicable), must meet the following minimum eligibility standards:

1. Be informed by, aligned with, and expand upon the [Strong Workforce Program Career Technical Education Regional Consortium plans](#) and planning efforts occurring through the Strong Workforce Program.
2. Offer high-quality curriculum and instruction aligned with the California Career Technical Education Model Curriculum Standards, including, but not limited to, providing a coherent sequence of career technical education courses that enable pupils to transition to postsecondary education or training programs that lead to a career pathway or attain employment upon graduation from high school.
3. Provides pupils with quality career exploration and guidance.
4. Provides pupil support services, including, but not limited to counseling and leadership development.
5. Provides opportunities for pupils to participate in after-school, extended-day, and out-of-school internships, competitions, and other work-based learning opportunities.
6. Leads to an industry-recognized credential or certificate, appropriate postsecondary training or employment, or a postsecondary degree.
7. Is staffed by skilled teachers or faculty and provides professional development opportunities for those teachers or faculty members.
8. Reports data (as described below in subsections M and N beginning on page 9) that can be used by policymakers, LEAs, community college districts, and their regional partners to support and evaluate the program, including, to the extent possible, demographic data used to evaluate progress in closing equity gaps in program access and completion, and earnings of underserved demographic

groups. Grant recipients must report data to CDE by November 1 immediately following the fiscal year for which the data are being reported.

K. Allowable Activities and Costs

Budgets for the use of grant funds will be reviewed and scored as part of the application process. Budgets that include items deemed non-allowable, excessive, or inappropriate will receive a lower score. Program funds are for direct services to the project only and are intended to supplement, not supplant, existing programs. Applicants should refer to the [Strong Workforce Program Education Code \(Section 88820-88833\)](#) and “Appendix B: Guidelines, Definitions and Allowable Expenditures” to determine what are allowable and non-allowable activities and costs.

L. Administrative Indirect Cost Rate

An LEA must limit administrative indirect costs to the [rate approved by the California Department of Education](#) for the applicable fiscal year in which the funds are expended.

M. Program Outcome Measures

The long-term measures of success for the K12 Strong Workforce Program are the students completing high school, transitioning successfully into an aligned postsecondary program, graduating with a degree or credential in a high-demand field, and securing employment successfully. Therefore, the K12 Strong Workforce Program Metrics measure the following student-level outcomes:

K12 SWP Metrics

Completed 2+ CTE courses in high school in the same program of study

Completed 2+ CTE courses in high school in the same program of study that include: early college credit, work-based learning, or third-party certification

Graduated high school

Enrolled in a California Community College within one year of leaving secondary school

Entered registered apprenticeship after participation in high school pre-apprenticeship program

Enrolled in another form of job training (other than California Community College)

K12 SWP Metrics

Completed 9+ CTE units in first year of California Community College

Attained a California Community College certificate/degree or journey level status

Transferred to a four-year institution after exiting California Community College

Employed in a job closely related to field of study after exiting California Community College

Median annual earnings of students after exiting California Community College

Attained a living wage after exiting California Community College

N. Reporting Requirements

Program Outcome Measures Reporting

Data collected on program outcomes that is necessary to support and evaluate K12 SWP, as described in Education Code §§ 88828, shall be submitted by the grant recipients (lead LEA and partner LEAs) to the State Department of Education by November 1 immediately following the fiscal year for which data are being reported. Grant recipients must also notify their K-14 Technical Assistance Provider (forthcoming) that data has been reported by the November 1 due date. The K-12 Selection Committee, in consultation with the Strong Workforce Program Career Technical Education Regional Consortium, may end contracts and grants from grantees that do not provide the required outcomes-based data.

To ensure that the K12 SWP legislative reporting requirements are met, all grant recipients, both lead and partnering LEAs, are required to do the following until an MOU is executed between CDE and CCCCO for information sharing on K12 data:

- [Sign an MOU with Cal-PASS Plus](#) to facilitate the sharing of data with the Cal-PASS Plus data system (if not already done so);
- Maintain a current MOU with Cal-PASS Plus throughout the life of the awarded grant; and
- Beginning in 2020-21, upload end-of-year data files, as applicable and required by K12 SWP, into the Cal-PASS Plus system annually by November 1.

Progress and Fiscal Reporting

To ensure the successful implementation of the K12 Strong Workforce Program, grantees are required to submit quarterly progress and financial reports and an end of project report to their Strong Workforce Program Career Technical Education Regional Consortium to show expenditures and demonstrate that program deliverables are being met. The fiscal agent/lead applicant for the partnership/consortium is responsible for submitting all data required by this grant.

Failure to submit required reports or evidence that deliverables have been met could result in the loss and/or remittance of all awarded funds.

Due Date	Deliverable
October 30, 2019	1st Quarter Year-to-Date Expenditure and Progress Report Due
January 31, 2020	2 nd Quarter Year-to-Date Expenditure and Progress Report Due
April 30, 2020	3rd Quarter Year-to-Date Expenditure and Progress Report Due
July 31, 2020	4th Quarter Year-to-Date Expenditure and Progress Report Due
October 30, 2020	5th Quarter Year-to-Date Expenditure and Progress Report Due
January 31, 2021	6th Quarter Year-to-Date Expenditure and Progress Report Due
April 30, 2021	7th Quarter Year-to-Date Expenditure and Progress Report Due
July 31, 2021	8th Quarter Year-to-Date Expenditure and Progress Report Due
October 30, 2021	9th Quarter Year-to-Date Expenditure and Progress Report Due
January 31, 2022	10th Quarter Year-to-Date Expenditure and Progress Report Due
February 28, 2022	Final Year-to-Date Expenditure and Performance Report Due

O. Calendar of Key Dates

Date	Event
November 1, 2018	Guidance to field (joint statewide communication CDE/CO) announcing SWP K12 Pathway Improvement Funding Opportunity
November 1, 2018	Regional allocations posted
October 31, 2018 - December 12, 2018	Regional engagement CDE/CO information sessions on K12 SWP
November 5, 2018 - February 15, 2019	Letter of Intent to apply for Pathway Improvement submission window
January 9, 2019	Project submission application release date

Date	Event
January 23, 2019	Bidders' Conference
March 15, 2019	Applications due in NOVA system
March 18, 2019 - April 26, 2019	K12 Selection Committees review applications
April 30, 2019	K12 SWP grantees announced
May 17, 2019	Appeals due to Strong Workforce Program Career Technical Education Regional Consortium
June 15, 2019	Strong Workforce Program Career Technical Education Regional Consortia fiscal agents communicate intent to award funds to LEAs and initiate subcontract process
July 1, 2019	Project term begins

P. Application Due Date

The K12 Strong Workforce Program application, required forms, and all supporting documents must be **submitted and certified** via the [NOVA reporting system](#) on or before **Friday, March 15, 2019, by 5:00 p.m.**

Printed or Faxed copies of the application will **not** be accepted. Only applications submitted via the NOVA reporting system will be accepted.

Q. Application Review

Each application will be read and scored by a minimum of three reviewers from the K12 Regional Selection Committee formed by the Strong Workforce Program Career Technical Education Regional Consortium in which the applicant is applying. Application reviews will occur from March 18, 2019 – April 26, 2019.

The Selection Committee can take a variety of factors into consideration in making their funding decisions and are not required to fund the highest scoring applications if they are determined not to align with [Strong Workforce Program Career Technical Education Regional Consortium regional plans](#) or do not meet regional economic needs.

The K12 Selection Committee reserves the right to adjust funding levels to align with the proposed scope of work in the application. The K12 Selection Committee may, at its discretion, award less than the amounts requested, based on review of the application and the committee's responsibility to ensure a portfolio of awards that best meets the needs of the region and the intention of the legislation.

Positive consideration will be given to each of the following characteristics in an applicant:

1. Aligned programs serving unduplicated pupils as defined in [Education Code Section 42238.02](#).
2. Programs that the K12 Selection Committee, in consultation with the Strong Workforce Program Career Technical Education Regional Consortium, determines most effectively meet the needs of the local and regional economies.
3. Programs serving pupil subgroups that have higher than average dropout rates as identified by the Superintendent of Public Instruction.
4. Programs located in an area of the state with a high unemployment rate.

Positive consideration will also be given to applications to the extent they do any of the following:

1. Successfully leverage one or both of the following:
 - a. Existing structures, requirements, and resources of the federal Carl D. Perkins Career and Technical Education Improvement Act of 2006 and its successor, the partnership academies program, or the agricultural career technical education incentive program.
 - b. Contributions from industry, labor, and philanthropic sources.
2. Make significant investments in career technical education infrastructure, equipment, and facilities.
3. Operate within rural school districts.

The K12 Selection Committee will consider past performance of applicants prior to awarding additional funds to those reapplying for K12 SWP funding, and shall deny applications from grantees that exhibited unsatisfactory performance in meeting the K12 SWP outcome metrics.

For information on scoring, application format, and instructions, please see “Section II: Instructions for Submitting the K12 SWP Application” beginning on page 17.

R. RFA Clarification

If any ambiguity, conflict, discrepancy, omission, or other error in this RFA is discovered, immediately notify the CCCCO of the error and request a written modification or clarification of the document. A clarifying addendum will be given to all parties who have obtained the RFA, without divulging the source of the request. Insofar

as practical, the CCCCO will give such notice to other interested parties, but the CCCCO shall not be responsible for failure to do so.

Written questions concerning the specifications and instructions in this Request for Applications must be submitted by email to K12SWP@cccco.edu no later than 5:00 p.m. on Friday, January 18, 2019. Questions submitted by that time will be addressed on the Application Webinar and/or in a subsequent Frequently Asked Questions (FAQ) document posted on the [K12 SWP website](#). In addition, questions answered on any of the technical assistance webinars (as described below in subsection S) will be posted in the FAQ document(s) on the K12 SWP website.

Following the question deadline of January 18, 2019, only technical questions (e.g., questions about accessing the NOVA system, logistical challenges using NOVA or the K12 SWP online application, etc.) will be answered. No response will be provided to content questions submitted to K12SWP@cccco.edu after that date.

S. Technical Assistance

The following webinars will be recorded for posting on the [K12 SWP website](#).

Bidders' Conference Webinar

The CCCCO staff will host an informational Bidders' Conference Webinar to provide an overview of the project submission process and offer potential applicants an opportunity to ask additional clarifying questions. Failure to attend the webinar will not preclude the submission of an application.

Date and Time: Wednesday, January 23, 2019, from 12 noon to 1 p.m.

Webinar Registration:

https://wested.zoom.us/webinar/register/WN_17vU7t2RTLiY1OqTRUOwcg

Labor Market Information for K12 SWP Webinar

The Centers of Excellence statewide director will provide an overview of how to find and use publicly available labor market information resources for preparing K12 SWP applications.

Date and Time: Wednesday, February 6, 2019 from 12 noon to 1 p.m.

Webinar Registration:

https://wested.zoom.us/webinar/register/WN_vZVGD1SwT5uenCeZ_8nu8A

K12 SWP Metrics Overview Webinar

The LaunchBoard team and CCCCO staff will provide an overview of the K12 SWP metrics and use existing LaunchBoard dashboards to demonstrate the types of information that will be available in the new K12 SWP Pipeline in summer 2019.

Date and Time: Monday, February 11, 2019 from 12 noon to 1 p.m.

Webinar Registration: https://wested.zoom.us/webinar/register/WN_-6CeQLIXQTqVTCpit2djYQ

T. Incomplete and Late Applications

Incomplete or late applications will not be considered. The Chancellor's Office and K12 Regional Selection Committees reserve the right to reject any and all applications received prior to scoring should the following occur:

- The application is received and certified via submission through the NOVA reporting system later than **5:00 pm on Friday, March 15, 2019**.
- The Budget exceeds the maximum amount allowed as specified in the Request for Application instructions.
- The application does not meet the match requirement funding levels and/or indicated that the match comes from non-allowable sources.
- The application is incomplete and/or missing any required documents.

U. Assurances, Certifications, Terms, and Conditions

Assurances, certifications, terms, and conditions are requirements of applicants and grantees as a condition of receiving funds.

The certified K12 SWP application is a commitment to comply with the assurances, certifications, and terms and conditions associated with the grant as describe in the K12 SWP Request for Applications and K12 SWP legislation ([Education Code Title 3, Division 7, Part 54.5 \[88820-88833\]](#)).

As a condition of receiving funds, funded applicants shall do the following:

- Enter into a grant agreement with the applicable Strong Workforce Program Career Technical Education Regional Consortia, and abide by the legal terms and conditions prescribed by the Chancellor's Office (see *Appendix A: K12 Strong Workforce Program, Program-Specific Legal Terms and Conditions*) and the applicable Strong Workforce Program Career Technical Education Regional Consortia.
- Certify that funds received and the matching funds contributed by each local educational agency shall be used solely for the purpose of supporting the program or programs for which the grant is awarded.
- Be responsible for the performance of any services provided through funds awarded under this grant by partners, consultants, or other organizations.

- Make expenditure data on career technical education programs available for purposes of determining if the grant recipients have met the matching funds requirements specified, and for monitoring the use of funds provided.
- Enter into and maintain a data sharing MOU with Cal-PASS Plus until an MOU is executed between CDE and CCCCO for information sharing on K12 data.
- By November 1 immediately following the fiscal year for which data are being reported:
 - Provide student-level data necessary to evaluate K12 SWP to CDE;
 - Beginning in 2020-21, submit all end-of-year data files, as applicable and required by K12SWP leadership, into the Cal-PASS Plus system; and
 - Notify their K-14 Technical Assistance Provider that data has been reported.

SECTION II: INSTRUCTIONS FOR SUBMITTING THE K12 SWP APPLICATION

A. Creating a NOVA account

The K12 SWP Application is housed in the Chancellor's office NOVA system. NOVA allows users to plan, invest, and track their investments across different programs.

To get access to NOVA as a K12 SWP user, please create an account using this shortened link <https://goo.gl/t65j2x>

B. NOVA Technical Assistance

For technical assistance, please view our FAQ's on the Doing What Matters page <http://doingwhatmatters.cccco.edu/StrongWorkforce/K12SWPFAQs.aspx>. For NOVA system questions not addressed in the FAQ, please contact k12swp@cccco.edu.

C. Submitting a Letter of Intent/Accessing the K12 SWP Application

The K12 SWP Application will become available to K12 SWP NOVA users after they complete the accompanying Letter of Interest (LOI). Please note that LOI are not factored into the scoring of K12 SWP applications.

Once you [create a NOVA account](#), you can submit a LOI. In NOVA, go to the sidebar menu; click "Programs" then "K12 SWP" and "Letter of Intent." Click the "Create New LOI" button to create your LOI:

1. New Letter of Intent

Pathway Improvement Name: Enter the name of your plan.

Lead LEA: Select the LEA that will serve as the lead agency for this Pathway Improvement plan/application. Details of the selected LEA will automatically populate in the "Lead Agency" tab of the LOI (visible after clicking "Create LOI" button). If the agency cannot be found or if the information is inaccurate, please make sure that you are filtering in the list correctly. If different variations of your LEA do not work, contact the K12 SWP help desk by clicking the link in the instructions.

Create LOI: Click on the "Create LOI" button to finish creating your LOI.

2. Pathway Improvement Details

Pathway Improvement Name: This field is automatically populated from the information entered in the “New Letter of Intent” section. It can be edited as needed here.

Scope of Pathway Improvement: Provide a brief description of the Pathway Improvement project including the list of the partners.

Pathway Improvement Estimated Budget: Enter the estimated budget for the Pathway Improvement you are planning.

Targeted Industry Sectors: Select the California Department of Education Industry Sectors that will be included in the Pathway Improvement plan. The corresponding California Community College Sectors will then automatically populate.

Population Focus: Check all the population groups that will be served by your Pathway Improvement plan.

Alignment with LCAP: Indicate if the Pathway Improvement aligns with your 2018-19 LCAP.

Strategies of the Pathway Improvement: Provide a brief statement of 3-5 strategies that you plan on using.

3. Lead Agency

Lead Agency: Select the Agency Type from the first drop down list and the Agency Name on the second drop down list. The Lead Agency information will populate based on your selection.

Contacts: Please add a Contact for the selected agency.

4. Partner Agencies

Partner Agency: Select your agency from the existing list of Local Education Agencies in NOVA. To begin, select your Agency Type from the dropdown list and then select your LEA and the Agency Name field. The Partner Agency information will pre-populate based on your selection.

Contacts: Please add a contact for the selected partner agency. If you cannot find the person you are looking for in the database, click on “Can’t find the contact you’re looking for?” to add a new person to the LOI and invite them to join the NOVA system. Once you enter their name and email address, they will be added as a contact to the LOI even though they have not yet created a NOVA account.

5. Preview & Submit

LOI Pathway Improvement Summary: The information you entered in steps 1-4 will populate on this summary page. Please review the information, and make any necessary changes in the appropriate step.

For your reference, the ADA Totals have been populated for the selected Lead Agency and Partner Agencies.

Once you have reviewed your LOI, you may share a PDF copy with your colleagues and stakeholders or click on the “submit” button to submit your LOI. In the confirmation of the LOI submission window, you may enter additional comments.

To begin your application click again on the “Letters of Intent” item in the sidebar menu under K12 SWP to see a list of LOIs that you have submitted. To begin the application, click on “Start Application”.

Once you begin your application, you will be see all your applications in the “Applications” item under the Programs/K12 SWP submenu.

D. Application Format and Instructions

The following instructions describe the content and format of the application. Only applications submitted via the NOVA system will be accepted. In order to receive the highest possible score and to prevent disqualification, the application instructions in NOVA must be followed, all questions must be answered, and all requested information must be supplied.

Applicants may be required to make adjustments in the budget, work plan, or other aspects of the application prior to funding the grant.

Grant applications are scored based on a 100-point scale as indicated in the list provided below.

NOTE: A minimum averaged score of 75 must be obtained within the reading process in order to be considered for funding.

Application Section	Maximum Points
Pathway Improvement Summary	Not scored
Lead & Partner Agencies	Not scored
Collaborative Partners	5 points
Statement of Need	10 points

Target Pupils	10 points
Pathway Improvement Strategies	25 points
Statement of Work	25 points
Capability & Sustainability	15 points
Budget	10 points
Supporting Documents	Not scored
Preview & Submit	Not scored
TOTAL	100 points

1. Pathway Improvement Summary (Maximum Points: Not Scored)

Summary

Pathway Improvement Name: Enter the name of your plan. Information entered in the Letter of Intent (LOI) will be automatically populated in this field. It can be edited as needed in the application.

Region: Please indicate the region within which you are applying.

Pathway Improvement Scope: Provide a brief summary of the proposed Pathway Improvement plan. Information entered in the Letter of Intent (LOI) will be automatically populated in this field. You can edit it as needed in the application.

Assurances

Please attest to assurances that you have read the K12 SWP legislation and that this Pathways Improvement plan aligns with your 2019-20 LCAP.

2. Lead & Partner Agencies (Maximum Points: Not Scored)

Lead Agency

Agency Name: Select the LEA that will serve as the lead agency for this Pathway Improvement plan/application. Details of the selected LEA will automatically populate. If the agency cannot be found or if the information is inaccurate, please contact the K12 SWP help desk by clicking the link in the instructions.

The lead applicant agency/fiscal agent must be one of the following eligible LEAs: school district, county office of education, direct-funded charter school, or regional occupational center or program operated by a joint powers authority or county office of education.

Participating Schools: You must also enter all the schools (if applicable) within the district that will be participating in the Pathway Improvement Plan. For community colleges/districts, this field may be left blank.

Total ADA: Please enter the total ADA for all participating K12 institutions. ADA should be calculated only for the institutions within the district that are participating in this Pathway Improvement application, not the entire district unless all of the district's institutions are included. ADA should come from prior year P2 and include grades 7-12 only. Community college/district partner agencies should enter "0" in the ADA field.

Rural School District: Please indicate whether your district is a rural school district (i.e., LEA is located within an incorporated or unincorporated place that has a district resident population of less than 2,500, or has a population center less than 1,000 persons, and is characterized by sparse, widespread population).

Financial Contribution: Indicate how much the agency will provide in monetary contribution toward the required match.

In-Kind Match: Indicate how much the agency will provide in in-kind contributions toward the required match.

Description on In-Kind Match: Describe the nature and sources of the in-kind match provided by the agency. For information on the types of acceptable in-kind matches, please see "Section I: General Information, G. Required Match" (beginning on page 5).

Contacts: Please enter the contact information for point(s) of contact at the agency. You may add as many people as necessary. If you cannot find the person you are looking for in the database, click on "Can't find the contact you're looking for?" to add a new person to the application and invite them to join the NOVA system. Once you enter their name and email address, they will be added as a contact to the application even though they have not yet created a NOVA account.

Partner Agencies

For partner agencies that were automatically populated from the LOI, please enter the following fields as described above:

- *Schools within District*
- *Total ADA*
- *Financial Contribution*
- *In-Kind Match*
- *Description on In-Kind Match*
- *Contacts*

Add Partner Agencies: To add partner agencies, please click on the “+Add Partner Agency” button. A new card will appear. If the agency cannot be found, please contact the K12 SWP help desk by clicking the link in the instructions. Please select the “Agency Type” and “Agency Name”. The agency information will be populated, then follow the instructions above to add information on the partner.

Please note that at least one community college or community college district must be included as a partner agency.

The applicant may provide evidence that all partners have entered into a written plan, agreement, or letter of support by uploading such documents in the “Supporting Documents” section of the application.

3. Collaborative Partners (Maximum Points: 5 points)

Business/Industry/Philanthropic/Other Partners

Collaborative Partnerships: Describe the collaborative partnerships with other entities (e.g. business and industry entities, community and philanthropic organizations, local workforce development boards, etc.) Other LEAs and community colleges should not be included here, but added as "Partner Agencies" in that section.

Resources and Contributions: Describe how matching resources from collaborative partners will be used and leveraged in the Pathway Improvement.

If the Pathway Improvement application does not include any Collaborative Partnerships at this time, please type in “Not Applicable” in the fields on this page.

Add Collaborative Partner

Click on the “+Add Collaborative Partner” button to add information for each collaborative partner that will be contributing to the Pathway Improvement. Please provide the partner’s name, Partner Type, Address, and Website information. For each collaborative partner, the applicant can add information on the Financial Contribution the partner is investing, In-Kind Match, description of the In-Kind Match, and Contacts. If you cannot find the person you are looking for in the database, click on “Can’t find the contact you’re looking for?” to add a new person to the application and invite them to join the NOVA system. Once you enter their name and email address, they will be added as a contact to the application even though they have not yet created a NOVA account.

4. Statement of Need (Maximum Points: 10 points)

Targeted Industry Sectors

Please select the appropriate Industry Sectors you plan to target. The California Department of Education Industry Sectors are cross walked with the California Community Colleges. When you select the appropriate California Community College sector(s), the associated sector(s) will automatically populate. The information entered in the LOI will be pre-populated. The applicant may change the selected Industry Sectors as needed here.

Pathway

Select the pathway(s) to be included in the Pathway Improvement plan. You are able to select multiple items from the list and the selected pathways will populate underneath the drop-down list. At least one pathway must be selected.

Description of Need

Respond to the following prompts:

- Describe why the industry sectors and pathways were selected and explain the regional economic need the application will address using economic data and labor market information. Using economic data and/or labor market information, justify why the industry sectors and pathways were selected and explain how the application will address the regional economic needs identified in your Career Technical Education Regional Consortia's regional plan. Applicants should use information provided by the California Community Colleges Centers of Excellence and/or the Employment Development Department's Labor Market Information Division in their justification. Applicants may upload documentation supporting the economic data and/or labor market information referenced here in the "Supporting Documents" section of the application. Applicant can also reference the K12 SWP website for additional information and resources on using Labor Market Information in the application.
- Describe the status of current career technical education courses, course sequences, programs, and/or pathways (or lack thereof) that will be addressed by the Pathway Improvement plan. Explain why it is necessary to support or expand existing programs and/or create and implement new ones.
- Indicate whether you have or plan on applying for Career Technical Education Incentive Grant funding in 2018-19.

5. Target Pupil (Maximum Points: 10 points)

Pupil Data

Respond to the following prompts:

- Please select the characteristics of the target population of pupils that will be served in this Pathway Improvement grant based on "Race/Ethnicity" and "Program Type." "Program Type" is pre-populated from the LOI; applicants may change this field here, if needed.

- Indicate whether the Pathway Improvement will serve pupils that have higher than average dropout rates, and if so, specify the dropout rates for that population.
- Select which grade(s) the Pathway Improvement will serve.
- Describe any special considerations associated with serving the targeted pupil populations.

6. Pathway Improvement Strategies (Maximum Points: 25 points)

Goals & Priorities

Describe how the application is informed by, aligned with, and expands upon the goals and priorities outlined in your [Career Technical Education Regional Consortia regional plan](#).

Strategies

Please describe the strategies the application proposes to use in the Pathway Improvement plan. Please enter each strategy separately in the fields provided. You should repeat the process for each strategy your Pathway Improvement plan will incorporate. The application must include at least three strategies.

- *Strategy Name*: Provide the name for the strategy
- *Strategy Summary*: Provide a one to two sentence summary of the proposed strategy.
- *Associated Activities*: From the list of possible activity types below, select which will play a role in the specific proposed Pathway Improvement strategy (if applicable). Check all that apply.
 - Career Exploration and Guidance
 - Dual Enrollment and/or College Credit
 - Industry Sector Skills Analysis
 - Industry-recognized Credential or Certificate
 - Integrated Academic and Career Based Courses
 - Placement Services
 - Professional Development for Teachers or Faculty Members
 - Soft Skills Contextualized in CTE
 - Support Services
 - Transition Services
 - Work-based Learning
- *Strategy Description*: Provide a detailed description of the proposed strategy in the text box below. The system has prepopulated three cards for the user to provide strategies.

Use the “+Add Another Strategy” button to include additional strategies.

7. Statement of Work (Maximum Points: 25 points)

Activities

In order to complete the Statement of Work, please provide a description of each proposed activity and indicate the associated K12 SWP metric(s), performance outcomes, timeline, and responsible person(s). Please enter each activity separately in the fields provided. You should repeat the process for each activity your Pathway Improvement plan will address.

- *Name:* Please enter a name for each activity.
- *Description:* Please describe the activity.
- *Metrics:* Use the drop-down list to select from the K12 SWP metric(s) that apply to each activity.
- *Performance Outcomes:* Describe the performance outcomes associated with this activity.
- *Timeline:* Provide the timeline for the proposed activity.
- *Responsible Person(s):* Indicate the responsible person(s) for the proposed activity.

Enter another activity by selecting the “+Add Another Activity” button.

8. Capability & Sustainability (Maximum Points: 15 points)

Capability

Respond to the following prompts.

- Describe how the Pathways Improvement grant will be directed and implemented. Please include information on the project management roles and responsibilities of the lead LEA and partner LEAs, if applicable. You may include agreements, letters of commitment, letters of support, organizational charts, etc. by uploading them in the “Supporting Documents” section of the application.
- Describe the lead applicant's experience in conducting and administering state-funded projects. Please include the applicant's ability to ensure the reliable management of grant funds and to report on financial and pupil performance data. Include the applicant's plan to mitigate risks to pathways improvement success and ensure proper audit procedures.
- Describe applicant's experience collaborating successfully with multiple partners and/or stakeholders. Please include how the applicant plans to structure coordination between partners/stakeholders to leverage capacity and expertise and ensure that grant goals are met.
- Describe how the proposed Pathway Improvement plan will leverage existing funding sources.
- Provide information as whether your LEA has any identified barriers to submitting outcomes data. If yes, please explain otherwise leave blank.

Sustainability

Respond to the following prompts.

- Describe how the LEA will utilize existing programs, partnerships, and resources to create sustainable Pathway Improvement(s). Demonstrate how the proposed Pathway Improvement plan leverages existing LEA structures, requirements, and resources of Perkins, the California Partnership Academies, workforce development boards or the Agricultural Career Technical Education Incentive Grant.
- Do you currently have paid staff that performs pathway functions?
- Do you have a need for new K12 coordinator support?
- Do you have a representative from the lead or partner agencies on the K12 Selection Committee?

9. Pathway Improvement Budget (Maximum Points: 10 points)

Match Summary

The Match Total amount is determined from the cumulative total of this Pathway Improvement's partners' contributions. The table will populate based on the numbers entered for each Partner's Financial Contribution under the "Collaborative Partner's" submenu of the sidebar.

For matching funds requirements, please see "Section I: General Information, G. Required Match" (beginning on page 5). The online system will not allow the submission of applications that do not meet the minimum match requirements. Match totals may exceed the amount of grant funds requested.

Grant Funds Budget

Expenditure Types and Amounts: Use the form to show how the grant funds will be distributed based on the 30-month spending period. The form allows for expenditure codes 1000-7000 and indirect costs. The total budget, and the remaining grant funds will populate based on the numbers entered.

Budget Narrative: Provide a detailed description of planned expenditures by object code.

The applicant is responsible for ensuring that the proposed application budget (not including matching funds) is within the funding levels specified in the "Section I: General Information, F. Funding" (beginning on page 3).

Please see "Section I: General Instructions, Section K and L" (beginning on page 9) and "Appendix B: Guidelines, Definitions and Allowable Expenditures" for information about allowable costs and administrative indirect cost rates. The applicant is responsible for ensuring that the administrative indirect costs rate does not exceed the allowable amount.

10. Supporting Documents (Maximum Points: Not Scored)

Applicants may upload documents to provide supporting evidence for information entered into the application. Examples of supporting documents may include, but are not limited to the following:

- Agreements/MOUs (e.g., agreements between partner agencies or collaborative partners)
- Charts/Diagrams (e.g., organizational charts)
- Economic Data/Labor Market Information (e.g., evidence to support justification of the selected industry sectors and pathways in the “Statement of Need” section)
- Letter of Commitment/Letter of Support (e.g., letters from partner agencies or collaborative partners indicating support for the application)
- Match Documentation (e.g., evidence of the proposed match)
- Resume
- Other

The applicants LOI will automatically be included in the application. No other supporting documentation is required. Use the “+ Add Document” button to upload additional documentation.

11. Preview & Submit (Maximum Points: Not Scored)

Pathway Improvement Summary

The information you entered in steps 1-10 will populate on this summary page. Please review the information, and make any necessary changes in the appropriate step.

For your reference, the ADA Totals have been populated for the selected Lead Agency and Partner Agencies.

Share

Once you have reviewed your application, you may share a PDF copy with your colleagues and stakeholders.

Submit

Click on the “submit” button to submit your Application. By submitting, the applicant certifies the application and commits to comply with the assurances, certifications, and terms and conditions associated with the grant as describe in the K12 SWP Request for Applications and SWP legislation ([Education Code Title 3, Division 7, Part 54.5 \[88820-88833\]](#)).

Once the application is submitted, the contacts for the lead agency, partner agencies, and collaborative partners receive an email notification of the successful submission.

APPENDIX A: PROGRAM-SPECIFIC LEGAL TERMS AND CONDITIONS

K12 Strong Workforce Program Program-Specific Legal Terms and Conditions 2018-19

1. Cost and Payments

In consideration of satisfactory performance of the services described in the Grantee's application, the applicable Strong Workforce Program Career Technical Education Regional Consortia (hereinafter Regional Consortia) agrees to pay the Grantee a total amount not to exceed the "Grant Funds" amount stated on the fully executed Grant Agreement. Payment should be made as follows:

Beginning in 2019-20, an advance payment of 70% of the total amount of this Grant Agreement will be paid, upon receipt of an invoice, after the Grant Agreement is fully executed.

Grantee may request progress payment(s) up to 30% of the total amount of this Grant Agreement at the time that progress/quarterly reports are submitted pursuant to section 5 of this Article. Payment(s) will be made, upon receipt of an invoice, after review and approval of the progress/quarterly reports by the Regional Consortia.

2. Work to be Performed

The Grantee shall complete the tasks described in the Grantee's application and funds shall be expended in compliance with the requirements for the funding source and Grant Agreement with the Regional Consortia.

3. Modification/Budget Changes

Grantee may request modifications to the work to be performed. All such requests must be submitted in writing to the Regional Consortia prior to the modification being made. The Regional Consortia may require that a Grant Amendment be processed, if the Regional Consortia determines that the change would materially affect the project outcomes or the term of this Grant Agreement.

Grantee may make changes to any budget category amounts up to 10% of the total award amount per line item without the approval of the Regional Consortia so long as budget categories are not added or deleted, the total dollar amount of the Grant Agreement is not affected, and the outcomes of the Grant Agreement will not be materially affected. Grantee may add or delete budget categories subject to the prior approval of the Regional Consortia.

Grant amendments are required for budget changes when there are changes in the total dollar amount of the Grant Agreement and/or the outcome of the Grant Agreement is materially affected. The process for requesting and approving grant amendments are determined by Regional Consortia. Budget changes or amendments are subject to applicable program limitations and require approval of the Regional Consortia. No extensions to the performance period will be granted.

4. Assurances, Certifications, Terms, and Conditions

Grantees must comply with the assurances, certifications, and terms and conditions associated with the grant as describe in the K12 SWP Request for Applications and K12 SWP legislation ([Education Code Title 3, Division 7, Part 54.5 \[88820-88833\]](#)) and as established by the Regional Consortia.

As a condition of receiving funds, the Grantee shall do the following:

- Comply with the Grant Agreement, and legal terms and conditions prescribed by the applicable Regional Consortia fiscal agent.
- Certify that funds received and the matching funds contributed by each local educational agency shall be used solely for the purpose of supporting the program or programs for which the grant is awarded.
- Be responsible for the performance of any services provided through funds awarded under this grant by partners, consultants, or other organizations.
- Make expenditure data on career technical education programs available for purposes of determining if the grant recipients have met the matching funds requirements specified, and for monitoring the use of funds provided.
- Enter into and maintain a data sharing MOU with Cal-PASS Plus until an MOU is executed between CDE and CCCCO for information sharing on K12 data.
- By November 1 immediately following the fiscal year for which data are being reported:
 - Provide student-level data necessary to evaluate K12 SWP to CDE;
 - Beginning in 2020-21, submit all end-of-year data files, as applicable and required by K12SWP leadership, into the Cal-PASS Plus system; and
 - Notify their K-14 Technical Assistance Provider that data has been reported.

5. Grant Reporting

The following reports are to be submitted by the due dates indicated. Extensions of reporting deadlines may be made with the approval of the Regional Consortia.

Due Date	Deliverable
October 30, 2019	1st Quarter Year-to-Date Expenditure and Progress Report
January 31, 2020	2 nd Quarter Year-to-Date Expenditure and Progress Report
April 30, 2020	3rd Quarter Year-to-Date Expenditure and Progress Report
July 31, 2020	4th Quarter Year-to-Date Expenditure and Progress Report
October 30, 2020	5th Quarter Year-to-Date Expenditure and Progress Report
January 31, 2021	6th Quarter Year-to-Date Expenditure and Progress Report
April 30, 2021	7th Quarter Year-to-Date Expenditure and Progress Report
July 31, 2021	8th Quarter Year-to-Date Expenditure and Progress Report
October 30, 2021	9th Quarter Year-to-Date Expenditure and Progress Report
January 31, 2022	10th Quarter Year-to-Date Expenditure and Progress Report
February 28, 2022	Final Year-to-Date Expenditure and Performance Report

NOTE: If the above reporting dates fall on a weekend or a holiday, the report shall be due by close of business on the last working day prior to the reporting deadline.

APPENDIX B: GUIDELINES, DEFINITIONS AND ALLOWABLE EXPENDITURES

Guidelines, Definitions and Allowable Expenditures

Determining if a Cost is Allowable

All allowable costs, must meet three primary criteria: 1) Substantiate that the cost was necessary and reasonable for proper and effective administration of the allocations; 2) The cost must be allocable to the funding source activities; and 3) The cost must not be a general expense required to carry out the fiscal agent's overall responsibilities (not supplanting). However, even if the costs meet the prior three criteria, the costs must be approved within the statement of work/budget of the individual fiscal agent; otherwise, they are not allowable within that year without changes to the statement of work/budget. In addition, the Strong Workforce Program Career Technical Education Regional Consortia has the discretion to impose special conditions beyond the funding source that would also determine allowability of cost.

While the proposed cost is allowable under the funding source is it also *reasonable*?

Reasonable is defined by the dictionary as agreeable to sound judgment, not exceeding the limit prescribed by reason (not excessive), moderate in price, and a rational decision.

Systems that can guide this definition are necessary for the performance of the grant; following sound business practices (procurement processes, follow state and local laws, follow the terms of the grant); use of fair market prices; acting with prudence under the circumstances; and having no significant deviation from established prices.

What are the guidelines of *allocable*?

Allocable is defined by the dictionary as capable of being allocated or assigned. A cost is considered allocable to a particular funding source/program to the extent it actually benefits the objectives of that program. You can only charge in proportion to the value received by the funding source/program. An example would be that a Project Director works 80% on the funded program (only 80% of the salary and benefits can be charged in the grant application). Beyond this definition allocable also means that the cost must be related to the statement of work/budget that have been approved by the Strong Workforce Program Career Technical Education Regional Consortia.

What is *supplanting*?

Funding may not result in a decrease in state or local funding that would have been available to conduct the activity had these funds not been received. These grant funds may not free up state or local dollars for other purposes but should create or augment programs to an extent not possible without the funding. You must be able to demonstrate that the funds are added to the amount of state and local funds that would, in absence of the grant funds, be made available for uses specified in your plan.

Federal grant funds must supplement and not supplant state or local funds. Federal funds may not result in a decrease in state or local funding that would have been available to conduct the activity had Federal funds not been received. Federal funds may not free up state or local dollars for other purposes but should create or augment programs to an extent not possible without federal dollars. You must be able to demonstrate that Federal funds are added to the amount of state and local funds that would, in absence of Federal funds, be made available for uses specified in your plan. Allocation recipients and sub-recipients must use grant funds to provide extra goods, services, materials, staff coordination positions etc. that would not otherwise be purchased with state, local or other non-Federal funds.

Allowability of General Costs

There are permissible activities within K12 Strong Workforce Program funds. In addition, there are criteria for what can be funded while doing those activities. The following table is a synopsis of rules to determining allowability of costs. The rules in their entirety can be found in (Title 2 Code of Federal Regulations (2 CFR Parts 215 and 220)).

http://www.whitehouse.gov/sites/default/files/omb/fedreg/2005/083105_a21.pdf

The following table is an easy reference synopsis of allowability of general costs. As stated above in the permissive section, just because a cost is allowable via 2 CFR 215-220, the intent of the RFA must be followed, the cost must be necessary, reasonable, allocable and not supplanting, and any additional cost restrictions listed in the RFA would supersede allowable costs within this document.

Allowability of General Costs

Allowable	Allowable With Prior Approval	Unallowable
Advertising and Public Relations ¹		Advertising and Public Relations ¹
Advisory Councils (<i>if the RFA requires or allows Advisory Councils</i>)		
		Alcoholic Beverages
		Alumni Activities
Audit Costs (<i>required by Single Audit Act</i>)		
Audit Costs (<i>if not required by Single Audit Act can be included in indirect cost rate approved by the California Department of Education</i>)		
		Bad Debts
		Commencement and Convocation Costs
Communication Costs (<i>telephone, telegrams, postage, messenger</i>)		
Compensation for Personnel Services (<i>salary, wages, fringe benefits</i>)		
		Contingencies
Contributions or Donations Received (<i>cash, property, services</i>)		Contributions or Donations Rendered (<i>cash, property, services</i>)
		Entertainment Costs ²
Equipment ³		Equipment ³
Fines and Penalties ⁴		Fines and Penalties ⁴
		Fund Raising and Investment Costs
		Gifts of Public funds are never allowed (<i>memorabilia, honoraria, gifts, souvenirs, etc.</i>) ⁵

Allowable	Allowable With Prior Approval	Unallowable
		Goods and Services for Personal Use
		Improvements ⁶
Indirect or Administrative Expenditures (rate approved by the California Department of Education)		
		Lobbying ⁷
		Losses on Other Sponsored Agreements or Contracts
Materials & Supply Costs (only those actually used for performance of sponsored agreement)		
Meetings and Conferences ⁸		Meetings and Conferences ⁸
	Memberships ⁹	
Professional and Consultant Services		
Proposal Costs (only using indirect rate approved by the California Department of Education)		
Publication and Printing Costs (<i>must be a direct cost, indirect cost can only use the rate approved by the California Department of Education</i>)		
Maintenance & Repair Costs ¹⁰ (keeping in efficient operating condition)		Maintenance & Repair Costs ¹⁰ (construction, remodeling, increasing value)
		Student Expenses, Activities or Direct Services ¹¹
		Selling and Marketing ¹²
Travel ¹³	Out-of-State Travel ¹³	Out-of-Country Travel ¹³

¹ Advertising and Public Relations: The term advertising costs means the costs of advertising media and corollary administrative costs. Advertising media include magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer transmittals, and the like. The term public relations includes community relations and means those activities dedicated to maintaining the image of the institution or maintaining or promoting understanding and favorable relations with the community or public at large or any segment of the public.

ALLOWABLE Advertising costs are those that are solely for: (1) The recruitment of personnel required for the performance by the institution of obligations arising under a sponsored; (2) The procurement of goods and services for the performance of a sponsored agreement; (3) The disposal of scrap or surplus materials acquired in the performance of a sponsored agreement except when non-Federal entities are reimbursed for disposal costs at a predetermined amount; or (4) Other specific purposes necessary to meet the requirements of the sponsored agreement.

ALLOWABLE Public Relations costs are those that are solely for: (1) Costs specifically required by the sponsored agreement; (2) Costs of communicating with the public and press pertaining to specific activities or accomplishments which result from performance of sponsored agreements (these costs are considered necessary as part of the outreach effort for the sponsored agreement); or (3) Costs of conducting general liaison with news media and government public relations officers, to the extent that such activities are limited to communication and liaison necessary keep the public informed on matters of public concern, such as notices of Federal contract/grant awards, financial matters, etc.

UNALLOWABLE: Advertising and public relations costs include the following: (1) All advertising and public relations cost unless specified as allowable above; (2) Costs of meetings, conventions, convocations, or other events related to other activities of the institution, including: (a) Costs of displays, demonstrations, and exhibits; (b) Costs of meeting rooms, hospitality suites, and other special facilities used in conjunction with shows and other special events; and (c) Salaries and wages of employees engaged in setting up and displaying exhibits, making demonstrations, and providing briefings; (3) Costs of promotional items and memorabilia, including models, gifts, and souvenirs; (4) Costs of advertising and public relations designed solely to promote the institution.

² Entertainment Costs: Costs of entertainment, including amusement, diversion, and social activities and any costs directly associated with such costs (such as tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities) are unallowable.

³ Equipment: Equipment means article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost that equals or exceeds the lesser of the capitalization level established by the institution for financial statement purpose, or \$5,000. Any equipment requested within the K12 SWP grant will be closely scrutinized to determine purchases meet the intent of the funding and show long-term sustainability.

General Purpose Equipment – General purpose equipment furnishings, modular offices, telephone, networks, information technology equipment systems, air conditioning equipment, reproduction and printing equipment, motor vehicles, etc. are unallowable unless the awarding agency approves them in advance. The Strong Workforce Program Career Technical Education Regional Consortium consider general purpose equipment and furnishings to be the responsibility of the local education agency and as such, it will not approve such expenditures.

⁴ Fines and Penalties: Costs resulting from violations of, or failure of the institution to comply with, Federal, State, and local or foreign laws and regulations are unallowable, except when incurred as a result of compliance with specific provisions of the sponsored agreement, or instructions in writing from the authorized official of the sponsoring agency authorizing in advance such payments.

⁵ Gifts of Public Funds: If it looks like a gift, it is. You are not allowed to purchase pencils, pens, mouse pads, t-shirts, etc. and give them out (under the marketing banner). This would still be considered a gift of public funds. Awards and honorarium would also be considered a gift of public funds and not allowed.

⁶ Improvements: Improvements for land, buildings, or equipment that materially increases their value or useful life are unallowable as a direct cost.

⁷ Lobbying: Lobbying is never allowed unless it meets the following criteria: (1) Technical and factual presentations on topics directly related to the performance of a grant, contract, or other agreement (through hearing testimony, statements, or letters to the Congress or a State legislature, or subdivision, member, or cognizant staff member thereof), in response to a documented request (including a Congressional Record notice requesting testimony or statements for the record at a regularly scheduled hearing) made by the recipient member, legislative body or subdivision, or a cognizant staff member thereof, provided such information is readily obtainable and can be readily put in deliverable form, and further provided that costs under this section for travel, lodging or meals are unallowable unless incurred to offer testimony at a regularly scheduled Congressional

hearing pursuant to a written request for such presentation made by the Chairman or Ranking Minority Member of the Committee or Subcommittee conducting such hearings.

8 Meetings and Conferences: Costs of meetings and conferences, the primary purpose of which is the dissemination of technical information, are allowable. This includes costs of meals, transportation, rental of facilities, speakers' fees, and other items incidental to such meetings or conferences. Be aware not to cross over into entertainment costs.

NOTE: Food is only allowed at meetings that require a working breakfast, lunch or dinner and disseminate technical information to participants. The meeting must have an agenda that shows a working meal; must have a sign-in sheet for participants; and cannot go over the fiscal agent's per diem guidelines for food purchases. The Strong Workforce Program Career Technical Education Regional Consortia are not allowing the cost of food be charged for outreach and/or student events.

9 Memberships: OMB only allows institutional memberships (not individual memberships), the Chancellor's Office Budget and Accounting Manual allows individual memberships that are required within a job description. If the K12 SWP applicant requests any (individual, institutional, or regional) membership costs, the application must justify why the statement of work cannot be accomplished without paying for such membership(s). Business, technical and professional organization or periodical memberships are allowed. Civic or community, or country club or social or dining club memberships are not allowed.

10 Maintenance and Repairs: Activities such as construction and remodeling, which increase the value of an asset or appreciably extend its useful life, are not allowed unless authorized by the funding source. Maintenance of equipment that neither adds to the permanent value of the property nor appreciably prolongs its intended life, but keeps it in an efficient operating condition is allowable.

11 Student Expenses, Activities or Direct Services: All forms of student aid are allowable only when the purpose of the sponsored agreement is to provide training to selected participants and the charge is approved by the sponsoring agency. Cost incurred for intramural activities, student publications, student clubs, and other student activities are unallowable.

12 Selling and marketing: Cost of selling and marketing any products or services of the institution are unallowable unless the agreement requires this activity or if it is an allowable under public relations costs (see #1 above).

13 Travel: Only travel necessary for the project is allowed. Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business for the grant. Such costs will be based the fiscal agent's per diem rates. These costs shall be considered reasonable and allowable only to the extent such costs do not exceed charges normally allowed by the institution in its regular operations as the result of the institution's written travel policy.

OUT-OF-STATE TRAVEL: Out-of-State travel will be closely scrutinized and must be disclosed in the Budget summary. After the application is fully executed, any further Out-of- State travel requires prior approval of the Strong Workforce Program Career Technical Education Regional Consortia by submitting the necessary (as determined by the Strong Workforce Program Career Technical Education Regional Consortia) documentation for approval. The Strong Workforce Program Career Technical Education Regional Consortium reserve the right to limit Out-of-State travel.

OUT-OF-COUNTRY TRAVEL: Out-of-Country travel will not be an allowed via this funding source.