

WorkAbility I Fiscal and Program Handbook

California Department of Education

Special Education Division

2022–2023

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Preface

The California Department of Education (CDE) Special Education Division (SED) has created the WorkAbility I (WAI) Funding and Program Handbook (Handbook). This Handbook received input and feedback from a stakeholder engagement workgroup composed of the following the WAI Advisory committee members: Jennifer Reimer, Tulare County Office of Education; Lisa Garcia, Arcadia Unified School District; Linda Vargas, Elk Grove Unified School District; Mercille Lush, Bassett Unified School District; Linda Osborn, Downey Unified School District; Richard Fujii, Palo Alto Unified School District; Robynn Gualtiere, San Jacinto Unified School District; Heather Humphrey, The Help Group; and Joanna Della Gatta, Venture County Special Education Local Plan Area (SELPA).

Introduction

In 1981, the CDE completed a two-year study that provided substantive information concerning the status of vocational programs for students with disabilities. Results of the study indicated that these students were not being adequately prepared for the labor market.

The WorkAbility I (WAI) program was initiated in November 1981, as a pilot project to test the concept of work experience for youth with disabilities. The WAI program continues to successfully conduct interagency coordination of services for youth with disabilities, which began in September 1982 with a non-financial interagency agreement between the Employment Development Department, State Department of Rehabilitation (DOR), and the CDE.

The WAI program is funded by the state budget and administered by the CDE and provides comprehensive pre-employment skills training, employment placement and follow-up for high school students enrolled in special education programs who are making the transition from school to work, independent living, and postsecondary education or training. Program services provided are appropriate to individual student needs, abilities, and interests.

The WAI program is governed by California *Education Code (EC)* sections 56470–56474 and offers students with an Individualized Education Program (IEP) the opportunity to complete their secondary education while also obtaining marketable job skills, including an understanding of job-seeking and job-keeping skills. The employability of students with disabilities improves through occupational class training and on-the-job subsidized or unsubsidized work experience.

The WAI program seeks employers in the business community who will provide students with disabilities an opportunity to access work experience in a competitive integrated employment setting.

The WAI grant funds are intended to be used for the purposes of vocational training and job placement for special education students participating in the program. Grant recipients (grantees) may serve both high school and middle school students with an IEP, depending on the unique make-up of the local educational agency (LEA). The WAI grant funds are to supplement, not supplant existing transition programs and services for students with IEPs.

How to use this Handbook:

The purpose of this Handbook is to provide WAI regional- and local-level staff with the basic information and guidelines for the use of WAI funds. This Handbook describes WAI funding rules, the grantee's fiscal and program responsibilities, annual application process, fiscal policies and procedures, and allowable use of funds. The WAI grant contacts and staff managing and operating the program are required to be familiar with applicable state and federal laws, regulations, and policies as they pertain to this grant.

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This Handbook is intended to provide the user with knowledge of the policies and procedures for implementing the WAI program.

This Handbook uses the term WAI grantee throughout. This refers to the LEAs and Nonpublic, Nonsectarian Schools (NPSs) that receive WAI grant funds.

The Handbook also commonly uses the term “Regional Managers.” This term refers to the staff from a WAI grantee who provide regional support in one of the five WAI regions. The WAI Regional Managers also serve as voting members of the WAI Advisory Committee. (See section 5.1 for more information on the WAI Advisory Committee.)

WorkAbility I Fiscal Requirements

1.0 Fiscal Timeline and Due Dates

As part of receiving the annual WAI grant, the SELPA, LEA, County Office of Education (COE), or NPS must complete, sign, and submit the following forms to the CDE on or before the corresponding due dates indicated on the table below:

Form	Due Date and Submission Information
1. Grant Funding Application	<p>Due June 15</p> <p>Submit via WAI database: https://caworkability.org/</p>
2. Initial Grant Budget	<p>Due June 15</p> <p>Submit via WAI database: https://caworkability.org/</p>
3. Annual Program Requirements Report	<p>Due June 15</p> <p>Submit via WAI database: https://caworkability.org/</p>
4. Grant Award Notification (GAN)	<p>Return hard copy with original wet signature via mail to the CDE within 10 days of receipt</p> <p style="text-align: center;">Programs and Partnership Unit Special Education Division California Department of Education 1430 N Street, Room 2401 Sacramento, CA 95814-5901</p> <p>Email a scanned, signed copy to: WorkAbility1@cde.ca.gov</p>
5. Final Budget	<p>Due January 31 or 30 days from the date the GAN was mailed out, whichever comes first</p> <p>Submit via WAI database: https://caworkability.org/</p>
6. Interim Expenditure Report	<p>Mid-year expenditure report due February 27</p> <p>Enclosed with Grant Award Notification</p> <p>Submit via email to: WorkAbility1@cde.ca.gov</p>

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Form	Due Date and Submission Information
7. Budget Revision	<p>Opens: April 1</p> <p>Submit via WAI database: https://caworkability.org/</p> <p>Submit via email to: WorkAbility1@cde.ca.gov</p>
8. Annual Program Report, Student Baseline and Follow-up Data	<p>Due June 15</p> <p>Submit via WAI database: https://caworkability.org/</p>
9. Actual Expenditure Report	<p>Due August 1</p> <p>Submit via WAI database: https://caworkability.org/</p>
10. Final Expenditure Report	<p>Due August 10</p> <p>Submit via email to: WorkAbility1@cde.ca.gov</p>

The CDE Secondary Transition Team of the Policy and Programs Unit (PPU) completes all WAI grant distributions for the SED. This unit mails out the GANs with separate accompanying grant documents, including the grant conditions and expenditure report forms with payment instructions. All payments for the WAI grants are initially reviewed by the PPU team and moved to the SED’s Administrative Services Unit (ASU) for payment processing.

Any inquiries about the status of GANs or other WAI reports should be directed to WorkAbility1@cde.ca.gov.

After the grantee has received confirmation of the consultant's approval, any questions regarding payment status shall be directed to SEDgrants@cde.ca.gov.

1.1 California Department of Education Contact Information

The CDE SED staff assigned to the WAI grant and their contract information are provided below:

CDE Program Staff	WAI Region
Noelia Hernandez, Education Programs Administrator Phone: 916-327-0725 Email: NHernandez@cde.ca.gov	WAI Program Administrator
Nick Wavrin, Education Programs Consultant Phone: 916-327-3932 Email: NWavrin@cde.ca.gov	Regions 1, 2, and 3
Wes Roberson, Education Programs Consultant Phone: 916-327-3671 Email: WRoberson@cde.ca.gov	Regions 2, 4 and 5
Jaime Dempsey, Associate Governmental Program Analyst Phone: 916-327-3506 Email: JDempsey@cde.ca.gov	Program Analyst

2.0 Fiscal Reporting

Upon the start of each new fiscal year (FY), active WAI grantees will receive a GAN form AO-400, referred to in this Handbook as “GAN,” that details the conditions of the WAI grant. Going forward this document will be referred to as the GAN. Grantees will send the signed GAN, with original “wet” signature, to the CDE via United States Postal Service within 10 business days from the date of receipt.

Once the signed GAN is received by the CDE, the SED team will process the GAN for initial grant payment, which will be issued to the grantee’s County Treasurer or agency.

For WAI grantees that are NPSs, the CDE will verify receipt of the required Drug Free Certification form prior to the initial grant award payment.

All approved WAI funds must be expended within the designated grant award period.

The GANs are to be submitted with an original wet signature to:

Programs and Partnership Unit
Special Education Division
California Department of Education
1430 N Street, Room 2401
Sacramento, CA 95814-5901

- The Expenditure Report(s) are hard copy portable document format (PDF) forms that can be signed electronically or scanned with wet signatures
- **Note:** funding requested for purchases over \$5,000 in Capital Outlay, Category 5000, requires approval by the CDE, which takes place during the review of the Initial Grant Budget, Final Budget, or Budget Revision

2.1 Food

Expenditures for food at WAI staff meetings, regional meetings, or functions are not an allowable use of WAI grant funds. Organizers should plan meeting schedules and locations so as to allow staff time to procure their own meals. Grant expenditures on food for staff are unallowable even if the expenditure would be less than the cost of reimbursing staff to purchase food while travelling.

2.2 Supplement, Not Supplant

Grant funds shall be used to enhance, not replace, transition programs and services for students with IEPs required by the Individual with Disabilities Education Act (IDEA). WAI services are in addition to, not in lieu of, other services that can or should be provided by the LEA or by any other program.

2.3 Fiscal Responsibilities

WAI grantees are required to adhere to all grant terms, application requirements for the budget, and the policies stated in this Handbook. Failure to comply with the fiscal policies and procedures for this grant award may lead to conditions placed on the grant, a reduction of the grant award, or the termination of the grant award.

In matters of finance, accounting, budgeting, and purchasing, any and all decisions regarding the classification and appropriateness of expenditures must be in conformity with state and federal law. It is the responsibility of the grantee to ensure compliance by maintaining fiscal safeguards.

Each WAI grantee shall:

1. Allocate funds in a manner consistent with the program requirements as set forth in applicable federal and state legislation. The use of WAI grant funds shall be consistent with, but not limited to the following:
 - **Use of Funds:** WAI grant funds shall be used only for allowable expenditures and equipment for the WAI program.
 - **Supplement, Not Supplant:** WAI grant funds shall be used to complement, not replace required transition programs and services. The use of WAI grant funds is restricted to **supplemental services** not funded or required by IDEA. WAI grant funds cannot be used as match funds for federally funded programs, such as the Transition Partnership Program through the DOR.
 - **Salaries and Wages:** The WAI grantee shall properly assess administrative charges for direct or indirect costs of WAI funds for salaries and wages in proportion to the employee's full time equivalent (FTE) to the WAI grant.
 - **Indirect Costs:** WAI grantee shall only apply, and may not exceed, the CDE-approved indirect cost rate to the WAI grant funds for the fiscal year in which funds were spent.
2. Reallocate funds, through the budget revision process consistent with the CDE's established timelines for amendments specified in this Handbook (see Section 5.0).
3. Expend funds only on the basis of a WAI budget or Budget Revision approved by the CDE.
4. Maintain fiscal procedures in conformity with state and federal law.
5. Utilize fiscal control and fund accounting procedures as outlined in the Standardized Account Code Structure (see Appendix B for sample).

6. Monitor all WAI grant expenditures to ensure alignment with the services and costs as articulated in the WAI Array of Services.
7. Ensure that WAI grant recipients adhere to record retention policies (see Section 2.8 of Handbook).
8. Use procurement procedures that reflect applicable federal and state statutes and standards as articulated in Section 2 of this Handbook.
9. WAI grantees shall not "set aside" contingency funds or "roll over" unexpended funds.
10. Any WAI grant funds not spent by the end of the fiscal year in which they were awarded, shall be liquidated by the CDE.

2.4 Unallowable Expenditures

- Expenditures that are not approved in the WAI Initial Grant Budget, Final Budget, or Budget Revision
- Vehicle purchases or repairs
- Use of funds for non-WAI-related expenses
- Purchase of operating expenses or equipment for programs other than WAI
- Benefits for grantee staff whose positions are not funded by the WAI grant
- Percent of benefits for WAI staff that exceeds FTE allocation of that staff to the grant
- Uniforms for WAI students that identify the student as participating in the WAI program or the grantee's special education program
- Purchase of property
- Non-WAI-related travel expenses
- Food
- Purchase of promotional gifts with program logo, such as bumper stickers, pencils, pens, or T-shirts
- Use of WAI grant funds as match for DOR or other federally funded programs

2.5 Budget Revision Policy

Budget Revisions are for situations in which an approved Final Budget requires an adjustment due to challenges in the WAI grantee's ability to spend all grant funds within

a given FY as a result of significant changes in staffing, medical leave, individual circumstances, or needs. Additionally, a Budget Revision is required when a grantee wants to purchase items that are not already included within their approved budget.

A Budget Revision request is necessary for a proposed **increase or decrease of 10 percent or more within any budgeted Object Code** (e.g., actual costs exceed 10 percent of the budgeted amount in Object Code 5000 Services and Other Operating Costs). Note that this policy applies to *decreases* as well as increases within existing line items. Non-significant budgetary changes do not require a revision to the Final Budget (changes less than 10 percent of the budgeted amount of any one line-item). All WAI grant costs are to be articulated in the Actual Expenditure Report and Final Expenditure Report. Note Budget Revisions do not augment the total grant award amount.

WAI grantees can develop and submit a Budget Revision to <https://caworkability.org/> no earlier than April 1 of the current FY for which WAI grant funds have been awarded. The Budget Revision period will remain open for 45 days for WAI grantees to submit a Budget Revision should they choose. The Budget Revision period closes in May of that same FY and will not be accepted after the closing date. Once the Budget Revision has been approved by the CDE within the WAI database (<https://caworkability.org/>), the WAI grantee must send a signed copy to the WAI inbox (WorkAbility1@cde.ca.gov) within 10 business days of approval. The WAI grantee must also send a signed copy to their designated CDE consultant within 10 business days of the budget revision being approved within the WAI database.

Note: Grantees must have an approved Final Budget on file before developing and submitting a Budget Revision.

2.6 Audit Requirements and Record Retention

In the event of an audit each WAI Grantee shall:

- a. Comply with all state and federal regulations and guidelines relating to audits.
- b. Maintain records—as described below—that may be needed to conduct an effective audit.
- c. Resolve all fiscal and program audit exceptions.

Standards for Financial Management Systems

a. Accounting Records

Records which identify the source and application of funds for grant or subgrant supported activities shall be maintained. These records shall contain information pertaining to grant or subgrant awards, authorizations, obligations, unobligated balances, assets, outlays, income, and interest.

b. Internal Control

Recipients shall adequately safeguard all property purchased with federal and state funds and shall assure that it is used solely for authorized purposes. Documentation must be maintained that demonstrates that effective controls and accountability exist for all grant or subgrant cash, real, and personal property.

c. Source Documentation

Accounting records shall be supported by source documentation such as purchase orders, invoices, payrolls, contracts, and subgrant documents.

2.7 Records Retention

WAI grantees shall maintain program records for a seven-year period of time, beginning from the date the student exits the WAI program.

2.8 Reasons for exit within the WAI database include the following:

- Reached maximum age
- Dropped out, includes unsuccessful attempts to contact or not known to be continuing the program
- Moved, and known to be continuing the program which includes transferring the student to another WAI project
- Deceased
- Parent withdrawal/self-withdrawal if over 18 years of age
- Received high school completion/ achievement certificate through general educational development (GED)
- Graduated with high school diploma using a waiver authorized by *EC 60851*
- Returned to regular education due to no longer being eligible for special education or successful completion of IEP
- Graduated from high school with regular diploma (no waiver exemption)
- Received certificate of achievement/ completion per *EC 56390* and not known to be continuing

WAI fiscal and administrative records shall be maintained for a seven-year period of time from the end of the state fiscal year for which WAI grant expenditures were reported.

2.9 Object Classification Codes

Section 41010 of the California *EC* requires LEAs to follow the definitions, instructions, and procedures in the *California School Accounting Manual (CSAM)*. Operating agencies and districts are mandated to follow CSAM guidelines for conformity with generally accepted accounting principles, which are essential for consistency and comparability in financial reporting. The CSAM is to be used for classifying, developing, and recording all revenues and expenditures for state grants. Printed copies of the CSAM are available from the CDE Press, Sales Office, 1430 N Street, Suite 3207, Sacramento, CA 95814-5901; Fax (916) 323-0823. The CSAM may be viewed and downloaded at CDE's website: <http://www.cde.ca.gov/fq/ac/sa>.

Please refer to the CSAM website to view the object classification codes. It is the responsibility of the operating agencies and districts to review the complete listing of Object Classification codes in the CSAM and to check for updates to this document.

3.0 General Policy for Funding WorkAbility I

Each approved WAI grantee is funded by the CDE through California's Annual Budget Act Provision 3 of Item 6100-161-001. The total amount allocated to applicants is based on the availability of state funds determined by the CDE in Section 3.1. WAI grant funds are not guaranteed annually. WAI grantees are authorized by the CDE to expend WAI grant funds through the approval of annual program reports and grant funding applications submitted through the WAI database: <https://caworkability.org/>. These grant funding applications are discussed in Section 4.0.

3.1 Process and Funding Formula

WAI grants are funded based on the number of students the grantee is approved to serve. WAI grantees who serve 18 students or more receive a base funding amount of \$30,000 and \$345 per student the WAI grantee is approved to serve. For example, if a WAI grantee is approved by the CDE to serve 36 students the grantee's budget would include 36 students at \$345 per student for a total of \$12,420 plus base funding amount of \$30,000 for a total grant award amount of \$42,420.

WAI grantees who serve 17 or fewer students are eligible for a funding base of \$20,000 and are not eligible for additional funding per student served.

3.2 Funding Period

The funding shall be from July 1 through June 30 of each award period. There are no carryover funds for WAI. All funds must be spent within the FY they are awarded.

3.3 Appeals Process

Applicants who wish to appeal a grant award decision must submit a letter of appeal to:

Special Education Division
WorkAbility I Application
California Department of Education
1430 N Street, Suite 2401
Sacramento, CA 95814

The CDE must **receive** the letter of appeal, with an original signature by the authorized agent, no later than 5 p.m. on **the tenth business day from the date that the application process closed**. Upon receipt of appeals, the CDE staff will reevaluate the applications.

WorkAbility I Program Requirements

4.0 Program Reporting

End of Year Package

At the end of each reporting fiscal year, WAI grantees are required to submit a series of reports, known as the End of Year Package, through the WAI database:

<https://caworkability.org/>. These reports are accessible to the WAI grantee's Grant Contact within the WAI database. The End of Year Package includes the following reports: Annual Program Requirements Report, Grant Funding Application, the Student Baseline and Follow Along Data Report, and Follow-up Data Report. This report package opens up 45 days from the due date of June 15 of the reporting fiscal year.

In the event that a grantee does not complete the requirements, including submission of WAI Reports, completion of program activities; or fails to participate in regional business meetings, or displays a negative trend in the number of students served versus the number of students for which the WAI grantee is funded to serve; the WAI grantee may have conditions placed on their grant, with the possibility of reduced or halted funding. (See Section 9.0 of Handbook for further discussion of Conditions).

Annual Program Requirements Report

This report responds to the nine elements of the WAI program, as defined in *EC 56471(e)*:

WorkAbility project applications shall include, but are not limited to, the following elements: (1) recruitment, (2) assessment, (3) counseling, (4) preemployment skills training, (5) vocational training, (6) student wages for try-out employment, (7) placement in unsubsidized employment, (8) other assistance with transition to a quality adult life, and (9) utilization of an interdisciplinary advisory committee to enhance project goals.

Within the Annual Program Requirements Report, grantees address the above elements and identify resources and best practices that were developed in that fiscal year. The Annual Program Requirements Report provides a qualitative measure to assess each WAI grantee's ability to provide the array of WAI services, evaluate internal processes for grant administration and recruitment, community connections, business engagement, and collaboration with external stakeholders as it relates to secondary transition and postsecondary activity preparation for WAI students.

What is the content required in the Annual Program Requirements Report?

WAI Grantees must provide a summary of activities in the Annual Program Requirements Report pertaining to the provision of the WAI Array of Services including, *but not limited to* the following:

- I. Recruitment

- II. Assessment
- III. Counseling
- IV. Pre-employment Skills Training
- V. Vocational Training
- VI. Student Wages for Subsidized Employment
- VII. Placement in Unsubsidized Employment
- VIII. Other Assistance with Transition to a Quality Adult Life
- IX. Utilization of an Interdisciplinary Advisory Committee to Enhance Project Goals

Within the WAI database located at <https://caworkability.org/>, there are reporting instructions for each of the nine elements. The database includes the Annual Program Requirements Report scoring matrix that grantees can review when completing this report.

Note: Each section of the Annual Program Requirements Report scoring rubric has three elements and reports are scored based on the grantee's responses to how the grantee fully incorporates the array of WAI services into each of the above elements (See local level user guide attached in the Appendix).

Grantees must achieve a score of "Basic/Developing" on the Annual Program Requirements Report – a numerical score of no less than nine for a high school program and no less than seven for middle school programs. The CDE may place conditions on the following year's grants for LEAs that scoring less than "Basic/Developing."

If a grantee is placed on conditions for an Annual Program Requirements Report score of less than "Basic/Developing," the assigned CDE consultant will coordinate with the grantee's Regional Manager and regional Mentoring Committee Chair to ensure additional technical assistance and professional development opportunities are provided in the areas in which the grantee had deficits in the Annual Program Requirements Report. (See Section 9.0 for further discussion on Conditions.)

4.1 Expenditure Report Processing

The WAI Interim and Final Expenditure Reports are both included in a dual-use PDF document that is to be signed and submitted electronically to the WAI inbox at WorkAbility1@cde.ca.gov, with the subject line including the WAI grantee's project-region number, grantee's name, and type of expenditure submitted. For example: 036-03, Alameda City USD, 2021–22 Interim Expenditure Report. Additionally, please name

the final expenditure report file with the following naming convention to include the WAI grantee's project-region number, grantee's name, and type of expenditure submitted. For example, "036-03. Alameda City USD.21-22 Interim Expenditure Report.pdf" is the correct naming convention.

Upon receipt, the CDE WAI analyst will log each expenditure report within the CDE WAI master expenditure tracking sheet. The assigned CDE consultants will complete their review of each expenditure report by completing the following activities:

- Ensure the CDE has received a signed copy of the WAI grantee's GAN. (**Note:** expenditure report processing cannot be completed without the signed copy of the GAN.)
- Cross checking the Interim Expenditure Report against the grantee's Final Budget before approving for payment.
- Cross checking the Final Expenditure Report against the grantee's Final Budget (or Budget Revision when applicable) and the Actual Expenditure Report before approval for payment.
 - The CDE consultants will review the Final Expenditure Report, Final Budget (or Budget Revision when applicable), and Actual Expenditure Report to ensure expenditures across each account code are consistent across all three documents and adhere to parameters for which WAI funds can be expended.

Once the expenditure report has been logged and approved by the assigned consultant, the CDE analyst will batch payments in the order they are received and move the grantee's expenditure reports to the ASU to process payment. Once at ASU, it can take eight to twelve weeks for payment to be issued by the State Controller's Office to the WAI grantee.

Note: If the CDE does not receive the signed GAN, required reports, and program activities have not been completed by the WAI grantee, the WAI grantee's payments may be delayed. Additionally, the grantee may have conditions placed on their grant, including funding reduction (when appropriate). (See Section 9.0 for further discussion on Conditions.)

4.2 Frequently Asked Questions

The following questions and answers provide additional clarification about the use of the WAI grant funds.

What are the minimum requirements for expenditures?

Grant funds must be used to implement the WAI program as indicated in the project plan and consistent with *EC 56471* Section (e):

WorkAbility project applications shall include, but are not limited to, the following elements: (1) recruitment, (2) assessment, (3) counseling, (4) pre-employment skills training, (5) vocational training, (6) student wages for try-out employment, (7) placement in unsubsidized employment, (8) other assistance with transition to quality adult life, and (9) utilization of an interdisciplinary advisory committee to enhance project goals.

Who does the WorkAbility I program serve?

Pursuant to the state budget provision for the WAI program: as a condition of receiving these funds, each LEA shall certify that the amount of nonfederal resources, exclusive of funds received pursuant to this provision, devoted to the provision of vocational education for special education pupils shall be maintained at or above the level provided in the 1984–85 fiscal year.

What activities and costs are not allowable?

- a. Supplanting of existing funding and efforts, including costs otherwise necessary to operate a SELPA without this grant
- b. Utilizing WAI grant funds as match dollars for other federal or state programs (e.g., Transition Partnership Program)
- c. Acquisition of equipment for administrative or personal use
- d. Acquisition of furniture (e.g., bookcases, chairs, desks, filing cabinets, tables) unless an integral part of an equipment workstation or to provide reasonable accommodations to students with disabilities
- e. Food services, such as banquets and plated meals
- f. Purchase or rental of space
- g. Payment for memberships in professional organizations
- h. Purchase of promotional favors, such as bumper stickers, pencils, pens, or T-shirts
- i. Subscriptions to journals or magazines
- j. Travel outside the United States

What is the funding source for the WorkAbility I Grant?

The California State Legislature appropriates state funds and the CDE allocates the funds appropriated to WAI grantees for the provision of the WAI program's Array of Services.

What are the reporting requirements for the grant?

In addition to provision of the WAI Array of Services to aid students in secondary transition, each grantee must:

- adhere to the audit and accountability requirements for state grant management
- submit all required forms prescribed in Section 1 by their designated due dates
- submit all required reports prescribed in Section 1 by their designated due dates
- participate in two regional meetings per year
- attend the CDE-sponsored secondary transition conference
- place into employment at least 15 percent of all students for whom funding was received
- allocate WAI funds for subsidized work experience
- provide opportunities for subsidized and unsubsidized employment
- comply with all California *EC* requirements

Is branding required on materials produced by the grant?

Yes. Please ensure the CDE and WAI logos and the following language is printed on tangible deliverables (i.e., newsletters, PowerPoints, websites, brochures, etc.) "*Project administered by the California Department of Education.*"

Is pre-approval by CDE required on development of materials for the grant deliverables?

Pre-approval is not required for materials to be developed, disseminated, and presented via WAI regional networks or listservs to WAI grantees, community members, or educational partners. However, materials developed by WAI committees that are intended to be delivered to WAI grantees, community members, or educational partners via the CDE require CDE review and approval.

Note: Materials developed by grantees need to be consistent with the policies and procedures provided by the CDE.

All tangible deliverables (i.e., newsletters, PowerPoints, websites, brochures, etc.) need to be submitted to WorkAbility1@cde.ca.gov at least one month prior to delivery for CDE to have adequate time to review and approve these materials.

When should a project exit a WorkAbility I student that has moved and is no longer receiving services from that project?

When a student has moved from one WAI project into another, the WAI Grant Contact of the previous project should exit the student within the WAI database in a timely manner before the student can be enrolled in the new project. For more information on how to exit a student within the WAI database, please log into the WAI database located at <https://caworkability.org/> and review the Local Level User Guide located within the Help/ frequently asked questions (FAQ) link on the home page.

WAI Frequently Asked Questions During COVID-19

For WAI FAQs During COVID-19 See Appendix A.

5.0 WorkAbility I Program: WorkAbility I Array of Services

WorkAbility I is a model transition program for youth with disabilities. The integration of school-based and work-based learning is identified as a best practice for transition by the National Transition Standards, Office of Disability Employment Policy, and the reauthorized Carl Perkins Career and Technology Act. This incorporates academic and occupational learning and links elementary schools, middle schools, high schools, and postsecondary education.

The WAI funding model is based on the number of students “served,” and to qualify as served, a student must be provided Career Vocational Assessments, and Employment/Post-Secondary Education Planning (high school only) from the **School-Based Preparatory Experiences** component, and one or more services in the **Career Preparation & Work-Based Learning Experiences** and **Collaboration/Youth Development & Leadership** components. At least one of these services must be directly provided by the WAI Program, or documentation must exist of WAI’s role in the indirect provision of the service.

Each site is required to place 15 percent of the students they serve in paid competitive integrated employment (CIE) experiences. These placements may be either subsidized by WAI or other sources, or employer-paid.

The following definitions of terms and activities are intended to provide consistency in program implementation and documentation of the WAI Array of Services in middle School (MS) and high School (HS).

5.1 School-Based Preparatory Experiences

1. **Career/Vocational Assessments (MS/HS):** Provide career and transition assessments to help students identify their school and post-school career interests and goals. May include formal and informal assessments including authentic assessments.
2. **Employment/Post-Secondary Education Planning (HS):** Assist students to understand the career decision-making process that culminates with their personal career and educational plan and provision of transition-related guidance including exploration of post-secondary options. Use student interests and measurable post-secondary goals to develop courses.
3. **Curriculum Integration of Work-Readiness Skills/Contextual Learning (MS/HS):** Students are exposed to Common Core college and career readiness standards while reinforcing career development and work-readiness/soft skills.
4. **Career/Vocational Education (HS):** Students complete general education Career Technical Education (CTE) classes, Pathways and elective classes in a course of study that introduces job skills and technical training, and prepares students for post-secondary outcomes.

Career Preparation & Work Based Learning Experiences

1. **Career Awareness/Exploration Activities (MS/HS):** Provide opportunities to engage in activities that increase knowledge of career options and enhance informed decision making (e.g., career fairs, tours, job shadowing and use of technology to explore choices).
2. **Career Preparation/Job Search: (MS/HS):** Improve job readiness—basic job skills (e.g., “soft skills,” 21st Century Skills, The Secretary’s Commission on Achieving Necessary Skills, etc.). Provide training on how to seek and obtain CIE, teach students to develop applications, interview, create and update resumes, maintain a portfolio, use labor market information. Provide training to utilize social media responsibly to search and apply for employment opportunities.
3. **Work-Based Learning (HS):** Includes participation in classroom and community-based experiences that develop knowledge and job skills through internships, service learning, and workplace mentoring experiences. Students may earn entry-level job certifications/permits (e.g., food handler’s permit, forklift operations permit) preparing them for CIE.
4. **Job Development (HS):** Establish training and/or employment opportunities for students. Requires the development of training plans with the worksite supervisor.
5. **Employment/Work Experience (HS):** Assist the student to obtain subsidized and/or non-subsidized work, and on-the-job training experiences that link to school credit.
6. **Job Retention (HS):** Provide training on maintaining, upgrading, and leaving employment.
7. **Work Site Mentor/Supervisor (HS):** Identify and train another employee who could be a natural support at the student’s work site.
8. **Job Coach (HS):** Support and assistance either on or off the job. Example, teaching or support job tasks.
9. **Work-Site Follow-Along/Employer Communication (HS):** Establish routine contact with employer to evaluate, troubleshoot, and coach student and monitor work training plan.

Collaboration/ Youth Development & Leadership

- **Self-Advocacy/Disability Awareness (MS/HS):** Provide training and encourage students to find, formally request, and secure appropriate supports and reasonable accommodations in education, training, and employment settings.

- **Youth Leadership (MS/HS):** Provide training in self-advocacy and conflict resolution. Present students with opportunities to develop and demonstrate team and leadership skills.
- **Destination/Transportation Training (MS/HS):** Provide training to use transportation resources, and support student independence (including use of public transportation and/or obtaining driver's license).
- **Life Skills/Independent Living (MS/HS):** Provide training in the use of community resources, domestic skills, money management, finding and maintaining housing, identification of post-school support. May include benefits planning.
- **Family Participation & Support of Transition (MS/HS):** Involve, train parents/family and supportive adults to support and mentor youth as they transition. Includes knowledge of disabilities, accommodations, rights and access to programs and services.
- **Partnership and Collaboration (MS/HS):** Engage business partners and post-school support agencies in local/regional communities of practice to advise, share expertise and resources and offer opportunities to students. Connect students to America's Job Center.

6.0 WorkAbility I Program Structure

The WAI program is overseen by the CDE at the state level. There are over 260 WAI grantees spread across five geographical regions. Each WAI grantee has a “Grant Contact” who serves as the primary point of contact for their WAI grant with the CDE. Additionally, the WAI program has 19-member WAI Advisory Committee made up of WAI grantees,

6.1 WorkAbility I Regions

The WAI program is divided into five geographical regions across the state. Each region has two Regional Managers who are responsible for providing guidance for the WAI grant contacts who in turn provide guidance to the local program.

Mentors provide training within local regions, offer support, collaborate with regional teams, assist grantees in the conditions process, and provide responses to frequently asked questions. For more information about the support structure within each region visit: <https://www.cde.ca.gov/sp/se/sr/wrkabltyrgns.asp>.

For a map of the WAI regions visit:

<https://www.cde.ca.gov/sp/se/sr/documents/wrkabltyregions.pdf>.

6.2 WorkAbility I Advisory Committee

California *EC* Section 56471 (b) states that “The department (i.e., CDE) shall establish an advisory committee. This committee will include representatives from local WAI projects to ensure ongoing communications.”

The current WAI Advisory Committee consists of 19 members and is led by a WAI Advisory Chair and Chair Alternate. The assigned CDE staff participate in WAI Advisory meetings, which are held quarterly and adhere to the Bagley Keene Act.

Any member of the public may participate in a WAI Advisory meeting. For more information about upcoming WAI Advisory meetings visit:

<https://www.cde.ca.gov/sp/se/sr/wrkabltymtg.asp>.

6.3 WorkAbility I Committees

The WAI program features eight standing committees which are formed at the recommendation of the WAI State Advisory Committee with the approval of the CDE. The Standing Committee member composition consists of one committee chair who is a voting member of the WAI Advisory Committee, two regional representatives, and two regional alternates from each of the five WAI regions. The committees are as follows:

Business, Education, and Labor (BEL): Promotes and recognizes partnerships between business, education, and the labor force for WAI programs at the local, regional, and state levels.

Family Transition Network (FTN): Provides transition information, training, and resources to parents, students, and families to assist the student through the process of transition to quality adult life.

Government Relations Committee (GRC): Researches and disseminates information related to legislative process and policy at the federal, state, and local levels as it relates to the WAI program.

Human Support Services (HSS): Researches and disseminates information regarding interagency support for key stakeholders in the WAI program at the state, regional, and local levels.

Mentor: Provides and facilitates mentor trainings within a local region. Offers support, collaborates with regional teams, assists grantees who have conditions placed on their grant, and provides responses to frequently asked questions.

State and Regional Training (SRT): Facilitates quality professional development and training opportunities to all key stakeholders of the WAI program.

Technology, Education, Communication (TEC): Provides technical support to key CDE stakeholders related to the statewide WAI data collection system. Assists with research and review of WAI website content.

Wage, Labor, and Safety (WLS): Provides information, resources, training, and support to key stakeholders regarding wage, labor, and safety.

7.0 State Laws and Regulations Pertaining to the WorkAbility I Grant

EC 56026– “Individuals with exceptional needs” means those persons who satisfy all the following:

- (a) Identified by an individualized education program team as a child with a disability, as that phrase is defined in Section 1401(3)(A) of Title 20 of the United States Code.
- (b) Their impairment, as described by subdivision (a), requires instruction and services which cannot be provided with modification of the regular school program in order to ensure that the individual is provided a free appropriate public education pursuant to Section 1401(9) of Title 20 of the United States Code.
- (c) Come within one of the following age categories:
 - (1) Younger than three years of age and identified by the local educational agency as requiring intensive special education and services, as defined by the board.
 - (2) Between the ages of three to five years, inclusive, and identified by the local educational agency pursuant to Section 56441.1.
 - (3) Between the ages of five and 18 years, inclusive.
 - (4) Between the ages of 19 and 21 years, inclusive; enrolled in or eligible for a program under this part or other special education program prior to his or her 19th birthday; and has not yet completed his or her prescribed course of study or who has not met proficiency standards or has not graduated from high school with a regular high school diploma.
 - (A) Any person who becomes 22 years of age during the months of January to June, inclusive, while participating in a program under this part may continue his or her participation in the program for the remainder of the current fiscal year, including any extended school year program for individuals with exceptional needs established pursuant to Section 3043 of Title 5 of the California Code of Regulations and Section 300.106 of Title 34 of the Code of Federal Regulations.
 - (B) Any person otherwise eligible to participate in a program under this part shall not be allowed to begin a new fiscal year in a program if he or she becomes 22 years of age in July, August, or September of that new fiscal year. However, if a person is in a year-round school program and is completing his or her individualized education program in a term that extends into the new fiscal year, then the person may complete that term.

- (C) Any person who becomes 22 years of age during the months of October, November, or December while participating in a program under this act shall be terminated from the program on December 31 of the current fiscal year, unless the person would otherwise complete his or her individualized education program at the end of the current fiscal year.
- (D) No local educational agency may develop an individualized education program that extends these eligibility dates, and in no event may a pupil be required or allowed to attend school under the provisions of this part beyond these eligibility dates solely on the basis that the individual has not met his or her goals or objectives.

EC 56470—Project WorkAbility Legislative Findings and Declarations

56470. The Legislature finds and declares all of the following:

- (a) That an essential component of transition services developed and supported by the State Department of Education is project WorkAbility.
- (b) That the WorkAbility program provides instruction and experiences that reinforce core curriculum concepts and skills leading to gainful employment.
- (c) That since project WorkAbility was established by the State Department of Education in 1981, substantial numbers of individuals with exceptional needs have obtained full- or part-time employment.
- (d) That project WorkAbility is a true partnership established at the state level through nonfinancial interagency agreements between the State Department of Education, the Department of Employment Development, and the Department of Rehabilitation, and has elevated awareness in the private sector of the employment potential of individuals with exceptional needs, and focuses its efforts in developing careers for these youth, and preventing needless economic and social dependency on state and community agencies and resources.
- (e) That local education agencies in California establish linkage between agencies, eliminate duplication of effort, and develop precedent-setting employment training practices which should be preserved and advanced to better assure future productive employable citizens.

EC 56471—Project WorkAbility Administration; Advisory Committee; Funding and Evaluation; Applications

- (a) The program *shall be administered by the State Department of Education.*

- (b) The department shall establish an advisory committee. This committee will include representatives from local WorkAbility projects to ensure ongoing communications.
- (c) The superintendent shall develop criteria for awarding grants, funding, and evaluating WorkAbility projects.
- (d) WorkAbility project applications shall include, but are not limited to, the following elements: (1) recruitment, (2) assessment, (3) counseling, (4) preemployment skills training, (5) vocational training, (6) student wages for try-out employment, (7) placement in unsubsidized employment, (8) other assistance with transition to a quality adult life, and (9) utilization of an interdisciplinary advisory committee to enhance project goals.

EC 56472–Population Served by WorkAbility Projects

The population served by WorkAbility projects may include secondary students with disabilities, adults with disabilities and other individuals who experience barriers to successful completion of school.

EC 56473–Project WorkAbility Funding

Project WorkAbility shall be funded pursuant to Item 6100-161-0001 of Section 2.00 of the annual Budget Act.

EC 56474–State Superintendent of Public Instruction Shall Seek Additional Funding

The superintendent shall continue to seek additional state and federal funding for project WorkAbility.

EC 56026.3–Local Education Agency

“Local educational agency” means a school district, a county office of education, a nonprofit charter school participating as a member of a special education local plan area, or a special education local plan area.

8.0 Definition of Terms

Administrative Costs

Although definitions of administrative costs vary from program to program, the California WAI program shall define administrative costs in alignment to the definition of administrative costs in Procedure 915 of the CSAM.

Per California School Accounting Manual:

Any costs, indirect or direct, that are administrative in nature and support the management of a program. Costs of program administration may encompass both direct (e.g., salaries of program administrators, costs of program monitoring and preparing program plans, and the purchasing of program specific equipment and supplies) and indirect costs.

Direct Costs

For WAI Grantees, direct costs are those costs that can be identified with a particular instructional program or support service necessary to maintain the program, whereas indirect costs are more global in nature. See CSAM Procedure 915-1. Further, direct costs are those costs that (1) are charged to a program at the time of the expenditure or that (2) are distributed from Goal 0000 to the program on the basis of specific documentation such as time sheets or work orders. See CSAM 910-1.

Indirect Costs

WAI Grantees must limit administrative indirect costs to the rate approved by the CDE for the applicable fiscal year in which the funds are spent. For a listing of indirect cost rates visit the CDE Indirect Cost Rates web page at <https://www.cde.ca.gov/fg/ac/ic/>.

Grant Funding Application

The grant funding application is part of the End of Year Package. This application allows WAI grantees to reapply for the grant as well as indicate how many students they propose to serve and place in work experience opportunities. This application also documents the WAI grantee's performance in relation to the number of students funded to place versus the actual number of students placed. This application also includes the contact information for the WAI grantee. WAI grantees are to submit their Grant Funding Application via WAI database: <https://caworkability.org/>.

Initial Grant Budget

The Initial Grant Budget is part of the End of Year Package. The WAI grantee develops the Initial Grant Budget to articulate the projected expenses for the following fiscal year by account code and detailed by line items. WAI grantees are to submit their initial grant budget via WAI database: <https://caworkability.org/>.

Annual Program Requirements Report

The Annual Program Requirements Report is part of the End of Year Package. This report is an evaluation of the WAI grantee's performance in meeting the California *Education Code EC* requirements for the grant. This report is reviewed and scored by the assigned CDE consultant. A WAI grantee must attain a score of "Basic/Developing" on the Annual Program Requirements Report: a score of no less than nine for high Schools and no less than seven for middle schools. Should a grantee fail to attain a score of "Basic/Developing" on the Annual Program Requirements Report, they may have conditions placed on their grant the following fiscal year. WAI grantees are to submit their Annual Program Requirements Report via WAI database:

<https://caworkability.org/>.

Grant Award Notification

Applicants selected for funding will receive a GAN (CDE form AO-400), the official CDE document that awards funds to local projects. Additionally, a copy of the grant assurances is included with the GAN along with the WAI expenditure report. Each grantee must sign with wet ink signature and return the notification to the CDE via postal mail and received by the CDE before disbursement of funds can be made.

Assurances, Certifications, Terms, and Conditions

Assurances, certifications, terms, and conditions are requirements of applicants and grantees as a condition of receiving funds. The signed grant application submitted to the CDE is a commitment to comply with the assurances, certifications, terms, and conditions associated with the grant.

Expenditure Report(s)

Expenditure Reports document actual expenses charged to the WAI grant within two periods during the current fiscal year. There are two Expenditure Reports – the Interim Expenditure Report and the Final Expenditure Report:

- The Interim Expenditure Report is for reporting actual expenditures from July 1, through December 31 of the current fiscal year of the award period. If reported interim expenditures are less than the initial grant payment, the scheduled interim payment will be reduced proportionately. The grantee must submit an Interim Expenditure Report to the CDE no later than February 27 of the current fiscal year.
- The Final Expenditure Report is for reporting actual expenditures from January 1, through June 30 of the current fiscal year of the award period. The grantee must submit to the CDE a Final Expenditure Report no later than August 10. Upon receipt of the Final Expenditure Report, up to 100 percent of the grant total will be reimbursed. Failure to submit the Final Expenditure Report prior to the next year's state grant award issuance may affect the timely release of next year's first payment for the grant.

Both Expenditure Reports utilize the same dual-use form, which is provided with the GAN in hard copy and is available in electronic PDF version upon request. Each Expenditure Report is submitted to the WAI inbox at: WorkAbility1@cde.ca.gov, and must be signed by the authorized designee with either an electronic or wet ink signature.

Budget Revision

A Budget Revision is an official change to the approved Final Budget and while not always required, may be necessary for various reasons, including but not limited to personnel changes and requests to purchase items that are not in the approved Final Budget. Grantees are allowed one Budget Revision per fiscal year, which opens in April 1 of the current fiscal year. WAI grantees need to maintain accurate fiscal record for monitoring expenditures when considering utilizing a Budget Revision (See section 2.5 for budget Revision policy). A signed copy of the Budget Revision (by the designated signature per the GAN), needs to be sent to the CDE (see GAN for mailing information). Budget Revisions are to be submitted via WAI the database: <https://caworkability.org/>.

Annual Program Report

The Annual Program Report provides the CDE with WAI grantee information on the current FY, including:

- the counties, LEAs, and schools served
- the number of students funded to serve versus actual number of students served
- the percentage of students funded to place versus actual number of student placements
- justifications for on-campus placements

The Annual Program Report is a part of the End of Year Package and is to be submitted via the WAI database: <https://caworkability.org/>. (See section 1.0 for due dates.)

Follow-up Data Report

The Follow-Up Data Report documents attempts from the grantee to inquire about employment or educational status of students who were formerly enrolled in the WAI program, one year after exiting special education. The report also provides information related to the IDEA Part B Indicator 14 – Post School Outcomes. The Follow-Up Data Report is a part of the End of Year Package and to be submitted via the WAI database: <https://caworkability.org/>. (See section 1.0 for due dates.)

Student Baseline Data Report

The Student Baseline Data Report is the verification of the submittal of student baseline data that are populated within the statewide reports for the fiscal year for which the data

was submitted. It is a part of the End of Year Package and is to be submitted via the WAI database: <https://caworkability.org/>. (See section 1.0 for due dates.)

Actual Expenditure Report

The WAI grantee must complete this report to reflect actual grant expenditures across account codes at the end of the FY year compared to the grantee's Final Budget and or Budget Revision (when applicable). This report is developed and submitted via the WAI database: <https://caworkability.org/>. The Actual Expenditure Report is cross checked against the grantee's Final Expenditure Report by the assigned CDE consultant to verify the accuracy of expenditures and to approve final payment at the end of the FY. The expenditures documented in the Actual Expenditure Report and Final Expenditure Report must align plus or minus \$1.00 for approval.

Grantee

For the purpose of the WAI grant, the term grantee may include a local educational agency as defined in *EC* Section 56026.3, a nonpublic school as defined in *EC* Section 56034, or the California Schools for the Deaf or Blind.

Local Partnership Agreement

WAI grantees are required to enter into a Local Partnership Agreement with core partners which include LEAs, Department of Rehabilitation districts, and regional centers to work together to streamline service delivery, engage their communities, and increase competitive integrated employment opportunities for individuals with intellectual disabilities and developmental disabilities.

Nonpublic, Nonsectarian Schools

Nonpublic, nonsectarian schools (NPS) are specialized private schools that provide services to public school students with disabilities. *EC* Section 56034 defines an NPS as a private, nonsectarian school that enrolls individuals with exceptional needs pursuant to an individualized education program. The tuition of a student in an NPS is paid by the public LEA that places the student in the NPS based on the student's individual needs. Unlike other private schools, each NPS is certified by the CDE. WAI grantees who are an NPS must submit a Drug-Free Workplace Certification annually to the CDE per the conditions of the grant award.

Regional Business Meeting

Each of the five WAI regions shall hold at least two business meetings per FY. Regional meetings provide professional development in secondary transition, best practices, and WAI specific grant administration training for WAI projects within each region. Regional meetings will be held in compliance with emergency safety guidelines consistent with the geographical region. WAI regional managers will work with their region to determine whether the regional meetings will be held in-person, virtually, or hybrid format.

Regional Designee

There are five WAI regional designees. The regional designee is the WAI project that is responsible for coordinating the required regional business meetings annually for their region. The regional designee's WAI project is responsible for monitoring the use of WAI grant funds for the purpose of conducting regional meetings consistent with the fiscal requirements denoted within this Handbook. Regional designees will work with their Regional Managers to determine the format in which their regional meetings will be conducted.

WorkAbility I Database

The WAI program has an extensive database that allows for case management, program, and fiscal reporting and monitoring, and is located at: <https://caworkability.org/>. The WAI database has state, regional, and local-level user access that allows for the submission of various fiscal and program reports throughout the school year. The reports submitted by local level users through the WAI database verify the delivery of the WAI Array of Services and are reviewed and evaluated by state level users to ensure the conditions of the grant have been met within the FY. For a complete list of WAI reports to be submitted via the WAI database see section: 1.0 of this Handbook. The database has individualized user guides for state, regional, and local level users located within the "Help/FAQ" link at the top of the home page once a user has logged in.

9.0 Conditions to the WorkAbility I Grant Award

WorkAbility I Conditions Matrix

Conditions	Score Description
Submission of Student Baseline and Follow Along Data	<p>A grantee will not have met the conditions of the grant when:</p> <p>The grantee fails to report student baseline and follow along data by due date.</p>
Submission of Follow-up Data	<p>A grantee will not have met the conditions of the grant when:</p> <p>The grantee fails to report student follow-up data by due date.</p>
Timely Submission of Required Paperwork	<p>A grantee will not have met the conditions of the grant when:</p> <p>The grantee fails to submit the required paperwork by the prescribed timeframe(s) as articulated in this Handbook and GAN form AO-400.</p>
Timely Submission of Program Reports	<p>A grantee will not have met the conditions of the grant when:</p> <p>The grantee fails to submit the required reports by the prescribed timeframe(s) as articulated in this Handbook, section 1.0, and on the WAI database located at: https://caworkability.org/.</p> <p>Failure to submit required reports may delay the CDE's ability to route the WAI grant package for approval and distribution of funds.</p>

Conditions	Score Description
<p>Grant Funding Application</p>	<p><i>The Grant Funding Application is required for the WAI grantee to receive the grant the following fiscal year.</i></p> <p>A grant will not be renewed when a grantee fails to complete the Grant Funding Application and:</p> <ul style="list-style-type: none"> ● does not respond to the CDE when the CDE has attempted to contact the grantee to provide technical assistance regarding the grant renewal process as articulated in section 9.3 of this handbook; ● the grantee articulates that it no longer wishes to participate in the WAI program; or ● the grantee is no longer in operation.

Conditions	Score Description
Budget Expenditure Guidelines	<p>A grantee will not have met the conditions of the grant when:</p> <ul style="list-style-type: none"> ● a grantee inaccurately bills the WAI grant for staff time performing non-WAI activities. ● a grantee fails to expend all grant funds within a designated fiscal year. ● a grantee expends grant funds on unallowed operating expenses. ● a grantee purchases items that are not in their approved budget; no Budget Revision has been submitted or approved by the CDE. ● a grantee has billed the WAI grant without providing any of the WAI Array of Services.
Annual Program Requirements Report	<p>A grantee will not have met the conditions of the grant when:</p> <ul style="list-style-type: none"> ● WAI grantee's score on the Annual Program Requirement Report is below Basic/Developing.
Annual Program Report	<p>A grantee will not have met the conditions of the grant when:</p> <ul style="list-style-type: none"> ● a grantee has failed to serve all students for which they are funded to serve; or ● A grantee has failed to place at least 15 percent of the students for which the grantee was funded to serve.

9.1 Conditions Placed on Grantee

A WAI grantee will be notified by the CDE in writing, identifying the areas for which the grantee failed to adhere to the conditions of the grant with the issuance of their GAN for the next fiscal year. The conditions letter will be signed by the Education Administrator from the Programs and Partnerships Unit of the CDE, SED, and sent to the WAI grantee. A copy of this notification will be sent to the WAI grantee's Superintendent (See Appendix C for Conditions Letter).

As a result of conditions placed on the WAI grant award, the grantee will be required to submit a two-year action plan (Action Plan), no later than 30 days from the date they received their GAN, detailing how they will address the area(s) for which they were placed on conditions. This action plan will be reviewed by the assigned CDE consultant, and the grantee will be notified if the Action Plan has been accepted (See Appendix D for Conditions Action Plan).

The assigned CDE consultant will monitor the grantee(s) progress on addressing this issue by:

- Conducting, at minimum, one technical assistance virtual meeting with the grantee to address the area(s) of noncompliance.
- Requiring the grantee to attend the CDE Fiscal and Program Handbook Update training.
- Verifying that the grantee met with their assigned regional mentor quarterly for guidance on the implementation of the Action Plan.

Depending on the condition(s), the assigned CDE consultant will monitor the grantee periodically throughout the following fiscal year and provide technical assistance in the following areas:

- Timely Submission of Required Paperwork:
 - Submission of Student Baseline and Follow Along Data
 - Submission of Follow-up Data
 - Actual Expenditure Report
 - Budget Revision
 - Initial Grant Budget/Final Budget
 - Grant Funding Application
 - Annual Program Requirements Report
 - Annual Program Report
- Timely submission of Required Paperwork
 - GAN (AO-400)
 - Interim Expenditure Report
 - Final Expenditure Report
- Allowable expenditures
- Including student wages within grant budget per 30 *EC* 56471

- Utilizing all WAI funds within the reporting fiscal year

After the CDE consultant has reviewed all materials and supporting documentation provided by the WAI grantee consistent with their Action Plan, the CDE consultant will track the WAI grantee's progress in addressing the conditions placed on their grant on the WAI master list (see Appendix D for WAI Action Plan Template).

The CDE consultants will then meet with the CDE Education Administrator to review the WAI grantee's Action Plan and supporting documentation. The WAI grantee's Action Plan needs to clearly articulate the necessary actions to remedy the conditions placed on the grant, who will be taking those actions, when those actions. When the Action Plan is accepted by the CDE, the assigned CDE consultant will notify the WAI grantee to move forward with lifting the conditions on the grant. The CDE Education Administrator will be included within this correspondence.

Once all conditions have been remedied, the CDE consultant will remove the conditions from the grant. Additionally, the assigned CDE consultant will notify the WAI grantee and their Superintendent in writing that there are no longer any conditions placed on their grant. This letter will be signed by the CDE Education Administrator.

Should the grantee fail to address **all** areas for which they were placed on conditions within the two-year period designated in their Action Plan, the WAI grantee's grant award may be reduced or revoked.

Note: should it be determined by the CDE that a WAI grantee knowingly and intentionally redirects grant funds to support non-WAI staff time to perform non-WAI activities and/or supplant other categorical funding to adhere to activities the LEA is already mandated to provide (e.g., IDEA), the WAI grant may be **reduced the following fiscal year, or not renewed**.

9.2 Process for Notifying WorkAbility I Grantee of Ongoing Monitoring

The assigned CDE consultant will initiate contact with the WAI grantee's Grant Contact and detail the area(s) for which the WAI grantee is not in compliance with the conditions of the grant. This communication will also provide a timeframe of 10 business days for which the WAI grantee is required to respond to discuss the matter with the assigned CDE consultant. When the WAI grantee staff are able to coordinate a technical assistance meeting between the CDE and the WAI grantee, it is expected that the assigned CDE consultant provide an overview of the administration of the WAI grant and targeted technical assistance for the specified areas of noncompliance.

9.3 When Grantees Fail to Respond to Notification of Noncompliance and Ongoing Monitoring Process

Step 1: The assigned CDE consultant shall, at a minimum, make two attempts via phone and email to contact the WAI grantee and relay the information articulated in Section 9.2. The assigned CDE consultant shall document all attempts to contact the WAI grantee on the Program Partnership Unit timeline template.

Step 2: Should the WAI grantee not respond the CDE consultant within 10 business days, the consultant shall send an email (as defined in Section 9.2) to the LEA Site Administrator responsible for the WAI grant staff and include all previous attempts to contact the WAI grantee's Grant Contact. The assigned CDE Education Administrator will be included in this email.

Step 3: If after following steps 1 and 2, and the CDE Consultant has not received a response from the WAI grantee within 10 business days from initiating Step 2, the CDE Consultant shall send an email to the Superintendent of the LEA (or administrator of the non-LEA grantee) who is responsible for the WAI grant that includes:

- an attached Notice of Noncompliance Letter that details the area(s) of non-compliance with the conditions of the WAI grant
- instructions to resolve the area(s) of non-compliance
- documentation of all previous attempts to contact the WAI grant staff
- a five-business day timeframe to respond
- carbon copies (cc) to the assigned CDE Education Administrator, WAI Advisory Chair, WAI Region Managers, WAI Mentor Chair, and Director of Special Education

Step 4: If after completing steps 1–3, and the Superintendent or Chief Administrator who oversees the WAI grant has not responded within the allocated time frame, the CDE consultant will work with the assigned CDE Education Administrator to have the CDE Director of Special Education issue to the WAI grantee an updated Notice of Noncompliance Letter electronically and via certified mail with a cc to the State Superintendent of Public Instruction. When applicable, the revised Notice of Noncompliance will also convey the actions to be taken against the LEA's WAI grant award.

Appendix A

Fiscal Year 2020–21 Program Guidance Letter

<https://www.cde.ca.gov/sp/se/lr/om031721.asp>

Fiscal Year 2020–21 WorkAbility I Regional Account Guidance Letter

<https://www.cde.ca.gov/sp/se/lr/om040521.asp>

Fiscal Year 2020–21 WorkAbility I Regional Meeting and Bank Account Guidance Letter

<https://www.cde.ca.gov/sp/se/lr/om060121.asp>

WorkAbility I Database Local Level User Guide 2021

User must be logged in to access document.

<https://caWorkAbility.org/Help/GetLocalGuide>

WorkAbility I Database Regional Level User Guide 2021

User must be logged in the WAI database to access document.

<https://caWorkAbility.org/Help/GetRegionGuide>

WorkAbility I 2021–22 Program Guidance Letter

<https://www.cde.ca.gov/sp/se/lr/om032322.asp>

Appendix B: California School Accounting Manual Budget Categories

Each budget category is described below.

Object Code	Description
1000	<p>Certificated Salaries</p> <p>Certificated salaries are salaries that require a credential or permit issued by the Commission on Teacher Credentialing. List all certificated project employees, including percentage or fraction of FTE and rate of pay per day, month, and/or annual salary. Note: Funds in this category are not intended to supplant current fixed costs.</p>
2000	<p>Classified Salaries</p> <p>Classified salaries are salaries for services that do not require a credential or permit issued by the Commission on Teacher Credentialing. List all classified WAI grantee's employees, including percentage of FTE, and rate of pay per day, month, and/or year. Student wages should be included in this object code. Note: Funds in this category are not intended to supplant current fixed costs.</p>
3000	<p>Employee Benefits</p> <p>Record employer's contributions to retirement plans and health and welfare benefits. List and include the percentage and dollar amount for each employee benefit being claimed.</p>
4000	<p>Books and Supplies</p> <p>Record expenditures for books, supplies, and other non-capitalized property/equipment (movable personal property of a relatively permanent nature that has an estimated useful life greater than one year and an acquisition cost less than the LEA capitalization threshold but greater than the LEA's inventory threshold). This category includes expenditures for books and supplies (e.g., textbooks, other books, instructional materials). This category also includes supplies used in support services and auxiliary programs, publications, and subscriptions necessary to operate a project office. A listing of all equipment, including the serial and model numbers, purchased with any portion of these grant funds, must be recorded and maintained in the file.</p>

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 Appendix B: California School Accounting Manual Budget Categories

Object Code	Description
<p>5000</p>	<p>Services and Other Operating Expenditures</p> <p>Record expenditures for services, rentals, leases, maintenance contracts, dues, travel, insurance, utilities, legal, and other operating expenditures.</p> <p>Travel and Conference: Include expenditures incurred by and/or for employees and other representatives of the LEA for travel and conferences, including lodging, mileage, parking, bridge tolls, shuttles, taxis, and conference registration expenses necessary to meet the objectives of the program. Receipts are required to be kept on file by your agency for audit purposes. Bus transportation for students should be listed here.</p> <p>Contracting Services: Services provided to the school by outside contractors appear under this category. Identify what, when, and where the services(s) will be provided. Appropriate activities include conducting workshops, training, and technical assistance activities.</p> <p>Curricula or Other Online Learning Resources:</p> <p>Licenses purchased by schools to access curricula and secondary transition content created by outside vendors appear under this category. Identify why the curricula or online resource was selected, the cost of the product, and how the curricula or online resource aligns with the WAI Array of Services.</p>
<p>7000</p>	<p>Indirect if applicable (not to exceed CDE approved rate). Indirect costs are not assessed on expenditures for capital outlay. For a listing of indirect cost rates visit the CDE Indirect Cost Rates web page at https://www.cde.ca.gov/fg/ac/ic/.</p>

Appendix C: Workability I Sample Conditions Letter



CALIFORNIA DEPARTMENT OF EDUCATION

TONY THURMOND
STATE SUPERINTENDENT OF
PUBLIC INSTRUCTION

1430 N STREET, SACRAMENTO, CA 95814-5901 • 916-319-0800 • WWW.CDE.CA.GOV

Date

[Name], Superintendent
[Name], Special Education Director
[Name], WorkAbility I Grant Contact
[Local Education Agency Name]

[Address]

Dear [Insert Name(s) Listed Above]:

Subject: WorkAbility I Grant [Fiscal Year] Letter of Noncompliance

The California Department of Education (CDE) is providing a Letter of Noncompliance to [Local Education Agency Name] as notice that its WorkAbility I (WAI) grant will be placed on conditions for [Fiscal Year] and is at-risk of a grant reduction or grant termination.

The Letter of Noncompliance is a result of the following areas:

[Insert Conditions Not Met by Grantee with Timeframe and Specific Examples]

Conditional Grant Status and Corrective Actions

Per the [Fiscal Year] Grant Award Notification (GAN) and Legal Assurances, each grantee is responsible for complying with all grant terms, applications requirements for the budget, and policies, including deadlines for fiscal documents as outlined in the GAN. Failure to comply with the fiscal and programmatic policies for this grant award may lead to a grant reduction or termination.

As a result of the aforementioned noncompliance, [Local Education Agency Name], will be placed on conditional grant status, will go through corrective actions for [Fiscal Year], and is at risk of losing the WAI grant.

The grantee will be provided technical assistance from the assigned CDE consultant, the grantee's Regional Manager and Regional Mentor to complete this process. The

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Appendix C: Workability I Sample Conditions Letter

Grant Contact must contact the WAI Regional Manager, set a date to discuss the above area of noncompliance, and create a Plan of Action to remedy the noncompliance, which is to be submitted to:

[Consultant Name], Education Programs Consultant
Programs and Partnerships Unit
California Department of Education
1430 N Street, Suite 2401
Sacramento, CA 95814

The plan must be received by the CDE by [Date].

Once the WAI grantee has successfully addressed the areas of noncompliance, the WAI Grantee shall submit WAI Action Plan Summary Report to the CDE to the address listed above to fully resolve the matter.

If you have any questions, please contact [Consultant Name], by phone at [Phone Number], or by email at [Email Address].

Sincerely,

/s/

[Insert Name Here], Director
Special Education Division

NW:hc

cc: [Name], Regional Manager
[Name], Regional Manager
[Name], Mentoring Representative
Joanna Della Gatta, WAI State Advisory Chairperson
Noelia Hernández, Administrator

Appendix D: WorkAbility I Action Plan

Project Name and Number

Conditions Placed on Grant

Next Steps Summary

Date Started

Date Completed

Step(s) and Action(s) REQUIRED	Person(s) Responsible	Resources Needed	Timeline Start and End Date	Measurement of Success	Approved by the California Department of Education

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Appendix D: WorkAbility I Action Plan

I hereby certify that I will complete the steps identified in this WorkAbility I (WAI) Action Plan to ensure that WAI staff within my local education agency (LEA) (or non-LEA grantee) ensure that this project meets all required conditions of the WAI grant. These corrective actions will start and be remedied by the dates indicated on page one of this form. Once these corrections have been made, I will provide the California Department of Education (CDE) and my LEA's (or non-LEA grantee's) Special Education Director a corrective action summary report identifying how the remedies implemented by the WAI staff ensure compliance with the WAI grant conditions.

Project Contact Name

Project Contact Signature

Date Received by CDE

Date Approved by the CDE

Appendix E: WorkAbility I Action Summary Report

Project Name and Number

Conditions Placed on Grant

In the box above the WorkAbility I grantee will indicate the specific corrective action(s) completed. WorkAbility I grantees shall provide specific examples within the action summary and indicate when the corrections were made. The WorkAbility I grantee may attach additional documentation to demonstrate compliance with grant conditions.

Project Contact Name

Project Contact Signature

Local Educational Agency

Special Education Director Name

Special Education Director Signature

Date Received by CDE

Date Approved by the CDE