

A thick black L-shaped frame surrounds the text. The top horizontal bar is on the left, the left vertical bar is on the left, and the bottom horizontal bar is on the right.

FISCAL AGENT ROLE AND PROCESS FOR SWP

Presented by: Sarah Santoyo and Janeth Manjarrez
for LAOCRC 2/16/17

- **Roles and Responsibility**

- **Regional Share Fiscal Agent**

- The fiscal agent has no authority over decisions on the use of funding, rather the fiscal agent role is to dispense, monitor and audit sub-grants once spending decisions have been authorized by the CTE Regional Consortia as stipulated in Strong Workforce legislation. The district designated as the fiscal agent shall perform the following roles and responsibilities:

- - **Provide a single-point of contact to act as an embedded member of the CTE Regional Consortium (RC) Team to account for financial operation and control associated with the Regional Share.**

- - Review sub-awardee applications for compliance with grant terms and requirements. Work with sub-awardees to resolve issues that arise.
 - Review sub-award application budgets to ensure that expenditures are allowable under the grant terms and conditions, are properly classified, and that the calculations are correct. Work with sub-awardees to resolve any issues that arise.
 - Develop policies, procedures, systems and timelines for disbursement of funds.
 - Determine the documentation required to ensure funds are properly accounted for
 - Develop systems to track each of the contracts/grants and their status that can be shared with the RCs, the CCCCCO grant monitors, and sub-awardees.
 - Develop sub-award agreements with each of the sub-awardees that incorporate the contracting requirements of the CCCCCO and the Fiscal Agent.
 - Provide information, guidelines and technical assistance to sub-awardees.
 - Manage the flow of funds to sub-awardees by receiving, reviewing and approving claims for funds and ensure that proper documentation has been received to verify that what was requested conforms to what was approved when discrepancies occur.
 - Issue payments and verify that payments have been received.
 - Fulfill reporting requirements by receiving and monitoring quarterly reports and final reports from the sub-awardees.
 - Follow-up on missing or incorrect reports. Work with sub-awardees to resolve issues.
 - Consolidate reports and report up to the RC/CCCCO as required and upon request.
 - Conduct sub-recipient monitoring and audits, in accordance with grant requirements and OMB Uniform Guidelines.
 - Field questions on allowable expenditures in accordance with any CCCCCO guidance
 - Review sub-awardees' requests for approval of contracts and sub-agreements, prior to forwarding requests to CCCCCO for final approval. Provide guidance and direction to the colleges to ensure compliance and facilitate CCCCCO review and approval, as needed.
 - Collaborate with RCs to standardize Strong Workforce related fiscal related and reporting processes, procedures and to develop recommendations and responses to CCCCCO.

SWP Regional Funds Fiscal Agent Timeline

Month	Process	Notes
January	LA/ OC Regional Plans Due	January 31 st was the deadline- Plans are public and available at the LAOCRC website.
February	Fiscal Agent technical review for LA/OC Plans RSCCD Board approves LA Master Agreement and OC Master Agreement.	Fiscal Agent reviews criteria, sectors, partners, LMI and measurable outcomes to ensure compliance to work with the funding terms.
March	Submittal of revised LA/OC Regional Plans, due to modifications identified through technical review. Los Angeles Master Agreement signed by the Los Angeles College Districts. Orange County Master Agreement signed by Orange County College Districts Participation Agreements developed based on the revised LA/OC Regional Plans.	Time for revision if applicable
April	Participation Agreements released to the colleges for authorization signatures. Colleges can submit invoices for Q1-Q3, as the Chancellor's Office set 7/1/16 as the start date for the use of funds.	Given CTE EF, which ended 12/31/16, and annual VTEA funds, colleges may have not sizeable expenditures to claim for Regional SWP work for Q1-Q3.
May	Approve Participation Agreement in place for all LA and OC Projects.	

Technical Review Criteria for Year 1.

- Sectors: If the project is aligned with the approved sectors by CO and RC.
- Criteria: If the project has a purpose with an outcome(s) related to the SWP 25 recommendations.
- Funds: How much money is being invested and why.
- Partners: More than one college needs to be involved in the project.
- LMI: Must include LMI data
- Measurable Outcomes: Metrics of performance one based on year 1 due to the roll-out and disbursement of funds.
- Roll-out plan for next year (Year 2): An implementation plan for year 2 and to have a end goal to successfully complete by year 3.

SWP Regional Project Lead Role

- Not to duplicate the SWP Regional Funds Fiscal Agent's role.
- There is no indirect funds for the Project Leads, but you can write a project director or manager into the budget and have the participated colleges agree to it.
- Project Lead duties: **(Open to additional suggestions before March 15, 2017)**
 - *Implement a project-based structure for project completion.*
 - *Convene and schedule meetings for project coordination and next steps*
 - *Initiate and assist partner college for project completion*
 - *Gather data/narrative for Fiscal Agent*
 - *Keep track on Project budget*
 - *Support partner colleges*
 - *Keep records of performance outcomes*
 - *Assist Fiscal Agent in ensuring compliance of grant and participation agreement terms*
 - *Communicate with RC Directors and Fiscal Agent about project progress*
 - *Perform other duties to secure project success and completion*

Master Agreement Topic on Conversation

- Q&A between SWP Regional Fund Fiscal Agent and LAOCRC.

Participation Agreement topic of discussion

- Q&A between SWP Regional Funds Fiscal Agent and LAOCRC

If you have additional questions or concerns, please e-mail me at Manjarrez_Janeth@rsccd.edu or call me at (714) 480-7471.

Thank you!