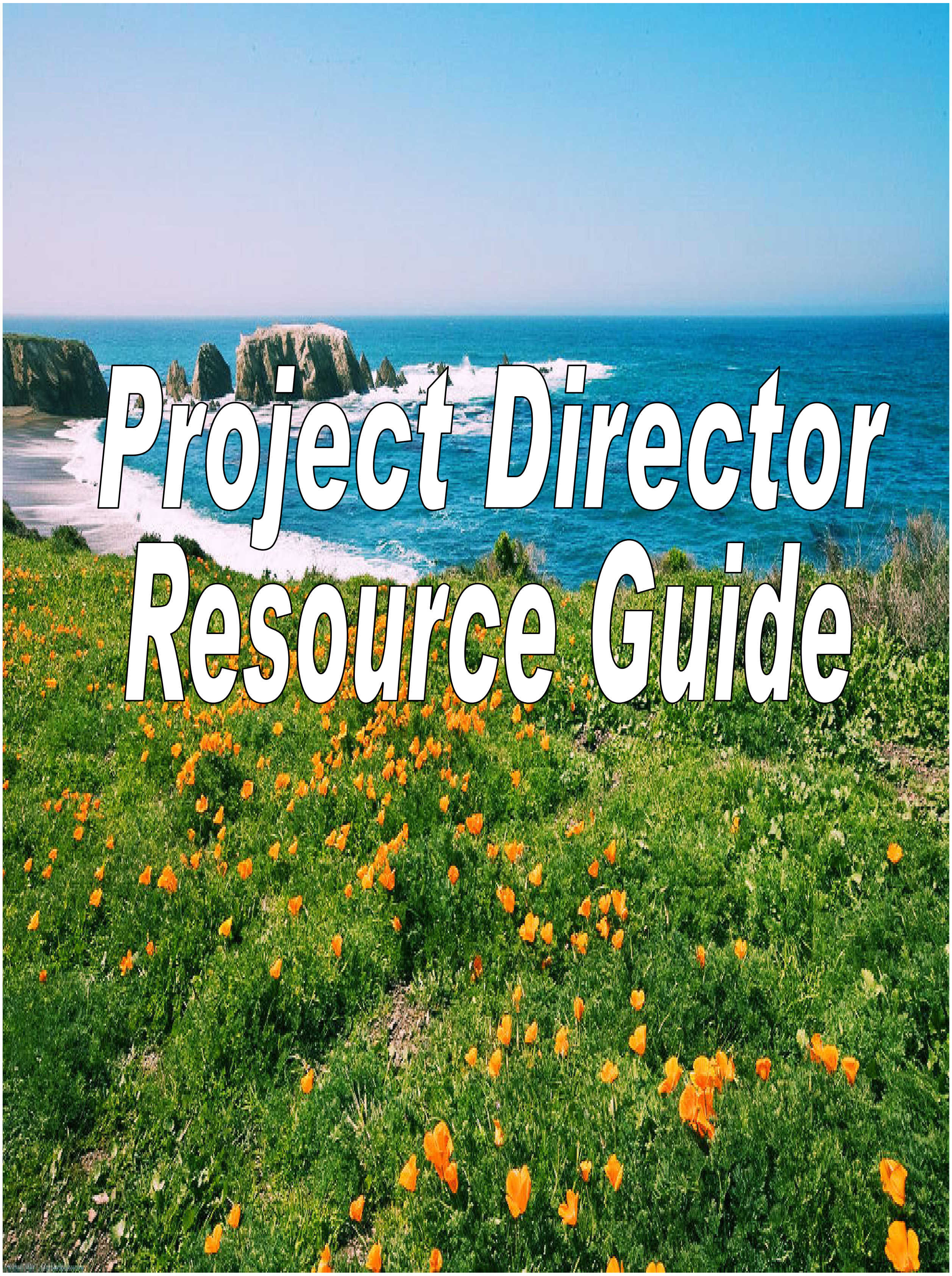
Project Director Resource Guide



October 2012

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Introduction

This resource guide provides an overview of the State Water Resources Control Board's (State Water Board) Division of Financial Assistance (DFA) grant agreement process. It is intended for use by the grantee's Project Director and administrative staff responsible for managing their project. This manual includes essential elements of an effective grant management process to properly administer your grant and to properly record, control and monitor funds received through our programs. Appropriate staff should review the topics addressed in this manual and keep the manual handy for reference. This manual does not supersede or take the place of any provisions of your grant agreement.

Grants administered by the State Water Board are funds made available and used for a public purpose. As such, the policies and procedures contained in this manual have been developed to ensure that you understand your obligations as a grantee and to prevent you from operating in a manner which could adversely affect the public's confidence in your project.

DFA staff wants you and your project to be successful. This manual is one tool to assist you in reaching that goal. Please contact your designated Grant Manager or Program Analyst if you have any questions.

<u>Special Federal Conditions:</u>
Grants of federal funds through the 319(h) Program are governed by this manual and any appropriate federal laws, rules and regulations which supersede this manual. In some cases there are additional conditions from the federal government on the 319(h) funds. As applicable, those conditions will be passed on to the recipients of those funds.

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Roles

The key players in the grant process work together as a team to facilitate the smooth execution of the grant agreement, ensure project goals and timelines are met, and reimbursements are processed in a timely manner. The key players are:

- Project Director (PD) – An employee designated by the grantee to be responsible for the overall management of the administrative and technical aspects of the grant agreement, and ultimately responsible for adhering to the terms of the grant agreement, keeping the project on track, and submitting deliverables in a timely manner.

- Grant Contact – An employee of the grantee that the PD may delegate to oversee the day-to-day activities of the grant project.

- Grant Manager (GM) – A person designated by the State Water Board or Regional Water Board to manage performance of the grant agreement and approve project costs.

- Program Analyst (PA) – A person designated by the State Water Board who is responsible for the administrative and invoice processes of the grant agreement.

- Office of Chief Counsel – The State Water Board's Office of Chief Counsel reviews each grant to verify that the requirements of the Legislation, Program Guidelines, and the law are included.

Role of the Project Director (PD)

The Project Director (PD) must be an employee of the grantee, and is responsible for adhering to the terms of the grant agreement, keeping the project on track, submitting deliverables in a timely manner, and the overall management of the administrative and technical aspects of the grant agreement. The GM and PA must be notified in writing if there is a change of PD.

During the course of the grant process, the State Water Board will provide various forms and/or templates for the PD to complete and sign. These documents must be signed by the PD unless a delegation of signature authority is received from the PD delegating a designated individual to sign a specific document. This delegation should only be used when the PD is on vacation or not available to sign a document.

The PD may delegate work to the Grant Contact for the day-to-day activities of the grant project; however, the Grant Contact is not allowed to sign documents on behalf of the PD unless a delegation of signature authority is received from the PD. The Grant Contact's name is noted in the agreement. Should the Grant Contact change after the agreement is executed, the PD must provide written notification to the GM and PA, designating someone else for this role.

Role of the Grant Manager (GM)

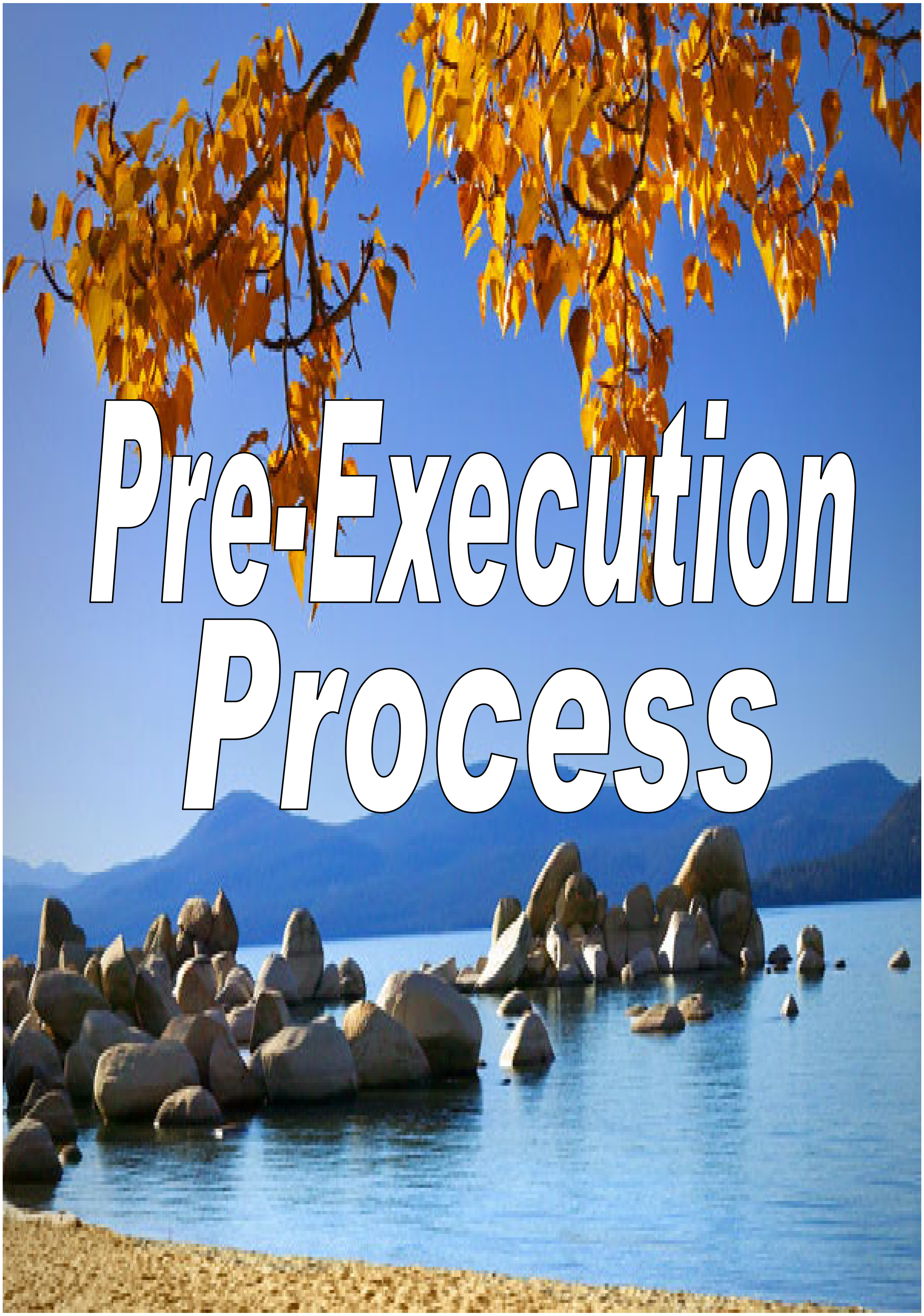
The Grant Manager (GM) is to:

- ✓ Provide technical oversight to ensure the project meets the requirements of the Program Guidelines and is implemented in accordance with the grant agreement.
- ✓ Follow up on any actions in a timely manner.
- ✓ Maintain the State Water Board's technical auditable file.

Role of the Program Analyst (PA)

The Program Analyst (PA) is to:

- ✓ Provide administrative oversight to ensure that projects meet administrative requirements.
- ✓ Process invoices in a timely manner.
- ✓ Maintain the State Water Board's administrative auditable file.


Pre-Execution
Process

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Pre Execution

The steps required for the execution process from post award through final execution of the grant agreement are outlined in a flow chart at the end of this section.

Post Award

- You will receive an introductory email from the PA, sending the link to the PD Resource Guide, requesting a copy of the IRS nonprofit status letter (if applicable), and attaching the following:

  - ✓ Project Director Certification form. The purpose of this form is to designate an employee of the grantee responsible for the overall management of the administrative and technical aspects of the grant agreement. This form also lists the names of any designees authorized to sign invoices/progress reports, and a California Secretary of State verification, certifying the grantee has an active status. A sample of this form is at the end of this section.

  - ✓ Sample Budget Summary and Detail Forms. Samples of these forms are at the end of this section.

  - ✓ Sample Resolution. The sample organization Resolution contains the minimum information required to enter into an agreement with the State Water Board. The Resolution cannot be self-certified and the Ayes and Noes must be noted. A sample of this form is at the end of this section.

  - ✓ Payee Data Record (STD 204). This form is for State Water Board accounting purposes and is required for ALL grantees. A sample of this form is at the end of this section.

- Nonprofit agencies must submit proof of the organization's tax-exempt status under section 501(c)(3), 501(c)(4), or 501(c)(5) of the Internal Revenue Code.

- If your organization is a tribe, documentation of federal recognition must be submitted to the PA.

- The PD must sign all required forms and return to the PA as instructed.

- The PD must obtain a Resolution from the grantee's board allowing the organization to enter into a grant agreement with the State Water Board, using the sample Resolution with the minimum information required. The grant agreement cannot be executed without a valid Resolution.

Negotiating the Grant Agreement

The grant agreement is a legal document that outlines the conditions the grantee must meet to receive funding for a project. Much of the grant agreement is standardized language with items that relate specifically to a project. Sections of the grant agreement include:

- ✓ Face/Cover Sheet – Funding information, purpose of the project, start date, grant term, grant officials with contact information, and approval signature blocks.

- ✓ Exhibit A. Scope of Work – Work to be Performed by the Grantee
  - Standard language and project-specific work to be performed

- ✓ Exhibit B. Invoicing, Budget Detail and Reporting Provisions
  - Project specific and non-negotiable standard language

- ✓ Exhibit C. General Terms & Conditions
  - Non-negotiable standard terms and conditions

- ✓ Exhibit D. Special Conditions
  - Legislative requirements specific to a particular funding source

- The PD must be involved in the negotiation process or submit to the PA and GM a written letter of delegation for someone to act on his or her behalf during negotiations. This does not excuse the PD of his or her administrative and technical responsibilities during the term of the grant agreement.

- Some helpful tools during the negotiation process are:

  - ✓ Project Director Negotiation Log. This form is provided for your convenience to track the grant negotiation and execution process. A sample of this form is at the end of this section.

  - ✓ Scope of Work Information and Supporting Documentation. See section starting on page 15.

- Upon receipt of the draft grant agreement from the PA, the PD compares the draft scope of work with the project proposal in FAAST to determine if it reflects the project as proposed. Use the strikeout and underline tracking feature in Microsoft Word to make any comments/revisions on the draft grant agreement, and forward to the GM and PA.

  - ✓ The scope should be clear enough for someone not otherwise knowledgeable of the project to understand what is being done, as well as how, where, and when.

  - ✓ Add specifics as to how many, how often, etc., using minimum standards where appropriate, e.g., “a minimum of three workshops will be given” or “15 volunteers will be recruited.”

- ✓ Work to be performed and Table of Items for Review should be specific enough to avoid misunderstandings and allow the GM to determine whether a task has been adequately completed for payment of an invoice.

- Once negotiated changes are made, the PD will receive a revised draft grant agreement from the PA, via email, for review.

- The PD will participate in a three-way conference call with the GM and PA to finalize the draft grant agreement.

- Any revisions made to the grant agreement during the conference call will be made by the PA, and the final draft grant agreement will be sent via email to the PD and GM for review and approval.

Scope of Work Information and Supporting Documentation

Depending on the proposed scope of work, the following are examples of work items that may be proposed or required, the information that should be included in the scope of work, and the supporting documentation the State Water Board may require you to submit.

- Public Meetings

  - ✓ The scope of work should include:
    - The number of meetings and how often
    - How the meeting(s) will be advertised (newspaper, magazine article, etc.)
    - Audience, stakeholders, target groups, etc.
    - Agendas
    - Supporting materials that will be developed
    - Meeting minutes

  - ✓ State Water Board may require any of the following as supporting documentation:
    - Meeting announcements (flyers, news releases, emails, etc.)
    - Stakeholder mailing lists
    - Pamphlets or brochures
    - Agendas
    - Attendance list
    - Meeting minutes

- Technical Advisory Committees (TACs)

  - ✓ The scope of work should include:
    - How the members will be solicited
    - The roles and responsibilities of committee members
    - The number of meetings and how often

  - ✓ State Water Board may require any of the following as supporting documentation:
    - Solicitation letters, notices, etc.
    - List of committee members

- Description of roles and responsibilities
- Meeting minutes, agendas, sign-in sheets

- Public Outreach

  - ✓ The scope of work should include:
    - The development and distribution of announcements
    - Identification of the audience
    - How outreach will be conducted (workshops, citizen monitoring, etc.)
    - The type of materials that will be developed (brochures, questionnaires, etc.)

  - ✓ State Water Board may require any of the following as supporting documentation:
    - Meeting announcements (flyers, news releases, emails, etc.)
    - Materials developed (brochures, questionnaires, etc.)

- Workshops/Tours

  - ✓ The scope of work should include:
    - The number of workshops/tours and how often
    - How the workshops/tours will be advertised (newspaper, magazine article, etc.)
    - Audience, stakeholders, target groups, etc.
    - Supporting materials that will be developed

  - ✓ State Water Board may require any of the following as supporting documentation:
    - Announcements (flyers, news releases, emails, etc.)
    - Stakeholder mailing lists
    - Agendas and handouts
    - Copies of signed land owner agreements

- Design Plans and Specifications

  - ✓ The scope of work should include:
    - Plans, specifications and/or maps
    - Draft designs to be reviewed by the GM prior to review by other groups
    - Submit draft designs and specifications to permitting agencies for approval
    - A notice to proceed with construction for the GM's approval

  - ✓ State Water Board may require any of the following as supporting documentation:
    - Draft design plans and specifications
    - Approved design plans and specifications
    - Copies of signed landowner agreements
    - Notice to proceed

- Construction

  - ✓ The scope of work should include:
    - Clear description of what will be constructed
    - Design plan
    - Development of "As-Built" drawings at the end of construction

- Photo documentation before the project begins, during the project, and after the project is completed. Guidelines for photo documentation can be found on the State Water Board web site at http://www.waterboards.ca.gov/water_issues/programs/swamp/docs/cwt/guidance/4214.pdf

✓ State Water Board may require any of the following as supporting documentation:
  - Design plans
  - "As-Built" drawings
  - Photo documentation

3-Way Conference Call

A three-way conference call will be held between the PA, GM, and PA to discuss any final revisions to the draft grant agreement.

- The PD must be present for the conference call. If the PD wants to delegate the negotiation authority to another grantee employee, a signed delegation must be received prior to the call.

- The conference call will be kept to one hour.

- Clarification will be made on strikeout/underline questions/comments. If the PD and GM want to discuss any technical issues, they will do so after the PA is off the phone.

- A start date will be established, and confirmation of the Work Completed By date and Items for Review dates.

Receipt of Final Grant Agreement and Grant Execution

- Have the person designated in your Resolution sign and date, in **BLUE INK**, four (4) one-sided copies of the signature page (page 2) of the agreement.

- Return four (4) signed one-sided copies of the signature page (page 2) to the address provided in the cover letter attached to the email from the DFA Administrative Assistant. Overnight mailing will speed up the process.

- Once the grant agreement is fully executed, an email is sent notifying the PD and GM, and a hard copy of the executed agreement is sent to the PD via mail.

Note: Any work done on the project prior to the date the agreement is fully executed is at the grant recipient's risk. Work can be performed using match dollars for some programs, according to the terms of the appropriate Program Guidelines.

Execution Process

Program Analyst (PA) contacts Grantee with initial instructions. PD Resource Guide sent and Admin forms and budget are requested.

↓

PA and Grant Manager (GM) develop draft SOW from FAAST app.

↓

PA forwards draft agreement to Project Director (PD) for approval and clarification of any issues.

↓

PA coordinates PD's responses with GM and develops final draft agreement and sends to PD and GM for final approval.

↓

3-way Teleconference is held between PD, GM, and PA to address any remaining questions from the PD.

↓

PA finalizes agreement and routes internally for approvals. (Legal Counsel, Fiscal Unit, Upper Management, etc.)

↓

Agreement emailed to PD for signature. A signed Resolution is required prior to execution.

↓

Once signature pages are returned, PA routes for State Water Board's Execution.

↓

Fully executed agreement sent to Grantee with Invoice Template, Invoice Summary Table and Progress Report Template.

Project Director Certification

Grantee: ____________________

Project Name: ____________________

Project Director: ____________________

Project Identification No. (PIN): __________ Grant Agreement No.: __________

Program: Proposition 13 ☐ 40 ☐ 50 ☐ 84 ☐ 319(h) ☐

As the assigned Project Director for this Project, I certify:

☐ I am a paid employee of the Grantee; and

- ☐ I am not acting as a subcontractor on the Project.

☐ I understand the Program requirements and responsibilities of the Project Director.

☐ I am a volunteer of the Grantee and:

- ☐ I am a member of the Grantee's organization; and
- ☐ I will derive no personal monetary gain or other benefit; and
- ☐ I am not acting as a subcontractor or performing work on the Project.

Invoice/Grant Progress Report Signature Authorization (The designee(s) must be employed by the Grantee.)

☐ I will review and sign invoices authorizing reimbursement for this Project and/or Grant Progress Reports that accompany invoices.

☐ The following individual(s) are also authorized to sign invoices/Grant Progress Reports for this Project:

Designee's Name: ____________________

Designee's Name: ____________________

Secretary of State Verification (Excludes county, city, and state agencies.)

☐ I certify the Grantee has an active status with the California Secretary of State.
Entity Number ____________________

☐ N/A.

Please sign, date, and return to the Program Analyst.

____________________ Signature

____________________ Date

Prop 84 STORM WATER GRANT PROGRAM - BUDGET SUMMARY

Applicant: **FAAST PIN:**

Project:

	Requested Grant	Local Match	Other Funding	Total	% Local Match
1. Direct Project Administration Costs	**$0**	**$0**	**$0**	**$0**	**0%**
				$0	
				$0	
				$0	
2. Planning/Design/Engineering/ Environmental	**$0**	**$0**	**$0**	**$0**	**0%**
				$0	
				$0	
				$0	
3. Equipment	**$0**	**$0**	**$0**	**$0**	**0%**
				$0	
				$0	
				$0	
4. Construction/Implementation	**$0**	**$0**	**$0**	**$0**	**0%**
				$0	
				$0	
				$0	
5. Monitoring/Performance	**$0**	**$0**	**$0**	**$0**	**0%**
				$0	
				$0	
				$0	
6 Education/Outreach	**$0**	**$0**	**$0**	**$0**	**0%**
				$0	
				$0	
				$0	
				$0	
Grand Total:	**$0**	**$0**	**$0**	**$0**	**0%**

Other Funding Sources:

Note: CHECK YOUR NUMBERS! Do NOT assume this Excel spreadsheet is correct. Please refer to the READ ME tab.

Does the Budget Summary Total match the Budget Details Total? **YES**

Itemized Task Budget

Prop 84 STORM WATER GRANT PROGRAM - BUDGET DETAIL

Applicant: **FAAST PIN:**

Project:

Budget Category	Percent of Cost	Discipline/ Consultant/ Description	Labor Costs			Consulting/ Materials/ Equipment				TOTALS
			Rate	# of Hours	Total Labor	Unit Cost	Units	# of Units	Total Cost	
1. Direct Project Administration Costs	**0.0%**									**$0**
					$0				$0	$0
					$0				$0	$0
					$0				$0	$0
2. Planning/ Design/ Engineering/ Environmental	**0.0%**									**$0**
					$0				$0	$0
					$0				$0	$0
					$0				$0	$0
3. Equipment	**0.0%**									**$0**
					$0				$0	$0
					$0				$0	$0
					$0				$0	$0
4. Construction/ Implementation	**0.0%**									**$0**
					$0				$0	$0
					$0				$0	$0
					$0				$0	$0
5. Monitoring/ Performance	**0.0%**									**$0**
					$0				$0	$0
					$0				$0	$0
					$0				$0	$0
6. Education/ Outreach	**0.0%**				$0				$0	**$0**
					$0				$0	$0
					$0				$0	$0
					$0				$0	$0
Grand Total:	**0%**									**$0**

Note: CHECK YOUR NUMBERS! Do NOT assume this Excel spreadsheet is correct. Please refer to the READ ME tab.

Does the Budget Summary Total match the Budget Details Total? **YES**

Sample Resolution

RESOLUTION NO. ____

(date)

BOARD OF DIRECTORS
(organization)

A RESOLUTION AUTHORIZING ENTERING INTO AN AGREEMENT WITH THE STATE OF CALIFORNIA AND DESIGNATING A REPRESENTATIVE TO SIGN THE AGREEMENT, AND ANY AMENDMENTS THERETO, FOR THE (project title) PROJECT

Whereas, the Board authorizes (organization) to enter into an Agreement with the State of California; and

Whereas, the Board authorizes ____________ (title, no name), or designee, to sign the Agreement, and any amendments thereto; and

Now, therefore, be it resolved, that the (organization) Board of Directors hereby adopts Resolution (#) on (date).

CERTIFICATION

I hereby certify that the foregoing Resolution (#) was duly and regularly adopted by the Board of Directors of the (organization) at the meeting thereof held on the (____) day of (_________), 20XX, motion by (member name) and seconded by (member name), motion passed by the following roll call vote:

Ayes:
Noes:
Abstained:
Absent:

Attest:______________________

name
title

Payee Data Record

[Electronic version available from Program Analyst.]

STATE OF CALIFORNIA, DEPARTMENT OF FINANCE
PAYEE DATA RECORD
(Required when receiving payment from the State of California in lieu of IRS W-9)
STD. 204 (Rev. 6-2003)

1	**INSTRUCTIONS:** Complete all information on this form. Sign, date, and return to the State agency (department/office) address shown at the bottom of this page. Prompt return of this fully completed form will prevent delays when processing payments. Information provided in this form will be used by State agencies to prepare Information Returns (1099). See reverse side for more information and Privacy Statement. **NOTE:** Governmental entities, federal, State, and local (including school districts), are not required to submit this form.
2	PAYEE'S LEGAL BUSINESS NAME (Type or Print) SOLE PROPRIETOR – ENTER NAME AS SHOWN ON SSN (Last, First, M.I.) — E-MAIL ADDRESS MAILING ADDRESS — BUSINESS ADDRESS CITY, STATE, ZIP CODE — CITY, STATE, ZIP CODE
3 PAYEE ENTITY TYPE CHECK ONE BOX ONLY	ENTER FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN): ☐☐ - ☐☐☐☐☐☐☐ ☐ PARTNERSHIP ☐ ESTATE OR TRUST CORPORATION: ☐ MEDICAL (e.g., dentistry, psychotherapy, chiropractic, etc.) ☐ LEGAL (e.g., attorney services) ☐ EXEMPT (nonprofit) ☐ ALL OTHERS ☐ INDIVIDUAL OR SOLE PROPRIETOR ENTER SOCIAL SECURITY NUMBER: ☐☐☐ - ☐☐ - ☐☐☐☐ (SSN required by authority of California Revenue and Tax Code Section 18646) **NOTE:** Payment will not be processed without an accompanying taxpayer I.D. number.
4 PAYEE RESIDENCY STATUS	☐ California resident - Qualified to do business in California or maintains a permanent place of business in California. ☐ California nonresident (see reverse side) - Payments to nonresidents for services may be subject to State income tax withholding. ☐ No services performed in California. ☐ Copy of Franchise Tax Board waiver of State withholding attached.
5	**I hereby certify under penalty of perjury that the information provided on this document is true and correct. Should my residency status change, I will promptly notify the State agency below.** AUTHORIZED PAYEE REPRESENTATIVE'S NAME (Type or Print) — TITLE SIGNATURE — DATE — TELEPHONE ( )
6	**Please return completed form to:** **Department/Office:** State Water Resources Control Board - Division of Financial Assistance **Unit/Section:** Grant and Contracts Administration Section **Mailing Address:** 1001 I Street, 16th Floor **City/State/Zip:** Sacramento, CA 95814 **Telephone:** (916) **Fax:** (916) 341-5296 **E-mail Address:**

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Payee Data Record Instructions

[Electronic version available from Program Analyst.]

STATE OF CALIFORNIA DEPARTMENT OF FINANCE
PAYEE DATA RECORD
STD. 204 (Rev. 6-2003) (REVERSE)

1	**Requirement to Complete Payee Data Record, STD. 204** A completed Payee Data Record, STD. 204, is required for payments to all non governmental entities and will be kept on file at each State agency. Since each State agency with which you do business must have a separate STD. 204 on file, it is possible for a payee to receive this form from various State agencies. Payees who do not wish to complete the STD. 204 may elect to not do business with the State. If the payee does not complete the STD. 204 and the required payee data is not otherwise provided, payment may be reduced for federal backup withholding and nonresident State income tax withholding. Amounts reported on Information Returns (1099) are in accordance with the Internal Revenue Code and the California Revenue and Taxation Code.
2	Enter the payee's legal business name. Sole proprietorships must also include the owner's full name. An individual must list his/her full name. The mailing address should be the address at which the payee chooses to receive correspondence. Do not enter payment address or lock box information here.
3	Check the box that corresponds to the payee business type. Check only one box. Corporations must check the box that identifies the type of corporation. The State of California requires that all parties entering into business transactions that may lead to payment(s) from the State provide their Taxpayer Identification Number (TIN). The TIN is required by the California Revenue and Taxation Code Section 18646 to facilitate tax compliance enforcement activities and the preparation of Form 1099 and other information returns as required by the Internal Revenue Code Section 6109(a). The TIN for individuals and sole proprietorships is the Social Security Number (SSN). Only partnerships, estates, trusts, and corporations will enter their Federal Employer Identification Number (FEIN).
4	**Are you a California resident or nonresident?** A corporation will be defined as a "resident" if it has a permanent place of business in California or is qualified through the Secretary of State to do business in California. A partnership is considered a resident partnership if it has a permanent place of business in California. An estate is a resident if the decedent was a California resident at time of death. A trust is a resident if at least one trustee is a California resident. For individuals and sole proprietors, the term "resident" includes every individual who is in California for other than a temporary or transitory purpose and any individual domiciled in California who is absent for a temporary or transitory purpose. Generally, an individual who comes to California for a purpose that will extend over a long or indefinite period will be considered a resident. However, an individual who comes to perform a particular contract of short duration will be considered a nonresident. Payments to all nonresidents may be subject to withholding. Nonresident payees performing services in California or receiving rent, lease, or royalty payments from property (real or personal) located in California will have 7% of their total payments withheld for State income taxes. However, no withholding is required if total payments to the payee are $1,500 or less for the calendar year. For information on Nonresident Withholding, contact the Franchise Tax Board at the numbers listed below: Withholding Services and Compliance Section: 1-888-792-4900 E-mail address: wscs.gen@ftb.ca.gov For hearing impaired with TDD, call: 1-800-822-6268 Website: www.ftb.ca.gov
5	Provide the name, title, signature, and telephone number of the individual completing this form. Provide the date the form was completed.
6	This section must be completed by the State agency requesting the STD. 204.
	Privacy Statement Section 7(b) of the Privacy Act of 1974 (Public Law 93-579) requires that any federal, State, or local governmental agency, which requests an individual to disclose their social security account number, shall inform that individual whether that disclosure is mandatory or voluntary, by which statutory or other authority such number is solicited, and what uses will be made of it. It is mandatory to furnish the information requested. Federal law requires that payment for which the requested information is not provided is subject to federal backup withholding and State law imposes noncompliance penalties of up to $20,000. You have the right to access records containing your personal information, such as your SSN. To exercise that right, please contact the business services unit or the accounts payable unit of the State agency(ies) with which you transact that business. All questions should be referred to the requesting State agency listed on the bottom front of this form.

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Project Director Negotiation Log

GM Grant Manager	**PA** Program Analyst	**PD** Project Director

	Date
Sent all required forms to PA.	______________
Received draft grant agreement.	______________
Comments made to draft grant using "track changes" and returned to GM.	______________
2-way conference call between PD and GM to discuss comments or questions. **(Optional)**	______________
Received draft with joint comments from the GM.	______________
3-way conference call held with the GM and PA. • All questions/comments are answered/addressed. • Start date is agreed upon.	______________
Submitted final draft grant to GM.	______________
Ensures project is on Board agenda to review final agreement and obtain Resolution (when applicable).	______________
Notified that GM reviewed the final draft and sent to PA.	______________
Received grant agreements for signature from PA.	______________
Returned signed grant agreements to PA.	______________
Received copy of executed grant agreement from PA.	______________
Received the Progress Report template from PA.	______________
Received invoice template from PA.	______________

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Budgets

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Line Item Budget

- A Line Item Budget is prepared based on the proposed budget in the application and the blank budget templates forwarded by the PA in the welcome email. See the Budget Summary on page 20 and the Budget Detail on page 21 for further reference.

- If the grantee purchases any single piece of equipment that costs more than $5,000, written justification for the purchase must be submitted, on grantee letterhead, to the State Water Board, and an explanation for equipment use once the project is completed. This letter must be submitted to the GM, for approval, and a copy to the PA.

- The PA inserts the Line Item Budget into the draft grant agreement after it has been agreed upon between the PD and the GM.

Contracting or Subcontracting Out Project Work

Part of the scope of work in the executed agreement between the State Water Board and the grantee may include work on the project that is contracted or subcontracted out.

- The grantee must follow their organization's adopted resolution or policy for the competitive bidding, sole source, and contract award process.

- Subcontractors must also adhere to their organization's written policy for the competitive bidding, sole source, and contract award process.

- State agencies must comply with the Department of General Services (DGS) Contract Manual.

- If an organization does not have a written policy to award contracts through a competitive bidding or sole source process, the DGS Contract Manual rules must be followed.

- DGS State Contracting Manual – Vol. 1 is available on-line at http://www.ols.dgs.ca.gov/ols/Resources/StateContractManual.aspx. Chapter 2, section 2.04, contains an overview of the State contracting process and describes issues such as bidding method process, competitive solicitation process, award process, and inclusion of process to facilitate measurement of achievement and measurement of contractor performance. Section 2.05 lists the elements of a valid contract.

- The following conditions in the grant agreement between the State Water Board and the grantee pertain to contracts and subcontracts:

  ✓ The grantee and any contractor and/or subcontractor must comply with Exhibit C, General Terms and Conditions, of the State Water Board grant agreement.

- ✓ Any contract and/or subcontract are between the grantee and the contractor. The State and Regional Water Board Grant Managers may review contracts or subcontracts. The grantee must maintain documentation on the selection and award of contracts and subcontracts for their auditable file.

- ✓ The grantee may not use a contractor or subcontractor that is on the federal excluded list of contractors. This information can be found at www.epls.gov.

- Subcontractors must follow the conditions in the grant agreement as well as the following:

  - ✓ Cannot charge for overhead, indirect, or markups using grant or match funds.

  - ✓ Must adhere to the State travel per diem rates set by the California Department of Human Resources. These rates may be found under the Travel Reimbursements link at http://www.calhr.ca.gov/employees/Pages/travel-reimbursements.aspx.

  - ✓ Must adhere to the timeline of the grant agreement, including submitting invoices in a timely manner with sufficient supporting documentation.


CEQA/NEPA

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California Environmental Quality Act (CEQA)

All grants funded by the State Water Board are considered projects under CEQA and compliance is mandatory. The CEQA regulations require that the Responsible Agency (State Water Board) develop its own independent CEQA findings based on the environmental documents submitted by the grantee or Lead Agency for each project. Work on the project cannot begin until the State Water Board has reviewed the CEQA documentation submitted by the grant recipient and given environmental clearance.

There are many web sites to obtain information about CEQA. The State Water Board compiled a list of Frequently Asked Questions about CEQA that can be found on the State Water Board web site at http://www.waterboards.ca.gov/water_issues/programs/grants_loans/grant_info/index.shtml#ceqa.

For projects that are categorically or statutorily exempt from CEQA, the Lead Agency should file a Notice of Exemption (NOE) with the County Clerk and the State Clearinghouse. The grantee should complete and submit the NOE Concurrence Form for State Water Board Grants along with a copy of the NOE to the GM. The GM will forward the documentation to the State Water Board for concurrence.

Note: Work on a project cannot begin until the State Water Board has reviewed the CEQA documentation submitted by the Grantee and given environmental clearance.

National Environmental Policy Act (NEPA)

If the project is located on federal land and/or was funded using federal funds [Clean Water Act 319(h)], the grant recipient must comply with both the National Environmental Policy Act (NEPA) and CEQA regulations.

Note: Proceeding with work subject to CEQA and/or NEPA without environmental clearance by the State Water Board shall constitute a breach of a material provision of the grant agreement.

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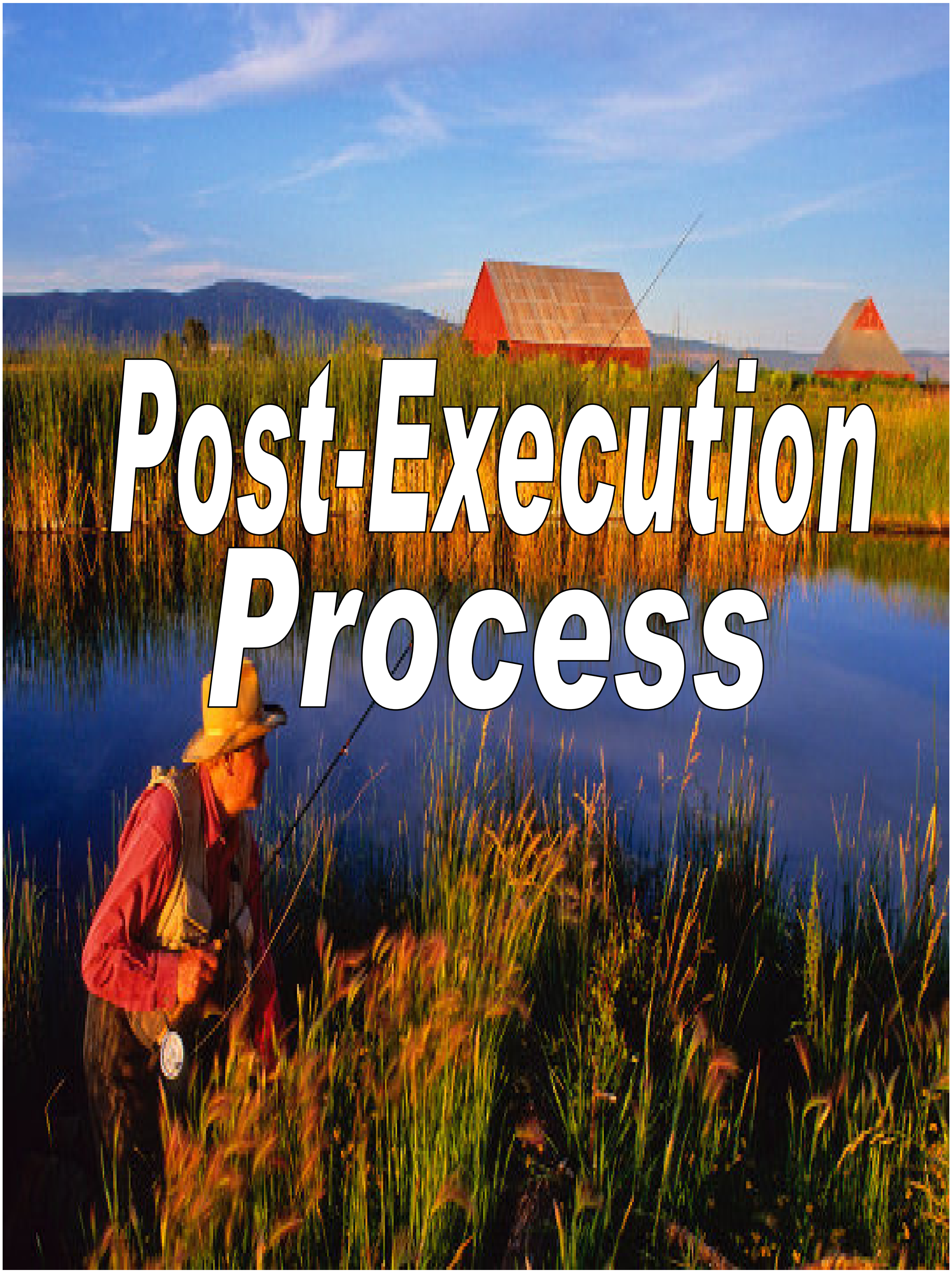
Post-Execution Process



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Expectations of the PD After Grant Agreement Execution

- Keep the project on track per the timelines for deliverables as set forth in the Table of Items for Review.

- Establish and maintain financial management controls and accounting procedures to track grant and match funds that have been used, in conformance with applicable laws, rules, regulations, and State Water Board policy

- Notify the GM if a line item adjustment is needed.

- Keep the lines of communication open and notify the GM of any delays or other issues that may arise. If a time extension is necessary due to unforeseen delays or other mitigating factors that cause the project to fall behind schedule and prevent completion by the originally scheduled date. The PD should discuss the need for a time extension with the GM as soon as it becomes apparent there are delays. **The request must be submitted no later than six months prior to the end of the agreement period.**

- Prepare and submit to the GM a quarterly/monthly invoice using the invoice template provided by the PA. Supporting documentation for all invoiced amounts, as well as reported match, must accompany each invoice. **Please note, invoice templates may not be changed by anyone other than the PA. Template changes may result in an Invoice Dispute and delay the invoice processing.**

- Prepare and submit to the GM a quarterly/monthly progress report that must accompany each invoice. See the Progress Report section on page 67 for more information.

- Submit all plans, progress reports, invoices, annual progress summaries, and any other required documents in a timely manner and in the required format to the GM.

- For **Clean Water Act § 319(h) grants**, compliance with the Minority and Women-Owned Business Enterprise (MBE/WBE) Participation Requirements is required. The PD must prepare and submit quarterly MBE/WBE forms to the GM. All § 319(h) grantees must comply with MBE/WBE requirements; no one is exempt. The MBE/WBE form and instructions can be found at: http://www.epa.gov/osbp/pdfs/5700_52a.pdf.

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Budget Adjustments

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Budget Line Item Adjustment

An adjustment to a grant agreement's budget is requested by the PD and processed when there is a change to the budget in the executed agreement. Per the Budget Line Item Flexibility clause in the grant agreement, adjustments may be made between existing line items up to 15% of the total grant amount (excluding match). The 15% is cumulative (including any adjustments made in prior amendments) and not per adjustment. **Any adjustments exceeding 15% require a formal amendment.**

- The PD requests an electronic copy of the budget from the PA.
- The PD completes and submits the following to the GM for approval:
  - ✓ A detailed justification letter requesting an adjustment.
  - ✓ The proposed changes to the budget, using the strikeout and underline tracking feature in Microsoft Word.
- The GM approves or denies the adjustment in writing (email or letter), and forwards to the PD and PA. If the adjustment is approved, the GM includes the effective date for the adjustment.
- The PA reviews the request to verify the adjustment does not exceed the 15% limitation and does not include a deleted or new line item.
- After a budget adjustment is approved, the PA sends the PD a new invoice template with the adjusted figures.
- Deleting a line item in the budget or adding a new line item will require a formal amendment.

Note: Line item amounts can only be changed on the invoice template by the PA, and prior approval of the adjustment must be received from the GM, with an effective date, along with a copy of the written justification for the adjustment, before an invoice is processed.

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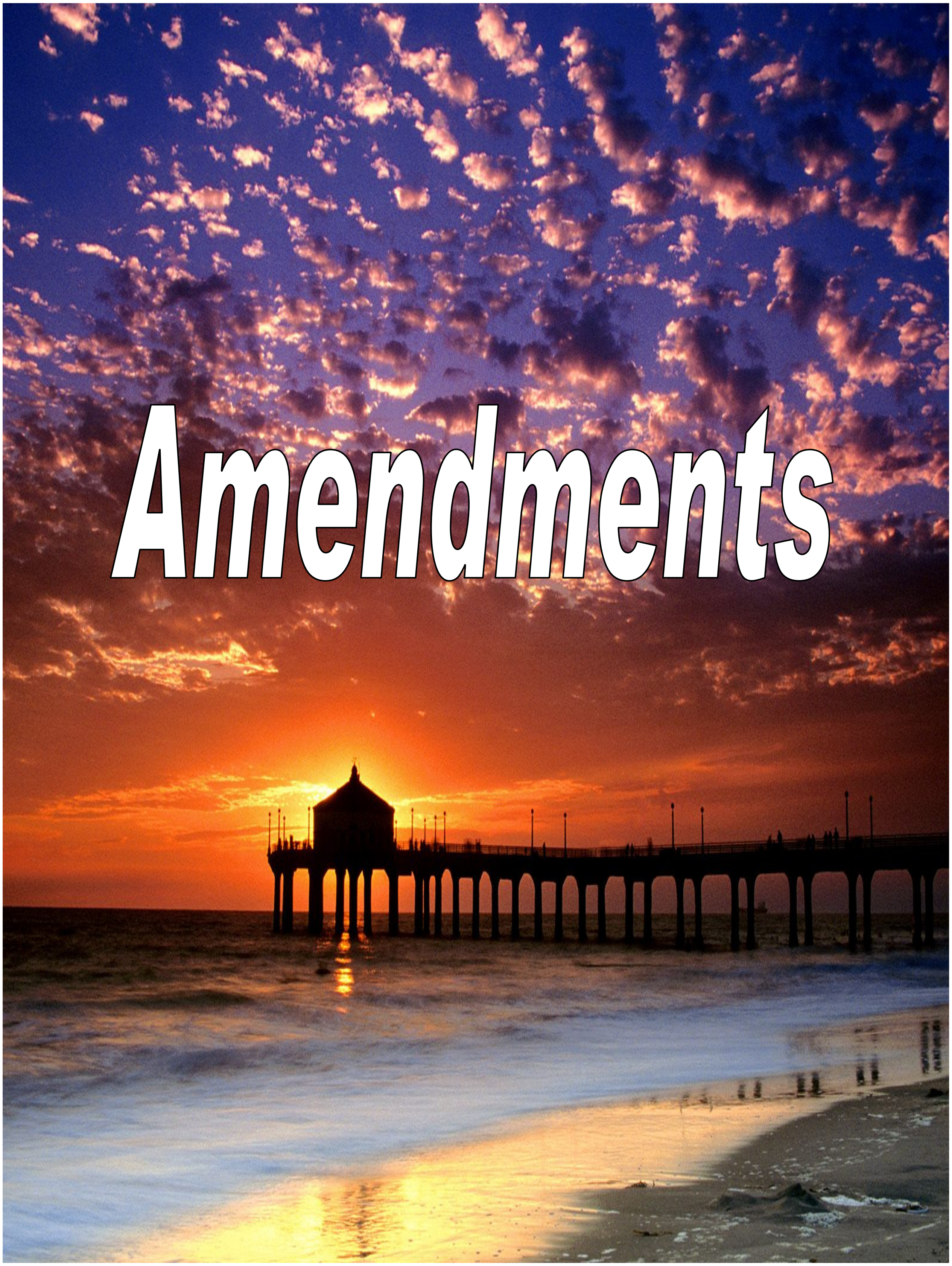
Amendments

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Types of Amendments

The following will require a formal amendment.

- Changes to the Line Item Budget.

  ✓ Changes in excess of the 15% allowed per the Budget Line Item Flexibility clause in the grant agreement.

  ✓ The addition of a line item, e.g., Equipment.

  ✓ The deletion of a line item.

- Changes to dates in the Table of Items for Review in the grant agreement.

- Time Extension.

  ✓ A time extension may be necessary due to unforeseen delays or other mitigating factors that cause the project to fall behind schedule and prevent completion by the originally scheduled date. See the Time Extension section for more details.

- Deviations.

  ✓ Any deviation from the scope of work proposed in the application. See the Deviations section for more details.

  ✓ Any deviation from the scope of work outlined in the executed grant agreement. See the Deviations section for more details.

- Any changes in laws, rules, and/or regulations.

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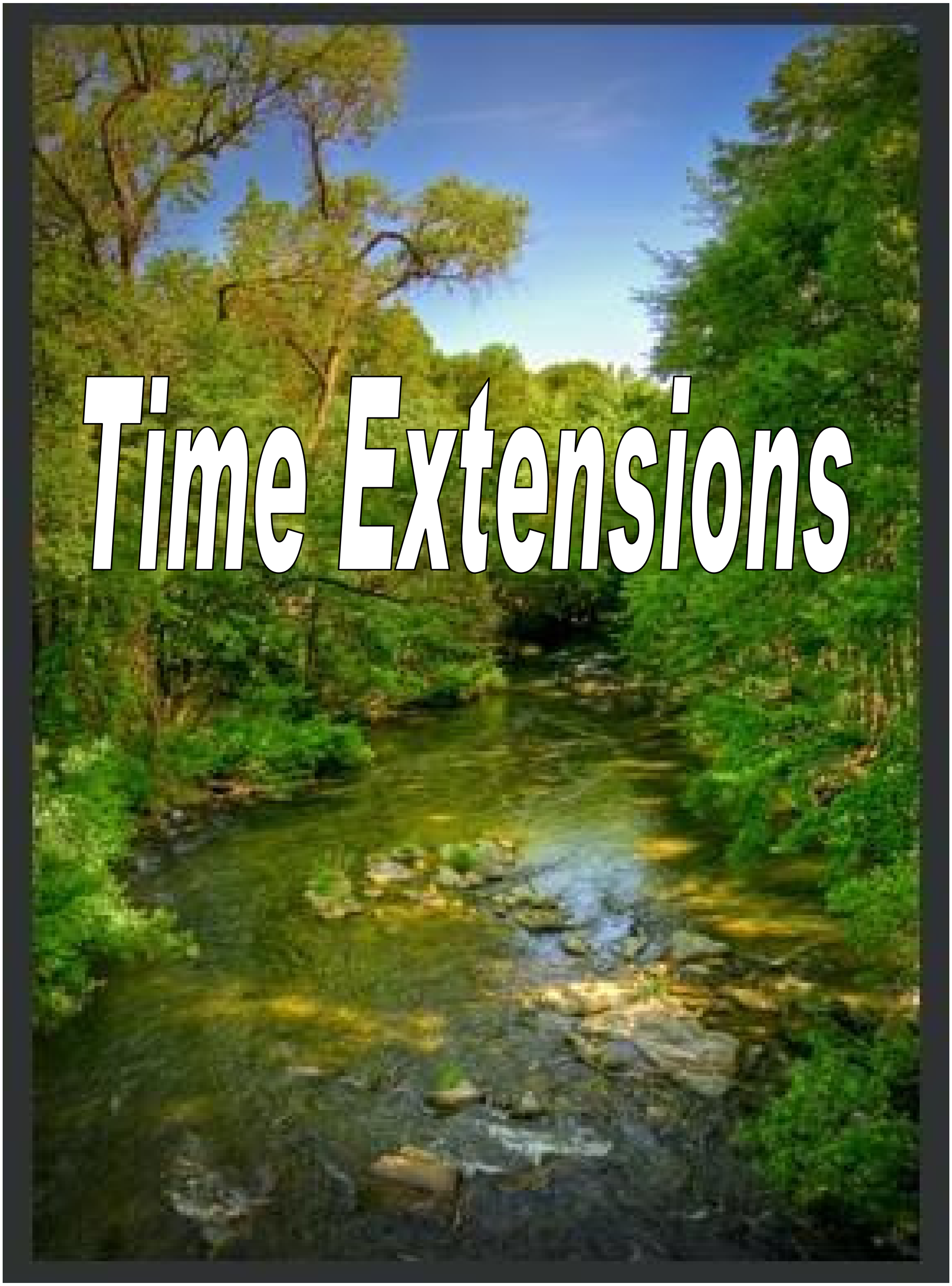
Time Extensions

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Time Extension Process

A time extension may be necessary due to unforeseen delays or other mitigating factors that cause the project to fall behind schedule and prevent completion by the originally scheduled date. The PD should discuss the need for a time extension with the GM as soon as it becomes apparent there are delays. **The request must be submitted no later than six months prior to the end of the agreement period.**

- The PD requests a Request for Time Extension form, an electronic copy of the agreement, and a Grant Disbursement Projections Sheet from the PA. Samples of the Request for Time Extension and Grant Disbursement Projections Sheet are at the end of this section.
- Time extensions for 319(h) agreements require additional program approval. A sample of the 319(h) Request for Time Extension is at the end of this section. Please note a Grant Disbursement Projections Sheet is also required for 319(h) time extensions.
- The PD completes the forms and returns them to the GM, along with the draft amendment, using the strikeout and underline tracking feature in Microsoft Word to show all proposed changes, and a cover letter directed to the State Water Board with a detailed justification for the time extension.
- The Grant Disbursement Projections Sheet must show a projection of funds that will be disbursed from the current billing period through the extension.
- The GM will review, and approve or deny, the Request for Time Extension. If approved, the GM will submit the documentation along with the Grant Disbursement Projections Sheet to the PA, who will forward it to management for review, and approval or denial.
- Once management approval is received, the PA will develop the draft amendment incorporating the changes, and the agreement will go through the same approval/signature process as the original agreement.

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REQUEST FOR TIME EXTENSION

Project Director completes 1-11

1. DATE SUBMITTED	2. AGREEMENT NUMBER	3. RECIPIENT'S NAME		
4. PROJECT TITLE				
5. PURPOSE OF PROJECT				
6. TIME EXTENSION PERIOD REQUESTED	DATE WORK STARTED:		SCHEDULED WORK COMPLETED BY DATE:	
7. AMOUNT OF GRANT FUNDS THAT WILL BE EXPENDED BY CURRENT SCHEDULED WORK COMPLETION DATE		$	PROPOSED WORK COMPLETED BY DATE:	
8. IS PROJECT CONSISTENT WITH THE ORIGINAL SCOPE OF WORK AND PURPOSE OF THE APPROPRIATION? ☐ YES ☐ NO – PLEASE EXPLAIN				
9. EXPLAIN CIRCUMSTANCES THAT RESULTED IN INABILITY TO COMPLETE PROJECT ON SCHEDULE AND/OR ANY IMPEDIMENTS TO COMPLETION:				
10. EXPLAIN MEASURES THAT WILL BE TAKEN TO ENSURE PROJECT COMPLETION:				
11. AS PROJECT DIRECTOR, I HEREBY CERTIFY THAT THE PROJECT IS CONSISTENT WITH THE ORIGINAL SCOPE AND PURPOSE AND WILL BE COMPLETED WITHIN THE REQUIRED PERIOD OF LIQUIDATION				
PROJECT DIRECTOR'S NAME	SIGNATURE			Date

12. GRANT MANAGER'S NAME	SIGNATURE	☐ Approved ☐ Denied	Date
13. REGIONAL EXECUTIVE OFFICER'S/DFA MANAGER'S NAME	SIGNATURE I HEREBY CERTIFY THAT ADEQUATE STAFF IS AVAILABLE TO MANAGE THIS GRANT EXTENSION		Date

Division of Financial Assistance, Grant and Contracts Administration Review

REVIEWED BY PROGRAM ANALYST		☐ Concurs ☐ Disagrees	REVIEWED BY GRANTS UNIT MANAGER	☐ Concurs ☐ Disagrees
APPROPRIATION END DATE	REQUEST EXTENDS BEYOND END DATE:	FUNDING INFO/PCA NUMBER	$ AMOUNT TO BE INCURRED/ENCUMBERED FOR TIME EXTENSION	
	☐ Yes ☐ No			
GRANT AWARD	$ EXPENDED	BALANCE	DATE INVOICED THROUGH	
	$	$		
Comments:				

State Water Resources Control Board Review

DFA FISCAL UNIT REVIEW	SIGNATURE	Funding Available ☐Yes ☐No	Date
DFA BOND SECTION MANAGER LESLIE LAUDON	SIGNATURE	☐ Approved ☐ Denied	Date

The Request for Time Extension is protected as a "form" and the shaded text boxes will continue to expand and wrap as you type.

Instructions for Completing the Form

Project Director completes the form and submits to Grant Manager. The Project Director must justify why a time extension is needed and explain the specific measures that will be taken to ensure project completion by the proposed extension date. The request must be submitted no later than six months prior to the end of the agreement period.

1. Enter date form was completed.
2. Enter Contract or Grant Agreement Number.
3. Enter Contract or Grant Agreement Recipient.
4. Enter Title of the Project.
5. Provide a brief description of the purpose of the project.
6. Enter the work start date and scheduled work completion date from the current Agreement.
7. Enter the amount of current grant funds that will be expended (invoiced) by the work completion date from the current Agreement, and the proposed work completion date should the time extension be approved.
8. Check box. If "No" is checked, explain how the project differs from the original scope of work and/or purpose of the appropriation?
9. Explain mitigating circumstances that caused the delay in project completion, and/or impediments to project completion that justify a time extension.
10. Explain measures that will be taken to ensure project completion.
11. Project Director signs and dates the form. Mail completed form to Grant Manager.
12. Grant Manager will review the request and either approve or deny. If request is approved, the Grant Manager will sign and date the form and forward to the Regional Executive Officer.
13. The Regional Executive Officer will review the request. If approved, the Regional Executive Officer will sign and date the form and return it to the Grant Manager.

The Grant Manager mails a copy of the signed form to the State Water Board DFA Program Analyst. The Program Analyst facilitates the DFA management review and approval process.

Request for Time Extension – 319(h)

Project Director completes 1-11

1. DATE SUBMITTED	2. AGREEMENT NUMBER	3. RECIPIENT'S NAME	
4. PROJECT TITLE			
5. PURPOSE OF PROJECT			
6. TIME EXTENSION PERIOD REQUESTED — DATE WORK STARTED:		SCHEDULED WORK COMPLETED BY DATE:	
7. AMOUNT OF GRANT FUNDS THAT WILL BE EXPENDED BY CURRENT SCHEDULED WORK COMPLETION DATE	$	PROPOSED WORK COMPLETED BY DATE:	
8. IS PROJECT CONSISTENT WITH THE ORIGINAL SCOPE OF WORK AND PURPOSE OF THE APPROPRIATION? ☐ YES ☐ NO – PLEASE EXPLAIN			
9. EXPLAIN CIRCUMSTANCES THAT RESULTED IN INABILITY TO COMPLETE PROJECT ON SCHEDULE AND/OR ANY IMPEDIMENTS TO COMPLETION:			
10. EXPLAIN MEASURES THAT WILL BE TAKEN TO ENSURE PROJECT COMPLETION:			
11. AS PROJECT DIRECTOR, I HEREBY CERTIFY THAT THE PROJECT IS CONSISTENT WITH THE ORIGINAL SCOPE AND PURPOSE AND WILL BE COMPLETED WITHIN THE REQUIRED PERIOD OF LIQUIDATION			
PROJECT DIRECTOR'S NAME	SIGNATURE		Date

Regional Board completes 12-13

12. GRANT MANAGER'S NAME	SIGNATURE	☐ Approved ☐ Denied	Date
13. REGIONAL EXECUTIVE OFFICER'S NAME	I HEREBY CERTIFY THAT ADEQUATE STAFF IS AVAILABLE TO MANAGE THIS GRANT EXTENSION		Date

Division of Financial Assistance, Grant and Contracts Administration Review

REVIEWED BY PROGRAM ANALYST	☐ Concurs ☐ Disagrees	REVIEWED BY GCA MANAGER	☐ Concurs ☐ Disagrees

APPROPRIATION END DATE	REQUEST EXTENDS BEYOND END DATE:	FUNDING INFO/PCA NUMBER	$ AMOUNT TO BE ENCUMBERED FOR TIME EXTENSION
	☐ Yes ☐ No		

GRANT AWARD	$ EXPENDED	BALANCE	DATE INVOICED THROUGH
$	$	$	

Comments:

State Water Resources Control Board Review (Division of Water Quality)

REVIEWED BY DWQ 319(H) PROGRAM MANAGER STEVE FAGUNDES	☐ Approved ☐ Denied	REVIEWED BY DWQ ASSISTANT DEPUTY DIRECTOR	☐ Approved ☐ Denied
DFA DEPUTY DIRECTOR	SIGNATURE	☐ Approved ☐ Denied	Date

The Request For Time Extension is protected as a "form" and the shaded text boxes will continue to expand and wrap as you type.

See back of form for instructions.

Instructions for Completing the Form

Project Director completes the form and submits to Grant Manager. The Project Director must justify why a time extension is needed and explain the specific measures that will be taken to ensure project completion by the proposed extension date. The request must be submitted no later than six months prior to the end of the agreement period.

1. Enter date form was completed.

2. Enter Contract or Grant Agreement Number.

3. Enter Contract or Grant Agreement Recipient.

4. Enter Title of the Project.

5. Provide a brief description of the purpose of the project.

6. Enter the work start date and scheduled work completion date from the current Agreement.

7. Enter the amount of current grant funds that will be expended (invoiced) by the work completion date from the current Agreement, and the proposed work completion date should the time extension be approved.

8. Check box. If “No” is checked, explain how the project differs from the original scope of work and/or purpose of the appropriation?

9. Explain mitigating circumstances that caused the delay in project completion, and/or impediments to project completion that justify a time extension.

10. Explain measures that will be taken to ensure project completion.

11. Project Director signs and dates the form. Mail completed form to Grant Manager.

12. Grant Manager will review the request and either approve or deny. If request is approved, the Grant Manager will sign and date the form and forward to the Regional Executive Officer.

13. The Regional Executive Officer will review the request. If approved, the Regional Executive Officer will sign and date the form and return it to the Grant Manager.

The Grant Manager mails a copy of the signed form to the State Water Board DFA Program Analyst. The Program Analyst facilitates the management review and approval process.

Grant Disbursement Projections Sheet

State Water Resoruces Control Board
Division of Financial Assistance
Annual Grant Disbursement Projections

Agreement #: ______________________

Grantee: ______________________

Project End Date: ______________________

Total Awarded: ______________________ **Number of Last Invoice Processed:** ______________________

***Total Disbursed:** ______________________ **Billing Period of Last Invoice:** ______________________

****Balance:** ______________________

	Funding Need					
	***Delinquent billing	1st Qtr (Jul-Sept)	2nd Qtr (Oct-Dec)	3rd Qtr (Jan-Mar)	4th Qtr (Apr-June)	**TOTAL
FY 11/12						
FY 12/13						
FY 13/14						
FY 14/15						

Instructions: Please provide your cash flow need (invoice amounts) for each Quarter (Qtr) per the Fiscal Year. Only include Grant Funds. Do not include any match funds. The Fiscal Year begins July 1 and ends June 30 of each year. If necessary, insert additional rows.

***Total Disbursed**: This amount reflects the last invoice processed to accounting. Invoices submitted within the last month may not be included.
The **Total being requested cannot exceed the **Balance**.
*****Delinquent Billing**: If applicable please include total of past due billings/invoices up to June 30, 2011. Indicate when DFA will receive invoice(s).

Reminder: Quarterly invoices MUST be submitted no later than 30 days from the end of the quarter.

Prepared By: ______________________ **Date:** ______________________

Please sign, date and scan this completed form and email to:
name@waterboards.ca.gov

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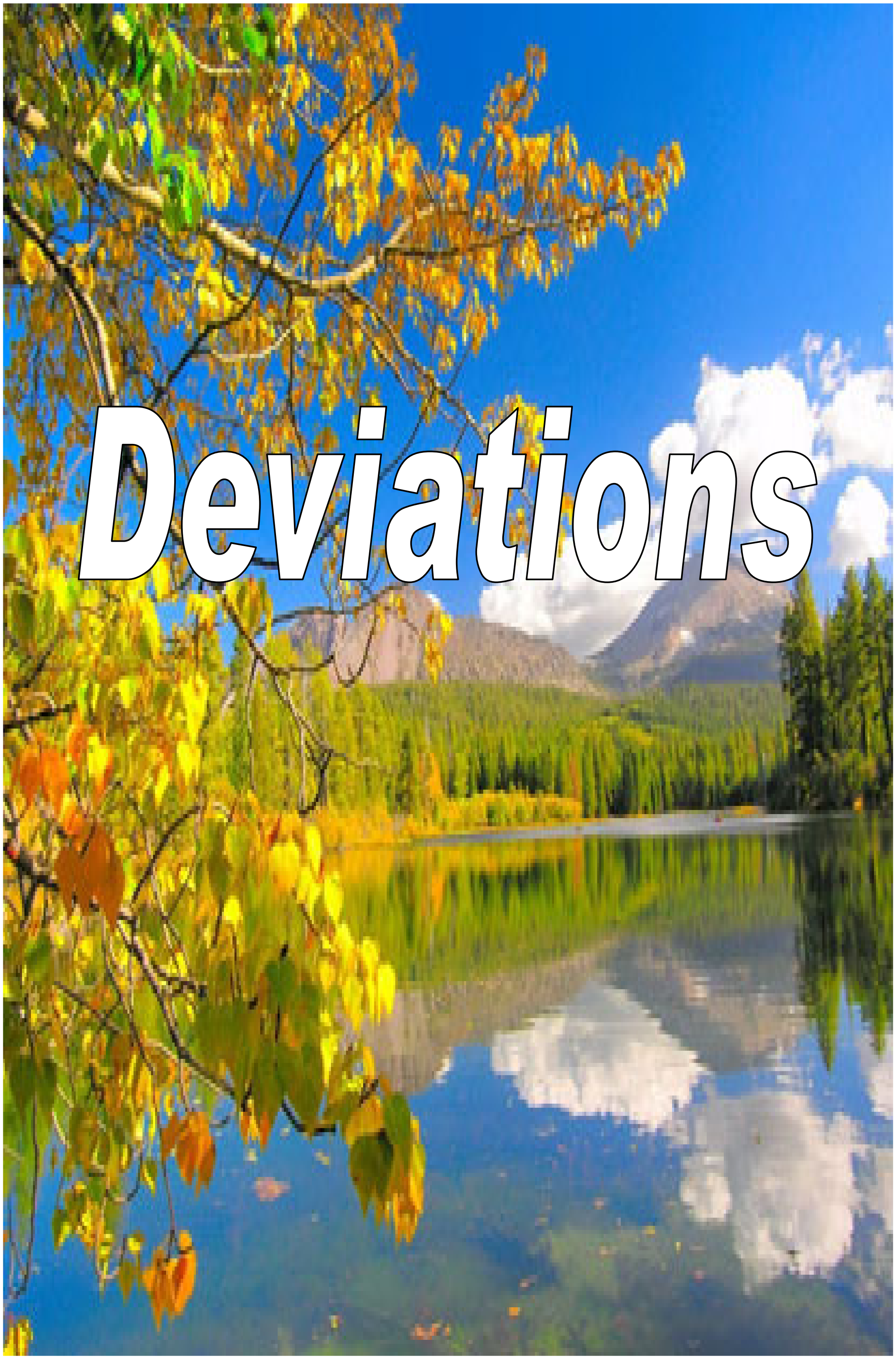
Deviations

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Deviations from Work Outlined in the Proposal – Pre Execution

Any deviation from the scope of work proposed in the application requires approval from the State Water Board prior to negotiation of the grant agreement. Discuss the proposed changes with the GM prior to submitting a Deviation Request form.

- The PD requests a Deviation Request form from the PA or GM. A sample of the Deviation Request form is at the end of this section.

- Deviation requests for 319(h) agreements require additional program approval. A sample of the 319(h) Deviation Request form is at the end of this section.

- The PD completes the form and returns it to the GM, along with the draft agreement, using the strikeout and underline tracking feature in Microsoft Word to show all proposed changes, and a cover letter to the State Water Board to include:

  - ✓ A detailed justification for changes to the work set out in the original proposal.

  - ✓ How the project will fulfill the original intent of the grant proposal.

  - ✓ How the changes will enhance the project.

  - ✓ Address a decrease in funding if all of the work in the original proposal will not be done.

- The GM will review, and approve or deny, the Deviation Request form. If approved, the GM will submit the documentation to the PA, who will forward it to management for review, and approval or denial.

- Once management approval is received, the PA will develop the draft agreement incorporating the changes and the agreement will go through the execution process.

Deviations from Work Outlined in the Grant Agreement – Post Execution

Any deviation from the scope of work outlined in the executed grant agreement requires approval from the State Water Board. The PD should notify the GM as soon as there are unforeseen obstacles or problems that affect the project

- The PD requests a Deviation Request form and an electronic copy of the agreement from the PA. A sample of the Deviation Request form is at the end of this section.

- Deviation requests for 319(h) agreements require additional program approval. A sample of the 319(h) Deviation Request form is at the end of this section.

- The PD completes the form and returns it to the GM, along with the draft agreement, using the strikeout and underline tracking feature in Microsoft Word to show all proposed changes, and a cover letter to the State Water Board to include:

  ✓ A detailed justification for changes to the work set out in the executed grant agreement.

  ✓ How the project will fulfill the original intent of the grant proposal.

  ✓ How the changes will enhance the project.

  ✓ Address a decrease in funding level if all of the work in the original proposal will not be done.

- The GM will review, and approve or deny, the Deviation Request form. If approved, the GM will submit the documentation to the PA, who will forward it to management for review, and approval or denial.

- Once management approval is received, the PA will develop the draft amendment incorporating the changes, and the agreement will go through the same approval/signature process as the original agreement.

- If the deviation request is denied, the PD will receive a memo from the State Water Board setting forth the reason(s) for the denial.

Deviation Request Form

Project Director completes 1-16

1. Date Prepared	2. Agreement #	2a. PIN #	3. Contract/Grant Recipient

4. Funding Source	☐ Prop 13 ☐ Prop 40 ☐ Prop 50 ☐ 319(h) ☐ Other (specify)
5. Funding Source Phase (if applicable)	6. Type of Program (e.g., NPS, Agricultural water quality)

7. Project Title

8. Agreement time Frame	Begin Date:	End Date:	☐ Agreement not executed yet ☐ Amendment Required

9. Purpose of Project
10. Describe the proposed deviation from the original scope of work
11. Why are the modifications to tasks or items necessary?
12. How do the proposed changes affect the budget? A justification is required for any budget change.
13. Does the schedule of work need revision? If so, explain the changes and why they are necessary.
14. How will the deviation achieve the original intent of the proposal?

15. Project Director's Name	Signature	Date

16. The Project Director must attach, to the Deviation Request Form, Exhibit A from the draft Agreement (if available) or executed Agreement showing all proposed changes (language added and deleted, changes to work schedule dates, Exhibit B if there are proposed budget adjustments) using the track changes feature in Microsoft Word (Reviewing toolbar), and a summary of work completed.

Grant Manager Review

17. Grant Manager's Name	Signature	☐ Approved ☐ Denied	Date

DFA Technical Review

18. DFA Technical Reviewer's Name	Signature	☐ Approved ☐ Denied	Date

The Deviation Request Form is protected as a "form" in Microsoft Word and the shaded text boxes will expand and wrap as you type.

See next page for form instructions.

Submit the Deviation Request Form as soon as it becomes apparent that a change in the scope of work or work schedule is necessary.

1. Enter date prepared.

2. Enter Contract or Grant Agreement Number and/or 2a. Enter grant application PIN #.

3. Enter Contract or Grant Recipient's name.

4. Check box for applicable funding source. Specify funding source other than those listed.

5. Enter Funding Source Phase, if applicable (e.g., Prop 13 was implemented in three phases)

6. Enter Type of Program (e.g., NPS, Agricultural Water Quality, Urban Stormwater)

7. Enter Title of the Project.

8. Enter the Agreement start date and work completion date. Check box to indicate if the agreement has not been executed yet or if this request is to amend an executed agreement.

9. Provide a brief description of the purpose of the project.

10. Describe the proposed deviation from the original scope of work.

11. Explain why modifications are necessary.

12. Explain how proposed changes will affect the Agreement budget. A justification is required for any change to the budget.

13. Explain proposed changes to schedule of work and why they are necessary.

14. Explain how the deviation will achieve the original intent of the proposal.

15. The Project Director (PD) signs and dates the form and mails to the Grant Manager (GM).

16. The PD must attach, to the Deviation Request form, Exhibit A and B (as applicable) of the draft or executed Agreement (using the track change feature to show all proposed changes).

17. The GM reviews the deviation request, signs and dates the form, and either approves or denies the request. If the GM approves the request, then the GM makes the proposed revisions to the scope of work (using strike-out/underline). When the deviation request is post-execution, the GM also prepares a summary of the project explaining how much work has been completed to date.

    The Deviation Request Form, revised scope of work, and project summary (post-execution) are forwarded to the Program Analyst (PA) at the State Water Board, Division of Financial Assistance (DFA). The PA will facilitate technical review of the deviation request.

18. DFA technical staff will review the deviation request along with supporting documentation and approve or deny the request. The PD will receive written notification of the decision, with copies to the GM and PA.

Deviation Request Form – CWA 319(h)

Project Director completes 1-16

1. DATE PREPARED	2. AGREEMENT #	2a. PIN #	3. CONTRACT/GRANT RECIPIENT

4. FUNDING SOURCE	☐ PROP 13	☐ PROP 40	☐ PROP 50	☒ 319(H)	☐ OTHER (SPECIFY)

5. FUNDING SOURCE PHASE (IF APPLICABLE)	6. TYPE OF PROGRAM (E.G., NPS, AGRICULTURAL WATER QUALITY)

7. PROJECT TITLE

8. AGREEMENT TIME FRAME	BEGIN DATE:	END DATE:	☐ AGREEMENT NOT EXECUTED YET ☐ AMENDMENT REQUIRED

9. PURPOSE OF PROJECT
10. DESCRIBE THE PROPOSED DEVIATION FROM THE ORIGINAL SCOPE OF WORK
11. WHY ARE THE MODIFICATIONS TO TASKS OR ITEMS NECESSARY?
12. HOW DO THE PROPOSED CHANGES AFFECT THE BUDGET? A JUSTIFICATION IS REQUIRED FOR ANY BUDGET CHANGE.
13. DOES THE SCHEDULE OF WORK NEED REVISION? IF SO, EXPLAIN THE CHANGES AND WHY THEY ARE NECESSARY.
14. HOW WILL THE DEVIATION ACHIEVE THE ORIGINAL INTENT OF THE PROPOSAL?

15. PROJECT DIRECTOR'S NAME	SIGNATURE	DATE

16. THE PROJECT DIRECTOR MUST ATTACH, TO THE DEVIATION REQUEST FORM, EXHIBIT A FROM THE DRAFT AGREEMENT (IF AVAILABLE) OR EXECUTED AGREEMENT SHOWING ALL PROPOSED CHANGES (LANGUAGE ADDED AND DELETED, CHANGES TO WORK SCHEDULE DATES, AND EXHIBIT B IF THERE ARE PROPOSED BUDGET ADJUSTMENTS) USING THE TRACK CHANGES FEATURE IN MICROSOFT WORD (REVIEWING TOOLBAR), AND A SUMMARY OF WORK COMPLETED.

Grant Manager Review

17. GRANT MANAGER'S NAME	SIGNATURE	☐ APPROVED ☐ DENIED	DATE

319(H) Only: DWQ Technical Review

18. DWQ TECHNICAL REVIEWER'S NAME Steve Fagundes	SIGNATURE	☐ APPROVED ☐ DENIED	DATE

The Deviation Request Form is protected as a "form" in Microsoft Word and the shaded text boxes will expand and wrap as you type.

See back of form for instructions.

Submit the Deviation Request Form as soon as it becomes apparent that a change in the scope of work or work schedule is necessary.

1. Enter date prepared.

2. Enter Contract or Grant Agreement Number and/or 2a. Enter grant application PIN #.

3. Enter Contract or Grant Recipient's name.

4. Check box for applicable funding source. Specify funding source other than those listed.

5. Enter Funding Source Phase, if applicable (e.g., Prop 13 was implemented in three phases)

6. Enter Type of Program (e.g., NPS, Agricultural Water Quality, Urban Stormwater)

7. Enter Title of the Project.

8. Enter the Agreement start date and work completion date. Check box to indicate if the agreement has not been executed yet or if this request is to amend an executed agreement.

9. Provide a brief description of the purpose of the project.

10. Describe the proposed deviation from the original scope of work.

11. Explain why modifications are necessary.

12. Explain how proposed changes will affect the Agreement budget. A justification is required for any change to the budget.

13. Explain proposed changes to schedule of work and why they are necessary.

14. Explain how the deviation will achieve the original intent of the proposal.

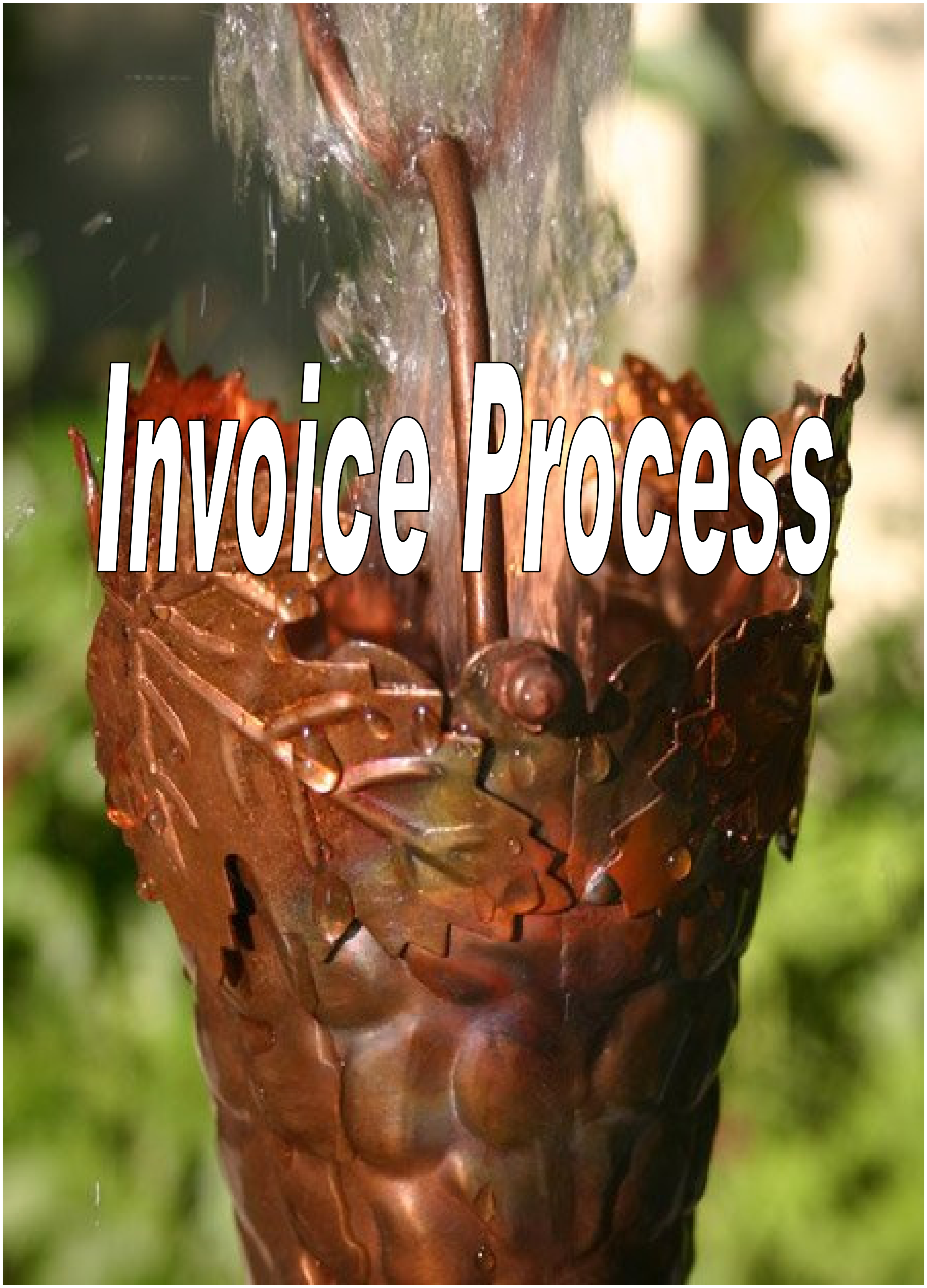
15. The Project Director (PD) signs and dates the form and mails to the Grant Manager (GM).

16. The PD must attach, to the Deviation Request form, Exhibit A and B (as applicable) of the draft or executed Agreement (using the track change feature to show all proposed changes).

17. The GM reviews the deviation request, signs and dates the form, and either approves or denies the request. If the GM approves the request, then the GM makes the proposed revisions to the scope of work (using strike-out/underline). When the deviation request is post-execution, the GM also prepares a summary of the project explaining how much work has been completed to date.

    The Deviation Request Form, revised scope of work, and project summary (post-execution) are forwarded to the Program Analyst (PA) at the State Water Board, Division of Financial Assistance (DFA). The PA will facilitate technical review of the deviation request.

18. DWQ technical staff will review the deviation request along with supporting documentation and approve or deny the request. The PD will receive written notification of the decision, with copies to the GM and PA.


Invoice Process

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Invoice Responsibilities

The grantee is responsible for implementing the project so the expenditure of public funds is made in accordance with the state and federal rules and regulations. The grantee must:

- Establish and maintain financial management controls and accounting procedures to track grant and match funds that have been used, in conformance with applicable laws, rules, and regulations.

- Provide adequate documentation to support the expenditure of funds in accordance with the provisions, program objectives, and applicable laws, rules, regulations, and State Water Board policy.

- Maintain auditable records that document the amounts and use of all grant and match funds for the project being funded, for the entire term of the project.

Invoice Template

- Upon grant execution, the PA sends an electronic version of the Invoice Template, Grantee Labor Certification form, and Invoice Submittal Summary Sheet. Samples of these are at the end of this section.

- Number the invoices sequentially and include the time period as set out in the executed agreement (quarterly or monthly).

- The invoice should reflect charges for the reporting period and support the work described in the progress report for the same reporting period. A sample of the Grant Progress Report Template is at the end of this section.

- An invoice must be submitted to report match funds expended, regardless of whether or not grant funds are invoiced in a reporting period. Match funds must be used only for directly-related costs specifically to the project, and back-up documentation is required to substantiate the amount reported for match funds.

- Invoices are submitted to the GM and must have the original signature of the PD or someone delegated by the PD on the Project Director Certification form.

Progress Report

- Upon grant execution, the GM sends an electronic version of the Grant Progress Report Template, a sample of which is at the end of this section. Your GM may require additional reporting in the progress report other than what is shown in the sample.

- The progress report reporting period coincides with the invoice reporting period and must accompany each invoice.

- The progress report shall include:

  - ✓ A brief description of the work performed.
  - ✓ Accomplishments during the reporting period.
  - ✓ Milestones achieved.
  - ✓ Monitoring results (if applicable).
  - ✓ Any problems encountered in the performance of the work under the agreement.

- All contractor activities and expenditures shall be documented in the progress report.

- The narrative portion of the progress report must contain sufficient information to verify the level of work completed during the specified reporting period only, and must support invoiced charges for the same reporting period.

  - ✓ Copying the description for a specific work item from one progress report to the next is not acceptable. The description must be updated specific to what was accomplished during the current reporting period.
  - ✓ Each work item (from Exhibit A – Project Specific Requirements) must be listed and numbered on the progress report.
  - ✓ Only completed items should be submitted. If no work was accomplished on a particular work item during the reporting period, the description for the work item should read "no activity this reporting period," and the work item cannot be invoiced.

- The progress report must have the original signature of the PD or someone delegated by the PD on the Project Director Certification form.

Invoice Supporting Documentation

The supporting documentation provides the basis for maintaining auditable files by properly accounting for bond, federal, and match funds. The GM has the authority to request more detailed information to support items invoiced. If documentation is inadequate to determine whether an expense is eligible, the invoice will be disputed. In order for costs to be reimbursable they must be directly related to the project. The following items are required to adequately document all invoices, both for grant funds invoiced and match funds claimed.

- Items from the Table of Items for Review in Exhibit A of the grant agreement.

- Supporting invoice documentation should be labeled with the corresponding work item number (from Exhibit A – Project Specific Requirements).

- Grantee personnel hours. To properly document personnel hours, a grantee shall use the Grantee Labor Certification form to list employee names, classifications, total project hours for the billing period, hourly billing rate, and total amount billed. A sample of the form is located at the end of this section. In order to prevent exceeding personnel hours, the grantee should track the number of hours in each classification.

- Office expenses. Invoices for items listed in the Office Expenses line item. If the grantee is not going to directly allocate office expenses, they must provide a formula or methodology used to determine project-specific office expenses, e.g., portions of the rent or utilities. This formula or methodology must be submitted to the GM with the first invoice requesting reimbursement for office expenses. For audit purposes, documentation supporting the methodology used to justify the amount charged must be maintained.

- Travel costs associated with the project. Grantees requesting reimbursement for travel expenses may only invoice the amount permissible under the State of California travel policy. The State travel policies and per diem amounts allowable for meals and lodging are available at http://www.calhr.ca.gov/employees/Pages/travel-reimbursements.aspx. **Note: Out of state travel must be approved by the GM prior to the actual travel. No travel outside the state of California shall be reimbursed unless prior written authorization is obtained from the GM.**

- Invoices from professional or consultant services, including laboratory services.

- Invoices for construction.

Examples of Ineligible Costs

- ✓ Indirect costs
- ✓ Tuition fees (fee remission)
- ✓ Overhead
- ✓ Deductible for insurance
- ✓ Food and beverages
- ✓ Contractor or subcontractor markup fees
- ✓ Legal fees
- ✓ Audit costs (except for a federally-required single audit)

Invoice Dispute Notification

The PD will receive notice, via email and/or an Invoice Dispute Notification, a sample of which is at the end of this section, if there is a reason an invoice cannot be approved as submitted. The State Water Board strives to approve invoices for payment in a prompt manner (typically within 45 days). Receipt of an Invoice Dispute Notification stops the "clock" for invoice approval, and the "clock" begins again when a corrected invoice is submitted to the GM. An Invoice Dispute Notification may be sent when any of the following occurs:

- Using the wrong invoice template. The invoice template is provided by the PA and must be used to request reimbursement; any other version will be rejected.

- Overspent line item(s). Line item amounts can only be changed on the invoice template by the PA, and prior approval of the adjustment must be received from the GM, with an effective date, along with a copy of the written justification for the adjustment, before an invoice is processed. Any adjustments exceeding 15% require a formal amendment.

- Insufficient documentation to support grant and match funds. Canceled checks, paid invoices, receipts, grantee labor certification, correspondence, etc., must accompany an invoice to justify all grant and match funds. Supporting invoice documentation should be labeled with the corresponding work item number (from Exhibit A – Project Specific Requirements).

- Incorrect calculations. Check to ensure the correct "Total Expenditures to Date" amount on the previous invoice is carried over to "Previous Expenditures to Date."

- The billing period is not consistent with the reporting schedule described in Exhibit B of the grant agreement (quarterly or monthly).

- Non-compliance with agreement. This includes:

  - ✓ Invoicing for items such as water quality monitoring before an approved QAPP has been submitted.

  - ✓ Invoicing for construction that began prior to the submission of permit(s) and/or environmental clearance from the State Water Board for CEQA and/or NEPA.

  - ✓ Invoicing for out of state travel not approved by the GM prior to the actual travel.

  - ✓ Invoicing for items after the Work Completed By date has passed.

- Writing on the invoice. The State Controller's Office and DFA Accounting Office require clean invoices with no extraneous writing. If corrections are needed, the invoice may need to be resubmitted.

Processing Time

The State Water Board generally has a 45-day turnaround for processing invoices. The "clock" begins when the GM receives the invoice. If an Invoice Dispute is issued, the "clock" stops. The number of days allotted to each party for processing an invoice is:

- ✓ 7 days for GM to review and sign
- ✓ 7 days for PA to review and process
- ✓ 14 days for DAS Accounting
  - ✓ Bond Coordinators
- ✓ 14 days for the State Controller's Office

Tracking Sheets

A tracking sheet is created for each grant agreement that tracks grant and match funds. The tracking sheet is updated by the PA each time an invoice is paid and a copy is emailed to the PD and GM.

Ten Percent Retention

Approved invoices will be paid in full until the reimbursed amount reaches 90% of the total award amount (excluding match). The State Water Board withholds the remaining 10% of the total grant award amount (excluding match) until completion of the project. Invoices and progress reports will continue to be submitted even after the 10% retention has been reached. Upon receipt of all required documents at the end of the project, the State Water Board will release any amounts in retention, in addition to the final invoice amount.

Project Completion

Upon completion of the project, the PD will submit a final invoice to the GM for approval. The GM will forward the invoice to the PA for processing. Any unspent funds will be disencumbered and unavailable for further use.

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GRANT INVOICE TEMPLATE

STATE WATER RESOURCES CONTROL BOARD
GRANT PROGRAM INVOICE
(Reference Instructions on following page - Failure to follow instructions may result in non-payment of invoice)
THIS OFFICIAL INVOICE FORMAT MAY NOT BE MODIFIED

From:	To:	
Grantee	**, Grant Manager**	SWRCB Grant Agreement No:
Address	State Water Resources Control Board	SWRCB PCA Number:
City, State, Zip	Adress	① Grantee Invoice No.:
Phone Number	City, State, Zip	② Billing Period:
		③ Submittal Date:

		GRANT FUNDS ONLY				
Line Items	**Grant Allotment** (per line item of N/A)	④ **Previous Expenditures to Date** (From previous invoice)	⑤ **Current Expenditures** Grant Funds Only	⑥ **Total Expenditures to Date** ④ + ⑤ = ⑥	**% of Line Item Budget Spent to Date** ⑥ ÷ Grant Allotment = %	⑦ **If Applicable: Match For This Reporting Period Only**
Direct Project Administration Costs	$0	$0.00	$0.00	$0.00	#DIV/0!	
Planning/Design/Engineering/ Environmental	$0	$0.00	$0.00	$0.00	#DIV/0!	
Construction/Implementation	$0	$0.00	$0.00	$0.00	#DIV/0!	
Monitoring/Performance	$0	$0.00	$0.00	$0.00	#DIV/0!	
Education/Outreach	$0	$0.00	$0.00	$0.00	#DIV/0!	
TOTALS	$0.00	$0.00	$0.00	$0.00	#DIV/0!	$0.00

⑧ **Total Amount Due This Invoice**

FOR STATE USE ONLY
Date Received From GM
Date to Accounting

⑨ ☐ **Final Invoice**

10% Withheld (Retention)
10% of total grant award will be held until final report is submitted, approved, and project is 100% complete.

⑩ ☐ Watershed Membership (if necessary) - I hereby certify that I am a member of (or have an affiliation with) a local watershed group, as defined in Water Code

⑪ **Grantee Project Director or Designated Representative** **Date**

By signing this invoice I certify, under penalty of law, that this document and any attachment was prepared by me or under my direction in accordance with the terms and conditions of each Grant Agreement Exhibit and, to the best of my knowledge and belief, is accurate. I certify that any and all fees due to the State Water Resources Control Board have been paid. I am aware that there are significant penalties for submitting false or misleading information.

⑫ **Grant Manager** **Date**

I certify this invoice, to the best of my knowledge and belief, is accurate and completed and I approve this invoice payment.

Regional Board Date Stamp

DFA Date Stamp

GRANT INVOICE TEMPLATE INSTRUCTIONS

Instructions for Grant Program Invoice

Information pertaining to this Grant program Invoice template is located in Exhibit B of the executed Grant Agreement.

FOR STATE USE ONLY

Line Item: Line Item listed per Exhibit B - Line Item Budget

Grant Allotment: Amounts allotted to Line Item Budget per Exhibit B of Grant Agreement.

% of Line Item Budget spent to date: Calculation of total expenditures divided by Grant Allotment. Shouldn't exceed 100%

TO BE COMPLETED BY GRANTEE/PROJECT DIRECTOR

① **Grant Invoice Number:** Assign a sequential invoice number, for example: 1, 2, 3.

② **Billing Period:** Enter Billing Period of work performed. Example for quarterly billing: Jan 1, 2005 to Mar 31, 2005. Example for monthly billing: Jan 1, 2005 to Jan 31, 2005.

③ **Date:** Enter the Date invoice is submitted.

④ **Previous Expenditures to Date:** From the last invoice, enter line item amounts from "**Total Expenditures to Date."** If first invoice, enter zero (0).

⑤ **Current Expenditures** (Grant Funds Only): Enter the current grant fund charges for this billing period.

⑥ **Total Expenditures to Date:** This is calculated by adding the Previous Expenditures and Current Expenditures.

⑦ **If Applicable:** Match Amount For This Invoice: COMPLETE ONLY IF MATCH IS INCLUDED IN THE GRANT AGREEMENT BUDGET. Enter the match dollars applied to this invoice billing period.

⑧ **Total Amount Due This Invoice:** The amount due is the Total Current Expenditures.

⑨ **Final Invoice:** Check this box for final invoice only.

⑩ **Watershed Membership:** Agencies receiving Proposition 13 Watershed Protection Program funds must be a member of (or have an affiliation with) a local watershed group as defined in Water Code §79078.

⑪ **Grantee Program Director or Designated Representative:** Original signature and date (in ink)

TO BE COMPLETED BY GRANT MANAGER

⑫ **Grant Manager:** Original signature and date (in ink).

Invoice Submittal Summary Sheet

Invoice Submittal Summary Sheet

Grant Number:

Invoice Number:

Item No.	Invoice Number	Invoice Date	Name	Total Invoice Amount	Grant Amount Requested	Match Amount	Comments
Direct Project Administration Costs							
1		July 2012	Good County Labor Cert.	$1,200	$600	$600	
2		8/1/2012	Staples/Office Depot	$636	$636		(Copies, postage, etc.)
			Subtotal	$1,836	$1,236	$600	
Planning/Design/Engineering/Environmental							
3	AB81234	July 2012	At the Trough Consulting	$5,000	$600	$0	Rest of invoice ineligible for reimbursement
4	560-8-12	July 2012	Scientific Erudition	$12,000	$11,940		Rest markup, ineligible.
5	560-8-12	June 2012	ABC Drilling	$15,000	$15,000		Drilling Company didn't invoice in time to include in last submittal (see cert attached)
			Subtotal	$32,000	$27,540	$0	
Construction/Implementation							
				$0	$0	$0	
			Subtotal	$0	$0	$0	
Monitoring/Performance							
				$0	$0	$0	
			Subtotal	$0	$0	$0	
Education/Outreach							
				$0	$0	$0	
			Subtotal	$0	$0	$0	
			Grand Total:	$33,836	$28,776	$600	

Other Funding Sources:

Note: CHECK YOUR NUMBERS! Do NOT assume this Excel spreadsheet is correct. Please refer to the READ ME tab.

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Grant Progress Report Template

Grant Progress Report
Name of Project
GA# XX-XX-XXX

Progress Report # *(These sections should match the invoice)* ______

Reporting Period: ______ to ______

Submittal Date ______

Grant Agreement No: ______

Project Name: ______

Grantee Name: ______

I certify under penalty of law that this document and any attachment was prepared by me or under my direction in accordance with the terms and conditions of each Grant Agreement Exhibit. Based on my inquiry of the persons or persons who manage the project, or those directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. All information submitted in this document and all attachments conform to and is in accordance with the state and federal laws and I so here certify with my signature. I am aware that there are significant penalties for submitting false or misleading information.

Project Director: ______ ______

Printed Name Signature

Summary of Work Completed To Date *(See sample table below)*

Work Items for Review: *The table should number and list all items for review included in the grant agreement. The information provided should be cumulative from the start of the project. The table should provide an at-a-glance status of the project work items.*

Due Date: *The due dates in this column should be identical to the grant agreement due dates. If a date change is made through formal modification or amendment, then the revised date can be inserted once the change has been approved.*

% Of Work Complete: *Cumulative percentage of work complete to date*

Date Submitted: *For items for review that are submitted more than once (i.e., progress reports), please leave previous submittal dates on the table so that there is a list of dates within the box. If a draft item for review is submitted, write "draft" after the date.*

Work Item	Items for Review #	Due Date	% Of Work Complete	Date Submitted
EXHIBIT A	A.1 GPS Information	Day 90 (Prior to 1st Disbursement)		
	A2. PAEP	Day 30 (Prior to 1st Disbursement)		
	A2. Non Point Source Pollution Reduction Project Follow-up Survey Form			
	A3. Monitoring Plan	Day 90		
	A4. QAPP	Day 90		
	A5. Proof of Water Quality Data Submission to CEDEN	Before Final Invoice		
	A6. CEQA/NEPA			
	A7. Public Agency Approvals, Entitlements, or Permits			
	B.X (Deliverables from Project-Specific Requirements)			
	B.X (Deliverables from Project-Specific Requirements)			

Work Item	Items for Review #	Due Date	% Of Work Complete	Date Submitted
	B.X (Deliverables from Project-Specific Requirements)			
	B.X (Deliverables from Project-Specific Requirements)			
EXHIBIT B	G.1 Progress Reports			
	G.2 Annual Progress Summaries			
	G.3 NRPI	Before Final Invoice		
	G.4 Draft Project Report			
	G.5 Final Project Report			
	G.6 Final Project Summary	Before Final Invoice		
	G.7 Final Project Inspection and Certification	Before Final Invoice		

List of Items for Review

(Include only the items for review, by sub-item number, listed on the Table of Items for Review in Exhibit A)

- ____
    - ____

Progress Report Narrative

Introduction

(Provide a brief one or two sentence introduction or summary of the report (e.g., "During the reporting period, project activities focused on completing design of the pipeline segments 1, 3, and 4" or " … focused on monitoring activities and repairing process or system failures or deficiencies" or … "focused on improving system efficiency," etc. Also include a description of the overall project as described in the Grant Agreement.)

Summary of Activities

List each work item from Exhibit A (Work To Be Performed) in every progress report. However, limit narrative descriptions to work performed during the reporting period. Provide, by sub-item number, a brief description of milestones, successes, and problems or issues encountered during the reporting period.

Item 1 - Project Administration (Cumulative ___% complete)

(Describe for each work item, the activities, problems, successes, milestones OR "No work performed this period" OR "Complete")

Item 2 - ___________________ (Cumulative ___% complete**)**

(Describe for each work item, the activities, problems, successes, milestones OR "No work performed this period" OR "Complete")

(Continue with all work items in Exhibit A, Work To Be Performed)

Additional Instructions

- Clearly label each item for review with work-item number.

- If a document is not a grant item for review, do not include under the list of items for review or in the narrative. Label as "Extra Item for Review" and provide one copy.

- Number all pages including pictures, laboratory data, diagrams, etc.

GRANTEE LABOR CERTIFICATION

GRANTEE NAME:

DATE:

AGREEMENT #:

INVOICE #:

BILLING PERIOD:

Employee Name	Classification	Total Project Hours	Hourly Billing Rate	Total Amount Billed
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$

Total Amount Invoiced: $

By signing below, I certify that the above employee(s) worked the stated hours on this project during this invoicing period.

Administrative Officer Date

Grant Agreement
Invoice Dispute Notification
(without prejudice)

Grantee: ______________________________ Agreement #: ______________

Invoice # __________ Amount __________ Date Received ______________

The invoice referenced above is disputed for the following reasons:

☐ Incorrect Format ______________________________

☐ Noncompliance with Grant Agreement ______________________________

☐ Missing Item Submittals ______________________________

☐ Incomplete Item Submittals ______________________________

☐ Incorrect Line Item Billed/ Incorrect Calculations ______________________________

☐ Other ______________________________

Comments:

If you have any questions, please contact at (916) or by email at @waterboards.ca.gov.

cc:


Breach of Agreement

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Breach of Agreement

By entering into an Agreement with the State Water Board, the grantee is legally obligated to ensure the project remains within the negotiated timelines. Exhibit A specifies a due date for each work item and a date by which all work must be completed and invoiced. When a project falls behind schedule, the grantee is in breach of agreement, which could jeopardize project funding.

If the grantee's project has an existing documented pattern of not meeting project timelines, including invoice submittal, the GM or State Water Board may initiate a breach of agreement in an effort to bring the project back into compliance. Failure to resolve outstanding issues may result in the State Water Board terminating the agreement, and the grantee may have to repay all or part of the grant funds. It is, therefore, imperative that the lines of communication be kept open between the PD and the GM, and the project be kept on track per the timelines for deliverables and invoices as set forth in the Table of Items for Review in the grant agreement.

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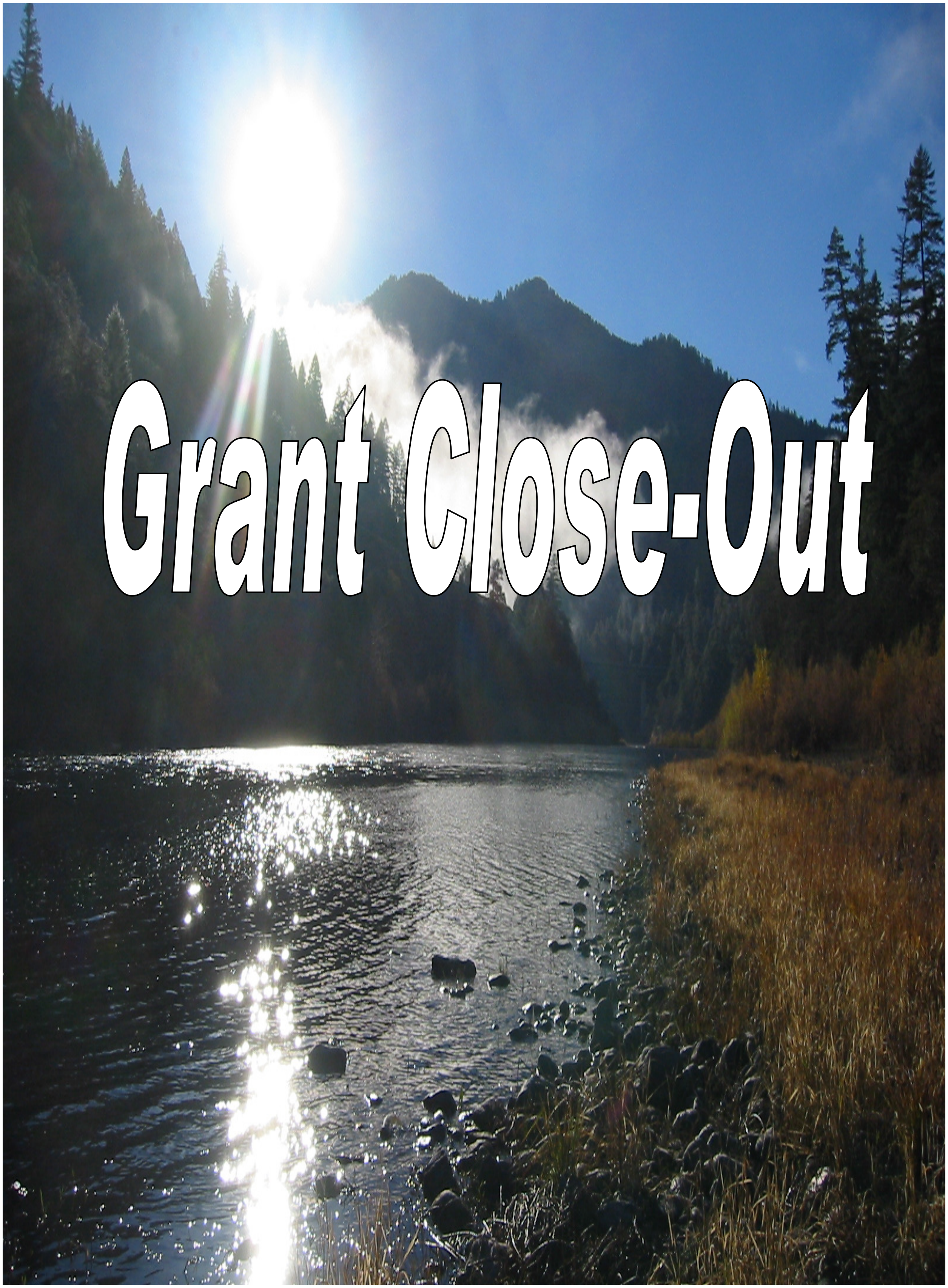
Grant Close-Out

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Grant Agreement Close-Out

Adhere to the following steps at the completion of the project:

- Make sure the Final Project Report was approved by the GM and an electronic copy was uploaded in pdf format to the FAAST system. A Final Report Outline is at the end of this section.

- Complete the Natural Resource Projects Inventory (NRPI) Project Survey Form at http://www.ice.ucdavis.edu/nrpi. This is due at project completion, prior to submitting the final invoice.

- Prepare a Final Project Summary, which is a brief summary of the information contained in the Final Project Report, including before and after pictures, and upload an electronic copy in pdf format to the FAAST system.

- Submit a final invoice for the project.

- Close the project file and maintain any records and supporting documentation pertaining to the performance of the agreement for the period specified in the grant agreement. Records retention is:

  - ✓ Three (3) years for federally-funded grants.

  - ✓ Thirty-five (35) years for general obligation (GO) bond fund grants with agencies other than state agencies.

  - ✓ Thirty-six (36) years for GO bond fund grants with state agencies.

FINAL REPORT OUTLINE FOR GRANT PROJECTS

I. Title Page

Include title, date, Watershed, project type, grant agreement number, funding sources, and total cost of project

II. Table of Contents

III. Executive Summary

IV. Problem Statement & Relevant Issues

V. Project Goals

VI. Project Description

Project Type
Project Costs – total costs; matching funds & fund sources;
Project Methodology/Construction/Description/Pollutant Load
Existing data (graphs & tables) and/or Before-Project Photos
New data (graphs & tables) and/or After-Project Photos
Data Evaluation/Pollutant Reduction

VII. Project Evaluation & Effectiveness – Results of PAEP

- Include project-specific goals and corresponding performance measures; explain if goals were met, and if not why; what lessons were learned and what changes could be made; & overall effectiveness of the project.

- Include approved PAEP table.

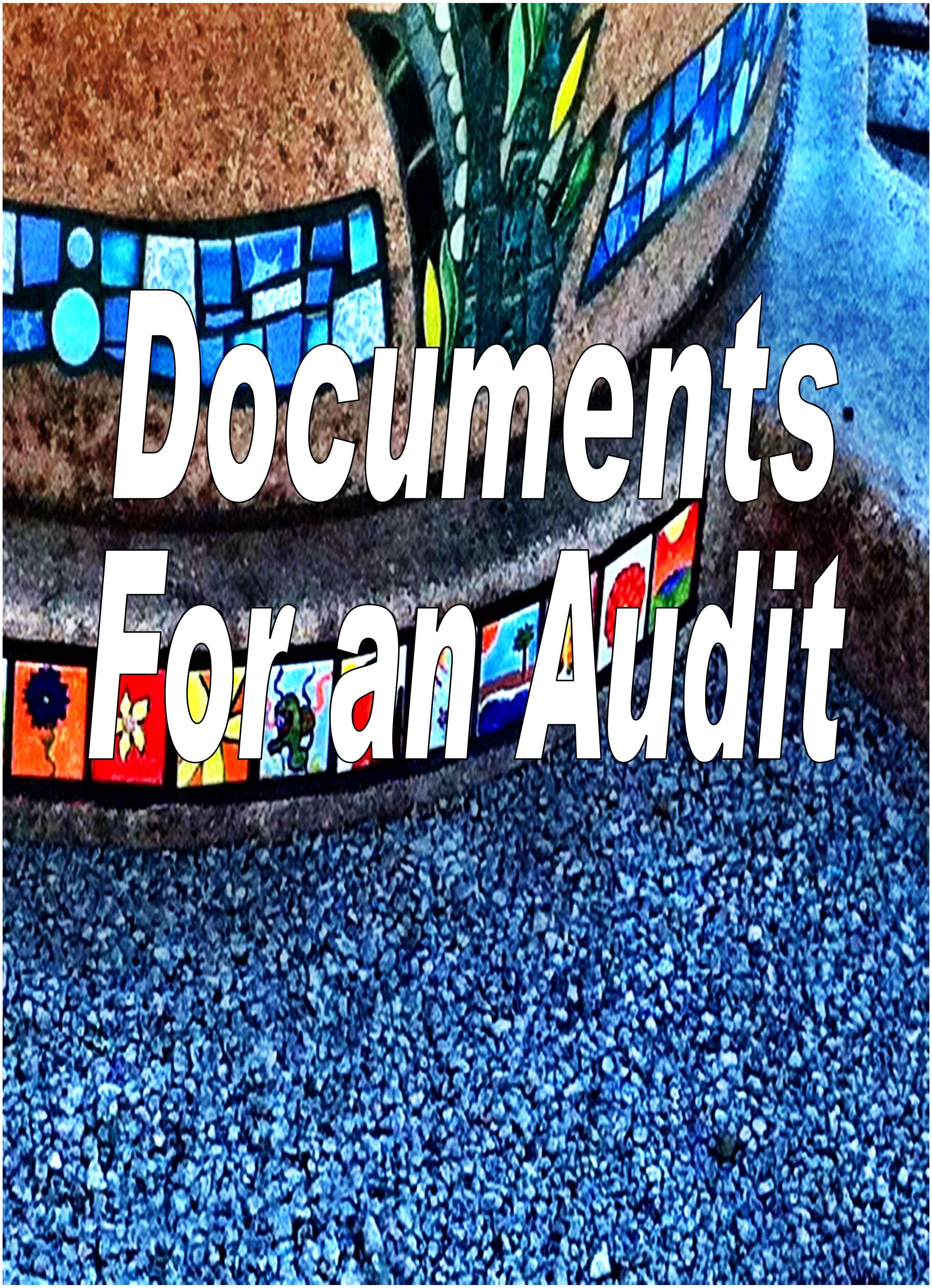
VIII. Public Outreach

IX. Conclusions

Include - NEXT STEPS- costs, funding sources, & schedule
Project Terminated – Why?

X. Appendices

List of References
List of Deliverables (contracts) or Items for Submittal (grants)
List of Sub-contractors
Tables & Graphs of Summarized Numerical Data
Photos
Copies of Peer Reviewed Documents
Examples of education & outreach literature (if applicable)


Documents
For an Audit

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Documents That May Be Required for an Audit

Please have the following documents, files, records, and other resources available for the Department of Finance should your agency be chosen for an audit of the grant agreement:

- Internal Controls
  - ✓ Grantee's organization charts.
  - ✓ Written procedures and/or flowcharts for Grantee's receipts, deposits, disbursements, and invoice preparation for grant reimbursement.
  - ✓ A document showing the formula or methodology used to determine project-specific office expenses, and back-up documentation used to justify the amount charged.
- Audit Reports
  - ✓ Any audit reports and/or management letters covering the grantee's financial statements, operations, and internal controls within the last two (2) years.
- Grant Agreements
  - ✓ Original grant and any amendments thereto or budget line item modifications between the grantee and the State Water Board.
  - ✓ All subcontractor and consultant contracts and related documents, including selection and award of contracts and subcontracts.
- Invoices
  - ✓ Invoices from the grantee to the State Water Board for payments under the agreement.
  - ✓ Invoices from subcontractors/consultants to the grantee for project costs.
- Receipts and Disbursement Documents
  - ✓ Receipts showing grant payments received from the State Water Board.
  - ✓ Deposit slips showing deposit of payments received from the State Water Board.
  - ✓ Bank statements showing deposit of grant payments and any interest earned thereon.

- ✓ Canceled checks or other disbursement documents supporting payments to vendors, contractors, consultants, and agents under the grant.

- ✓ Ledgers or registers showing grant payments and cash disbursements entries.

- Personnel

  - ✓ Payment records for grantee and contractor personnel who provided services under the grant, e.g., timesheets, fringe benefit calculations.

- Travel and Per Diem

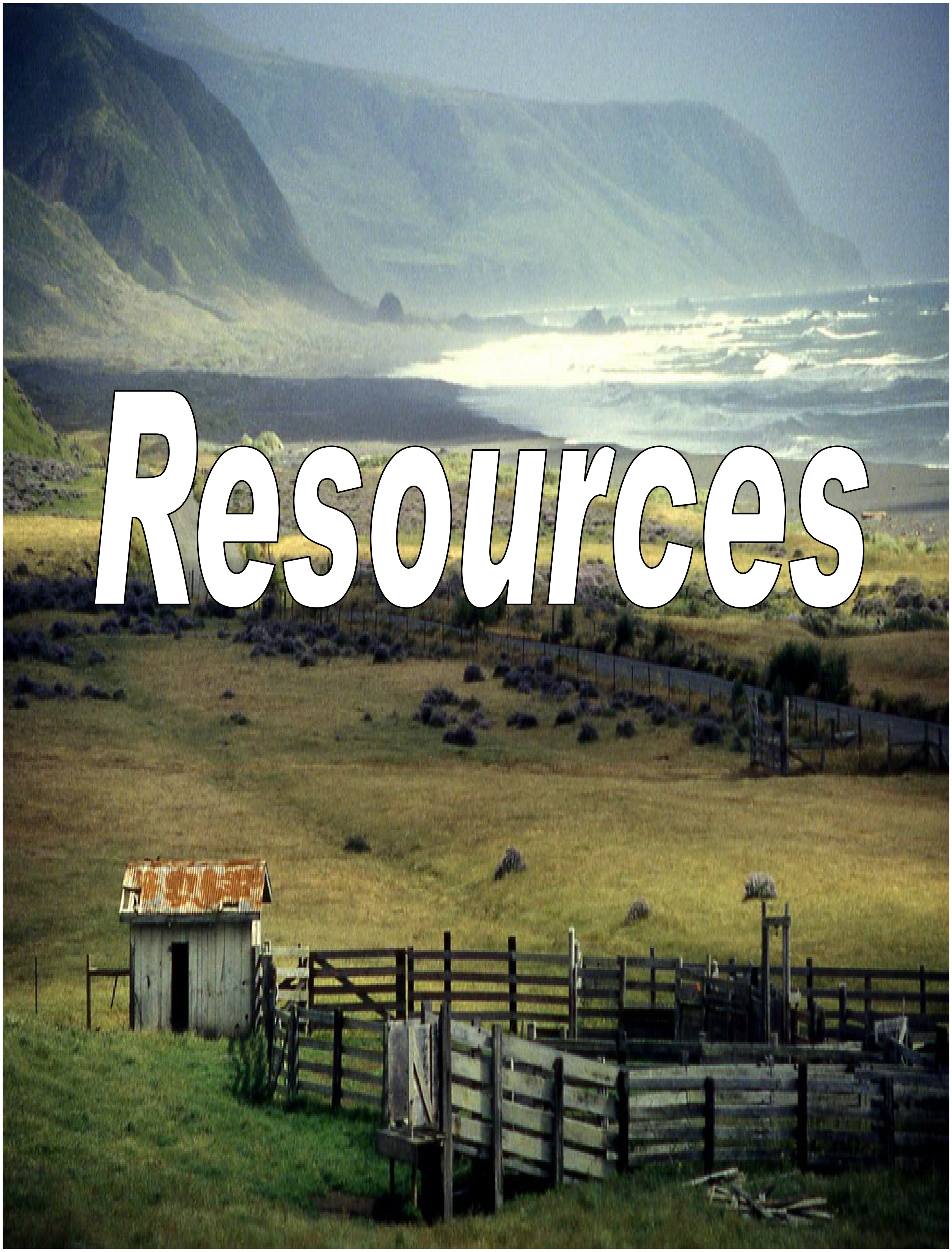
  - ✓ Travel claims for travel costs charged to the grant, with supporting documentation.

- Land Acquisitions

  - ✓ Appraisals.
  - ✓ Documents showing Department of General Services' approval.
  - ✓ Escrow closing statement.
  - ✓ Recorded grant deed and all other title transfer documents.

- Project Files

  - ✓ All supporting documentation maintained in grant project file(s).
  - ✓ Maintain auditable file for the period specified in the agreement.


Resources

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Glossary of Terms

Agreement	A legally binding document between the State of California and another entity where services are rendered. This term refers to both contract agreements and grant agreements.
Amendment	A formal change to an executed agreement, such as the term dates, scope of work, due dates, or line item budget figures.
Appropriation	Authorization of funds in the state budget for a specific time period, e.g., July 1, 2003 through June 30, 2008 (Prop 50).
Budget Line Item Flexibility	Adjustments between existing line items in the Line Item Budget up to 15% of the total grant amount (excluding match). The 15% is cumulative (including any adjustments made in prior amendments), and not per modification. Adjustments in excess of 15% will require a formal amendment.
Deviation	Any change in the proposed scope of work prior to agreement execution or after agreement execution, requires written approval from the State Water Resources Control Board (State Water Board).
Division of Financial Assistance (DFA)	The division within the State Water Board that administers the grant program.
Encumbrance	Funds committed to a particular agreement guaranteeing a source of payment.
Execution of Agreement	The act of signing an agreement providing a legal basis for required performance by all parties.
FAAST – Financial Assistance Application Submittal Tool	An online system that expedites and simplifies the submittal and review process for loan and grant applications. To access FAAST you must have a username and password.
General Terms & Conditions	The terms and conditions that apply to all State Water Board grant agreements. The General Terms & Conditions are contained in Exhibit C of the agreement.

Grant Manager (GM)	A person designated by the State Water Board to manage performance of the grant agreement.
Invoice	The State Water Board provides a Grant Invoice Template to the grantee in order to request reimbursement for project costs. Receipts and/or other supporting documentation must be submitted with the invoice to justify the amount invoiced.
Items for Submittal	A work item required in the grant agreement that is tangible and can be placed in the auditable file, e.g., reports, permits, design plans, invoices, etc.
Joint Powers Agency	An agency formed by agreement of two or more public agencies. Under this arrangement, the joint powers authority may exercise any power common to the contracting parties (GC *§ 6502)*
Match Funds	Program guidelines may have a requirement for grantees to contribute resources to the project that equal or exceed a predetermined percentage of the award. Match may be in the form of cash or in-kind contributions. Receipts and/or other supporting documentation must be submitted with an invoice to justify the amount of match funds expended during the invoice reporting period.
Minority and Women-Owned Business Enterprise	This requirement applies to federal fund recipients in meeting federal Minority-Owned Business Enterprise and Women-Owned Business Enterprise (MBE/WBE) Participation Requirements. <u>All must comply; no one is exempt.</u> The MBE/WBE form and instructions can be found at: http://www.epa.gov/osbp/pdfs/5700_52a.pdf. It is the responsibility of the PD to submit quarterly MBE/WBE forms to the GM, and the GM to submit the MBE/WBE forms to the Division of Water Quality's 319(h) Program.

Monitoring Plan	A plan delineating location, and identifying frequency and constituents for projects including sampling and monitoring. If a Monitoring Plan is required, a Quality Assurance Project Plan (QAPP) is also required.
Negotiation	A series of steps taken by the PD, GM, and PA to prepare the scope of work for the grant agreement based on the recipient's initial proposal.
Non-Profit Agency	A group, often a corporation, organized for purposes other than generating profit, e.g., a charitable, educational, religious, or scientific organization. The grantee must provide the State Water Board documentation of non-profit status per IRS Section 501I(3), 501I(4) or 501I(5) prior to scope of work negotiations.
Non-State Agency	Any entity that is not a State of California agency, e.g., resource conservation districts, local government agencies, municipalities, non-profit organizations, etc.
Operating Expenses (Direct costs)	Grantee's business expenses that are direct charges to the project, e.g., printing, postage, office supplies, etc. These costs should tie to the grant agreement tasks and deliverables. A portion of the rent, utilities, etc. may be included in the grant budget as a direct cost under Operating Expenses. The grantee must provide a formula or methodology used to determine project-specific office expenses, with supporting documentation explaining how the costs were prorated specifically for a project. This formula or methodology must be submitted with the first invoice. For audit purposes, a document must be provided showing the methodology and back-up documentation used to justify the amount charged.
Operating Expenses (Indirect costs)	Grant funds may NOT be used to pay for indirect costs such as administrative overhead.
Payee Data Record	The Payee Data Record (STD 204) is required for all grantees.

Payment in Arrears	Payment is made after the work is performed. Invoices must be submitted with supporting documentation for work performed during the actual billing period.
Personnel Services	Budget line item that includes salaries and benefits for wage-earning personnel employed by the grantee to work on the project. May be budgeted using grant funds and/or match funds. Personnel Services does not include services that are contracted out.
Professional/Consultant Services	Budget line item used when the grantee contracts out services that require a recommended course of action or personal expertise, e.g., laboratory services, monitoring plans, etc.
Program Analyst (PA)	A person designated by the State Water Board who is responsible for the administrative aspects of the grant agreement.
Progress Report	The Progress Report describes the work performed on the project during the reporting period set out in the grant agreement (quarterly/monthly). Any item for submittal that is due during the reporting period is attached to the Progress Report, e.g., PAEP, permits, photos, etc.
Project Assessment and Evaluation Plan (PAEP)	The PAEP outlines information that will be collected and used to show progress, identify problems, and measure success. Assistance in preparing a PAEP is available at: http://www.waterboards.ca.gov/water_issues/programs/grants_loans/paep/index.shtml.
Project Director (PD)	An employee designated by the grantee's organization, responsible for management of the technical and administrative aspects of the grant agreement.
Project Identification Number (PIN)	Unique number assigned to each grant application by the State Water Board.

Quality Assurance Project Plan (QAPP)	The QAPP is a written document that outlines the procedures a monitoring project will use to ensure the samples participants collect and analyze, the data they store and manage, and the reports they write are of high enough quality to meet project needs. A QAPP checklist that will assist in understanding what the Grant Manager and Quality Assurance Officer are looking for when they review a QAPP is available at: http://www.waterboards.ca.gov/water_issues/programs/grants_loans/grant_info/index.shtml. The USEPA website for QAPP information is: http://www.epa.gov/quality/qapps.html
QAPP and Groundwater Ambient Monitoring and Assessment (GAMA)	Projects involving the monitoring of groundwater must be in compliance with the GAMA Program. Information about GAMA can be found at http://www.waterboards.ca.gov/water_issues/programs/gama/index.shtml.
QAPP and Surface Water Ambient Monitoring Program (SWAMP)	If the project involves monitoring of surface waters, the QAPP must be drafted in accordance with the provisions of the SWAMP. SWAMP guidelines can be found at http://www.waterboards.ca.gov/water_issues/programs/swamp/index.shtml.
Record Retention (for audit purposes)	State Agencies The IRS can audit bond monies for up to six years after the bond expires. The life of the bond is 30 years; therefore, records for grants awarded to other state agencies must be kept for 36 years. Non-State Agencies The State Treasurer's Office requires record retention for 35 years. Federally-Funded Grants Record retention for three years.

Resolution	A legal document authorizing the grantee to enter into an agreement with the State Water Board, and designating a representative, by title, to sign a grant agreement and any amendments thereto, for a specific project from the State Water Board.
Start Date	The start date of the grant agreement is agreed upon during the grant agreement negotiations and no work using grant funds can begin prior to this date.
State Agency	Any State of California department, e.g., Department of Fish and Game, Department of Parks and Recreation, etc.
Term Date	The term of the grant agreement begins with the start date and ends after the record retention period expires. The end term date depends on: • Type of agency (State vs. non-State) • Record retention period for audit purposes
Work Completion Date	The work completion date reflects the date that all work on the project must be finished. All work must be completed at least three months prior to the end of the appropriation to allow timely payment of the final invoice.

Acronyms

State Water Board Acronyms

CALFED	California Bay-Delta Authority
DAS	Division of Administrative Services
DFA	Division of Financial Services
FAAST	Financial Assistance Application Submittal Tool
GAMA	Groundwater Ambient Monitoring Assessment
GM	Grant Manager
MP	Monitoring Plan
PA	Program Analyst
PAEP	Project Assessment and Evaluation Plan
PD	Project Director
QAPP	Quality Assurance Project Plan
RPU	Regional Programs Unit
SWAMP	Surface Water Ambient Monitoring Program

Grant Funded Programs

AGWQ	Agricultural Water Quality
ASBS	Areas of Special Biological Significance
CBI	Clean Beaches Initiative
CNPSPCP	Coastal Nonpoint Source Pollution Control Program
DWQ	Dairy Water Quality
ICWM	Integrated Coastal Watershed Management
IWMP	Integrated Watershed Management Program
IRWM	Integrated Regional Water Management
LESJA	Lake Elsinore/San Jacinto
NPS	Nonpoint Source
SAWPA	Santa Ana Watershed Protection Agency
SRF	State Revolving Fund
SW	Stormwater
USWP	Urban Stormwater Program

Commonly Used Acronyms

BMP	Best Management Practice
Cal/EPA	California Environmental Protection Agency
CCC	California Coastal Commission
CCR	California Code of Regulations
CEQA	California Environmental Quality Act
CWA	Clean Water Act
CWC	California Water Code
DFG	Department of Fish and Game
DWQ	Division of Water Quality
DWR	Department of Water Resources
EIR	Environmental Impact Report
GIS	Geographic Information System
GPS	Global Positioning System
IS	Initial Study
MMP	Mitigated Monitoring Plan
MBE/WBE	Minority and Women-Owned Business Enterprise
MND	Mitigated Negative Declaration
ND	Negative Declaration
NEPA	National Environmental Policy Act
NOD	Notice of Determination
NOP	Notice of Preparation
NRCS	Natural Resources Conservation Service
NRPI	Natural Resources Project Inventory
OPC	Ocean Protection Council
PRC	Public Resources Code
QA	Quality Assurance
RCD	Resource Conservation District
SCH	State Clearinghouse
TMDL	Total Maximum Daily Load
USEPA	United States Environmental Protection Agency
WC	Water Code
WMA	Watershed Management Area

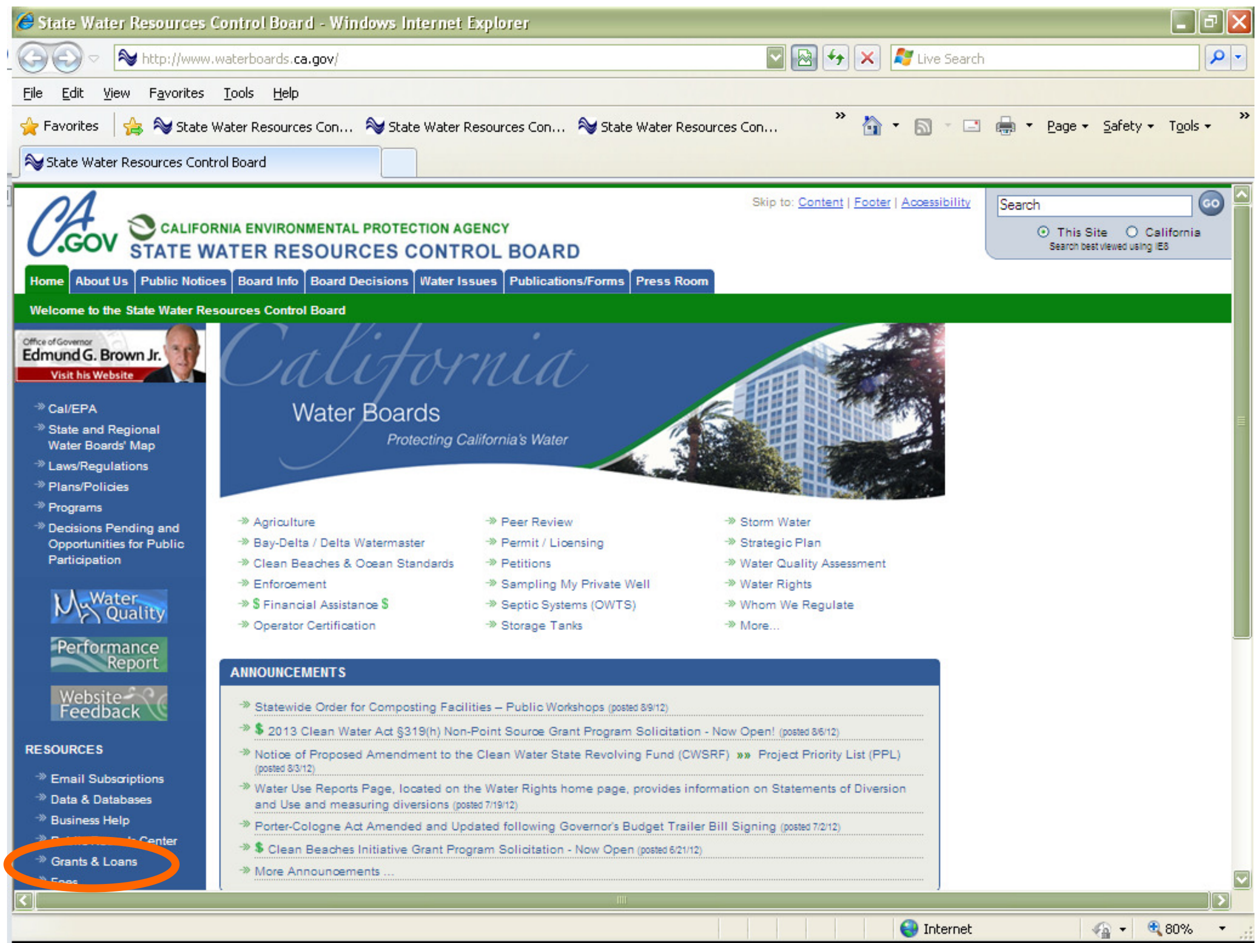
Grants Web Pages

State Water Resources Control Board Home Page

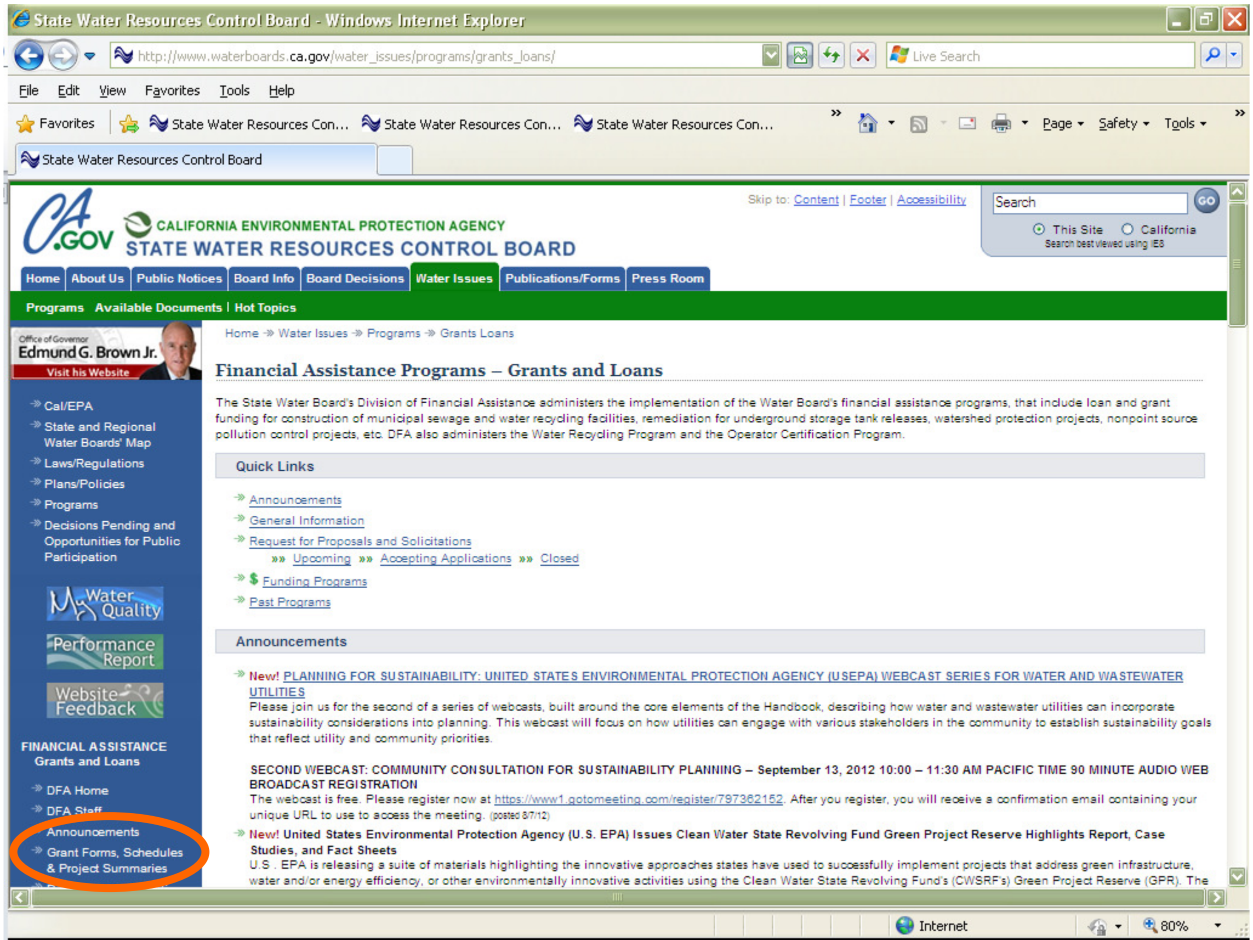
http://www.waterboards.ca.gov

Where can I find forms, templates, project schedules, and grant summaries?

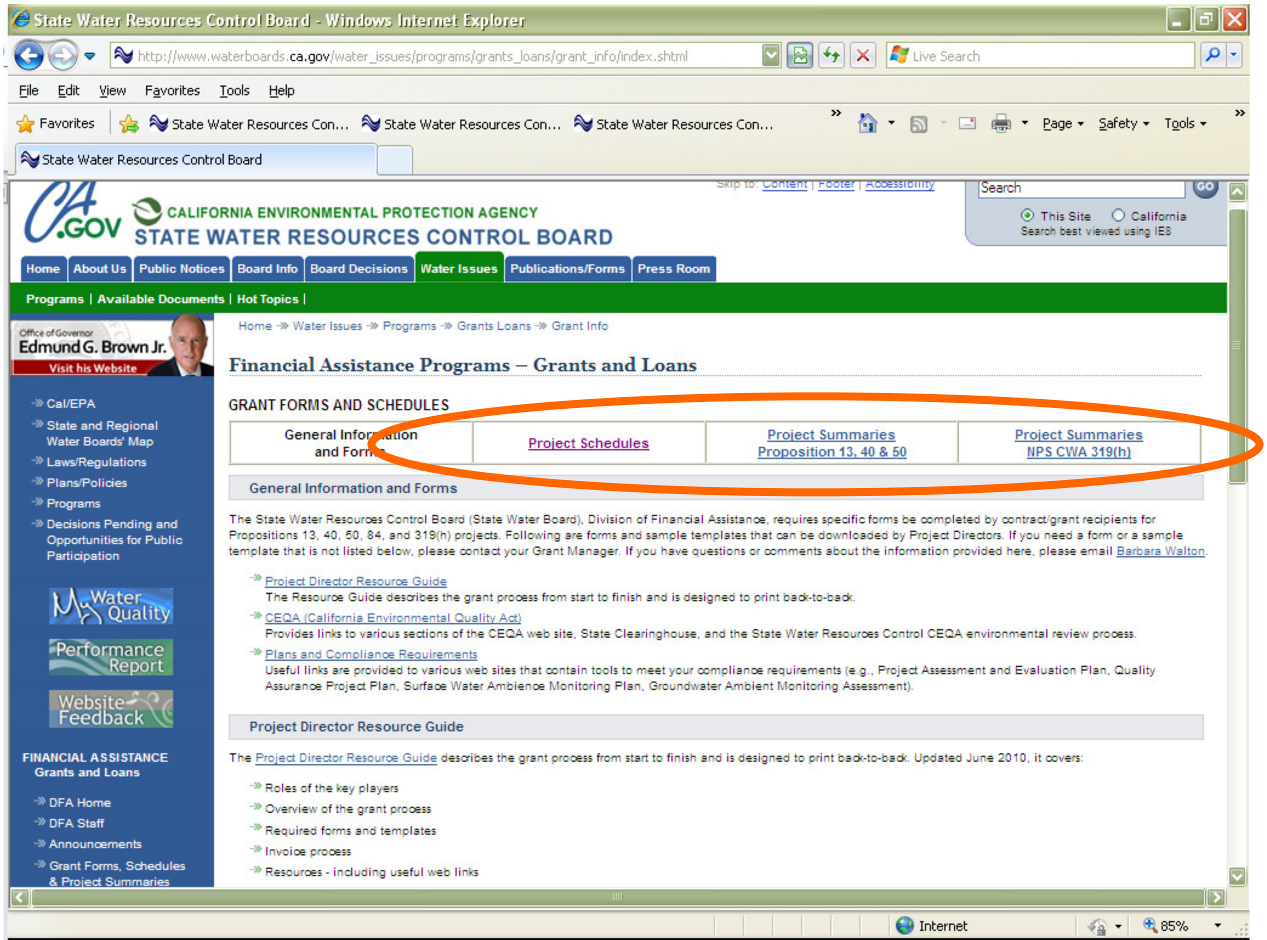
Click on the **Grants and Loans** link to the Division of Financial Assistance (DFA) web page.



Click on the Grant Forms, Schedules & Project Summaries link



Click on the links below to navigate between the three options. Web address: http://www.waterboards.ca.gov/water_issues/programs/grants_loans/grant_info/index.shtml



General Information and Forms

Document and forms that Project Directors need access to.

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Financial Assistance Programs – Grants and Loans

GRANT FORMS AND SCHEDULES

General Information and Forms	Project Schedules	Project Summaries Proposition 13, 40 & 50	Project Summaries NPS CWA 319(h)

General Information and Forms

The State Water Resources Control Board (State Water Board), Division of Financial Assistance, requires specific forms be completed by contract/grant recipients for Propositions 13, 40, 50, 84, and 319(h) projects. Following are forms and sample templates that can be downloaded by Project Directors. If you need a form or a sample template that is not listed below, please contact your Grant Manager. If you have questions or comments about the information provided here, please email Barbara Walton.

- Project Director Resource Guide
  The Resource Guide describes the grant process from start to finish and is designed to print back-to-back.
- CEQA (California Environmental Quality Act)
  Provides links to various sections of the CEQA web site, State Clearinghouse, and the State Water Resources Control CEQA environmental review process.
- Plans and Compliance Requirements
  Useful links are provided to various web sites that contain tools to meet your compliance requirements (e.g., Project Assessment and Evaluation Plan, Quality Assurance Project Plan, Surface Water Ambience Monitoring Plan, Groundwater Ambient Monitoring Assessment).

Project Director Resource Guide

The Project Director Resource Guide describes the grant process from start to finish and is designed to print back-to-back. Updated June 2010, it covers:

- Roles of the key players
- Overview of the grant process
- Required forms and templates
- Invoice process
- Resources - including useful web links

California Environmental Quality Act (CEQA)

Provides links to various sections of the CEQA web site, State Clearinghouse, and the State Water Resources Control CEQA environmental review process:

- State Water Board Frequently Asked Questions (updated 7/14/08)
- CERES - California Environmental Resource Evaluation System
- CERES - CEQA
- CERES - CEQA Statute Definitions
- CERES - Article 18, Statutory Exemptions
- CERES - Article 19, Categorical Exemptions
- State Clearinghouse

Plans and Compliance Requirements

Useful links are provided to various Websites that contain tools to meet your compliance requirements (e.g., Project Assessment and Evaluation Plan, Quality Assurance Project Plan, Surface Water Ambience Monitoring Plan, Groundwater Ambient Monitoring Assessment).

- GPS Requirements Information (5/12/08)
- PAEP - Project Assessment and Evaluation Plan
- Annual Load Reduction Form (2/13/09)
- SWAMP - Surface Water Ambient
- GAMA - Groundwater Ambient Monitoring Assessment
- Sample Monitoring Plan
- Ten Monitoring Questions
- QAPP Checklist
- QAPP Template
- QAPP - State Water Board
- QAPP - SWAMP Advisor
- Guidelines for Photo Documentation
- NRPI Form (National Resource Project Inventory Project)
- Department of General Services Contract Manual
- MBE/WBE Participation Guide (Minority and Women Owned Business Enterprise)
- U.S. EPA's List of Violating Facilities - For contracts/subcontracts
- Secretary of State - Verification of corporate status for non-governmental agencies
- Final Report Outline (updated 1/24/08)
- NRCS - National Resource Conservation Service

(Updated 1/12/12)

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The California Water Boards include the State Water Resources Control Board and nine Regional Boards

The State Water Board is one of five environmental entities operating under

Grant Related Web Links

Board Resolution Sample	http://www.waterboards.ca.gov/water_issues/programs/grants_loans/grant_info/docs/sampleresolution.pdf
CEQA – CA Environmental Resources Evaluation System (CERES)	http://ceres.ca.gov
CEQA – CERES – CEQA direct link	http://www.ceres.ca.gov/ceqa
CEQA – State Clearinghouse	http://www.ceqanet.ca.gov/QueryForm.asp
CEQA – State Water Board FAQs	http://www.waterboards.ca.gov/water_issues/programs/grants_loans/
CEQA – Statute Definitions	http://ceres.ca.gov/ceqa/stat/Ch_2-5.html
CEQA – Guidelines	http://ceres.ca.gov/topic/env_law/ceqa/guidelines
Department of General Services Contract Manual	http://www.ols.dgs.ca.gov/Contract+Manual/default.html
Financial Assistance Application Submittal Tool (FAAST)	https://faast.waterboards.ca.gov
Final Report Outline	http://www.waterboards.ca.gov/water_issues/programs/grants_loans/grant_info/index.shtml
GAMA – Groundwater Ambient Monitoring and Assessment	http://www.waterboards.ca.gov/water_issues/programs/gama/
GPS Requirements Information	http://www.waterboards.ca.gov/water_issues/programs/grants_loans/
Instruction for Using Documents Protected as Forms	http://www.waterboards.ca.gov/water_issues/programs/grants_loans/
Minority and Women-Owned Business Enterprise (MBE/WBE)	http://www.epa.gov/osbp/pdfs/5700_52a.pdf
Natural Resource Projects Inventory (NRPI) Project Survey Form	http://www.ice.ucdavis.edu/nrpi
PAEP Project Assessment and Evaluation Plan	http://www.waterboards.ca.gov/water_issues/programs/grants_loans/paep/index.shtml
Photo Documentation Guidelines	http://www.waterboards.ca.gov/water_issues/programs/swamp/docs/cwt/guidance/4214.pdf
Project Schedules	http://www.waterboards.ca.gov/water_issues/programs/grants_loans/
QAPP – Quality Assurance Project Plan Checklist	http://www.waterboards.ca.gov/water_issues/programs/swamp/docs/qa_checklist061404.xls
QAPP – Quality Assurance Project Plan Template	http://www.waterboards.ca.gov/water_issues/programs/swamp/docs/qa_checklist061404.xls
QAPP – State Water Board Website	http://www.waterboards.ca.gov/water_issues/programs/swamp/qapp.shtml
QAPP – USEPA QAPP Website	http://www.epa.gov/quality/qapps.html
Secretary of State – Verification of corporate status	http://kepler.sos.ca.gov
State Water Resources Control Board	http://www.waterboards.ca.gov/
SWAMP – Surface Water Ambient Monitoring program	http://www.waterboards.ca.gov/water_issues/programs/swamp/
USEPA's List of Violating Facilities (for contracts/subcontracts)	http://www.epls.gov