

Please note that some of the templates/forms presented in the presentation are under revision. Please see the Finalized Project Directors Guide for up-to-date documents.

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**Prop 84 Storm Water
Grant Program (SWGP) Planning and
Monitoring -
Workshop for New Grantees**



**Wednesday, August 29, 2012
Sacramento, CA**

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SWGP Post Award Workshop

1. **Welcome**
2. Grant Agreement
3. Invoicing
4. Deliverables
5. Fraud Prevention and Detection
6. Summary

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SWGP Post Award Workshop

1. Welcome
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SWGP Post Award Workshop

2. Grant Agreement

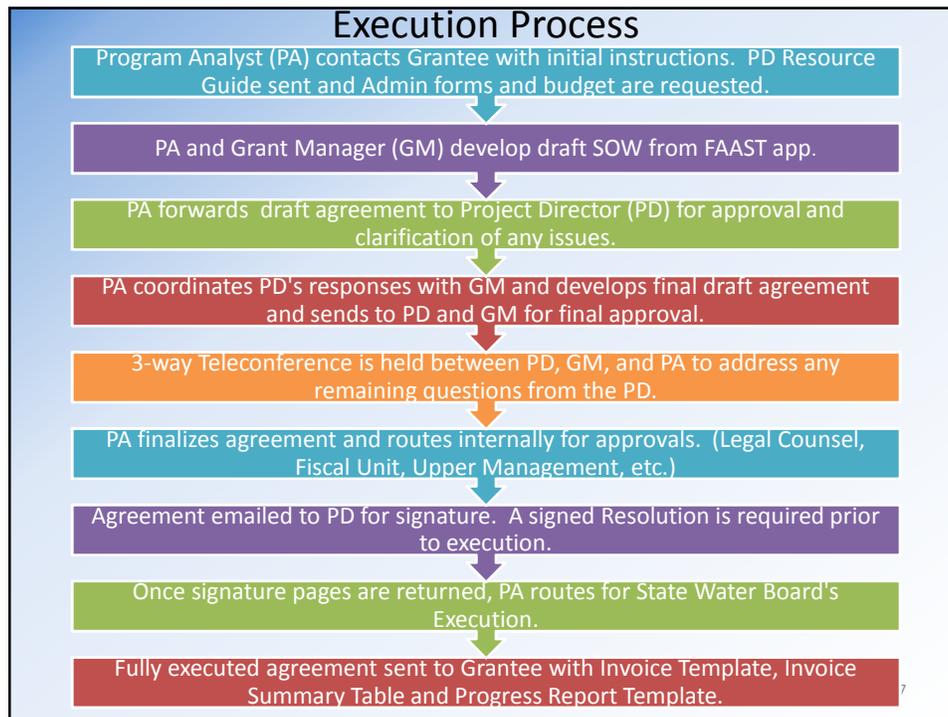
- a) Welcome Email
- b) Timeline
- c) Scope of Work – Exhibit A
- d) Deliverables – Exhibit A
- e) Budget – Exhibit B
- f) Resolution
- g) Exhibits C and D
- h) Withdrawal of Grant Funds

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Welcome Email

- 1. Project Director Certification (PD Cert)
- 2. Payee Data Record – Agency's FEIN Number
- 3. Sample Detailed Task Budget
- 4. Sample Resolution

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Scope of Work – Exhibit A

- A. Plans and General Compliance Requirements – Reporting
- B. Project-Specific Requirements

Table of Items for Review

[this is only a sample, edit as needed]

ITEM	DESCRIPTION	CRITICAL DUE DATE	ESTIMATED DUE DATE
EXHIBIT A – SCOPE OF WORK – WORK TO BE PERFORMED BY THE GRANTEE			
A. PLANS AND GENERAL COMPLIANCE REQUIREMENTS			
1.	GPS Information for Project Site and Monitoring Locations	Day 90 Prior to First Disbursement	
2.	Project Assessment and Evaluation Plan (PAEP)	Day 30	
	Non Point Source Pollution Reduction Project Follow-up Survey Form		Annually by 12/15
3.	Monitoring Plan (MP) Monitoring Reports	Day 90	Quarterly/Monthly
4.	Quality Assurance Project Plan (QAPP)	Day 90	
5.	Proof of water Quality Data Submission to CEDEN	Before Final Invoice	
6.	Copy of final CEQA/NEPA Documentation	Date Required	
7.	Public Agency Approvals, Entitlements or Permits		As Needed
B. PROJECT-SPECIFIC REQUIREMENTS			
1.	{Title of work item to be reviewed}		Month Year
a.	{Name of item to be reviewed}		Month Year
b.	{Name of item to be reviewed}		Month Year
x.	<Education/Outreach Component>	Date Required	Month Year
y.	<Post-Construction Monitoring Report>	Date Required	Month Year
EXHIBIT B – INVOICING, BUDGET DETAIL, AND REPORTING PROVISIONS			
A. INVOICING			
			Quarterly/Monthly
F. REPORTS			
1.	Progress Reports by the twentieth (20 th) of the month following the end of the calendar quarter (March, June, September, and December) delete if monthly		Quarterly/Monthly
2.	Annual Progress Summaries		Annually by 9/30
3.	Draft Project Report	Month Day Year	
4.	Final Project Report	Month Day Year	
5.	Final Project Summary	Before Final Invoice	
6.	Final Project Inspection and Certification	Before Final Invoice	9

Budget

- New budget format – consistent with invoice template
- Grantees must update project budget to fit new format
- All ineligible costs should be eliminated
 - Contingency, overhead, etc.

Budget – Categories

1. Direct Project Administration
2. Planning/Design/Engineering/Environmental
3. Construction/Implementation
4. Monitoring/Performance
5. Education/Outreach

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Budget – Category Details

1. Direct Project Administration
 - Project Administration/Invoicing
 - Progress Reports
 - Final Report

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Budget – Category Details

2. Planning/Design/Engineering/Environmental

- Planning
- Design/Engineering
- Environmental
- Permitting

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Budget – Category Details

3. Construction/Implementation

- Construction Management
- Implementation

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Budget – Category Details

4. Monitoring/Performance

- Project Assessment and Evaluation Plan
- Monitoring Plan
- Quality Assurance Project Plan
- Coordination/Planning
- Equipment
- Lab Analysis
- Data Reporting

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Budget – Category Details

5. Education/Outreach

- Coordination/Planning
- Events
- Media
- Material

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Budget Detail

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					\$0
2. Planning/Design/Engineering/Environmental	0.0%									\$0
					\$0					\$0
					\$0					\$0
					\$0					\$0
					\$0					\$0
					\$0					\$0
3. Construction/Implementation	0.0%									\$0
					\$0					\$0
					\$0					\$0
					\$0					\$0
					\$0					\$0
					\$0					\$0
4. Monitoring/Performance	0.0%									\$0
					\$0					\$0
					\$0					\$0
					\$0					\$0
					\$0					\$0
					\$0					\$0
5. Education/Outreach	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

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Line Item Budget

	Prop 84	MATCH	TOTAL
Direct Project Administration Costs	\$	\$	\$
Planning/Design/Engineering/Environmental	\$	\$	\$
Construction/Implementation	\$	\$	\$
Monitoring/Performance	\$	\$	\$
Education/Outreach	\$	\$	\$
TOTAL	\$	\$	\$

Resolution

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 (name) (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

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Exhibits

- Exhibit A – Compliance Requirements, Scope of Work, Deliverable Due Dates
- Exhibit B – Invoicing, Budget Detail, and Reporting Provisions
- Exhibit C – General Terms and Conditions
- Exhibit D – Special Conditions

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Withdrawal of Grant Funds

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Important Deadlines

- Update Project Budget by September 30, 2012
- Complete resolutions prior to signing grant agreement
- Concurrence with deliverables and workscope within 10 days
- Signed Agreement returned within 10 working days.

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Questions?

Email questions to:
DFA_Grants@waterboards.ca.gov

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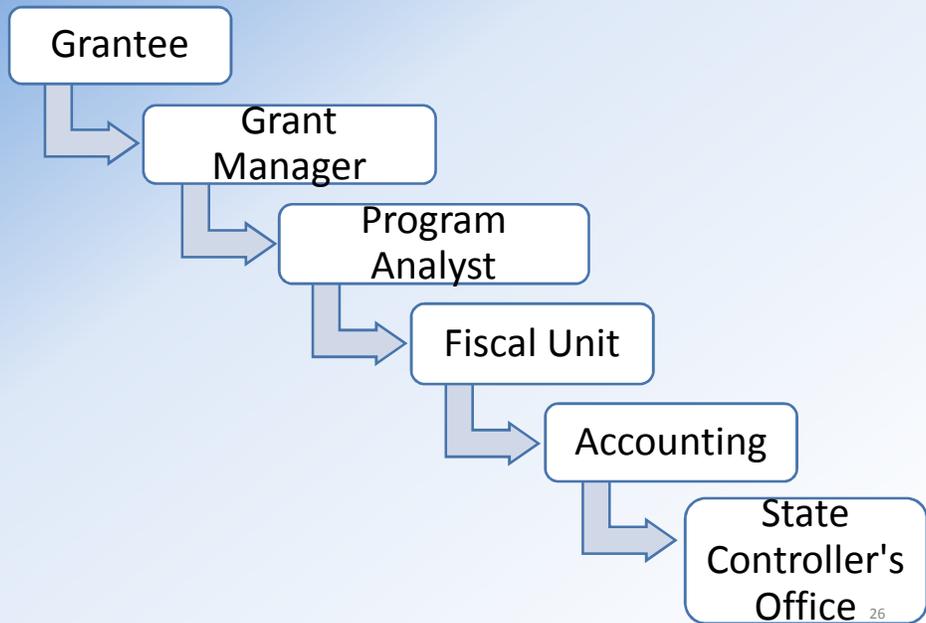
SWGP Post Award Workshop

3. Invoicing

- a) Process
- b) Template
- c) Supporting Documentation
- d) Eligible (Reimbursement or Match)
- e) Ineligible Costs (Reimbursement or Match)
- f) Progress Reports
- g) Auditable Files

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Invoice Administration Process



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Final Invoice Approval?

AFTER

- Natural Resources Project Inventory (NRPI) Survey Form
- Final Project Summary
- Final Project Visit and Certification (if applicable)
- Final Report Approval

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Breach of Agreement

- When is the BOA initiated?
 - Behind in invoicing or reporting
 - Work is not being done per the Scope of Work and Deliverables

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Invoice Template

STATE WATER RESOURCES CONTROL BOARD
STORMWATER 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 REPRODUCED

From: _____ To: _____ SWRCB Grant Agreement No.: _____
 Contact: _____, Grant Manager SWRCB PCA Number: _____
 Address: _____ State Water Resources Control Board Grant Invoice No.: _____
 City, State, Zip: _____ 1001 I Street, 11th Floor Billing Period: _____
 Phone Number: _____ Sacramento, CA 95814 Date: _____

GRANT FUNDS ONLY											
Line Item	Grant Allocation (per line item or 50%)	Event Allocation Paid to State Priority Invoice Column 10	Capital Equipment/Non- Grant Expenses Only	Capital Invoices Submittal	Amount due this Invoice <small>(Complete this if not an applicable reason)</small>	Total Approved for Payment to Date	Total Submittal	Total Invoiced to Date <small>(includes submittal)</small>	% of Grant Allocation Paid to Date <small>(8) = (6) ÷ (2)</small>	If Applicable: Match For This Reporting Period Only	Total Match
Direct Project											
Administration					\$0.00	\$0.00		\$0.00	#DIV/0!		
Planning/Design/ Engineering/Environmental					\$0.00	\$0.00		\$0.00	#DIV/0!		
Construction/ Implementation					\$0.00	\$0.00		\$0.00	#DIV/0!		
Monitoring/Performance					\$0.00	\$0.00		\$0.00	#DIV/0!		
Education/Outreach					\$0.00	\$0.00		\$0.00	#DIV/0!		
TOTALS	\$0	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	#DIV/0!	\$0.00	\$0.00

FOR STATE USE ONLY
 Date Received by GM: _____
 Date Received by PA: _____
 Date to Accounting: _____

FINAL INVOICE **TOTAL AMOUNT DUE THIS INVOICE:**

Retention
 10% of each component grant award will be held until a final component report is submitted, approved, and the component is 100% complete.

⑪ Grantee Project Director or Designated Representative Date: _____
By signing this invoice I certify, under penalty of law, that this document and any attachments were 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 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 complete, and I approve this invoice for payment.

⑬ Program Manager Date: _____

Supporting Documentation

1. Contractors and Consultants Invoices
2. Labor Certifications
3. Materials Receipts

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Format for Submitting Documentation

- Invoice Submittal Summary Sheet
- Labor Certification

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Supporting Documentation

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							
1		July 2012	Good County Labor Cert.	\$1,200.70	\$600.00	\$600.70	
2		Aug 2012	Staples/Office Depot	\$636.40	\$636.40	\$0.00	(Copies, postage, etc.)
Subtotal				\$1,837.10	\$1,236.40	\$600.70	
Planning/Design/Engine							
3	AB81234	July 2012	At the Trough Consulting	\$5,000.20	\$600.00	\$0.00	Rest of invoice ineligible for reimbursement
4	560-8-12	July 2012	Scientific Erudition	\$12,000.00	\$11,940.40	\$0.00	Rest markup, ineligible.
Subtotal				\$17,000.20	\$12,540.40	\$0.00	

Continued on next page

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Item No.	Invoice Number	Invoice Date	Name	Total Invoice Amount	Grant Amount Requested	Match Amount	Comments
Construction/Implement							
5	560-8-12	June 2012	ABC Drilling	\$15,000.30	\$15,000.30	\$0.00	Drilling Company didn't invoice in time to include in last submittal (see cert)
Subtotal				\$15,000.30	\$15,000.30	\$0.00	
Monitoring/Performanc							
6	485-2	July 2012	Sample This n' That	\$0.00	\$0.00	\$789.33	
Subtotal				\$0.00	\$0.00	\$789.33	
Education/Outreach							
7	8872	Aug 2012	Psychedelic Graphics	\$1,500.00	\$750.00	\$0.00	Half paid for by other grant funds
Subtotal				\$1,500.00	\$750.00	\$0.00	
Grand Total:				\$35,337.60	\$29,527.10	\$1,390.03	
Other Funding Sources: USDA Funding Program							

Labor Certification

- Name
- Classification
- Hourly rate (fully loaded)
- Number of hours worked in billing period

*Also used for Volunteer work submitted for match

Eligible costs (Reimbursement and Match)

- Grantee's personnel hours
- Volunteer hours (match)
- Consulting and Contractors Invoices
- Supplies and materials directly related to project

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Ineligible Costs (reimb. or match)

Some examples of ineligible costs are:

- Mark Up/Surcharge
- Per Diem/Out of State Travel
- Tuition fees (Fee remission)
- Overhead

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Ineligible Costs (reimb. or match)

- Deductible for insurance
- Food and beverages
- Audit costs
- Legal Costs (some exceptions)
- Land Purchase

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ment & Engineering Services							
	Project Engineer	3.0	\$ 120.00	\$ 360.00	\$ -	\$ -	\$ 360.00
	Project Engineer	13.0	\$ 120.00	\$ 1,560.00	\$ 388.00	\$ 27.16	\$ 1,975.16
	Project Engineer	2.0	\$ 160.00	\$ 320.00	\$ -	\$ -	\$ 320.00
	Engineer	43.0	\$ 105.00	\$ 4,515.00	\$ -	\$ -	\$ 4,515.00
	Administrative Support	2.0	\$ 70.00	\$ 140.00	\$ -	\$ -	\$ 140.00
	Cadd Operator	4.0	\$ 80.00	\$ 320.00	\$ -	\$ -	\$ 320.00
	Engineer	32.0	\$ 130.00	\$ 4,160.00	\$ 4,603.24	\$ 322.23	\$ 9,085.47
	Sr. Project Manager	12.0	\$ 195.00	\$ 2,340.00	\$ -	\$ -	\$ 2,340.00
	Sr. Project Manager	1.0	\$ 215.00	\$ 215.00	\$ -	\$ -	\$ 215.00
	Project Engineer	1.0	\$ 125.00	\$ 125.00	\$ -	\$ -	\$ 125.00
	Sr. Project Manager	28.0	\$ 195.00	\$ 5,460.00	\$ 1,669.98	\$ 116.90	\$ 7,246.88
	Project Engineer	6.0	\$ 155.00	\$ 930.00	\$ -	\$ -	\$ 930.00
	Construction Manager	32.0	\$ 170.00	\$ 5,440.00	\$ -	\$ -	\$ 5,440.00
	Sr. Engineer	8.0	\$ 170.00	\$ 1,360.00	\$ -	\$ -	\$ 1,360.00
	Sr. Project Engineer	2.0	\$ 175.00	\$ 350.00	\$ -	\$ -	\$ 350.00
	Engineer	92.0	\$ 110.00	\$ 10,120.00	\$ 4,181.85	\$ 292.73	\$ 14,594.58
	Construction Manager	5.0	\$ 217.00	\$ 1,085.00	\$ -	\$ -	\$ 1,085.00
	Construction Manager	119.0	\$ 176.00	\$ 20,944.00	\$ -	\$ -	\$ 20,944.00
	Senior Inspector	78.0	\$ 168.00	\$ 13,104.00	\$ -	\$ -	\$ 13,104.00
	Administrative Support	65.0	\$ 78.00	\$ 5,070.00	\$ -	\$ -	\$ 5,070.00
	Per Diem				\$ 1,778.00	\$ 124.46	\$ 1,902.46
	Manhour Subtotal	548.0					
Misc. Expenses	Fixed Amount per Billed Hour	548.0	\$ 8.75				\$ 4,795.00
Direct Expenses	Invoice Cost				\$ 4,242.00	\$ 295.94	\$ 4,538.94
Field Inspection Vehicles	Fixed Amount per Billed Hour	234.0	\$ 13.50		\$ 3,159.00	\$ 221.13	\$ 3,380.13
	Subtotals			\$ 77,918.00	\$ 20,022.07	\$ 1,401.54	\$ 104,136.61
Subtotal For Task Order #4							

Invoice

Invoice No.: 40
 Project Name: [REDACTED]
 Invoice Date: August 12, 2008
 Billing Period: June 1, 2008 thru July 31, 2008
 Payment Due: August 27, 2008
 Terms: 15 Net Days
 Contact: [REDACTED]
 Telephone: [REDACTED]

g Title	Hours	Rate	Labor	Direct Expense	Fee (7%)	Amount	Totals
				✓ \$ 489,751.00	\$ 34,282.57	\$ 524,033.57	
Subtotals				\$ 489,751.00	\$ 34,282.57	\$ 524,033.57	\$ 524,033.57
Support	20.0	\$ 90.00	\$ 1,800.00	\$ -	\$ -	1,800.00	
Engineer	1.0	\$ 170.00	\$ 170.00	\$ -	\$ -	170.00	
ive Support	42.0	\$ 78.00	\$ 3,276.00	\$ -	\$ -	3,276.00	
in-hour Subtotal	63.0						
per Billed Hour	63.0	8.75				551.25	
se Cost				5,384.48	376.91	5,761.39	
per Billed Hour		\$ 13.50					
Subtotals			\$ 5,246.00	\$ 5,384.48	\$ 376.91	\$ 11,558.64	\$ 11,558.64
							Subtotal For Task Order #1 \$ 535,992.21
				✓ \$ 278,999.34	\$ 19,529.95	\$ 298,529.29	
Subtotals				\$ 278,999.34	\$ 19,529.95	\$ 298,529.29	

Auditable Files

- Grantees Responsibility
- Loose Threads
- Pay Back

Progress Reports - Content

- Should include:
 1. Summary of Work Completed to Date
(Deliverable Table from Grant Agreement)
 2. Progress Report Narrative
 - a) Introduction
 - b) Summary of Activities for Reporting Period
 - c) Summary of Items for Review
 - d) Summary of Items in Progress
 - e) Additional Information
 - f) Photos

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Progress Reports - Content

- 2(a): Progress Report Narrative: Introduction
- Should be a summary of the project as described in the grant agreement
 - Provides the necessary detail to fully describe project to an outside onlooker

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Progress Reports - Content

2(b): Progress Report Narrative: Summary of Activities

- Describes what was completed this reporting period
- Should justify reimbursement AND matching funds
- Provides a foundation for the Annual Report

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Progress Reports - Content

2(c-d): Progress Report Narrative:

1. Summary of Items for Review
2. Summary of Items in Progress

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Progress Reports - Content

Summary of Items for Review

- Invoice #2
Project Administration (Cumulative 5% complete)
Project administration included the compilation of Invoice 2 and submittal of the Mitigated Negative Declaration for comments from the public. The final MND will be submitted in the following reporting period.

- Monitoring Report – Quarter 4 2011
Monitoring Report (Cumulative 10% complete)
The monitoring report for the fourth quarter of 2011 is included for review. In general, the sampling results were as expected. Continued monitoring and reporting will continue for the life of the grant.

- Mitigated Negative Declaration (DRAFT)
Mitigated Negative Declaration (DRAFT) (Cumulative 100% complete)
The MND was completed and submitted for public comments on February 15, 2013. The comment period was open for 30-days. Minimal comments were received. The Final MND will be submitted in the following reporting period with all comments being addressed.

Summary of Items in Progress

EXHIBIT A

- 2 Non-Point Source Pollution Reduction Project Follow-up Survey Form (Cumulative 0% complete) – This deliverable has yet to begin.
- 3 Monitoring Reports (Cumulative 10% complete) – Monitoring began last quarter; two monitoring reports have been submitted for review.
- 5 Proof of WQ Data Submission to CEDEN (Cumulative 20% complete) – As results are available, they are being uploaded into the CEDEN database as required.
- 6 CEQA Documentation (Cumulative 90% complete) – As mentioned above, the Draft MND went out for public review and comments were received; a copy of the Draft MND is submitted with this report.
- 7 Public Agency Approvals, Entitlements, or Permits (Cumulative 80% complete) – One land owner agreement is pending; however, we have received a letter of support from that land owner and the agreement is expected to be completed by the next reporting period; Coastal Development Permit and RWQCB 401 Certification; the Streambed Alteration Permit (DFG 1600) is pending finalization, which is expected to be completed by May 2013.

EXHIBIT B

- 1 Progress Reports (Cumulative 20% complete) – continues on a quarterly basis; no delays or issues to report.
- 2 Annual Progress Reports (Cumulative 10% complete) – The first progress report has yet to be required; however, progress is being made with each quarterly Progress Report.
- 3 Awarded Bid Documents (Cumulative 80% complete) – The bid documents have been completed and are in review with the City's Engineers. The project is expected to go out to bid in May 2013 and be awarded in July 2013. The project is ahead of schedule for this task.

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Progress Reports - Content

2(e): Progress Report Narrative: Additional Information

- Items submitted, but do not require review
- Items not listed on the Deliverable Table of grant agreement

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Progress Reports - Content

2(f): Progress Report Narrative: Photographs

- If appropriate, include photographs of the Project's progress
- Most P&M will not have photographs; however, can include:
 - Brochure &/or mailer
 - Conceptual designs
 - Summary of monitoring
 - Table of Content, List of Figures, List of Tables for Plan

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Progress Reports - Example

- A copy of an Example Progress Report in PDF will be available soon on our website

http://www.waterboards.ca.gov/water_issues/programs/grants_loans/prop84/index.shtml

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Questions?

Email questions to:
DFA_Grants@waterboards.ca.gov

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SWGP Post Award Workshop

4) Deliverables

- a) CEQA
- b) Performance Measures
- c) Annual Summaries/PAEP Status Updates
- d) Final Project Reports

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CEQA

- California Environmental Quality Act (CEQA)
- All State Water Board grants are subject to CEQA

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CEQA - Who prepares CEQA Documents?

- The Lead Agency (usually the grantee) prepares and circulates environmental documents
- The Lead Agency must be a public agency (i.e. local, regional or state government)
- The State Water Board will act as the Lead Agency for non-governmental organizations

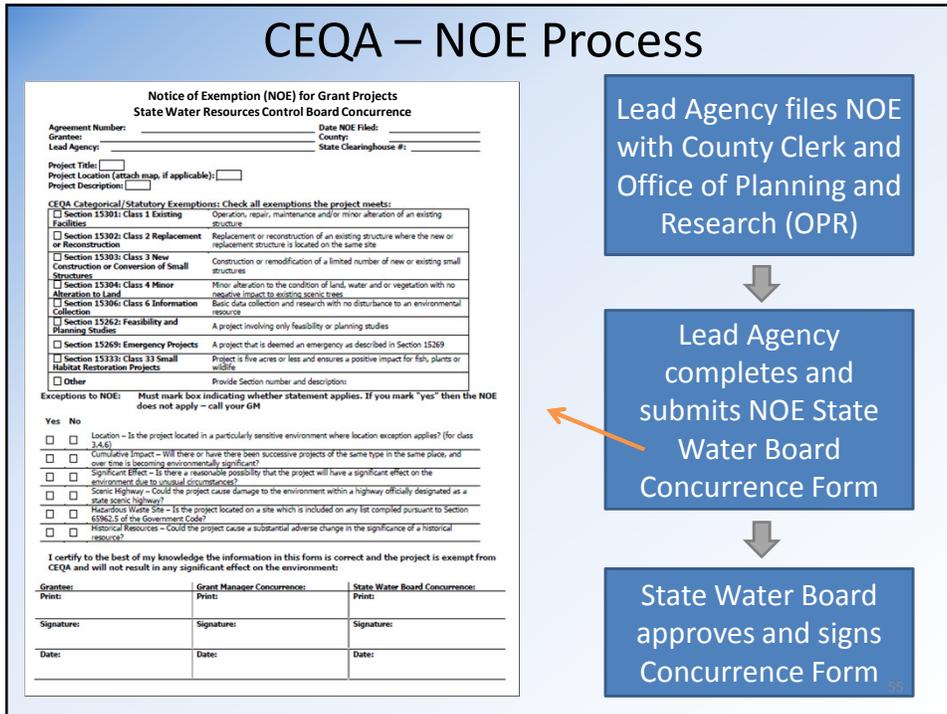
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CEQA - Types of Environmental Documents

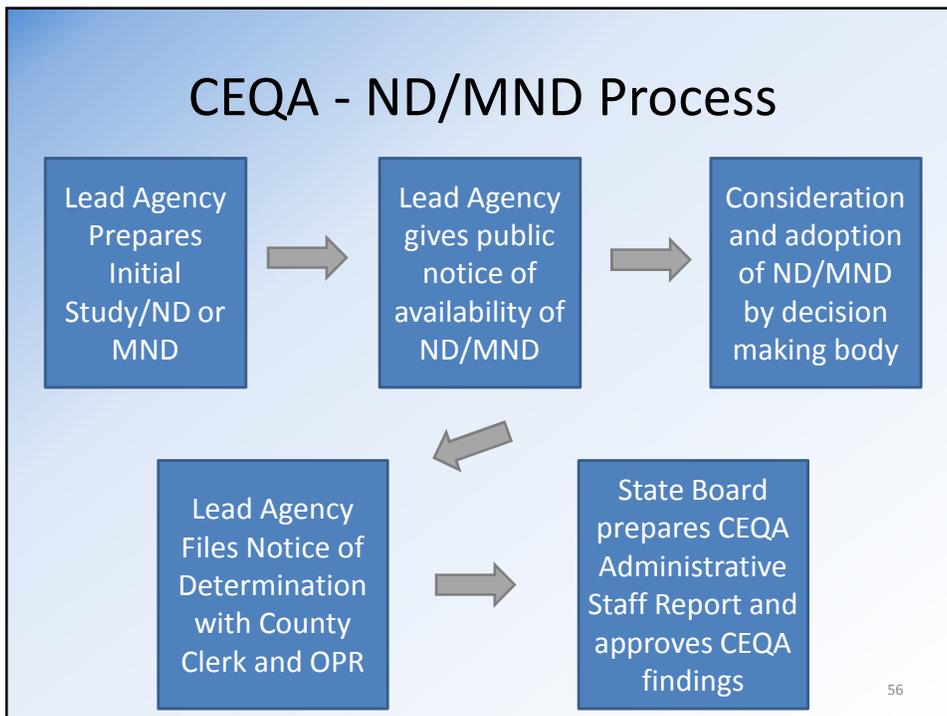
- Notice of Exemption (NOE)
- Negative Declaration (ND)
- Mitigated Negative Declaration (MND)

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CEQA – NOE Process



CEQA - ND/MND Process



CEQA - Documents for Environmental Clearance

- Project Description (~1 page)
- Permits
- Final Environmental Document (NOE, ND, MND)
- State Water Board NOE Concurrence Form (NOE only)
- Notice of Determination (ND & MND only)
- Mitigation Monitoring and Reporting Plan (MND only)

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CEQA - Reminders and Resources

- State-funded activities subject to CEQA shall not begin until the State Water Board's CEQA findings are approved
- Resources
 - SWGP Guidelines:
Appendix G: Environmental Review, Page 63
 - CEQA Guidelines:
<http://ceres.ca.gov/ceqa/>
 - DFA SRF Environmental Compliance Webpage:
http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/envcompliance.shtml

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Performance Measures

- Project Assessment and Evaluation Plan (PAEP)
- Monitoring Plan (MP)
- Quality Assurance Project Plan (QAPP)

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Project Assessment & Evaluation Plan (PAEP)

- What is a PAEP?
 - Documents the grantee's intended actions towards goals
 - A roadmap and tracking device to achieve results
 - Summarizes information that will be collected during project



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PAEP – What is a PAEP?

- Identifies measures that can be used to monitor progress
- A tool for grantees and grant managers to determine fulfillment of grant requirements
- Maximizes value of public funds to achieve environmental results/benefits

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PAEP - Purpose

- Can answer questions:
 - Does the Project meet the intent of the Bond Act and Funding Program?
 - Are the Project Goals realistic?
 - Have ecosystem health and water quality improved as a result of the \$\$ awarded?
 - Which watersheds in my bioregion are in poor, fair, good, and excellent condition?
 - Which stressors on the ecosystem are the most important ones in my watershed?

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PAEP - Purpose

Communication and Accountability Tool (SB 1070)

- Provide data to the public (via the internet) that shows how bond money is being used
- Develop monitoring & assessment information to report on environmental changes & conditions over time

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PAEP - Purpose

Public Resource Code 75050.2(c)

Grant Recipients shall report on Project effectiveness:

- Monitoring receiving water quality
- Pollutant load reductions
- Improvements in stormwater discharge water quality

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PAEP

Project Activity Categories:

1. Planning, Research, & Assessment
2. Education, Outreach, & Capacity-building
3. Habitat Restoration



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PAEP

Project Activity Categories:

4. Pollutant Load Reduction
5. Water Conservation, Reliability Enhancement, & Recycling
6. Flood Attenuation & Floodplain Protection



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PAEP – Performance Measure Table

Project Goals	Desired Outcomes	Output Indicators	Outcome Indicators	Measurement Tools & Methods	Targets
<p>1. Who, what, by when, & how?</p>	<p>What do you want by the end of your project?</p> <p>The desired outcome should be achievable, measurable, and as tangible as possible.</p> <p>The desired outcome should be able to be met by reaching your goal stated.</p> <p>However, you may have multiple desired outcomes per goal.</p>	<p>1. <u>What things will be produced</u> as a result of working toward your goal?</p> <p>And what are your measurement units for <u>measuring these things produced</u>?</p> <p>The units should be general quantitative units of <u>output</u>.</p> <p>Output Indicators can be an indirect measure of your goal.</p>	<p>1. What quality, social behavioral or environmental condition, will be <u>changed</u> to indicate that the goal will be met?</p> <p>And what are the general measurement units for <u>measuring these changes</u>?</p> <p>Outcome Indicators should be units to measure your goal directly.</p>	<p>1. <u>Tools</u>- What will you use as a ruler to measure the target?</p> <p>2. <u>Methods</u>- -What is the name of the scientific method being used? -Can it be sited from somewhere or explained? -Will it be in your QAPP or Monitoring Plan?</p>	<p>1. What is the specific measurement you would like to reach by the end of your goal deadline, that will indicate you have reached your desired outcome?</p> <p>Note: The measurement units should match the measurement units stated in the <u>Outcome Indicator Column</u>, & be measured using the tool & method stated in the <u>Measurement Tools & Methods column</u>.</p> <p>There may be multiple targets for each goal & desired outcome.</p>

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Monitoring Plan (MP) and Quality Assurance Project Plan (QAPP)

- MP – Required if project includes Water Quality or environmental monitoring
 - Locations, frequencies, media, and constituents
 - Field sampling protocols
 - Responsibilities
- QAPP Ensure data quality meets project needs
 - Data Quality Objectives and Indicators
 - Standardized procedures/Quality Assessment Plan
 - Quality Control samples
 - Data validation and management (CEDEN)

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Performance Measures - Resources

PAEP Training Materials are found at:

http://www.waterboards.ca.gov/water_issues/programs/grants_loans/paep/paep_training.shtml

Developing a PAEP website:

http://www.waterboards.ca.gov/water_issues/programs/grants_loans/paep/index.shtml

Developing a MP and QAPP:

http://www.waterboards.ca.gov/water_issues/programs/swamp/tools.shtml#ga

69

Annual Report & PAEP Status Updates

- New template will be available online
- Annual Reports will now include the annual PAEP update section
- Should summarize your year of quarterly Progress Reports

70

Annual Report & PAEP Status Updates - Content

- Will include the following:
 1. Background
 2. Project Description
 3. Project Status
 4. PAEP Status Update

71

Annual Report & PAEP Status Updates -Content

1. Annual Report: Background
 - Location map
 - City & County
 - Watershed
 - Historical Uses
 - Problem addressed

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Annual Report & PAEP Status Updates -Content

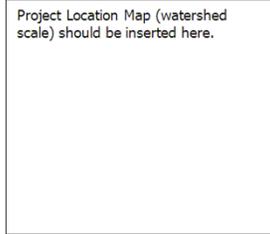
PROJECT NAME – GRANT NUMBER

Grant Program Name

City, California
Annual Update Summary

Background

Project Location Map (watershed scale) should be inserted here.



This section should include: City and County information; discussion of the watershed; historical uses; problem the project addresses.

73

Annual Report & PAEP Status Updates - Content

2. Annual Report: Project Description

- Photo of:
 - Site Map
 - Plan(s)
 - Aerial Photos
 - 1-2 photos/maps
- Discussion of project & problem(s)
- How project addresses problem(s)
- List of tasks

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Annual Report & PAEP Status Updates -Content

Project Description

Project description should include: discussion of the project; how the project will address the problem discussed in Site Description; list the different tasks associated with the project.

Project Site Map, Plans, or Aerial Photograph should be inserted here. May include 1-2 photos/maps.

75

Annual Report & PAEP Status Updates - Content

3. Annual Report: Project Status

- 2-3 Site Photos
- Discuss:
 - What has been completed to date?
 - What tasks remain?
 - Issues that arose, how addressed, & deviations
 - Cost estimate, actual cost, remaining budget
 - Schedule: what's occurring to get project back on task?

76

Annual Report & PAEP Status Updates -Content

Project Status

If appropriate, insert 2-3 site photographs in this section. If there is construction, include construction photographs.

Include what has been completed to date. Discuss what needs to be completed. Discuss issues that arose, how those issues were addressed, and if any deviations from the original scope of work were required. Discuss cost estimate, actual cost, and remaining budget (is the budget more than expected, are you receiving change orders, etc.). This section should include a discussion of the schedule and whether those critical dates and estimated dates in the grant agreement are being met. If they are not, what is occurring to get the project back on track?

Project Name – Grant Number

Page 1

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Annual Report & PAEP Status Updates - Content

4. PAEP Status Update should include:

- Are targets being met?
- Staying on task?
- List targets and discuss each
- Is an updated PAEP needed?
- If so, an updated PAEP should be included

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Annual Report & PAEP Status Updates - Template

- The template will be located at:

http://www.waterboards.ca.gov/water_issues/programs/grants_loans/prop84/index.shtml

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Final Project Report

**Your chance to really sell us on
your project and achievements.**

80

Final Project Report - Goals

- Capture project importance
- Highlight specific achievements
- Identify lessons learned
- Stand-alone document telling us what you did and why it was a good use of State funds

81

Final Project Report - Content

1. Title Page

Project title, final report date, watershed, project type, funding source(s), grant agreement number, and grant amount

2. Table of Contents

82

Final Project Report - Content

3. Executive Summary/Introduction
4. Problem Statement & Relevant Issues
5. Project Goals

83

Final Project Report - Content

6. Project Description
 - Project type (ex., stormwater planning & monitoring projects)
 - Project details
 - Maps/figures
 - Project costs
 - Project methodology

84

Final Project Report - Content

6. Project Description cont'd...

- Pre-project photos and/or data
- Post-project photos and/or data
- Analysis of data
- Results and outcomes

85

Final Project Report - Content

7. Project Evaluation & Effectiveness

- Discuss & include your PAEP (targets & goals)
- Project effectiveness
- Project costs, deliverables, schedule
- Lessons learned

8. Public Outreach

86

Final Project Report - Content

9. Conclusions & Next Steps

10. Appendices:

- Photos or Meeting Minutes
- PAEP table
- Water quality data
- Public outreach literature

87

Final Project Report - Summary

- Draft Report: ~ 2-3 months prior to work completion date
- Final Report: MUST be submitted before work completion date
- Final Reports to be uploaded to FFAST:
<https://faast.waterboards.ca.gov/>

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Questions?

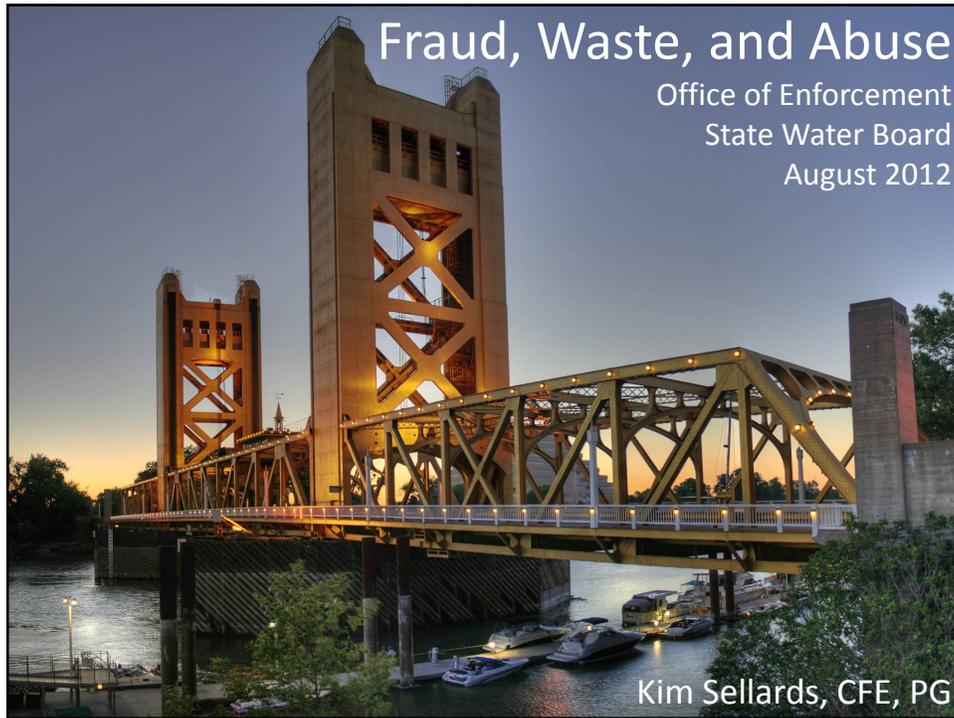
Email questions to:
DFA_Grants@waterboards.ca.gov

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SWGP Post Award Workshop

1. Welcome
2. Grant Agreement
3. Invoicing
4. Deliverables
- 5. Fraud Prevention and Detection**
6. Summary

90



Overview

1. What is Fraud?
2. Red Flags
3. Investigations



1

Fraud, Waste, & Abuse

What is Fraud?

1

Black's Law Dictionary defines fraud as:

“a knowing **misrepresentation** of the truth or **concealment** of a material fact to induce another to act to his or her detriment”



How Much Fraud Is There?

1



STATE OF CALIFORNIA
OFFICE OF THE INSPECTOR GENERAL
AMERICAN RECOVERY ACT FUNDS

FOR IMMEDIATE RELEASE
Wednesday, August 12, 2009

FOR MORE INFORMATION:
Rob Wilcox 916-397-8240

Federal, State and Local Officials Warn of

... we've come to realize that 10 to 15 percent of the federal funds expended are lost to fraud, waste and/or abuse."

bilions of dollars in Stimulus and Recovery Act funds are doled out in California over the next few years. Whether in defense procurement, health care, infrastructure replacement, housing, or disaster relief programs, to name a few, we've come to realize that 10 to 15 percent of the federal funds expended are lost to fraud, waste and/or abuse." said Joseph P. Russoniello, U.S. Attorney for the Northern District of California. "We are determined to do everything in our power to break that cycle."

"Working with our partners in state and local prosecutors' offices and with the California and federal Offices of Inspectors General, we hope to identify, early on, recipient-based scams and other artifices," Russoniello continued. "We will then use the full force of our audit and enforcement authority to prevent taxpayer monies from being misspent, if at all possible, and give high priority to the prosecution of unscrupulous individuals and enterprises intent on illegally benefitting from programs designed to help Californians get through this economic downturn."

more

2

Red Flags

Inconsistencies - Technical

2

ATS
LABORATORIES

Lad No 3053
 [Redacted] County, Md
 Wastewater

Reported 6-12-03
 Received 6-3-03

Effluent	Results	Units	DLR	Method
Bod	43.2	mg/l	1	5210B
Suspended	40.5	mg/l	1	2540D
Total dissolve	921	mg/l	1	250C
Infuent				

My lad assistants spilled the infuent samaly on Wednesday the 6-3-03.

Significant Digits - Payments

2

SERVICES PROVIDED FOR QUARTERLY GROUNDWATER MONITORING

Site: [Redacted]

Project Cost..... \$10,000

TOTAL DUE THIS INVOICE..... \$10,000

Accounts past due will accrue interest at 1.5% monthly.

Altered Documents - Payments

2

Solléco
1270 N. Red Gum
Anaheim, CA 92806

Invoice #
Date: 10/15/2002 Invoice #: 2618

Bill To		Ship To	
E2C Remediation 5300 Woodmere Dr., Ste 105 Bakersfield, CA 93313		E2C Remediation 5300 Woodmere Dr Bakersfield, Ca 93313	

P.O. Number	Terms	Rep	Ship	Via	F.O.B.	Project
	Due on completion	JDT	10/15/2002	Our Truck	Bakersfield	

Quantity	Item Code	Description	Price Each	Amount
1	Equip. Sales	300 ECAT Electrical Catalytic Oxidizer Sales Tax	49,500.00 7.75%	49,500.00 3,836.25

Altered Documents - Payments (cont)

2

SOLLECO
1270 N Red Gum
Anaheim, CA 92806
(714) 575-0025 Fax (714) 575-0026

Invoice #
DATE: 10/15/2002 INVOICE #: 2618

BILL TO		SHIP TO	
Three Way Leasing PO Box 9609 Bakersfield, CA 93389		E2-C Incorporated LLC Kens Auto 6787 Adams Culver City, CA	

P.O. NUMBER	TERMS	REP	SHIP	VIA	F.O.B.	PROJECT
Solleco Contract	Due On Completi...	JDT	10/15/2002	Our Truck	Culver City	Job # C1115

QUANTITY	ITEM CODE	DESCRIPTION	PRICE EACH	AMOUNT
	Component	500 TCAT Thermal Catalytic Oxidizer (Serial # <u>C1115</u>) Sales Tax - Resale	36,450.00	36,450.00 0.00

nd 11/22/02

Supporting Documents - Payments

2

GROUNDWATER MONITORING February 2011

Field Technician:	13 hours @ \$70/hr.	\$910
Field Geologist:	13 hours @ \$90/hr.	\$1,170
Health and Safety Equipment:		\$255
Sampling Supplies:		\$383
Chemical Analysis:	\$1,400 + 15% =	\$1,610
Truck:		\$60
Report Preparation:	11 hours @ \$105/hr	\$1,155
Principle Review:	1 hour @ \$145	\$145
Clerical:	4 hours @ \$55/hr.	\$220
pH/condo meter:		\$50
TOTAL		\$5,958

Excessive Costs - \$1K to Dispose of a Drum

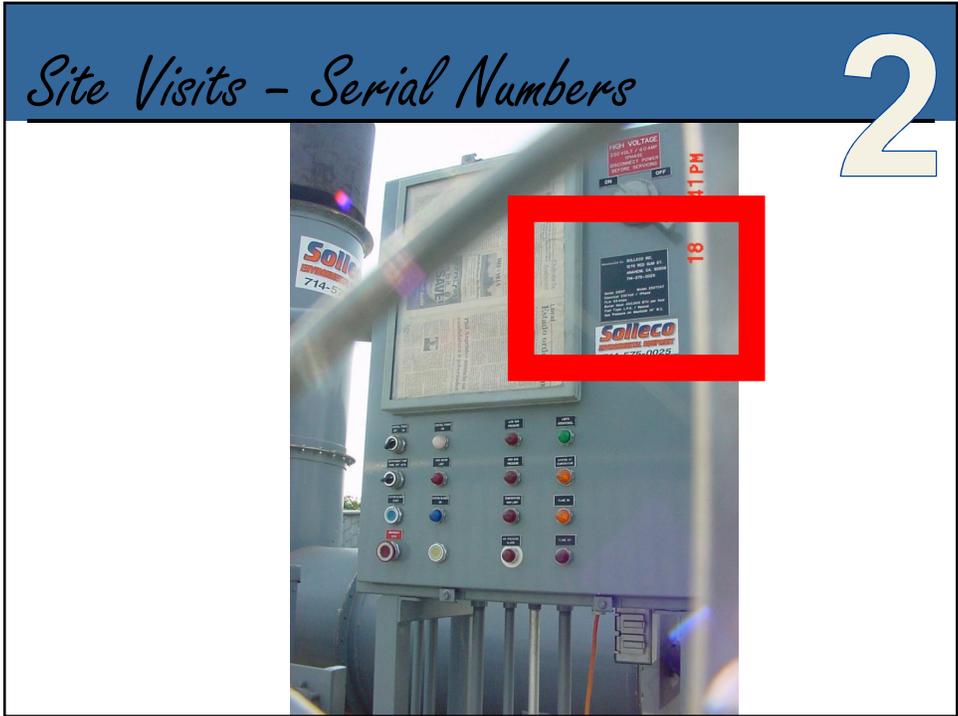
2

Waste Disposal / Remediation Sludge (January 2009): Soil generated during remediation system cleaning was characterized, profiled, and manifested; transportation of the soil from the site to an appropriate recycling/disposal facility was coordinated and disposed of on January 22, 2009. [redacted] removed and transported one, 55-gallon drum of soil from the site to [redacted], for disposal.

	Units	Rate	Total
Project Geoscientist	1 hour	\$ 105.00	\$ 105.00
Staff Geoscientist	5 hours	\$ 90.00	450.00
Technician	4 hours	\$ 70.00	280.00
Truck, Liftgate	1/2 day	\$ 195.00	97.50
Drum Carrier & Small Tools	1/2 day	\$ 55.00	27.50
Disposal of Non-Hazardous Sludge (55 gallons)			85.96
Miscellaneous Materials & Supplies (gloves, safety supplies, etc.)			12.04
INVOICE TOTAL			\$ 1,058.00

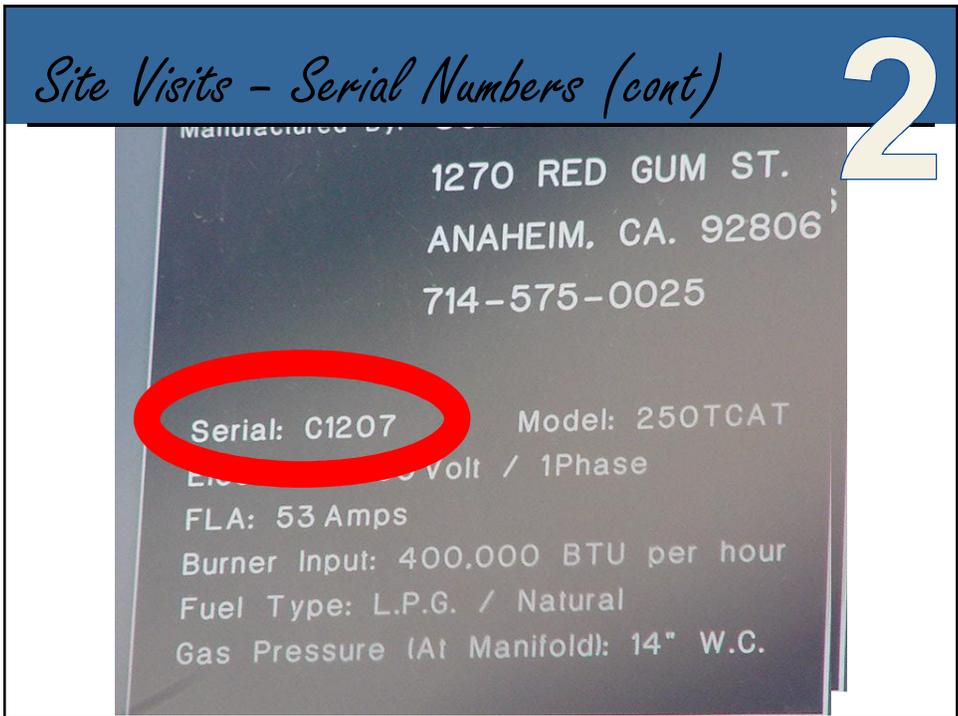
Site Visits - Serial Numbers

2



Site Visits - Serial Numbers (cont)

2



3

Investigations

3

OWNERS OF SOUTHERN CALIFORNIA ENVIRONMENTAL CONSULTING FIRM CHARGED WITH FRAUD

State Water Board and State Attorney General Announce Arrests

FOR IMMEDIATE RELEASE
May 10, 2012

Contact: Kathie Smith – (916) 341-5263

SACRAMENTO – Today, the State Attorney General's Office charged Kurt and Julie Hayden, owners of Hayden Environmental Inc. (HEI), a Santa Barbara-based environmental consulting firm, with fraudulently obtaining money from the State Water Resources Control Board's (Water Board) Underground Storage Tank Cleanup Fund (Cleanup Fund).

The arrest and criminal charges of the Haydens came after agents searched the couple's multi-million dollar residence in Santa Barbara and their vacation home at June Lake, California. Agents seized numerous boxes, which contained records implicating the Haydens in the fraud. If convicted, Kurt and Julie Hayden could each face up to five years in state prison.

The criminal complaints allege that the Haydens, and their company, HEI, conspired to commit grand theft, committed grand theft, and presented fraudulent claims for reimbursement of work that was not performed, all of which are felonies under California law.

The Haydens are alleged to have received money from the Cleanup Fund for performing work in Santa Barbara during a time when the couple was known to be in Costa Rica. In addition, the complaints allege that the couple inflated invoices for other work, resulting in the Cleanup Fund overpaying as much as 200 percent on some charges, through overbilling for equipment and payroll.

Complaint Reporting

3

The Fund has several ways for you to report fraud:

1. Email us at reportfraud@waterboards.ca.gov
2. Call our toll-free message line at 1-855-263-0863
3. Complete our [Fraud Reporting Complaint Form](#) and return to us by:
 - Email at: reportfraud@waterboards.ca.gov
 - Mail forms to:
State Water Board
Office of Enforcement
P. O. Box 100
Sacramento, CA 95812
 - Fax forms to: (916) 341-5896

Kim Sellards

ksellards@waterboards.ca.gov

916-341-5869



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- 6. Summary**

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Questions?

Email questions to:
DFA_Grants@waterboards.ca.gov

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