Shoreline Master Program Grant Policies & Procedures

Carrie Byron
Shorelands & Environmental Assistance Program
SMP New Grantee Orientation Meeting
July 15, 2009

DEPARTMENT OF ECOLOGY
State of Washington

Overview

- Grant Agreements
- Budget Basics
- Invoicing
- Progress Reports
- Amendments
- Record Keeping
- Common Pitfalls

Grant Agreements

- Goal is to get them all signed ASAP
- Work with your Ecology Project Officer to finalize scope of work and budget
- Letters of Prior Authorization going out this week
- Cannot bill until formal grant agreement is signed

Budget Basics

- This biennium we received an additional $3 million for SMP grants in the Puget Sound area (in addition to the $4.5 million base funding level)

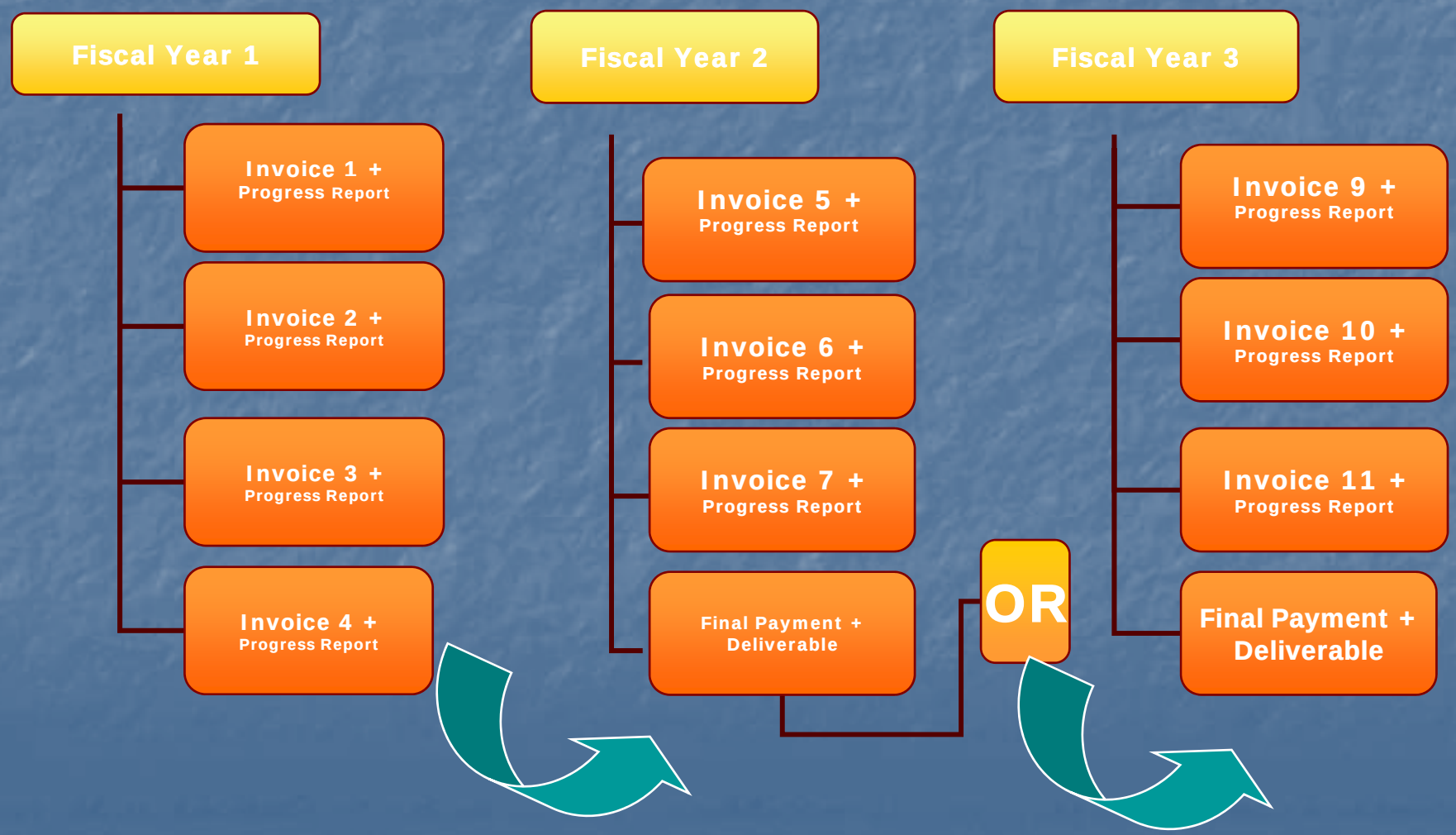
- Different fund sources have different requirements
  - Puget Sound jurisdictions have more flexibility in spending money across fiscal years
  - Non-Puget Sound jurisdictions must spend according to annual budget

- All money appropriated in the 2009-2011 biennium must be spent by June 30, 2011

Budget Tips

- Plan carefully
- Monitor expenses
- Stay on budget if possible
- Keep Ecology informed

Invoicing Schedule



Requesting Payments

- Invoices have 2 purposes
  - Provide documentation necessary for payment
  - Monitoring tool for project officers
- Ecology awards grants on a reimbursable basis - the recipient incurs the costs and then bills us.

Requesting Payments

- Regular payment requests are due within 20 days after the end of the quarter – October 20, January 20, April 20, July 20.
- Submit payment requests no more often than once a month, but at least quarterly.
- The final payment request date and processing procedure for the biennium are established by OFM through our Fiscal Office.

Invoicing Forms

Voucher Support Form C2

Running Budget Summary Form B2

Invoice Voucher Form A-19 , signed in blue ink

Progress Report

Form A-19-1A (Rev. 10/00) ECY 060-02	State of Washington INVOICE VOUCHER	Form A	AGENCY USE ONLY: AGENCY NO. / LOCATION CODE / P.R. OR AUTH NO.

AGENCY NAME

1. Ecology Project Officer — Program:

Washington State Department of Ecology
P.O. Box 47600, Olympia, WA 98504-7600

2. Grant/Loan/ Recipient (Warrant is to be payable to:)

Federal ID No:

3. Payment Request No.

4. Agreement No.

Vendor's Certificate. I hereby certify under penalty of perjury that the items and totals listed herein are proper charges for materials, merchandise or services furnished to the State of Washington, and that all goods furnished and/or services rendered have been provided without discrimination because of age, sex, marital status, race, creed, color, national origin, handicap, religion, or Vietnam era or disabled veterans status.

5. By: **X**

Grant Recipient (sign in **blue** ink)

Type Name — Title — Date

6

Prepared By: — Tel. No.

Recevied by: — Date Received

7	Effect. Date — Expir. Date		**ECY** Project Officer Approval for Payment / Performance Certification			
8	Billing Period From — to		**X** — Date:			
9	Fund Source Name: **SMA**	**Cumlative Total**	**Year 1 09-10***	Year 2 10-11*	Year 3 11-12*	Year 4
10	Amount of Grant/Loan from Fund					
11	Cumulative Amount Requested					
12	Previous Cumulative Amt Requested					
13	**Current Request / Payment Due**					
14	Grant/Loan Remaining in the fund					

*** funds unspent by June 30 of that year revert to source**

All payments are made subject to federal and/or state audit.

DOC DATE	PAY DUE DATE	CURRENT DOC NO	REF DOC NO	VENDOR NO	VENDOR MESSAGE	SF TAX	[illegible]

[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

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WASHINGTON STATE DEPARTMENT OF ECOLOGY

FORM B2: RUNNING BUDGET SUMMARY for PROJECTS with CASH EXPENDITURES ONLY

Use one form for each group of costs with the same eligibility requirements.

Agreement No.: Recipient: Payment Request No.: Page: of

FOR PROJECTS WITH MORE THAN ONE GROUP OF ELIGIBILITY REQUIREMENTS: Group No.: ___ Fund Source(s): _____

(1) Task No.	(2) Cash Expenditures This Request	(See instructions) (3) Elig. %	(4) Elig. Am't	(5) Cumulative Cash Expenditures on Prev. Form B2	(6) New Cumulative Cash Expenditures	(7) Year ___ 2009-2011 Budget	(8) Eligible Cumulative Element Cost
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00	100%	$0.00	$0.00	$0.00		$0.00
	$0.00		$0.00		$0.00		(9) $0.00

(10) For each fund administered by Ecology that supports this group of costs, enter the name of the fund and the fund share (%) at right.	Fund: SMA Share: 100 %	Fund: _ Share: %	Fund: _ Share: %
(11) Compute fund amounts. In each column, multiply box 9 above by the fund share (%) in line 10 and enter the			

ECY 060-07 (6/95)

WASHINGTON STATE DEPARTMENT OF ECOLOGY

FORM C2: VOUCHER SUPPORT for PROJECTS with CASH EXPENDITURES ONLY

Use one form for each group of costs with the same eligibility requirements.

Agreement No.: _____ Recipient: _____ Payment Request No.: _____ Page: _____

(1) Task No.	(2) Payee	(3) Item	(4) Invoice Number	(5) Date Cost Incurred	(6) Warrant Number (if any)	(7) Amount of Cash Expenditure
	pls conserve paper, use					
	subtotals by task when					
	possible… thx!					
					TOTALS BY ELEMENT	(8)

Other Invoicing Forms

- **Form D**: Contractor Participation Report (used for consultant services)
- **Form E:** Monthly Time Sheet (may also use internal time sheets)
- **Form F:** Record of Meeting Attendance

Quarterly Progress Report
for the
Shoreline Master Program Update

Recipient Name: _____ Grant No. **G0** _____

Project Title: **Shoreline Master Program Update**

Reporting Period: From: _____ To: _____

Ecology's Project Officer: _____

Reported by: _____ Date: _____
Recipient Signature

Ecology Review

_____
Project Officer Date

This report must accompany all requests for payment and, as appropriate, will be accompanied by deliverables per the scope of work.

Boxes below will expand to provide complete information; use F11 to get to the next field.

Compare actual accomplishments by task to the objectives established for the reporting period:
List deliverables due to Ecology by date of this progress report and their status.
Status of Project Schedule:
Status of budget:
Personnel changes:
Any difficulties encountered during the quarter:

Progress Reporting

A progress report must accompany each payment request and describe:

- what has been accomplished towards completion of each task during the reporting period
- deliverables due to Ecology and their status
- status of project schedule
- any key personnel changes
- information on difficulties encountered during the quarter
- a payment request commensurate with the progress report

Budget Deviations

- Budgets are considered estimates until costs are incurred
- Deviations from the line-item budget are allowed up to 10% within a given task
- If the deviation is greater than 10%, Ecology's Project Officer may require a budget amendment to redistribute costs among tasks.

Amendments

Formal Amendment

- required when there is a substantial change to the scope of work; or
- there is a change to the total project cost

Letter Amendment

- required if costs are redistributed between fiscal years; or
- to provide a no-cost time extension

Record Keeping

- Grant Agreement and any amendments
- Copies of billings submitted for payment (Forms C2, B2 and A19)
- Backup expenditure information including documentation of any special purchases such as computers, light refreshments, etc.
- Copies of all quarterly progress reports
- All deliverables as stated in the scope of work

Common Pitfalls

- Missing progress report
- Invoice not signed in **blue** ink (A19)
- Invoice not dated by recipient
- Wrong payment request # and/or grant number;
- Math errors such as a rounding errors or numbers incorrectly carried over from one page to the next; or adding errors.

More Common Pitfalls

- Date Cost Incurred is before the Start date or after the Expiration date of the grant (Form C2)
- Signature date is before the last day of the billing period (Form A19)
- Expenditure is not adequately documented (i.e., light refreshment)
- There is a duplicated charge for the same item in a different payment request

Resources

- Ecology's Grant and Loan Home Page
  http://www.ecy.wa.gov/fap.html

- Shorelands & Environmental Assistance Home Page
  http://www.ecy.wa.gov/programs/sea/shorelan.html

- Shoreline Master Program Grants Home Page
  http://www.ecy.wa.gov/programs/sea/grants/smp/index.html

"Yellow Book" Resources

- "Administrative Requirements for Recipients of Ecology Grants and Loans"

  aka: The "Yellow Book"
  http://www.ecy.wa.gov/biblio/91018.html

- Invoicing Forms - Appendix F
  http://www.ecy.wa.gov/biblio/91018A.html

Questions?

Billings and Amendments

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