Pre-Conference A:
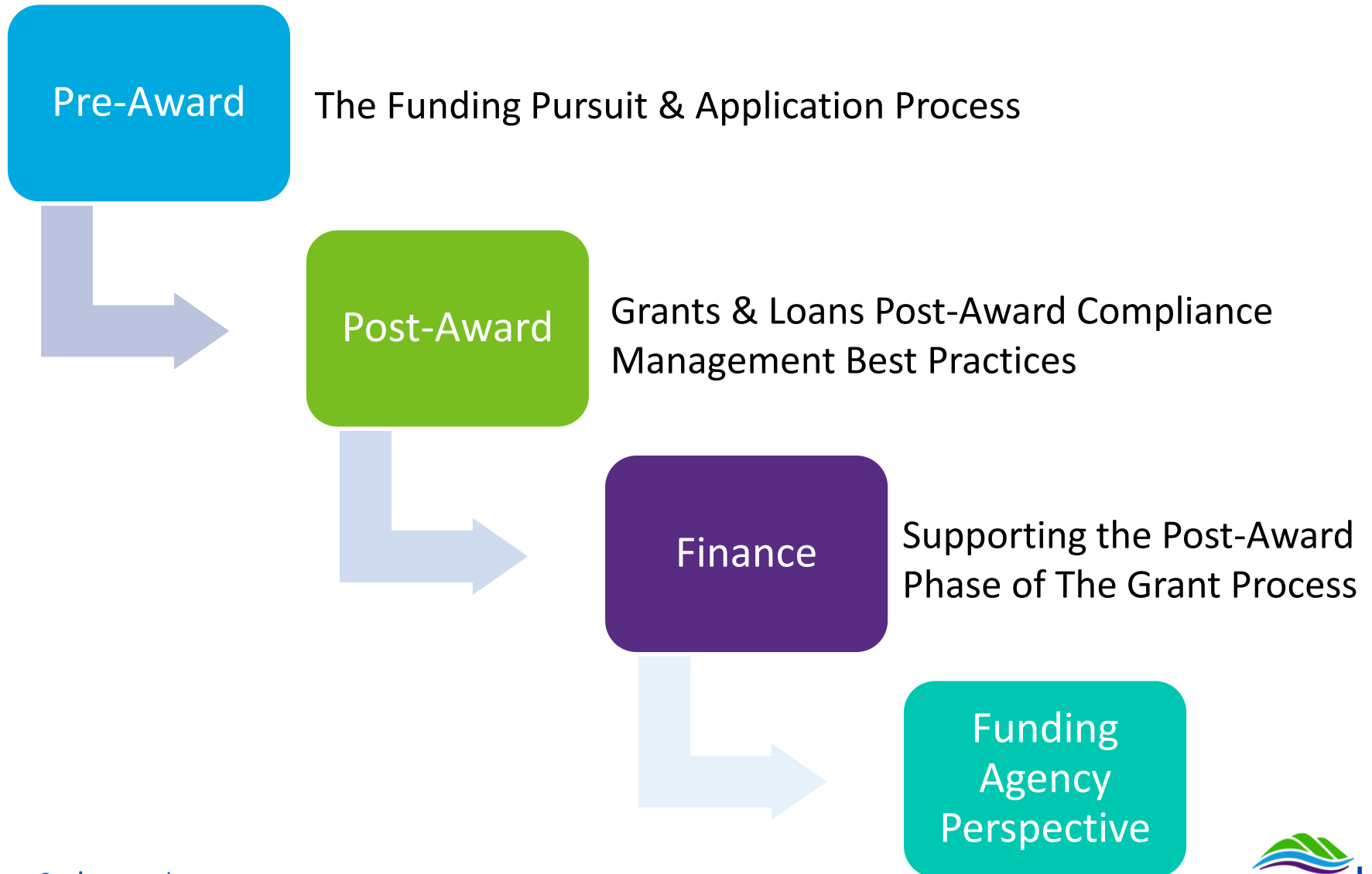# Oh No, Another Grant! Now What?

2020 CSMFO Annual Conference

Anaheim, CA

January 28, 2020

Agenda

Pre-Award — The Funding Pursuit & Application Process

Post-Award — Grants & Loans Post-Award Compliance Management Best Practices

Finance — Supporting the Post-Award Phase of The Grant Process

Funding Agency Perspective

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Pre-Award

Bonnie Wright, Grants & Loans Manager

Pre-Award Topics

- ➢ Planning

- ➢ Research

- ➢ Building Relationships

- ➢ Grant Pursuit Process

- ➢ Overview: Keys to Funding Successes

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Planning

- Projects are more likely to be funded when agency and organization objectives are in agreement
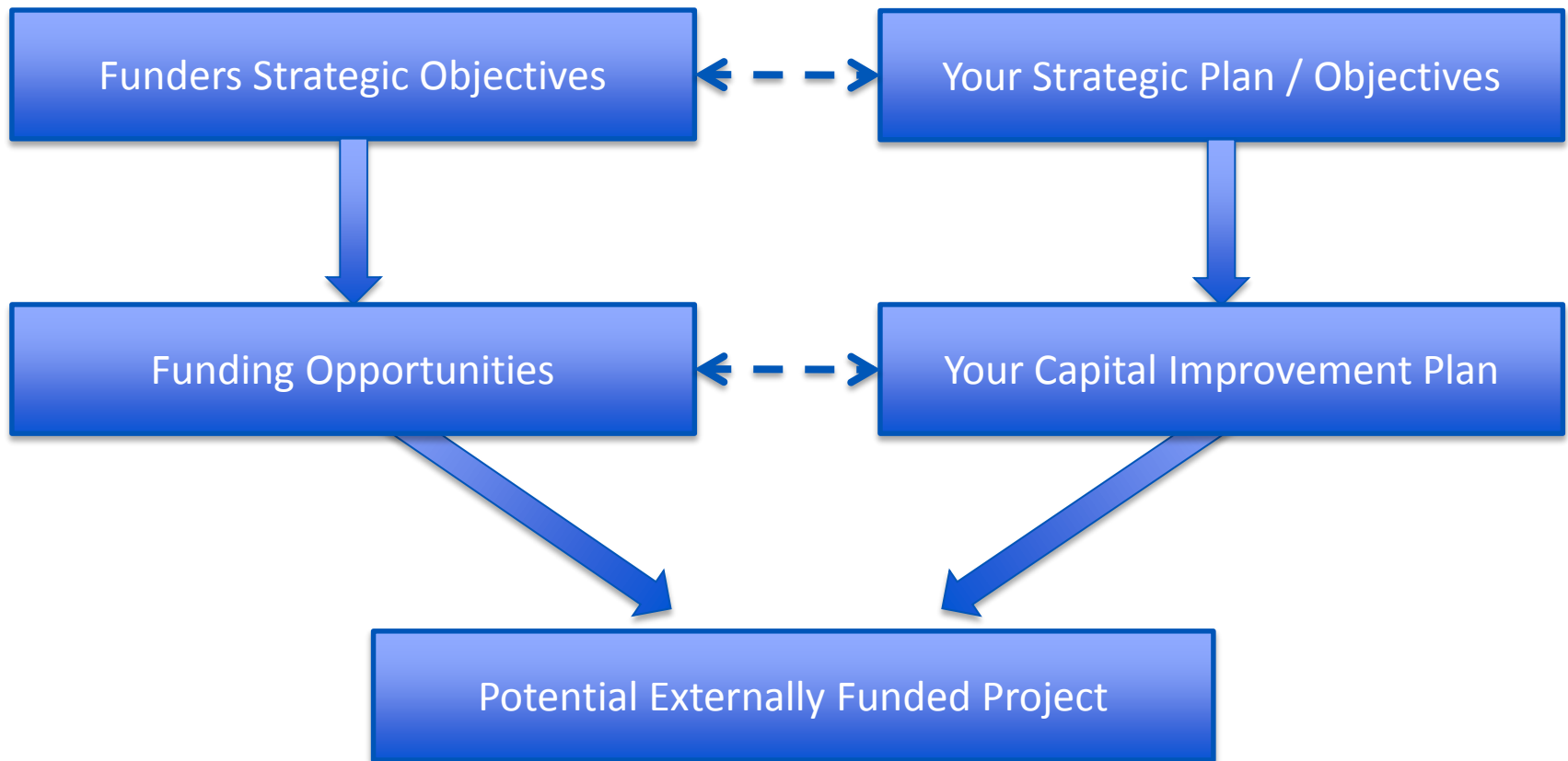
Planning

- Objectives
  - Identify strategic goals of your organization. What do you need to fund? (Example: CIP projects/programs)
    - Seek external funding programs whose priorities align with goals and objectives of project funding pursuit

  - Don't limit research to obvious external funding resources (Example: State, Federal only)
    - Think outside the box
      - Consider dissecting projects/programs in phases to capitalize on multiple grant opportunities

Planning Grant Pursuit Process

- Start funding pursuit early

- Align potential eligible project/programs with external funder priorities

- Present to stakeholder team (Example: senior management Grants & Loans Committee)

- Determine competitive strength and compliance measures eligibility

Competitive Strength
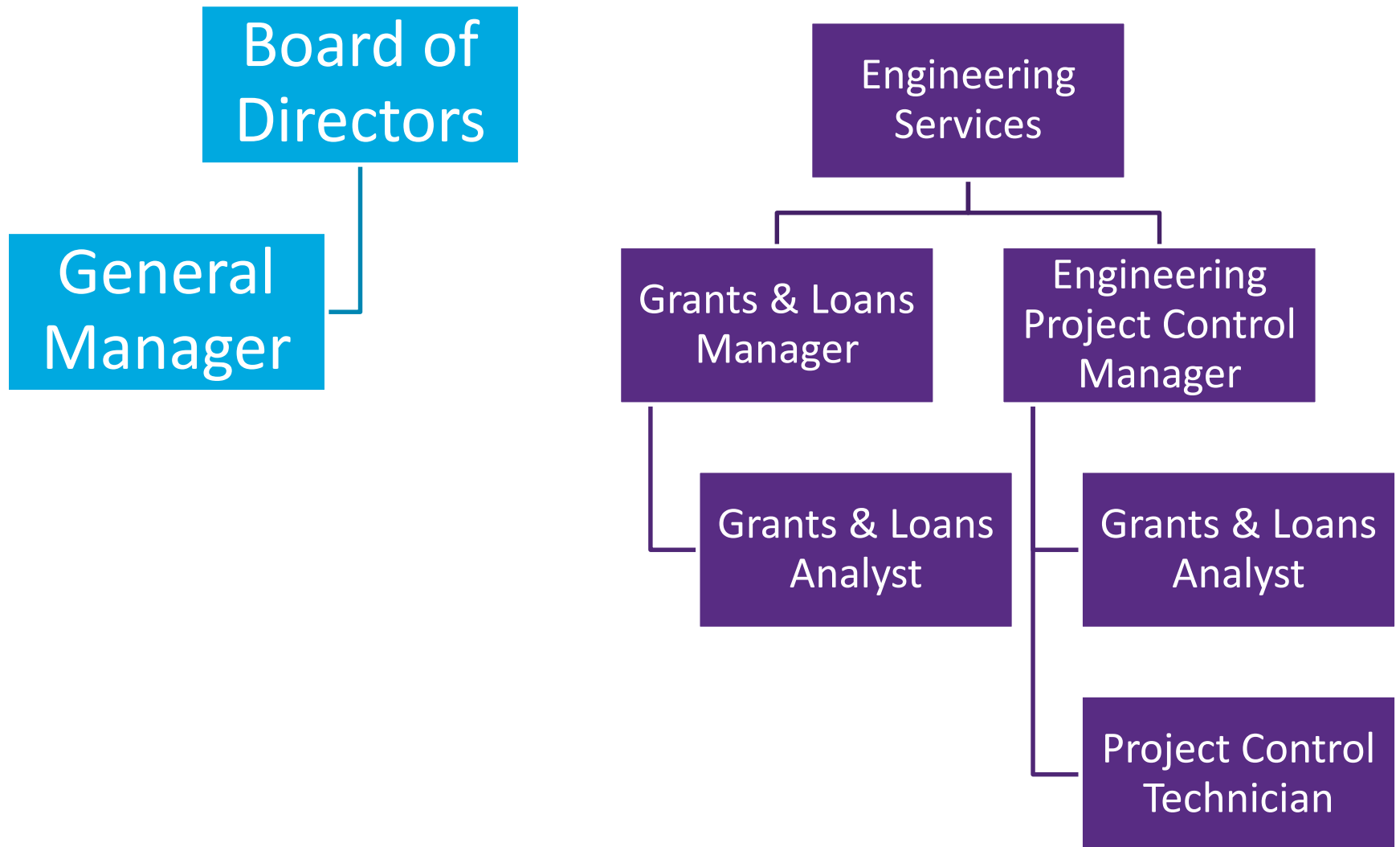
Funding program priorities and objectives

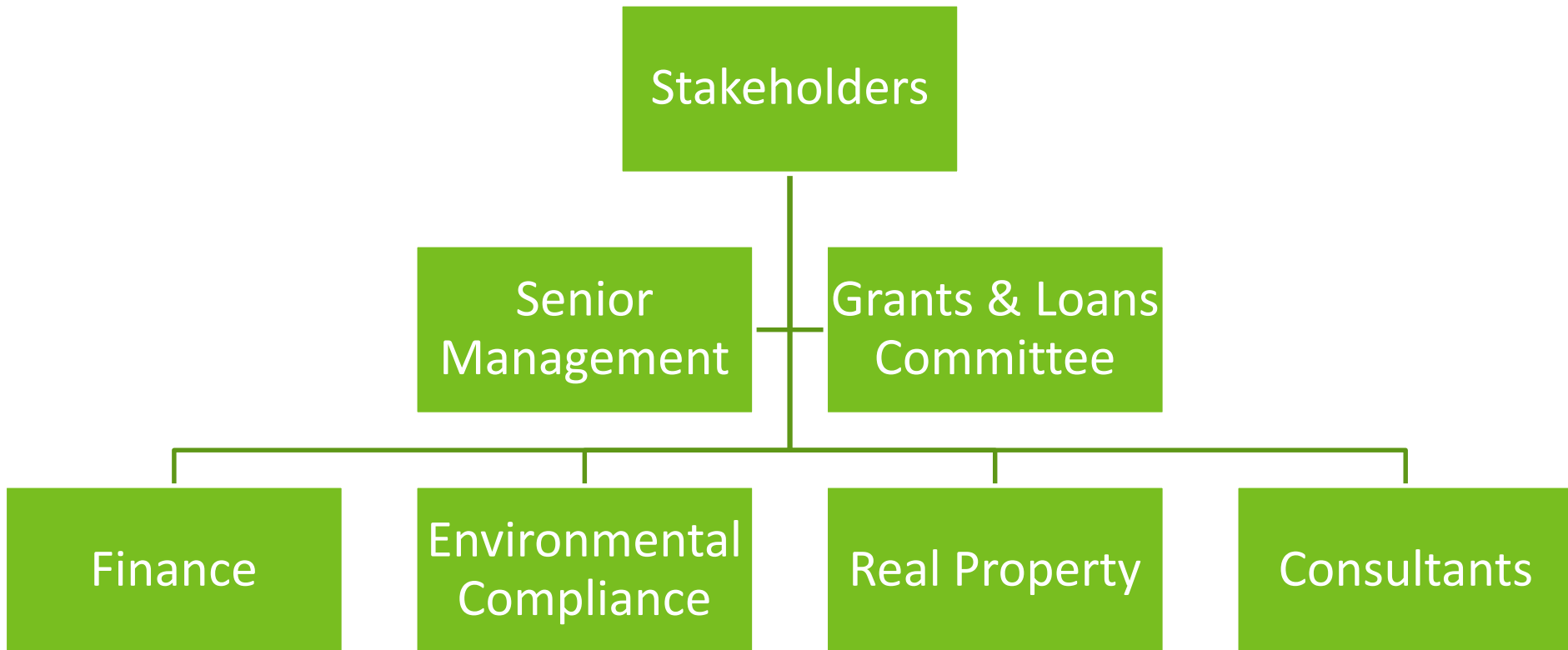Consideration of highest ranking weighted criteria

Financial Contribution

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Grant Team

```
Board of Directors
        │
        │
General Manager
```

```
Engineering Services
        │
   ┌────┴────┐
Grants & Loans      Engineering
Manager        Project Control Manager
   │                │
Grants & Loans   Grants & Loans
Analyst          Analyst
                    │
                 Project Control
                 Technician
```

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Grant Team, continued

Planning Grant Pursuit Process

- ## Schedule
  - – Does the anticipated project/program schedule comply with funding program requirements?

- ## Cost Considerations
  - – Is funding cost-effective to pursue?
    - • Will reporting and compliance efforts end up costing more than (or close to) what you receive in funding in the long run?
    - • Can you afford matching funds?
      - – Are there waiver opportunities for matching funds to consider?

Planning Grant Pursuit Process, continued

- Early engagement with internal and external stakeholders to include
  - Post-award team
  - Approval from senior management to pursue

- Make contact early on with funding program contacts to determine viability of project/program

Research

Project consideration and funding
research for external funding (go or no-go pursuit)

Pursue Funding

Application Process

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Pursue Funding / Research

- External funding opportunities available through:
  - Funding Agency Contacts
  - Funding Fairs
  - Funding Agency Program Announcements
  - Online Research Tools, such as eCivis
  - CFDA
  - Grants.gov
  - Foundation Directory
  - Congressional Office
  - Federal Registry

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Pursue Funding / Research

- Look to Federal Registry to determine amount of funding for programs that sets the stage for priority funding allocations

- Consider external research tools available to facilitate your research, such as:
  - Grant Station
  - Grant Professionals Association (GPA)
  - eCivis

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eCivis Research Tool

- One example is [eCivis](#)

eCivis Research Tool

- ## Summaries includes:
  - Program Summary
  - Eligibility
  - Financial
  - Program Contact
  - Program Notice of Funding Announcement (NOFA)

eCivis Section: Summary

eCivis Grant Detail
Grant: FD5623 Stanley Smith Horticultural Trust - FY 2019
Provided for: Bonnie Wright of Eastern Municipal Water District
On Tuesday, June 4, 2019 7:38:56 AM PDT

Summary

Type: Foundation

Agency: FD Foundation

Office: Stanley Smith Horticultural Trust

Multipart Grant: No

Next Due: 07/15/2019 (Letter of Inquiry)

Solicitation Date: Unknown

Match Required: No

Actual Funds: Unspecified

eCivis Section: Summary

Summary:

The purpose of this program is to support education and research in ornamental horticulture, as well as the development and maintenance of public gardens and arboreta that offer educational experiences to their visitors. For the purposes of this program, ornamental horticulture concerns the culture, care, and use of all types of plants for decorative purposes. Support will be provided for the following activities and subsequent examples:

- Research: advancing research in ornamental horticulture and publishing the results of such research; for example:
    - Trial/evaluation gardens for horticultural potential of selected plants in a region
    - Discerning appropriate cultural techniques and best horticultural practices for a specific group of plants
    - Laboratory freezer for DNA samples
- Public gardens: assisting in the creation, development, preservation, and maintenance of gardens accessible to the public for educational purposes; for example:
    - New or revised home demonstration gardens or beds
    - Resurfacing garden trails for all-weather accessibility or ADA compliance
    - Damage remediation following a natural disaster
- Ornamental plants: promoting environmentally responsible introduction, cultivation, and distribution of plants that have ornamental horticultural value; for example:
    - Testing potential new ornamentals for invasiveness
    - Promotion and demonstration of the use of local native ornamentals in local or home landscaping
    - Collections management software for ornamentals
- Publications: assisting in the publication of books or other works relating to ornamental horticulture; for example:
    - Guides to appropriate ornamentals for local and regional landscaping

eCivis Section: Eligibility

Eligibility/Application

Eligibility Notes:

Eligible applicants are organizations recognized as 501(c)(3) public charities or tax-exempt government entities, such as:

- Botanical gardens
- Arboreta
- Colleges and universities

Organizations may submit only one letter of inquiry (LOI) per year. If the LOI is declined, another LOI may not be submitted, even if it is for a different project.

Only one proposal per organization or fiscal sponsor may be submitted. An organization is defined by the unique tax ID/EIN associated with the proposal, and by the project or program that would receive the award.

Different campuses of a university system are excluded from the one proposal per organization restriction, but this exemption applies only to geographically separate campuses, not separate units, offices, departments, or programs of a single campus. Refer to page 1 of the CollegeUniversityEligibility file for additional college and university eligibility guidelines.

Organizations may receive an award no more than every other year. To be eligible, previous award recipients must have submitted a report for any previous award by April 30, 2019.

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eCivis Sections: Eligible Applicants, Application Notes

Eligible Applicants:

Local Government
Academic Institutions
Non Profits
State Government

Application Notes:

Mandatory letters of inquiry (LOIs) must be submitted by **July 15, 2019**.

Applicants are required to complete an eligibility quiz online at *smithht.org/grant-seekers/start-here* prior to submitting an LOI. Eligible applicants will be directed to the online LOI.

The contents of the LOI will be made available upon initiation of the online process.

Applicants that submit successful LOIs will be invited to submit full proposals, which must be received by August 15, 2019.

Refer to the NOFA file for additional application information.

eCivis Sections: Financial, Match Notes

Financial

Match Required:	No
Actual Funds:	Unspecified
Award Range:	$25,000 (Max)
Number of Awards:	50 (Estimated)
Annual Giving:	$638,100

Match Notes:

There are no stated matching requirements for this program.

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eCivis Sections: Contact, Contact Notes

Contact:

Tom Daniel
Grants Director
tdaniel@smithht.org

Program Staff
(415) 332-0166
grants@smithct.org

Contact Notes:

Questions should be directed to the program contacts provided.

Letters of inquiry (LOIs) must be submitted online at *smithht.org/grant-seekers/start-here* following completion of an eligibility quiz.

The agency address provided is for reference purposes only.

Information regarding the funding agency's board of trustees can be found online at *smithht.org/about-the-trust/trustees-and-staff.*

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eCivis Section: Files, File Notes

Files:

Downloadable Pre-Award Files:

NOFA File: FD5623_NOFA_FY2019.pdf - 481.3 Kb
Other Pre-Award File: FD5623_FAQ_FY2019.pdf - 519.6 Kb,
FD5623_CollegeUniversityEligibility_FY2019.pdf - 100.0 Kb

Downloadable Post-Award Files:

Award File: FD5623_Award_FY2019.pdf - 1.1 Mb

File Notes:

The NOFA file contains detailed program information and application guidelines. The FAQ file contains a list of answers to frequently asked questions regarding this program. The CollegeUniversityEligibility file contains additional eligibility guidelines for college and university applicants. The Award file contains information on previous award recipients.

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External Funding Administration Checklist

Checklist: Project / Program Analysis

EXTERNAL FUNDING ADMINISTRATION CHECKLIST				
	RESPONSIBLE PARTIES			
ACTION ITEM	**PRIMARY**	**SECONDARY**	**DATE**	**X**
PROJECT / PROGRAM ANALYSIS				
1. Identify External Funding Opportunity (If researched by District staff, notify Grants Manager)	Grant Manager & Grant Analyst	District Staff		
2. Review and Identify Project for Eligibility	Grant Manager & Grant Analyst	District Staff		
3. Discuss with project staff	Grant Manager			
4. Present to Grants & Loans Committee for application consideration	Grant Manager			
5. Coordinate Opportunity with appropriate department	Grant Manager	Grant Analyst		
6. Contact funding program contact for additional information and project consideration eligibility	Grant Manager			
7. Attend scheduled workshops / webinars If applicable	Grant Manager	Grant Analyst		
8. Schedule Project Funding Review Team meeting to determine pursuit of funding. Review Team includes but not limited to: Finance Engineering Project Manager Grant Manager Compliance Team	Grant Manager	Grant Analyst		
9. Notify Grants & Loan Committee of intended Application and approval	Grant Manager	Grant Analyst		

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Checklist: Application

		APPLICATION			

10.	Determine if Application is to be completed by:
	  a) In-house staff **or**
	  b) Outside consulting firm
		Grant Manager and/or Project Manager	District Staff and Review Team		

11.	Prepare Board Letter and/or Resolution and prepare Application Checklist	Grant Manager Grant Analyst or	Project Manager		
12.	Present Filing of Application and Board Letter and/or Resolution(s) to Appropriate Board Committee for approval	Grant Manager	Project Manager		
13.	Obtain Project Letters of Support if needed (i.e. Legislators, Municipalities, Cities, etc.) to be included in Application package	Grant Manager	Grant Analyst/ Government Affairs		
14.	Prepare Application Checklist and schedule consultant/staff application "kick off" meeting	Grant Analyst			
15.	Route Draft Application for review to include: Compliance division and stakeholders or Schedule Review Team Meeting.	Grant Manager	Grant Analyst		

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Checklist: Approval

EXTERNAL FUNDING ADMINISTRATION CHECKLIST					
		RESPONSIBLE PARTIES		**COMPLETED**	
	ACTION ITEM	**PRIMARY**	**SECONDARY**	**DATE**	**X**
	APPROVAL				
16.	Review Draft Application no later than 5 days before deadline	Grant Manager	Compliance Team Project Manager		
17.	Approval of Final Application for Submittal	Grant Manager/Project Manager	Compliance Team		
18.	Submit Completed Grant & Loan Project Entry Form to Grant Manager	Project Manager	Stakeholder Staff		
19.	Submit Application	Grant Manager/ Consultant	Grant Analyst		
20.	Forward Submittal Confirmation to Grant Manager (i.e. from www.Grants.gov)	Grant Analyst	Project Manager		
21.	Track Application status	Grant Manager	Grant Analyst		
22.	Notification of Award status	Grant Manager/ Project Manager	Compliance Team & Stakeholders		
23.	Receipt of Funding Agreement. Forward copy to Stakeholders to Review & Approval	Grant Manager	Grant Analyst		
24.	Prepare Funding Agreement Checklist and Schedule Review Team Meeting	Post Award Administrator			
25.	Document Receipt of Review Team feedback and/or Concerns and forward to Grant Manager	Post Award Administrator			
26.	Receive feedback from review team and seek clarifications from funding agency as needed	Grant Manager			
27.	Once approved by stakeholders, forward to General Manager to execute Agreement	Grant Manager			
28.	Prepare required documents for Fully Executed Agreement: a. Signature pages b. Legal Opinion Letters	Grant Manager			
29.	Forward Signature/Legal Opinion letters and Post Award Contact Info to funding agency	Grant Manager	Grant Analyst		
30.	Transfer Fully Executed Agreement to Post Award Administrator for continued compliance	Grant Manager	Grant Analyst		

Post Award Engagement

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Checklist: Compliance

EXTERNAL FUNDING ADMINISTRATION CHECKLIST					
		RESPONSIBLE PARTIES			
	ACTION ITEM	**PRIMARY**	**SECONDARY**	**DATE**	**X**
COMPLIANCE					
31.	Comply with all Agreement Terms and Conditions - Ongoing	Post Award Administrator Engineering Services/ Conservation			
32.	Prepare and Submit Reimbursement Claims- Ongoing	Post Award Administrator Engineering Services/ Conservation			
33.	Comply with Reporting requirements-Ongoing	Post Award Administrator Engineering Services/ Conservation			
34.	Support Annual Single Audit (if applicable)	Post Award Administrator/ Finance			

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Building Relationships

- Get to know funding program contacts

- Ask questions
  - How competitive is your project/program?
  - If applicable, meet in person to discuss project/program and anticipated application

- Obtain funders support early

- Who are other potential project partners?

Grant Pursuit Process

- Determine internal or consultant grant services participation

- Develop Application Checklist identifying:
  - Required information for application
  - Responsible party
  - Date due

- Schedule on-going grant coordination meetings with stakeholders
  - Kick-off meeting with funders, if applicable

- Communicate with funding program contact during application process

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DRINKING WATER (CONSTRUCTION) SRF
WITH STATE WATER RESOURCES CONTROL BOARD

Application Checklist

Consultant:
EMWD Contact Person:
Drinking Water Contact: (916) 327-9978 or DrinkingWaterSRF@waterboards.ca.gov

Resolutions required: 1) *Resolution of Authorized rep.* **General Pkg** 2) Resolution/Minutes approving the CEQA Docs **E7** 3) **Reimbursement Resolution F4** 4) *Resolution designating Authorized rep.* **F6a** 5) **Dedicated fund Source & Pledging F8**

Certifications needed: 1) Cert. for Compliance w/ Water Metering form **T2a** 2) Water system permit **T3** 3) Technical, Managerial & **Financial (TMF) Assessment T4**

Item	Description	Primary Responsibility	Status	Done	Submitted to SWRCB
GENERAL INFORMATION PACKAGE					
Section I	**Type of Assistance Requested**				
	Estimated Amount Requesting $ Project Title				
Section II	**Applicant Info**				
Authorized Rep, Title Resolution			**Need signature**		
Section III	**Project Info and Proposed Schedules**				
NPDES Permit or WDR No. (if applicable)	Page 1 of 3; (if applicable)				
Current Year Est. **Population** of proposed project service area					
Project Schedule					
	General Info Package				
	1) Tech Package				
	2) Environmental Package				
	3) Financial Security Package				
	4) Complete Project Plans & Specs				

Grant Pursuit Process

- Kick-off meeting with internal stakeholders and/or grant services consultant to determine expectations

- Complete application one week prior for review with stakeholder team before submittal
  - Team Effort

- Submit application 1-2 days prior to due date

- **Provide prompt responses** to funding agency questions as necessary

- Develop internal Grant Management Tracking Tool

eCivis Grant Management Tool Example

Project Dashboard: Agriculture Related

Department: Eng Sys Admin

Project Options

Overview	Documents	Grant Lifecycle	Goals & Metrics	Budgets	Contracts & Accounts	Spending	History

Active Grants 🔍 ❓

US9897 Agricultural Water Conservation and Efficiency (AWCE) Grants: Fostering District/Farmer Partnerships (California) - FY 2019/2020

Stage: Under Consideration   **Application Due Date:** N/A

Available Actions

- ◯ I would like to access details of this grant
- ◯ I want to enter the projected award amount
- ◯ I want to enter my award amount
- ◯ I will not pursue this grant
- ◯ I would like to create/manage goals and metrics for this grant
- ◯ I would like to create/manage a budget for this grant

Project Team ✏️ ⊕

N. Jonkhoff (Lead)   *Grants and Loa...*

Pending Tasks	Completed Tasks	Approval History

There are no pending tasks assigned to this project. Click the button below to add a task.

⊕ Add Task   Task Report   Refresh

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- In FY17/18, staff:
    - Evaluated over 1,900 funding opportunities in support of Capital Improvement Program and Strategic Plan
    - Presented 28 Opportunities to the Grants and Loan Committee which includes executive staff from all affected Departments
    - 19 funding opportunities that aligned with District priorities were pursued
        - **16 projects were awarded totaling over $136M**

Overview: Keys to Funding Successes

- Develop and maintain strong relationships with funding agency contacts

- Align planned projects to funding opportunities

- Communicate project vision and strategy to funders to determine viability of project early on

- Engage all internal team members during pre and post-award management process

Keys to Funding Successes, continued

- Start funding pursuit early in the project planning phase

- Set realistic expectation and terms

- Understand ALL compliance measure requirements

- Commit to a successful project or program

Contact Information

Bonnie Wright
Grant & Loan Manager
Phone Number (951) 928-3777 Ext. 4323

Email: wright@emwd.org

Grants & Loans Post-Award Compliance Management Best Practices

Rania Odenbaugh, County of Riverside Executive Office Principal

Post-Award Topics

- External Funding Strategy
- Effective Post-Award
- Infrastructure Needed for Post-Award Execution
- External Funding Pursuit
- Post-Award Compliance Management
- Funding Agreement Review Process
- What are Reimbursement Requests?
- Successful Compilation and Preparation of Reimbursement Requests
- Proactive Disadvantaged Business Enterprise Outreach Management (DBE), American, Iron and Steel (AIS) and Labor Compliance (depending on the source of funding)
- Compliance Provisions
- Agency Audits

External Funding Strategy
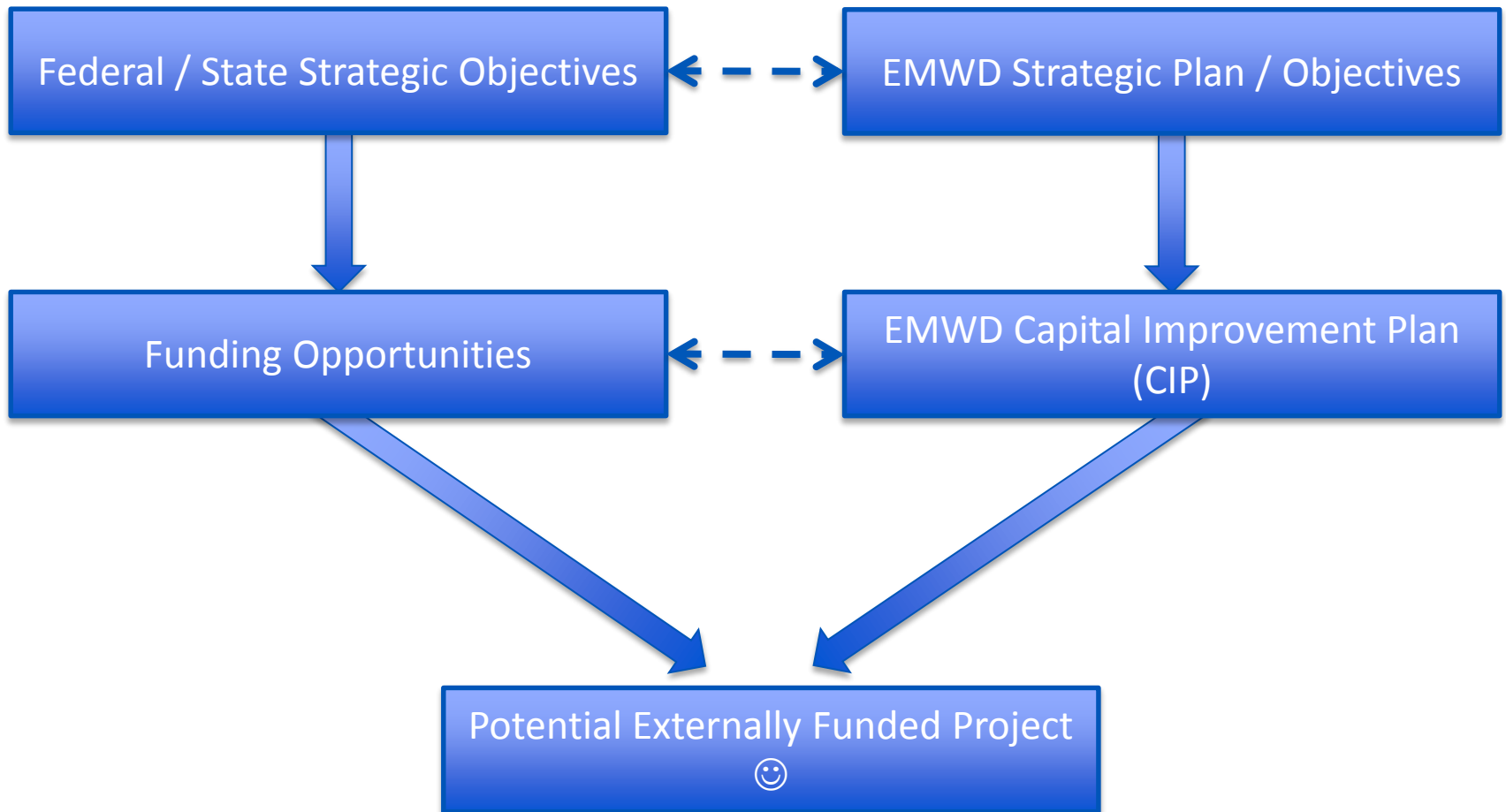
What are the Key Success Factors of an effective Post-Award Administration Program?

- ✓ Solid business relationships with the funding agencies
- ✓ Clear and collaborative understanding of the funding application
- ✓ Clear and collaborative understanding of the funding agreement
- ✓ Accurate and concise compliance language in our vendors agreements / specifications, as applicable
- ✓ Proactive involvement and oversight of the labor compliance program
- ✓ Proper determination of reasonable and eligible costs
- ✓ Acceptable reimbursement requests
- ✓ Proactive and successful (no finding) audits

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Infrastructure Needed for Post-Award Execution

- Accounting System

- Project Accounting

- Labor accumulation

- Allowable Cost

- Indirect rate structures

- Sub-recipient and contractors

- Program Performance

- Preparing for and managing a government audit

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External Funding Pursuit

District staff decides on external funding pursuit opportunities

→

Grants & Loans Manager initiates the application and reviews it with District staff

↓

Grants & Loans Manager submits the application to the funding agency

←

Grants & Loans Manager forwards the award letter and / or the funding agreement to the Post-Award Administration staff

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Post-Award Compliance Management

Post-Award staff receives and reviews the funding agreement → District stakeholders meet to review the agreement & compliance checklist → District staff recommends agreement execution to the General Manager → Post-Award staff requests reimbursement requests and general compliance guidelines and forms → Post-Award staff submits reimbursement requests and ensures compliance with the funding agreement terms and conditions → Post-Award staff coordinates project final inspection, final project reports, project closure and final review

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EMWD Funding Agreement Review Process

The Post-Award Administrator(s):

✓ Review the funding agreement

✓ Prepare a funding agreement checklist

✓ Host an internal stakeholders review meeting

✓ Seek clarifications, as needed, from the awarding agency prior to the agreement execution

✓ Ensure concurrence of all internal stakeholders prior to issuing a recommendation for execution

Item	Agreement Contents	Page #	Required Activity /Action Item	Responsible Party	Status / Notes
	9.4 Report Frequency and Distribution	Page 14	The District commits to submitting the required progress and financial reports on a quarterly basis and in accordance to the table on page 14.	Engineering Systems Management	Reminder milestones shall be added in the Grants & Loan Schedule upon the execution of the agreement

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Reimbursement Requests

- **What are reimbursement requests?**

- **How is a reimbursement request deemed complete?**

- **What are reasonable and eligible costs?**

- **How effective are our reimbursement best practices?**

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Reimbursement Requests

- A reimbursement request: Is a document submitted to the awarding agency to request reimbursement of reasonable and eligible accrued expenditures.

- A complete reimbursement request should:

  – Include reasonable and eligible expenditures

  – Include the external funding agencies forms, as applicable

  – Be prepared in accordance to the external funding guidelines, if available

  – Include appropriate supporting documentation (Invoices, Checks, Progress Pay Estimates, 3rd Tier Vendors…etc.)

  – Be submitted in accordance with the funding agreement specified frequency

Tip! You could submit a draft disbursement request for the agency's review prior to the first submittal
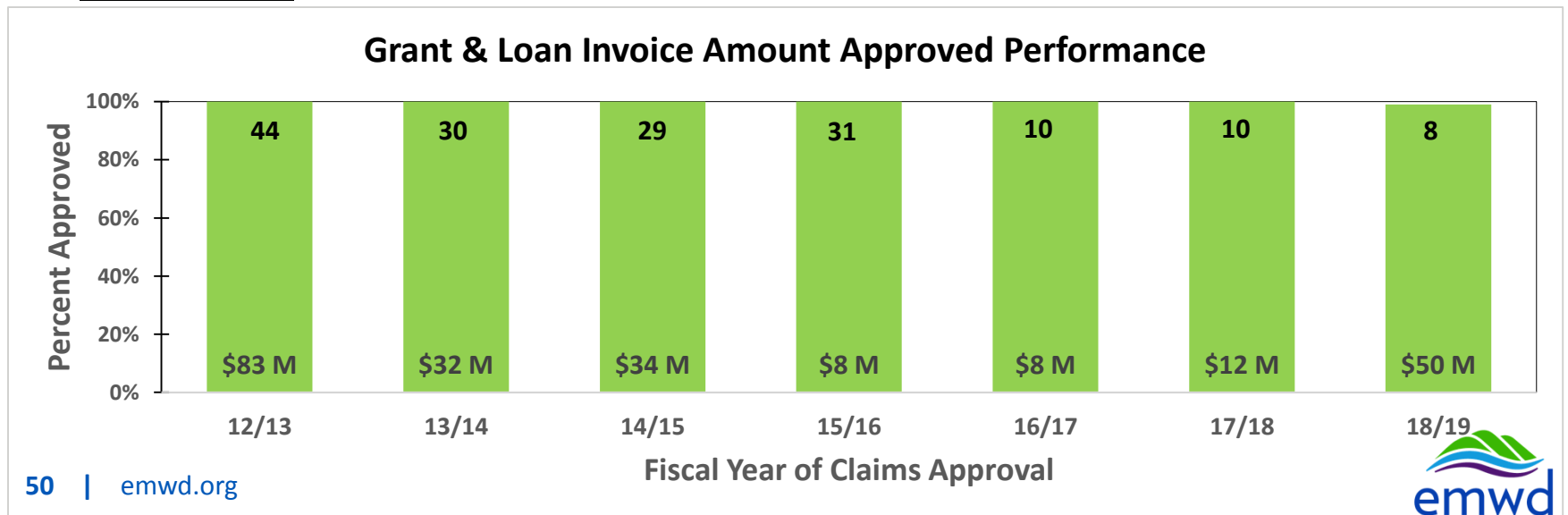
What are reasonable and eligible expenditures? (2 CFR 200.405)

- ✓ It does not exceed the actual amount incurred
- ✓ It was necessary for the overall operation of the project
- ✓ It is comparable to similar goods and services for the geographic area
- ✓ It is in conformance with the expenditures compliance section of the funding agreement
- ✓ It is allowed per "Pre-award Incurrence Costs" statues as listed within the funding agreement

AGENCY	MILEAGE	POSTAGE	PRINTING	TRAVEL	VENDOR MARK-UP	FUNDING APPLICATION
Bureau of Reclamation (USBR)	YES	YES	YES	YES	NO	CHECK WITH AGENCY
State Water Resources Control Board (SWRCB)	YES	YES	YES	YES	NO	NO
Department of Water Resources (DWR)	NO	YES	YES	NO	NO	CHECK WITH AGENCY

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How effective are our reimbursement request best practices?

- **What is being measured:** The EMWD metric reflects the percentage of external grant and / or loan invoice paid. It tests the District's understanding of eligible costs and our ability to submit accurate invoices to the funding agencies.

- **Goal:** Secure approval of and payment for 100% of the reimbursement request amount

- **Metric:** Percentage of grant and loan invoice paid by the funding agencies. EMWD submitted 162 invoices since 2012/13

- **Relevance:** Reimbursements totaled $227 Million

Grant & Loan Invoice Amount Approved Performance

Fiscal Year	Invoices	Amount
12/13	44	$83 M
13/14	30	$32 M
14/15	29	$34 M
15/16	31	$8 M
16/17	10	$8 M
17/18	10	$12 M
18/19	8	$50 M

Y-axis: Percent Approved (0% – 100%)
X-axis: Fiscal Year of Claims Approval

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Disadvantaged Business Enterprise (DBE)

- **What are the objectives of the DBE Program?**

- **What are DBEs, MBEs and WBEs?**

- **What are the 6 Good Faith Efforts?**

- **What are the DBE outreach responsibilities for the Award Recipients?**

- **What are the DBE Outreach responsibilities for the Prime Contractors / Bidders?**

- **Prime Contractors/ Bidders DBE Outreach Responsibilities?**

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Disadvantaged Business Enterprise (DBE)

- The Disadvantaged Business Enterprise (DBE) is an outreach program designed to increase and encourage the utilization of DBE, MBE and WBE procurements (EPA) and to ensure non-discrimination in the award of contracts (40 CFR 33.101).

What are DBEs, MBEs and WBEs? (40 CFR 33.103, 33.202-33.203)

DBE
- Entities owned and/or controlled by a socially and economically disadvantaged individual
- A Small Business Enterprise (SBE)
- Historically Black Colleges and Universities (HBCUs)
- A Historically Underutilized Business (HUB) Zone Small Business Concern, or a concern under a successor program
- A Labor Surplus Area Firm (LSAF)
- A Small Business in a Rural Area (SBRA)

MBE
- Entities owned and/or controlled by a socially and economically disadvantaged individual that do not fall into the Small Business Enterprise (SBE), Labor Surplus Area Firm (LSAF), Small Business in Rural Areas (SBRA), or Women's Business Enterprise (WBE) categories.

WBE
- Entities that are at least 51% owned and/or controlled by women (under the 10% and 8% statutes).
- Women are deemed to be socially and economically disadvantaged individuals.

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Disadvantaged Business Enterprise (DBE) Certifications

- The Small Business Administration (SBA)

- The Department of Transportation (DOT)

- Tribal, State and local Governments

- Environmental Protection Agency (Disabled American Owned Firms, private and voluntary organizations controlled by individuals who are socially and economically disadvantaged, MBE/WBE who can not get certified and WBEs)

- Self-certification is available

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DBE Good Faith Effort (40 CFR 33.301 & 2 CFR 200.321)

1. Ensure DBEs are made aware of contracting opportunities to the fullest extent practical by placing DBE's on solicitation lists and soliciting to them

2. Make information on forthcoming opportunities available to DBEs through posting solicitations for bids or proposals a minimum of 30 calendar days before the bid closing date

3. Consider in the contracting process whether firms competing for large contracts could subcontract with DBE's

4. Encourage contracting with a group of DBEs when a contract is too large for one firm to handle

5. Use the Services and assistance of the SBA & (/OR) MBDA

6. If the Prime Contractor awards subcontracts, require the prime to take the above steps

![emwd](emwd logo)

EMWD Good Faith Effort Checklist

Good Faith Effort (GFE) Package Checklist

Proj. Title		**Spec. No.**
Contractor		**Bid Opening Day**
Date GFE Package Rec'd		
Review Date		**Reviewed by:**

	Included Y/N	Comments
Complete Log of DBE Contractors/Suppliers Solicited (includes contact information, documented date of contact, outreach source, contact method and response status)		
Proof of advertisement from a newspaper of general circulation, showing bid solicitation was posted once, 30 days prior to bid opening date.		
Screen shot of solicitation posted on the MBDA and/or SBA websites		
Copies of solicitation emails/faxes sent (and responses if any)		
Copies of responses to bids and/or copies of quotes/bids received (from selected bidders)		
Complete DBE.1 Form Bidders List (can be obtained from bid proposal package)		
Completed and signed EPA Form 6100-3 DBE Subcontractor Performance Form with proof of DBE Certification (from selected bidders)		
Completed and signed EPA Form 6100-4 (DBE Subcontractor Util. Form)		

Package deemed acceptable? (Y/N)

If no, why?

Award Recipients DBE REMINDERS

It is the award recipients responsibility to:

- Ensure that **ALL** 6 good faith efforts (GFEs) are **satisfactorily met**

- Ensure that the methods used to adhere to the 6 good faith efforts are **documented and retained**

- Ensure that the DBE and GFE requirements are **passed down to all Prime Contractors / bidders**

- Request **clarification** pertaining to any of the DBE / GFE requirements from the funding agency

- **Request DBE guidelines**, if available, from the funding agency

- **Submit Annual** DBE Reports

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Prime Contractors / Bidders DBE REMINDERS

It is the Prime Contractors / Bidders responsibility to:

- Ensure a **proper understanding** of all the DBE requirements
- Satisfy **ALL** 6 Good Faith Efforts
- Submit a **complete** GFE package
- **Ask** questions!

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Key Compliance Provisions

- Labor Compliance (Davis Bacon and / or State Prevailing Wage)

- Disadvantaged Business Enterprise (DBE)

- American Iron & Steel (AIS)

- Debarment and Suspension Verification

- Signage Requirements

- Job Site Inspections

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Audits - Best Practices

- Prepare for an audit upon receipt of agreement
- Ensure that electronic documents are readily available
- Document policy exceptions
- Request a checklist of auditable sections
- Involve appropriate stakeholders
- Be proactive!

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Summary

❑ Ensure proper understanding of the type / source of funding received (Prop. 84, Prop 1, SRF, Non-SRF…etc.)

❑ Ensure proper understanding of the funding agreement compliance terms and conditions

❑ Identify reasonable and eligible costs

❑ Include all relevant supporting documentation in the disbursement request

❑ Ensure proper DBE Outreach and retain all outreach documentation

❑ Ensure proper understanding of State and Federal Labor Laws and Regulations

❑ Be prepared for your audits

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Terms Frequently used during this presentation

- **CFR**: Code of Federal Regulations
- **DBE:** Disadvantaged Business Enterprise
- **GFE:** Good Faith Effort
- **MBE:** Minority Business Enterprise
- **WBE:** Women Business Enterprise
- **SBA:** Small Business Administration
- **MBDA:** Minority Business Development Agency
- **EPA:** Environmental Protection Agency
- **SRF:** State Revolving Fund
- **CWSRF:** Clean Water State Revolving Fund
- **DWSRF:** Drinking Water State Revolving Fund

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References

- Recipients of CWSRF & DWSRF EPA financial assistants agreements are subject to DBE requirements as listed in 40 CFR 33.102

- Recipients of all other Federal Awards are subject to 2 CFR 200.321

- 2 CFR 200.321 (Federal DBE GFE)

- 40 CFR 33.201 (DBE Certification)

- 40 CFR 33.211, Subpart C (EPA DBE GFE)

- 2 CFR 200.404, 2 CFR 200.405 (Reasonable, Allocable & Eligible Costs)

- www.ecfr.gov

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Contact Information

Rania Odenbaugh
County of Riverside Executive Office Principal

Finance: Supporting the Post-Award Phase of The Grant Process

Wilma T. Garriz, Controller

Finance: Supporting the Post Award Phase of The Grant Process

The Finance Department's Role in EMWD's Grant Management:

- Support the District's Engineering Services Group

- Understand grant requirements:
  - Terms and conditions of federal & non-federal awards
  - 2 CFR Part 200: The Uniform Administrative Requirements, Cost Principles and Audit Requirements of Federal Awards (UG)
  - State statutes and regulations

- Account for grant & project expenditures

- Enforce financial policies and procedures, effective internal controls

Finance: Supporting the Post Award Phase of The Grant Process

- **Support the District's Engineering Services Group:**
  - Attend Stakeholders' meetings
    - Departmental roles & responsibilities are defined at these meetings
    - Grant implementation is documented (Best Practice)
  - Provide documentation for grant expenditures & claim payments
  - Make grant documentation available and accessible (Best Practice)
- **Understand Grant Requirements:**
  - Review the terms and conditions of federal and non-federal grant awards
  - Complete a grant profile form containing key grant information:
    - Contract number
    - CFDA number
    - Program/Project title
    - Period of grant award
  - Reserve requirements, if any

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Finance: Supporting the Post Award Phase of The Grant Process

- **Understand Grant Requirements (cont'd):**
  - Refer to "The Uniform Administrative Requirements, Cost Principles and Audit Requirements of Federal Awards (2 CFR Part 200)" - also referred to as the "UG"
    - Subpart A – Acronyms and Definitions
    - Subpart B - General Provisions
    - Subpart C – Pre Federal Award Requirements
    - Subpart D – Post Federal Requirements
    - Subpart E – Cost Principles
    - **Subpart F – Audit of Federal Awards**
      - Single Audit:
        - » Annual, at fiscal year end
        - » Auditors review compliance with federal program requirements according to The Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (2 CFR 200, Subpart F, 200.500 – 200.512)
        - » Threshold: $750,000 in federal expenditures during the fiscal year
        - » Schedule of Expenditures of Federal Awards

Finance: Supporting the Post Award Phase of The Grant Process

- **Understand Grant Requirements (cont'd):**
  - Auditors review compliance with:
    - » The financial requirements of the federal grant
    - » Internal controls regarding the use of federal grant $
    - » Expenditures charged to the grant
    - » Cash management
    - » Property & equipment acquisition, management and maintenance
    - » Procurement and bidding process
    - » Time and effort of project staff
    - » Matching requirements
    - » Other requirements

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Finance: Supporting the Post Award Phase of The Grant Process

EASTERN MUNICIPAL WATER DISTRICT
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE FISCAL YEAR ENDED JUNE 30, 2019

Federal Agency (Pass-Trough Agency)	CFDA Number	Agency or Pass Thru Number	Federal Expenditure
Environmental Protection Agency			
Passed through the State of California Water Resources Control Board:			
Recycled Water Supply Optimization Program (TVRWRF Expansion, Reach 4 Recycled Water Booster Station, Solar Photovoltaic Renewable Energy Initiave Phase II)	66.XXX	D16-XXX	100,000
Total Environmental Protection Agency - SWRCB			**100,000**
Department of the Interior Bureau of Reclamation			
Outdoor School Water Management Program	15.XXX	RXXX	100,000
Temecula Recycled Water Pipeline	15.XXX	RXXX	100,000
Automated Metering Infrastructure Replacement	15.XXX	RXXX	100,000
Brackish Groundwater Desalter Brine Recovery Demonstration	15.XXX	RXXX	100,000
Residential Spray to Drip Retrofit Program	15.XXX	RXXX	100,000
Total Department of the Interior Bureau of Reclamation			**500,000**
Total Expenditure of Federal Awards			**$ 600,000**

Finance: Supporting the Post Award Phase of The Grant Process

- **Account for grant and project expenditures:**
  - Comply with Generally Accepted Accounting Principles (GAAP) (Best Practice)
  - Maintain grant files containing:
    - Grant agreements
    - Claims and payments
    - Year-To-Date grant expenditure reports and all other supporting documentation
  - Complete a Grant Profile Form
  - Account for grant expenditures in the financial system through assigned project numbers
  - Review project and grant status through the District's project tracking application
  - Reconcile grant expenditures with grant claims prepared by the Engineering Services Group

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Finance: Supporting the Post Award Phase of The Grant Process

- **Account for grant and project expenditures (cont'd):**
  - Attend monthly meetings with pre-award & post-award staff
    - Pre-award staff provides updates on funding opportunities and status of grant applications
    - Post-award staff provides:
      - Updates on status of grant claims and reporting
      - Updates on status of projects

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Finance: Supporting the Post Award Phase of The Grant Process

- **Account for grant and project expenditures – Grant Profile Form:**

Grant Title	TVRWFP	Funding Agency:	Federal Agency
Contract No.	R1234567	Pass-Through Agency:	N/A
CFDA No.	15.XXX	ARRA Funding:	ARRA 2009
Program/Project Title:	Temecula Valley Recycled Water Pipeline Phase I	Grant/Program Mgr:	Rania Odenbaugh
Start Date:	00/00/00	Federal:	X
End Date:	00/00/00	State:	
Reserve Requirement:	None	Local:	
Close-Out Date:	00/00/00	Close Out Date:	00/00/00
Agency/Program Contact:	Federal Agency	Agency Financial Contact:	
Name:	John Smith	Name:	
Tel. No.:	123-456-7891	Tel. No.:	
Fax:	N/A	Fax:	
Email:	jsmith@fedagency.gov	Email:	
Award Amount:	$1,000,000.00	Matching Amount:	75% Federal

Revenue GL Accounts:	45186	Project Number(s):	1234567
Expenditure GL Accounts:	151xx		

Date	Revenue	Expense	Grant Balance
00/00/00	110,835.60	110,835.60	889,164.40
00/00/00	243,251.00	243,251.00	645,913.40
00/00/00	11,662.81	11,662.81	634,250.59

Accts. Receivable Number:	12190	Project Number(s):	472069

Date	Billed	Paid	Receivable
00/00/00	110,835.60	110,835.60	-
00/00/00	254,913.81	254,913.81	-

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Finance: Supporting the Post Award Phase of The Grant Process

- **Enforce financial policies and procedures, effective internal controls:**
  - Proper authorization and documentation of expenditures (Best Practice)
  - Effective and strong cash management guidelines (Best Practice)
  - Effective timekeeping system (Best Practice)
  - Effective fixed asset management (Best Practice)
  - Maintain grant records according to the records retention policy: (Best Practice)
    - Award agreements and financial documentation
    - All other documentation as required by the award agreement and the UG

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Contact Information

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Controller
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Grant and Loan Applications: Funding Agency Perspective

State Water Resources Control Board

January 28, 2020

Presented by:

Ashley Zellmer

Division of Financial Assistance

Overview

➢ Background

➢ Current Financing

➢ The Fundable List

➢ Project Funding

➢ Policy Updates

➢ Funding Opportunities & Applications

Background

Division of Financial Assistance

DFA administers the implementation of State Water Board financial assistance programs, including loan and grant funding for:

- Construction of municipal sewage and water recycling facilities
- Construction of drinking water infrastructure
- Remediation for underground storage tank releases
- Watershed protection
- Nonpoint source pollution control, etc.

https://www.waterboards.ca.gov/water_issues/programs/grants_loans/

DFA Funding Programs

➢ Wastewater
  ➢ **Clean Water State Revolving Fund (CWSRF)**
  ➢ Water Recycling Funding Program (WRFP)
  ➢ Small Community Wastewater Grant (SCG)
➢ Groundwater Quality Funding
➢ Storm Water Grant Program
➢ Drinking Water
  ➢ **Drinking Water State Revolving Fund (DWSRF)**
  ➢ Drinking Water for Public Schools Grant Program
  ➢ Cleanup and Abatement Interim Emergency Drinking Water
➢ Orphan Site Cleanup Fund
➢ Nonpoint source (NPS) Control Program

Eligible Projects, Applicants, & Costs

➤ **Project Types:** Publicly-owned treatment works, nonpoint source projects, national estuary program projects, decentralized wastewater treatment systems, storm water projects, water conservation, watershed projects, energy conservation, water reuse projects, security measures at publicly-owned treatment works, technical assistance

➤ **Applicants:** Cities, Counties, Districts, Joint Power Authorities, State Agencies, Non-Profits, Private Entities (Select Categories and Sources), and Tribes

➤ **Costs:** Planning, Design, Land Purchase, Construction, Construction Management, Administration, and Value Engineering

CWSRF Program Background

➢CWSRF Established by 1987 Clean Water Act Amendment

➢CWSRF Intended Use Plan
  ➢Annual Business Plan
    ▪ Finances (cap. grant, revenue bond, repayments)
    ▪ Staffing Resources
    ▪ Goals/Approach/Requirements
    ▪ Funding Maximums
    ▪ Funding Priority and Process (Fundable List)

➢State loans/grants complement CWSRF funds

Federal & State Requirements

Federal SRF Funds

➢ EPA Compliance Requirements
- Submit IUP and Cap Grant Application annually
- Federal cross-cutters required
  - CEQA-Plus
  - Davis-Bacon (labor) wage requirements
  - Disadvantaged Business Enterprise (DBE)
  - American Iron & Steel (AIS)

State Proposition Funds

➢ Not subject to EPA compliance requirements
- Water recycling projects may require additional reporting

Current Financing

Financial Outlook

➢ **Sustainable CWSRF Loan Capacity**
  ▪ Approximately $1.0 Billion per year

➢ **Complementary Funds**
  ▪ Small Community Grant (SCG)
    ▪ Grant and PF = $78 million
  ▪ Water Recycling Funding Program (WRFP)
    ▪ Grant = $28 million
    ▪ Loan = $154 million

➢ **Stormwater**
    ▪ Grant = $11 million

➢ **Groundwater**
    ▪ Grant = $595 million

Recent Financing: CWSRF & Complementary

	FY15-16	FY16-17	FY17-18	FY18-19*
Number of Agreements	69	110	105	35 (Est)
In millions	$1,074	$1,693	1,106	$450 (Est)

*FY18-19 decrease caused by Fi$Cal accounting system conversion delays

Applications Scored FY19-20

Application Status	# of Applications	Requested (In millions)
Currently on Fundable List (Rollovers from SFY 2018-19 IUP)	77	$1,479
New Small SDAC and Small DAC Projects (Automatically Added to Fundable List)	70	$164
Projects Subject to Scoring (Requesting Placement on the Fundable List)	97	$5,258
Projects Not Subject to Scoring (Not Requesting Placement on Fundable List)	12	$219
Total	**256**	**$7,120**

The Fundable List

The Fundable List: Drivers

➢ Demand on CWSRF has greatly increased (>$7 billion)
- Exceeds reasonable ability to execute agreements
- Long wait time between application and agreement execution

➢ The Fundable List allows DFA to:
- Prioritize applications
- Maintain sustainable finances
- Provide more timely funding decisions

Fundable List Basics

➢ Fundable List Identifies Projects DFA Can Finance
- Only Projects on Fundable List are eligible
  - Small SDAC/DAC and Public Health Projects automatically Fundable
  - All others ranked by "Priority Score"
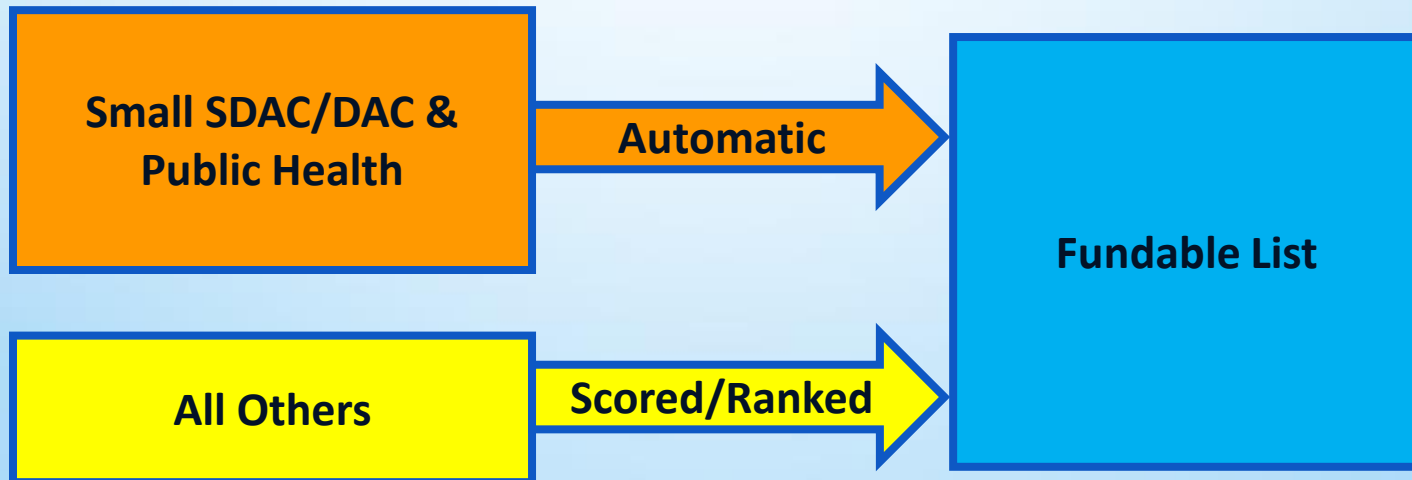
Scoring Essentials

➢ **Priority Score: sum of three components**

1. Primary Score – project water resource or water quality impact
2. Secondary Score – applicant or project features
    i. Climate Change Action Plan or Policy
    ii. Impact on specific water quality/environmental concerns
    iii. Match Financing*
3. Readiness Score – readiness to proceed; complete application and P&S

➢ **Maximum Score = 16**

- Primary Score (2 - 9)
- Secondary Score (max 3)
- Readiness Score (max 4)

Match vs Conventional Financing

	Match	Conventional
Loan Principal Amount (Eligible Project Costs)	$9,000,000	$9,000,000
CWSRF Share (Principal)	$7,500,000	$9,000,000
Local Share (Principal)	$1,500,000	$0

	Match	Conventional
Annual Payment to CWSRF	($300,000)	($401,849)
Total Payment to CWSRF	($9,000,000)	($12,055,479)

Payment = Loan Principal Amount amortized for 30 Annual Payments @ 0% interest rate. The effective interest rate on the CWSRF Share is 1.22%.

Payment = Loan Principal Amount amortized for 30 Annual Payments @ 2.0% Interest Rate.

Assumes Total Payments over 30 years with no early payoff.

CALIFORNIA
Water Boards
STATE WATER RESOURCES CONTROL BOARD
REGIONAL WATER QUALITY CONTROL BOARDS

Priority Score Example:
Critical improvements at WWTP

Primary Score: Verify the purpose of the project and the resource or impact associated with the project

Project would ***prevent*** future water quality permit violations — **Primary Score = 6**

Secondary Score: Verify which secondary characteristic best describes the project

The applicant has adopted a detailed Climate Change Action Plan; the Project would help implement the plan's objectives — **Secondary Score = 3**

Readiness Score: Verify the status of the application and Plans & Specifications

Application Status: 100 % complete; Application Readiness = 2
P & S Status: 100% Complete; Construction Readiness = 2 — **Readiness Score = 4**

Priority Score = Primary Score + Secondary Score + Readiness Score

Priority Score = 13

Developing the Fundable List

➢ **Funding Target**
 ▪ 90% → 125% Sustainable Loan Capacity ($1b)

➢ **Cut-off Score**
 ▪ Projects at or above cut-off are fundable

➢ **Potential modifications**
 ▪ If Draft Fundable List >125% funding target, partial financing may be applied to large projects

Cut-off Score: Partial Funding

Cutoff Score	# CW Projects	Est'd Total CWSRF Loan (Millions)	Partial Funding Options
16	0	$40	• Highest Possible Score • Est'd Loan = Small SDAC/DAC Projects
15	1	$319	• Fully Fund 1 Project @ 100% of Total Project Costs
14	10	$1,250	• Partially Fund 3 Projects @ 52.4% of Total Project Costs
13	29	$1,250	• Partially Fund 5 Projects, each > $90 M, @ 31.2% of Total Project Costs
12	39	$1,677	• Partially Fund 5 Projects @ 51% of Total Project Costs

Fundable List Timeline: Scoring and Developing

December 31
Deadline to submit application for scoring

February - March
Scores compiled and analyzed to determine cut-off score scenarios

May
Public comments addressed; IUP finalized

January
DFA staff completes scoring for all funding applications; applicants review scoring worksheets

April
Draft IUP released; public comment period open

June
IUP Adopted by Board

Project Funding

Project Funding Process

Application Review → Initial Agreement → Final Budget Approval → Construction → Project Completion
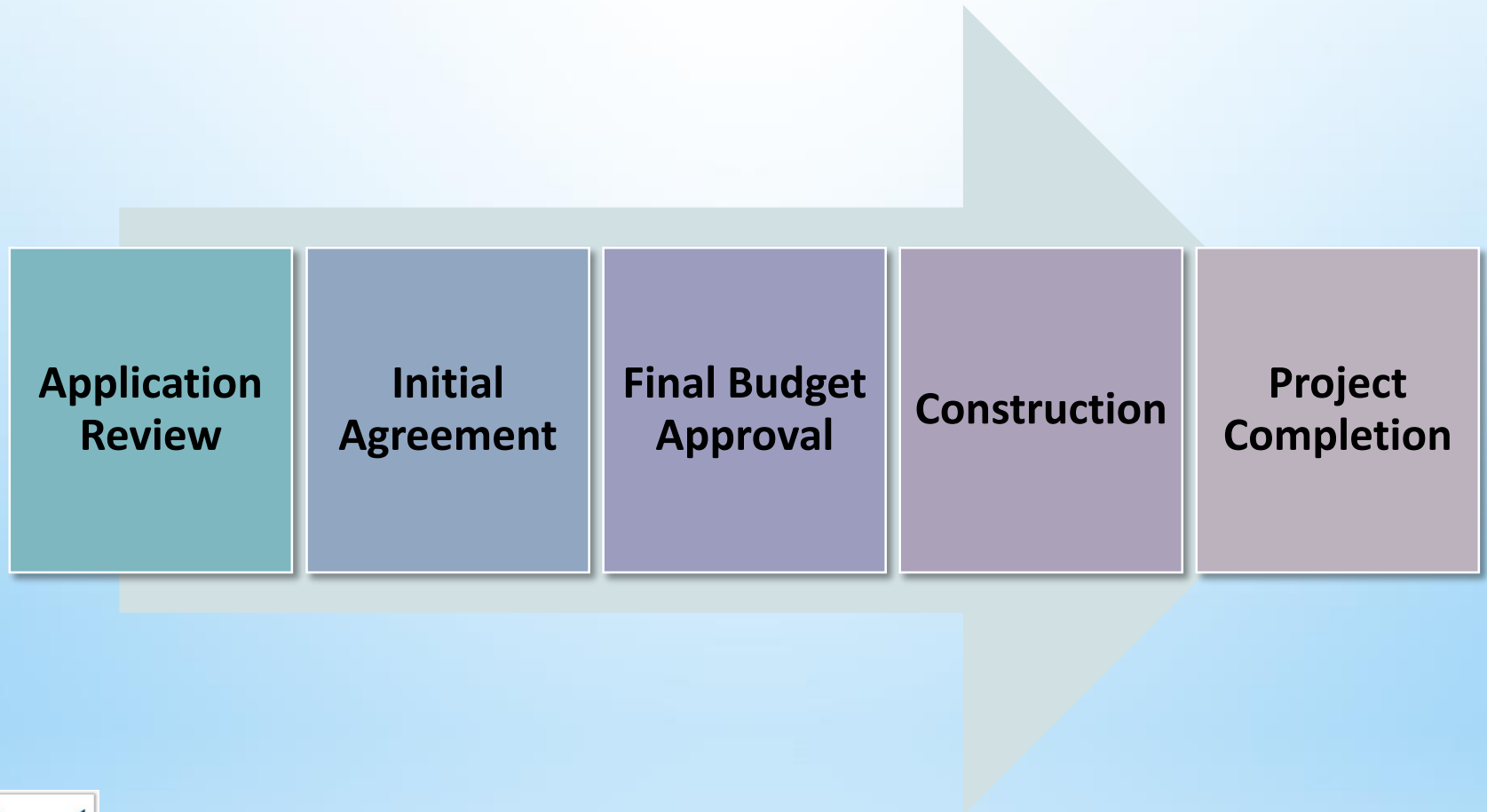
Financial Assistance Applications

Complete application consists of four packages:

➤ General Information Package

➤ Technical Package

➤ Environmental Package

➤ Financial Security Package

Application Review

- ➢ **Environmental Review**
  - ▪ Federal agency consultations:
    - ▪ U.S. Fish & Wildlife Services (USFWS)
    - ▪ CA State Historic Preservation Officer (SHPO), etc.
  - ▪ **CRITICAL**: Environmental Review and consultations must be clear before breaking ground

- ➢ **Financial/Credit Review**
  - ▪ Staff review credit worthiness and affordability of project

- ➢ **Legal Review**
  - ▪ General and bond counsel review - often concurrent with credit review; most legal challenges around existing debt

- ➢ **Technical Review**
  - ▪ Final review component for technical feasibility

Initial Agreement

➤ **Section Chief Review**
- Final review; application sent to Contracts unit
- Loan interest rate locked

➤ **Initial Agreement Drafting**
- Contract Unit begins drafting initial agreement
- Funds are encumbered

➤ **Initial Agreement sent out for signature**
- Applicant signs, returns, DFA Deputy Director signs and initial agreement is executed

➤ **Initial disbursement request eligible**
- Agency may now request planning and design funds

Final Budget Approval

➢ **Advertising for bid**

  ▪ Agency advertises Project for bid

  ▪ **CRITICAL:** bid package for federally funded project must include Disadvantaged Business Enterprise (DBE) language, Davis-Bacon wage rates, and American Iron and Steel requirements

➢ **Submit FBA Package**

  ▪ Technical review

    ▪ If Project costs increase, Agreement is amended

      ▪ May require additional financial/legal review

    ▪ **NEW!** If no increase in total Project cost, agency will receive letter releasing construction funds
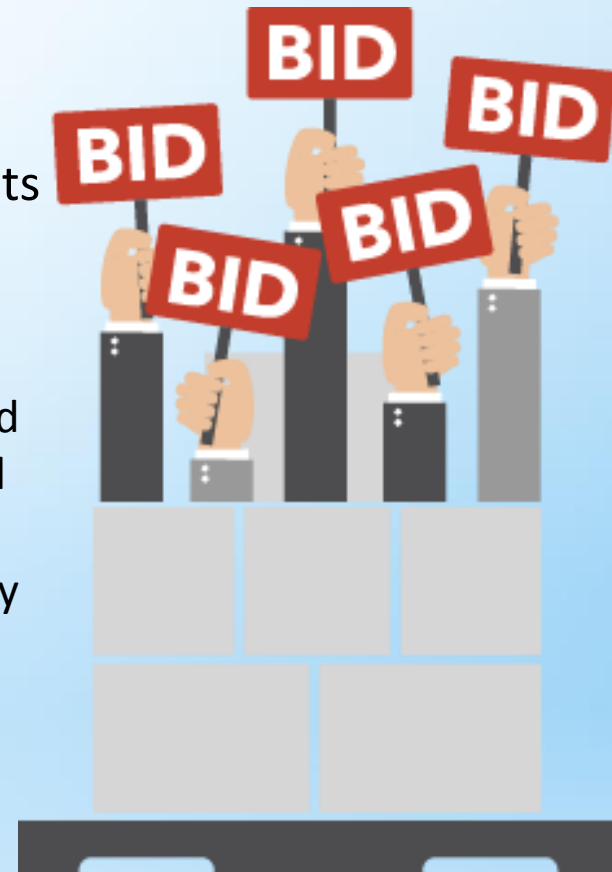
Construction

- ➢ **Quarterly Reporting**
  - ▪ Construction progress
  - ▪ Environmental compliance
  - ▪ Change orders
  - ▪ Problems encountered and proposed resolution

- ➢ **Disbursements**
  - ▪ Quarterly reports required to disburse construction funds

- ➢ **Inspections**
  - ▪ Construction
  - ▪ Davis-Bacon
  - ▪ American Iron and Steel

Project Completion

- ➢ **Project Completion Report**
    - ▪ Description of project and water quality issues addressed
    - ▪ Discussion of project's likelihood of success
    - ▪ Summary of environmental compliance

- ➢ **Final Disbursement Request**
    - ▪ Deadline set in agreement

- ➢ **Audits**
    - ▪ State Water Board
    - ▪ EPA
    - ▪ Department of Finance

- ➢ **Water Recycling Reporting**
    - ▪ Required for all projects funded with WR funds
    - ▪ Annual reporting for 5 years or until planned RW deliveries are met

Policy Updates

Recent Policy Updates

➢ **Policy for Implementing the CWSRF**
  ▪ Amended December 3, 2019

➢ **Water Recycling Funding Program Guidelines**
  ▪ Amended October 16, 2019

➢ **CWSRF Intended Use Plan**
  ▪ Updated Annually
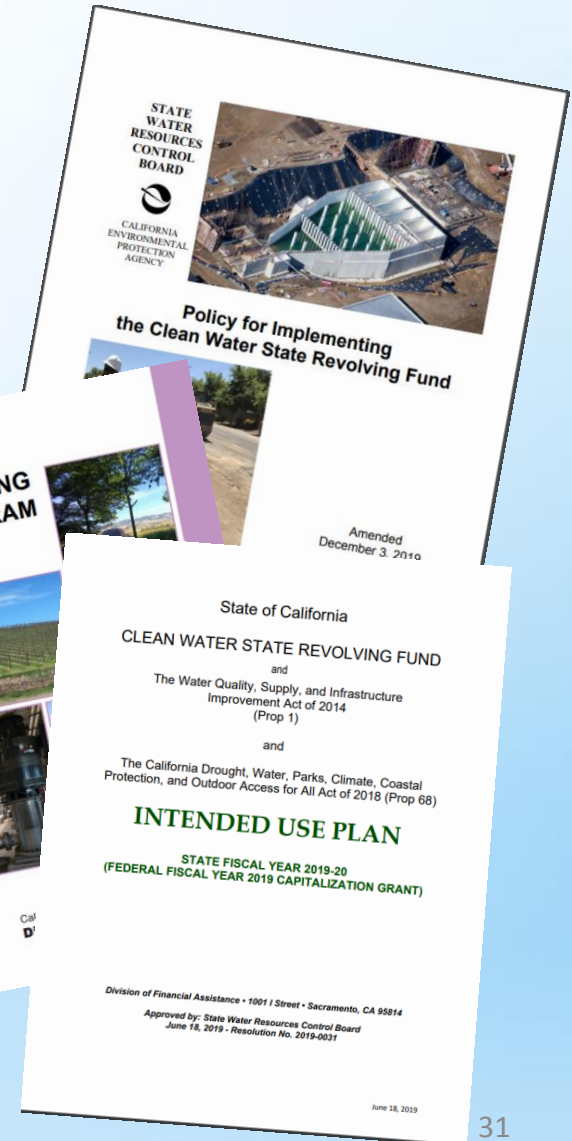
Recent Changes to Policy/Process

- **Updated and New Application Forms**

- **Debt service coverage**
  - Increased senior and parity coverage from 1.1 to 1.2 times
  - Lowered subordinate coverage to 1.0 times

- **Short-Term Financing Incentive**
  - 0.25% reduction for 20-year financing term

- **New Eligible Project Costs**
  - Replacement of private laterals and recycled water onsite user retrofits (No direct funding to individual property owners)

- **Eligible Start Date: construction costs can be eligible starting at Notice to Proceed**
  - Fundable List Eligibility **does not guarantee** executed funding agreement

Funding Opportunities & Applications

DFA Funding Opportunities CFCC Funding Fairs

https://www.cfcc.ca.gov/funding-fairs/

HOW TO APPLY

All funding applications accepted online through the Financial Assistance Application Submittal Tool (FAAST):

https://faast.waterboards.ca.gov/

- If your community has an economic hardship, technical assistance providers may be available to assist with electronic submittal

- FAAST tutorials are available online: http://www.waterboards.ca.gov/videos/faast.shtml

Contact Information

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Questions

The Grantsmanship Center of Los Angeles