



Grant Administration 101

Proposition 68

(California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access for All Act of 2018)



Welcome

from the

**Office of Grants and Local Services
(OGALS)**

part of the

Community Engagement Division (CED)

California State Parks



Resources

- **Webpage** – www.parks.ca.gov/grants
 - Grant Guidelines
 - Sign requirements
 - Forms

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Guide Overview

- Grant Process
- Special Requirements
- Grant Payments
- Contract
- Accounting and Audits



Grant Process Overview

1. Applicants receive award letter.
2. Applicant attends mandatory grant administration workshop.
3. Applicant fulfills any unmet application requirements:
 - Appraisal documents for acquisitions
 - Recorded CEQA documents
4. OGALS sends a contract to the applicant.
 - ▶ The GRANTEE returns the contract, signed by the AUTHORIZED REPRESENTATIVE, to OGALS.
 - ▶ OGALS returns a copy of the fully executed contract to the GRANTEE.
5. GRANTEE requests reimbursement payments for eligible costs. When the project is complete, the GRANTEE sends PROJECT COMPLETION PACKET(s).
 - ▶ OGALS reviews completion documents and conducts a final site inspection prior to processing the final payment request.
6. In preparation for an audit, the GRANTEE must retain all PROJECT records for five years following issuance of the final GRANT payment.



Development Project Rules

- Contracted work must comply with the provisions of §1771.5 of the State Labor Code, prevailing wage law.
- GRANTEE must have adequate liability insurance, performance bond, or other security necessary to protect the State and GRANTEE'S interest against poor workmanship, fraud, or other potential loss associated with the completion of the PROJECT.
- PRE-CONSTRUCTION COSTS may not exceed 25% of the PROJECT amount.
- PROJECTS must be accessible, including an accessible path of travel to the PROJECT.



Accounting Rules for In-House Employee Services

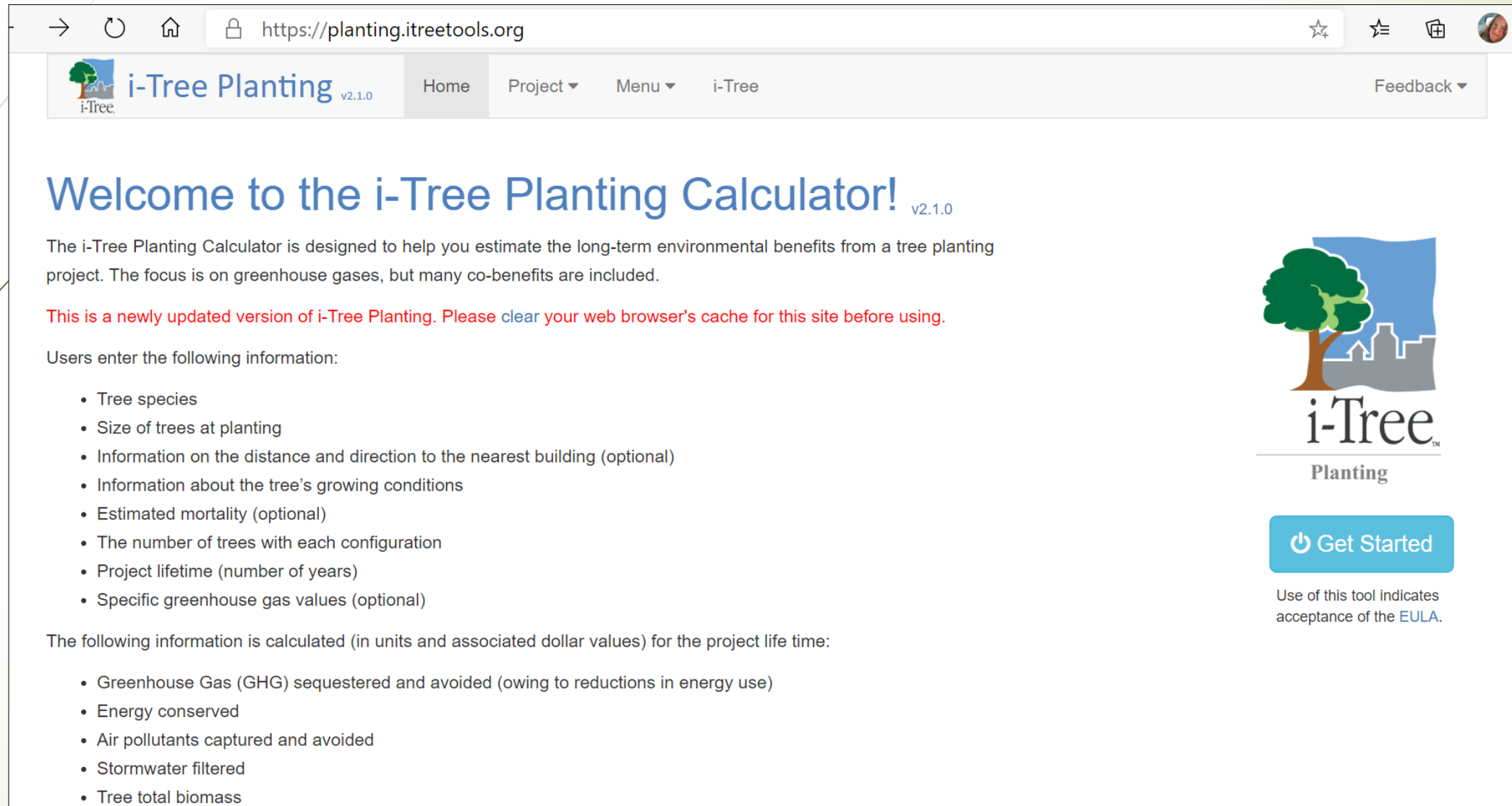


- ▶ Maintain time and attendance records as charges are incurred, identify the employee through a name or other tracking system, and that employee's **actual hours worked** on the PROJECT.
- ▶ Time estimates, including percentages, for work performed are not acceptable.
- ▶ **Time sheets that do not identify the specific employee's hours worked on the PROJECT are not acceptable.**
- ▶ Costs of the salaries and wages must be calculated according to the GRANTEE'S wage and salary scales, and may include benefit costs such as vacation, health insurance, pension contributions and workers' compensation.
- ▶ Overtime costs may be allowed under the GRANTEE'S established policy, provided that the regular work time was devoted to the same PROJECT.
- ▶ May not include overhead or cost allocation. These are the costs generally associated with supporting an employee, such as rent, personnel support, IT, utilities, etc.
- ▶ If planning to claim IN-HOUSE EMPLOYEE SERVICES costs, provide a sample timesheet for OGALS review to confirm these accounting practices are being followed.




Greenhouse Gas Emissions Reduction and Carbon Sequestration

If your PROJECT involves tree planting, submit the i-Tree report with the PROJECT COMPLETION PACKET.



→ ↻ 🏠 🔒 https://planting.itreetools.org ☆ ☆ 🏠 👤

 **i-Tree Planting** v2.1.0 Home Project ▾ Menu ▾ i-Tree Feedback ▾

Welcome to the i-Tree Planting Calculator! v2.1.0

The i-Tree Planting Calculator is designed to help you estimate the long-term environmental benefits from a tree planting project. The focus is on greenhouse gases, but many co-benefits are included.


This is a newly updated version of i-Tree Planting. Please clear your web browser's cache for this site before using.

Users enter the following information:

- Tree species
- Size of trees at planting
- Information on the distance and direction to the nearest building (optional)
- Information about the tree's growing conditions
- Estimated mortality (optional)
- The number of trees with each configuration
- Project lifetime (number of years)
- Specific greenhouse gas values (optional)


The following information is calculated (in units and associated dollar values) for the project life time:

- Greenhouse Gas (GHG) sequestered and avoided (owing to reductions in energy use)
- Energy conserved
- Air pollutants captured and avoided
- Stormwater filtered
- Tree total biomass



Get Started

Use of this tool indicates acceptance of the [EULA](#).



Status Reports

OGALS will send a Status Report every six months.

Payment requests will not be processed if Status Reports are overdue.



Sample Status Report – Due xx/xx/20xx (30 days from mail date)

Grantee:
 Project Number:
 Project Name:
 Project Scope:
 Project Phase: Pre-Construction/Pre-Acquisition Acquisition and/or Construction

When will you submit your next payment request? For how much?

Estimated date of project completion:

Potential obstacles affecting completion:

Is the project: On Time? yes/no Within Budget? yes/no Within Scope? yes/no If no, explain:

Describe grant-funded work completed since last status report submitted on (DATE):

Are CCC or certified local corps working on this project? Yes/No

Provide photos showing work completed since (DATE)

Describe grant-funded work expected to be completed by (MailDate + 6 mos)

If there have been any changes to the proposed funding for this project, attach a revised Funding Sources Form.

Provide information on payments to be submitted over the next three years:

Between 7/1/20 and 6/30/21	Between 7/1/21 and 12/31/21	Between 1/1/22 and 6/30/22	Between 7/1/22 and 12/30/22	Between 1/1/23 and 6/30/23	Between 7/1/23 and 12/30/23	After 1/1/24
\$	\$	\$	\$	\$	\$	\$

The purpose of this data is to help the State estimate borrowing needs; you will not be held to these estimates.

I represent and warrant that I have full authority to execute this Grant Progress Status Report on behalf of the Grantee. I declare under penalty of perjury, under the laws of the State of California, that this status report, and any accompanying documents, for the above-mentioned Grant is true and correct to the best of my knowledge.

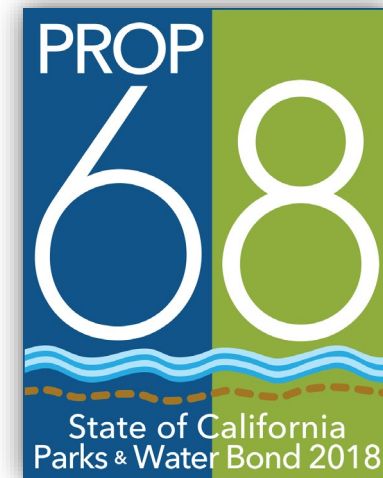
 AUTHORIZED REPRESENTATIVE Signature Date

 Print Name and Title

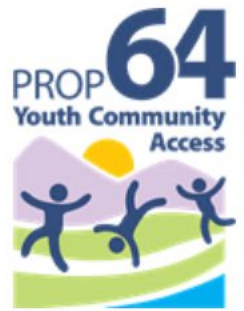
(*Certification to above information requires a signature by a person authorized in the resolution)

Prop 68 Sign Requirement

- ▶ Must be displayed during construction, at the final inspection, and for at least 4 years after completion.
- ▶ Must contain this language:
GAVIN NEWSOM, GOVERNOR
Wade Crowfoot, Secretary for Natural Resources
Armando Quintero, Director, California Department of Parks and Recreation
Use current names. May include names (and/or logos) of other partners, organizations, individuals and elected representatives.
- ▶ Must include logo
- ▶ Logo must be at least 24" tall
- ▶ Materials shall be durable and resistant to the elements and graffiti.
- ▶ If the sign is out of place or affected by local sign ordinances, OGALS may approve an alternative.
- ▶ Submit the proposed number, locations, size, and language of signs for preliminary review.
- ▶ Download logo at:
<https://resources.ca.gov/grants/logo-art/>



LOGO ARTWORK ✕



- [Proposition 64 \[JPG\]](#)
- [Proposition 64 \[PDF\]](#)
- [Proposition 64 \[PNG\]](#)
- [Proposition 64 \[TIF\]](#)
- [Proposition 64 \[AI\]](#)



- [Proposition 68 \[JPG\]](#)
- [Proposition 68 \[PDF\]](#)
- [Proposition 68 \[PNG\]](#)



Deed Restriction

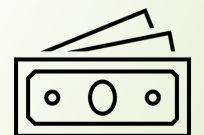


- Safeguards the property for purposes consistent with the GRANT for the CONTRACT PERFORMANCE PERIOD.
- If the GRANTEE owns the PROJECT land, a Deed Restriction must be recorded on the title to the property before OGALS will approve any grant payments.
- If the GRANTEE is acquiring land, a deed restriction is required before the PROJECT is complete.
- A Deed Restriction is not required if the GRANTEE does not own the PROJECT land.
- OGALS will email the Deed Restriction for the GRANTEE to complete.
- OGALS recommends submitting these documents to the OGALS PROJECT OFFICER for review prior to notarizing.



Grant Payments

- ▶ May be requested after a PROJECT is approved and the contract is encumbered
- ▶ Processed through the State Controller's Office and mailed six to eight weeks from the approval date
- ▶ Limited to 25% of the GRANT amount prior to groundbreaking, unless for acquisition costs
- ▶ 20% of the GRANT amount is retained for the final reimbursement
- ▶ A deed restriction is required prior to processing any payments
- ▶ **Group costs together to avoid frequent payment requests**
- ▶ Complete CEQA needed before requesting any construction reimbursement
- ▶ Provide a sample timesheet when requesting reimbursement for in-house employee services
- ▶ Provide bid summary documents for costs on contracts requiring a bid process
- ▶ Provide construction progress photos, with a photo of the construction sign on the PROJECT site, with construction payment requests.



Project Completion

- Submit PROJECT COMPLETION PACKETS by March 31st of the project performance period end year
- OGALS encourages digital submission of documents, as .pdf files.
- The final payment will be processed after PROJECT COMPLETION and the following occurs:
 - Approval of the PROJECT COMPLETION PACKET
 - Site inspection by the PROJECT OFFICER



Project Completion Packet



- Payment Request Form
 - Grant Expenditure Form
 - Final Funding Sources Form
 - GHG Emissions Reduction Worksheet
 - Project Completion Certification Form
 - Photo of the bond act sign and location
 - Recorded Deed Restriction, if not already provided
 - Completed CEQA, if not already provided
 - Notice of Completion (optional)
 - Audit checklist with items checked
- Acquisition PROJECTS also require:
- Copy of the recorded deed to the property
 - Map sufficient to verify the description of the property including parcel numbers and acreage
 - Copy of title insurance policy
 - Copy of title report



Advance Payments

- OGALS reserves the right to disapprove ADVANCE payment requests.
- Past performance, GRANTEE capacity, and the GRANTEE'S financial resources will all be considered.
- ADVANCE payments may be requested for costs the GRANTEE will incur within the next six months.
- ADVANCE funds must be placed in an interest-bearing account. Any interest earned on those funds must be spent within six months.
- The sum of DEVELOPMENT ADVANCES cannot exceed 50% of the PROJECT amount.
- ADVANCES must be cleared within six months. They should be cleared as costs are incurred.



Advance Justification

- Explain why an ADVANCE is needed instead of a reimbursement. Describe any hardships your agency will experience if a reimbursement were issued instead of an ADVANCE.
- A payment schedule, with a month-by-month estimate, for up to six months, showing the anticipated amount needed, and to whom the funds will be paid.
- The six-month schedule should begin six to eight weeks after ADVANCE request is submitted.
- A funding plan, indicating how your agency intends to cash flow the costs exceeding the 50% ADVANCE limit.
- A statement that your agency will put the advanced funds into a separate, interest-bearing account, and spend any interest earned on the PROJECT.
- An acknowledgement that all invoices and contracts pursuant to which payments are made shall be made available to OGALS on demand.



Audit Checklist

Keep a copy handy with your project records.



Audit Checklist

An audit of the PROJECT may be performed before or following PROJECT completion. The GRANTEE must retain and make available all PROJECT related records for five years following PROJECT termination or final payment of GRANT funds. Listed below are some of the items the auditor will examine during the review of your records as applicable. It is the responsibility of the GRANTEE to have these records available in a central location ready for review once an audit date and time has been confirmed. If you have any questions regarding these documents, contact the State Department of Parks and Recreation Audits Office at (916) 657-0370.

CONTRACTS

- Summary list of bidders (including individual bid packages)
- Recommendation by reviewer of bids
- Award by governing body (minutes of the meeting/resolution)
- Construction contract agreement
- Contract bonds (bid, performance, payment)
- Contract change orders
- Contractor's progress billings
- Payments to contractor (cancelled checks/warrants, bank statements, EFT receipts**)
- Stop Notices (filed by sub-contractors and release if applicable)
- Liquidated damages (claimed against the contractor)
- Notice of completion (recorded)

IN-HOUSE EMPLOYEE SERVICES*

- Authorization/work order identifying project
- Daily time sheets signed by employee and supervisor
- Hourly rate (salary schedules/payroll register)
- Fringe benefits (provide breakdown)

IN-HOUSE EQUIPMENT*

- Authorization/work order
- Daily time records identifying the project site
- Hourly rate related backup documents

MINOR CONTRACTS/ MATERIALS/ SERVICES/EQUIPMENT RENTALS

- Purchase orders/Contracts/Service Agreements
- Invoices
- Payments (cancelled checks/ warrants, bank statements and EFT receipts **)

ACQUISITION

- Appraisal Report
 - Did the owner accompany the appraiser?
 - 10 year history
- Statement of just compensation (signed by seller)
- Statement of difference (if purchased above appraisal)
- Waiver of just compensation (if purchased below appraisal: signed by seller)
- Final Escrow Closing Statement
- Cancelled checks/warrants, bank statements and EFT receipts, [payment(s) to seller(s)]
- GRANT deed (vested to the participant) or final order of condemnation
- Title insurance policy (issued to participant)
- Relocation documents
- Income (rental, grazing, sale of improvements, etc.)

INTEREST

- Schedule of interest earned on State funds advanced (Interest on grant advances is accountable, even if commingled in a pooled fund account and/or interest was never allocated back to the grant fund.)

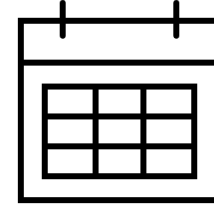
AGREEMENT/CONTRACTS

- Leases, agreements, etc., pertaining to developed/acquired property
- Proof of insurance pertaining to developed/acquired property

** Estimated time expended on the projects is not acceptable. Actual time records and all supporting documentation must be maintained as charges are incurred and made available for verification at the time of audit.*

*** Front and back if copied.*

What's Next?



- Submit any pending application items
- Submit appraisals if project includes acquisition
- Project Officer will forward contract to you for signature
- Project completion by December prior to end of project performance period
- Submit completion package at least 12 weeks prior to end of project performance period.

