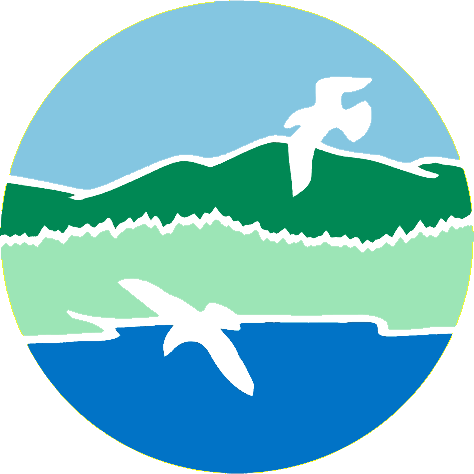
***December 2016***

**Nonpoint Source Grant Administrative Guidelines**



MAINE DEPARTMENT OF ENVIRONMENTAL PROTECTION

17 State House Station | Augusta, Maine 04333-0017

www.maine.gov/dep

## Table of Contents

1. **Background and Purpose** 1

**II. Grantee and DEP Responsibilities and Coordination** 1

1. Grantee Responsibilities 1

##### B. DEP Responsibilities 3

C. Grantee and DEP Cooperation 3

D. Office and Fieldwork Site Visits 4

E. Problem Resolution 4

1. Requesting Approval for Changes in the Work 5
2. Closeout of Grant Agreement 7

**III. Financial Management and Project Implementation** 8

1. Subgrants 8
2. Procurement 8
3. Non-Federal Match 10
4. Invoices and Payments 12
5. Constructing BMPs at NPS Sites 13
6. Environmental Data Quality Assurance 16

**IV. Project Reporting** 17

A. Progress Reports 17

B. Project Deliverables 18

C. NPS Site Reports 19

D. Pollutants Controlled Reports 19

E. Final Project Report 20

Appendices

A Non-Federal Match Documentation Example 21

B Non-Federal Match Documentation / Certification Form 22

C Cost Sharing Agreement Example 23

D Construction Plan Example 25

E Invoice Form 27

F MBE/WBE Utilization Report 28

G Progress Report Form 29

H NPS Site Report Form 31

I Pollutants Controlled Report Form 32

J Final Project Report Instructions 34

K Office and Site Visit Forms 35

## Background and Purpose

**Commonly Used Terms and Acronyms**

**319** – Section 319 of the federal Clean Water Act that establishes a program to address nonpoint source pollution. 319 funds from the United State Environmental Protection Agency (EPA) are the main funding source for Maine’s NPS grants program.

**604b** – Section 604(b) of the Clean Water Act that provides limited funding for water quality assessment and management planning.

**BMP** – Best Management Practice. Also referred to as conservation practice. Methods that have been determined to minimize, repair or prevent pollution from nonpoint sources.

**NPS –** Nonpoint Source Pollution. Pollution from diffuse sources on the landscape that are picked up and carried by rainfall runoff or snowmelt into surface waters.

**Grant Agreement** - Official agreement between the DEP and Grantee that describes the work to be performed (including the project work plan), method of payment, and other State and Federal provisions.

**Grantee** – Recipient of a grant award from Maine DEP to carry out a NPS Project. Also referred to as subrecipient and Provider.

The Maine Department of Environmental Protection (DEP) is a recipient of federal Clean Water Act Section 319 and 604(b) funds to help restore or protect waters from nonpoint source pollution (NPS). DEP administers a grants program to pass-through a portion of these funds as subawards to subrecipients (referred to hereafter as Grantees). Grantees conducting NPS Pollution Control Projects are obliged to administer projects in accordance with the ‘Agreement to Purchase Services’ (hereafter referred to as Grant Agreement) as well as this document, *NPS* *Grant Administrative Guidelines*. This document applies to all NPS grant projects and supersedes the previous version, *NPS Grant Administrative Guidelines* (June 2010).

These guidelines provide information to help Grantees administer a NPS project to comply with the Grant Agreement. The document is organized into the following three sections:

* Grantee and DEP Responsibilities and Coordination;
* Financial Management and Project Implementation; and
* Project Reporting.

Appendices include templates, forms and instructions associated with project reporting.

1. **Grantee and DEP Responsibilities and Coordination**

## Grantee Responsibilities

Grantees are obliged to administer the project in accordance with the Grant Agreement. The Grant Agreement describes Grantee responsibilities in seven riders. The project work plan is included in Rider A, ‘Specifications of Work to be Provided’. The primary responsibilities for administering a Grant Agreement are summarized below.

* Project Work Plan - Conduct the project or program activities as described in the project work plan. Take action to conduct the work as scheduled and close out the project by the completion date specified in the “project duration” section of the work plan.
* DEP Communication - Maintain an active cooperative working relationship with the DEP Agreement Administrator (AA) designated in paragraph #6, Rider B of the Agreement. Keep the Agreement Administrator informed of project activities. Contact the Agreement Administrator for assistance with any questions.
* Changes in Work - Notify DEP as soon as possible if changes to project work plan are needed to effectively conduct the project. If necessary, request and secure DEP acceptance of changes in the project work plan. (Refer to Section II.F.).
* Project Reporting - Prepare and submit Progress Reports, NPS Site Reports, Pollutants Controlled Reports, Final Project Report and other deliverables listed in the project work plan according to guidelines in Section IV.
* Office and Site Visits - Meet with the Agreement Administrator for annual Office Visits at the Grantee’s office to review project files and activities and accompany Agreement Administrator on NPS Fieldwork Site Visits, as needed. (Refer to Section II.D.)
* Project Acknowledgement - Acknowledge DEP and EPA in any materials, presentations, or press releases produced relative to the project according to Rider A, Section III.F. as follows: "*Funding for this project, in part, was provided by the U.S. Environmental Protection Agency under Section (either 319 or 604(b) of the Clean Water Act. The funding is administered by the Maine Department of Environmental Protection in partnership with EPA. EPA does not endorse any commercial products or services mentioned.*" DEP and EPA logos may not be included on materials unless the Grantee receives prior instruction and approval.
* Invoices - Prepare invoices according to instructions in Section III.D. and submit to the DEP Agreement Administrator.
* Financial Management - Maintain a financial management system to permit the tracking of funds to a level of expenditure adequate to establish that funds have been expensed on allowed activities and purposes under the Grant Agreement. Costs charged to the grant must be reasonable and allowable and may not be incurred before the effective date of the Grant Agreement. Provider will follow federal cost principles described in the Code of Federal Regulations, 2CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
* Match Tracking - Organize and record non-federal match information as it is accumulated during the project (Section III.C).
* Environmental Data - If environmental data is collected as part of the project, conduct activities according to applicable quality assurance procedures. (See Section III.F.)
* Records Retention - Maintain all correspondence, documents, deliverables, payroll and accounting records and other materials pertaining to the Agreement. Allow inspection of pertinent documents by DEP or other authorized representative of the State of Maine or the federal government. Records must be retained for a period of five (5) years following DEP closeout of the agreement.

## DEP Responsibilities

DEP is responsible for monitoring the Grantee’s use of the grant award to provide reasonable assurance that project goals are achieved and the Grantee administers the grant award in compli­ance with terms of the Grant Agreement. Monitoring activities normally occur throughout the year and may take various forms including reviewing reporting, performing site visits and maintaining regular contact.

DEP designates a staff person as Agreement Administrator to serve as DEP's representative (agency contact person) to help guide the project, monitor Grantee performance on the Grant Agreement and help ensure that work is carried out according to the work plan. The following list highlights the DEP Agreement Administrator's primary responsibilities:

* Project Monitoring - Provide or coordinate DEP consultation and monitor the project to help the Grantee successfully implement the project work plan and comply with the Grant Agreement. Regularly contact the Grantee about the NPS project by phone, email, letter or site visit at least once every three (3) months.
* Project Startup - Within two (2) months of project start-up, contact the Grantee to review the Grant Agreement, project work plan, and the NPS Grant Administrative Guidelines to help ensure the Grantee understands their responsibilities and is prepared to effectively administer the project.
* Review of Agreements - Review and, if acceptable, approve all subgrants and procurement agreements over $3,000. For projects involving BMP construction, review and approve the Grantee’s cost sharing agreement (CSA) template and any CSAs and Construction Plans involving $5,000 or more in grant funds.
* Office and Fieldwork Site Visits - Conduct annual Grantee Office and Fieldwork Site Visits, as needed, according to DEP Standard Operating Procedures. (Refer to Section II.D.)
* Deliverables and Invoices - Receive, acknowledge, review and handle all material submitted to DEP by the Grantee in a timely manner, including but not limited to Progress Reports, Deliverables, Invoices and the Final Project Report.
* Prompting Action - Prompt the Grantee, as needed, to help ensure the project is proceeding as scheduled and that Deliverables required by the Agreement are provided to DEP.
* Project Records - Create and maintain a paper and an electronic file for the NPS Project that contains all pertinent documents and records according to DEP Standard Operating Procedures. Document key contacts with the grantee (e.g., site visits, meetings etc.) in writing for the DEP project file to exhibit DEP monitoring of the project.
* Project Closeout – Closeout the Grant Agreement when the project has been completed.

### **Grantee and DEP Cooperation**

The Grantee and the DEP Agreement Administrator should develop a good working relationship so that each understands the other's needs and responsibilities. In some cases a Grantee and the AA may prefer to work closely together on many aspects of the project, such as training sessions, evaluating NPS sites, engaging stakeholders, etc. At other times it may be preferable for DEP to remain more distant, but still available to provide assistance upon request. The best approach should be determined on a case-by-case basis by the Grantee and the AA with the mutual goal being to implement the project as effectively as possible.

1. **Office and Fieldwork Site Visits**

As part of their project monitoring, the Agreement Administrator will conduct Grantee Office Visits and Fieldwork Site Visits according to DEP Standard Operating Procedures. See Appendix K for forms.

1. Office Visits

The Agreement Administrator will arrange an annual Grantee Office Visit to interview staff, review records, observe operations and discuss the project. Observations and any recommendations for areas needing improvement will be recorded on a standard form, which will be shared with the Grantee and NPS Grants Program Manager.

1. Fieldwork Site Visits

For projects with BMP installations, the Agreement Administrator will conduct Fieldwork Site Visits to assess if installed BMPs appear appropriate for the site and are functional. NPS projects involving >$2,500 in grant funds require visits during or after construction. Preconstruction site visits are also required for high complexity or high cost sites. Site visits may be conducted, but are not required, for smaller projects. The Agreement Administrator will invite the grantee to join them for Fieldwork Site Visits. Observations will be recorded on a standard form, which will be shared with the Grantee and NPS Grants Program Manager. If a BMP does not appear to be functional or maintenance is needed, the Agreement Administrator will discuss with the Grantee and determine a course of action to remedy the issue.

## E. Problem Resolution

Grantees are responsible for implementing the Grant Agreement. The DEP Agreement Administrator is involved in project activities to the extent of reviewing deliverables, progress reports and invoices, attending occasional meetings, and providing advisory support and technical assistance. Problems such as unforeseen loss of staff, prolonged bad weather, equipment breakdown, etc., may affect the Grantee’s ability to meet Grant Agreement requirements. In such cases more hands-on interaction between Grantee and DEP may be needed to help keep project activities on track. Minor or temporary delays are usually resolved through cooperation between the Grantee and the DEP Agreement Administrator.

More significant problems may develop where the project work is not progressing satisfactorily. Examples of potentially serious problems or deficiencies include: repeated failure to complete project work plan tasks; reports or related documentation not submitted or of poor quality; project work changed without notice or not performed according to the work plan; poor budget management, unsubstantiated project costs; etc. If the problem cannot be resolved between the Agreement Administrator and Grantee, then the Agreement Administrator or the Grantee should request assistance from the DEP NPS Program Manager.

## F. Requesting Approval for Changes in the Work

This section describes when and how to request DEP approval for changes in the work. Grant Agreements have a standard provision regarding "Changes in the Work" in Section 7 of Rider B. A grantee is obliged to conduct the project as described in the project work plan. However, as project work proceeds, the Grantee and/or Agreement Administrator may determine that it is necessary or appropriate to change the project work plan in order to implement the project more effectively or respond to various changed conditions.

1. Changes in the Work

“Changes in the Work” is differentiated from “Substantial Changes in the Work” based on the magnitude of proposed change described below.

1. Changes in the Work need to be documented and approved by the DEP Agreement Administrator before changes are implemented by the Grantee. Changes can include:

* Project work described in the work plan (e.g., tasks, schedules, estimated costs within cost categories, and/or deliverables) needs to be revised to achieve the overall purpose of the project; and/or
* A time extension is needed because work will need to be conducted after the planned completion date cited in the work plan but before the expiration date of the Grant Agreement.

1. Substantial Changes in the Work need to be documented with a formal amendment to the Grant Agreement and approved by the DEP Commissioner and the Department of Administrative and Financial Services, Division of Purchases before changes are implemented by the Grantee. Substantial changes in the work can include:

* There will be a substantial change in the purpose, scope or objectives of the project;
* An increased amount of grant funds is needed; or
* A time extension is needed because work will need to be conducted after the expiration date of the Grant Agreement.

1. Time Extension

Grantees should aim to manage projects according to the timeline and project completion date listed in the “Project Duration” section of the work plan. DEP recognizes that unforeseen delays or extenuating circumstances sometimes occur that may require additional time to complete a project. If this is necessary, DEP may approve project extensions for additional time up to the expiration date of the Grant Agreement.

To apply for additional time, Grantees need to request a "Change in the Work" to revise the project completion date in the work plan. A time extension request should be for no more than one year beyond the completion date in the work plan. Generally DEP will not accept a time extension beyond the Grant Agreement expiration date (located on the first page of the Agreement).

Grantees should not operate under the assumption that they will automatically receive a one year time extension. Some Grant Agreements do not have an expiration date that allows for a one year extension. There also may be situations when requests are not approved (e.g., poorly performing projects). Furthermore, completing projects according to the original timeline reflects favorably on grantee performance and avoids the additional costs associated with stretching out the project timeline.

*up to 12 months*

**Project Start Date**

Project proceeds and aims for completion by the project completion date in the work plan

(12-24 months).

**Project Completion Date**

**in Work Plan**

Project closes out.

If more time is needed, Grantee requests "Changes in Work" for up to 12 month extension.

**Expiration Date Grant Agreement**

Project closes out.

DEP will generally not accept a time extension beyond the expiration date.

**NPS Project Timeline**

*12-24 months*

1. Requesting DEP Approval of Changes in the Work
2. Requests should be submitted as soon as possible after the need is determined. The Grantee should submit a letter to DEP requesting approval of changes in the work. The request should provide the following information:

* NPS project # and title;
* A statement requesting DEP approval of "changes in the work";
* Overview of work completed to date on the project;
* Description of the reasons for the proposed changes;
* Description of the proposed changes, revised tasks, revised deliverables and/or revised budget, etc.

1. If the changes involve a time extension, also provide the following information:

* Description of why the time extension is needed;
* The revised project completion date and revised schedule for each task that needs to be completed; and
* Description of adjustments to project management to help ensure the project will be completed before the proposed revised project completion date.

1. DEP Review of a Request for Changes in the Work

DEP will review the request for acceptability and, if necessary, secure approval from EPA. DEP will reply in writing to advise if the changes in the work are accepted or are not accepted.

Provided the request is clear and thorough, DEP will review and respond within three (3) weeks.

For "substantial changes in the work" anticipate eight (8) weeks to secure approval.

1. General Acceptance Criteria - DEP may accept proposed changes in the work if:

* The Grantee has exhibited acceptable past performance on the project; and
* Changes are appropriate to meet the purpose, scope and objectives of the project.

1. Time Extension Acceptance Criteria - DEP may approve extension if:

* The request indicates the project work was not completed as scheduled due to reasonable unforeseen delays or extenuating circumstance;
* The request indicates the Grantee will take action needed to manage the project and complete the project before the revised project completion date; and
* The requested extension date is on or before the grant expiration date.

## Closeout of Grant Agreement

DEP must document closeout of the Grant Agreement when the project ends. DEP will review the Final Project Report and information in the project file to verify that the Grantee performed project work in accordance with the terms of the Grant Agreement. DEP will check for the following:

* Project tasks in the project work plan were implemented;
* Project Deliverables are acceptable and in the project file;
* The Final Project Report is accepted and in the project file; and
* The final payment was approved.

### When DEP finds the Grantee has exhibited adequate performance and compliance according to terms of the Grant Agreement, DEP will acknowledge completion of the Grant Agreement by letter to the Grantee. The Agreement Administrator prepares the Closeout Letter for review and signature by the Director of the Environmental Assessment Division.

1. **Financial Management and Project Implementation**
2. **Subgrants**

Grantees may issue a subgrant to pass through a portion of the grant funds to an eligible subgrantee, provided that the work to be performed is aligned with the public purpose or mission of the subgrantee. A subgrantee must be a Maine public organization such as a state agency, soil and water conservation district, regional planning commission, watershed district, municipality or an incorporated nonprofit organization with federal tax exempt status (501c3). For example, a municipal grantee may issue a subgrant to a soil and water conservation district to coordinate the project or perform certain tasks. This arrangement is not considered procurement and does not need to follow procurement procedures. However, terms of the arrangement between the grantee and subgrantee must be described in a written agreement, which must be reviewed and approved by the Agreement Administrator (Agreement Rider B, Section 8).

## Procurement

* + - * 1. Procurement Methods

In some projects, a Grantee may need to purchase goods or services to conduct project activities. Procurement means acquisition of supplies, equipment, construction or services. Procurement with federal funds must be made on a competitive basis to ensure that fair and reasonable prices are obtained for goods and services.

**Agreements Needing DEP Review and Approval**

* All subgrant contracts.
* Procurement agreements greater than $3,000 (larger than micropurchases).
* The Grantee’s Cost Sharing Agreement template.
* Individual Cost Sharing Agreements and Construction Plans for projects using $5,000 or more in grant funds (See Section III.E.)

Grant recipients must use procurement procedures that conform to applicable federal law and standards as described in 2 CFR 200 Subtitle D Procurement Standards. These regulations outline principles of competition (e.g., considering all ‘equal’ products instead of specifying only ‘brand name’ products) and describe five (5) procurement methods: micro-purchases, small purchase procedures, sealed bids, competitive proposals and noncompetitive proposals. Grantees should document the specific procurement method(s) used during a project. The three most common procurement methods used in NPS grants are described briefly below. For more information on these or other methods, refer to 2 CFR Part 200.

* 1. Micro-purchases

Micro-purchase means a purchase of supplies or services using simplified acquisition procedures, the aggregate amount of which does not exceed the micro-purchase threshold of $3,000 set by the Federal Acquisition Regulation at 48 CFR Subpart 2.1 (Definitions). To the extent practicable, the Grantee must distribute micro-purchases equitably among qualified suppliers. Micro-purchases may be awarded without soliciting competitive quotations if the Grantee considers the price to be reasonable.

* 1. Small Purchase Procedures

Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the Simplified Acquisition Threshold of $150,000 set by the Federal Acquisition Regulation at 48 CFR Subpart 2.1 (Definitions). Small purchase procedures require that price or rate quotations must be obtained from an adequate number of qualified sources. Standard practice is to document price or rate quotations from three or more qualified sources.

* 1. Competitive Proposals

The technique of using competitive proposals is normally conducted with more than one source submitting an offer, and either a fixed price or cost-reimbursement type contract is awarded. Contracts are awarded to the respondent that is most advantageous to the program, with price and other factors considered. Grantees may use Request for Proposals (RFP) or Request for Qualifications (RFQ) approaches. Both RFPs and RFQs must publicize evaluation factors and solicit responses from an adequate number of qualified sources (typically three or more).

A ***RFP*** is a type of bidding solicitation in which a company or organization announces that funding is available for particular goods or services, and companies can place bids to meet these needs. Final RFP selection is based on the proposal as well as cost. A ***RFQ*** can be used for selection of professional services (e.g., engineering). Qualifications are the main selection factor and price does not need to be considered, subject to negotiation of fair and reasonable compensation. Grantees may contact their AA for examples of RFP and RFQ documents used by grantees on other 319 projects.

A written agreement between the Grantee and selected provider must be created for procurement greater than $3,000 (greater than micropurchases) and reviewed and approved by the Agreement Administrator (Agreement Rider B, Section 8).

Procurement methods using federal funds are specified in the Code of Federal Regulations at 2 CFR 200.320, which are available at <http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl>

1. Utilization of Contractors Certified in Erosion Control Practices

DEP requests that grantees give preference to purchasing services from contractors certified in Erosion Control Practices by DEP. A list of certified contractors is available at <http://www.maine.gov/dep/land/training/ccec.html>. Note that certified contractors are required for any work conducted in the shoreland zone.

1. Utilization of Minority and Women’s Business Enterprises

For procurements under federally funded projects, grantees are obliged to make good faith efforts to assure that disadvantaged business enterprises (DBE) are used when possible. Minority and women’s business enterprises (MBE/WBE) should be given equal opportunities to participate as suppliers, contractors or subcontractors. See Grant Agreement, Rider E for the specific ‘fair share’ goal for the project, information about where to find WBE/MBE lists, and ‘Six Good Faith Efforts’ required to assure that disadvantaged business enterprises are used as subcontractors, when possible.

EPA requires that States collect and report information regarding Grantee procurements. The invoice form requires submission of the DEP “MBE/WBE Utilization Report” form (Appendix F) if funds were used for procurement. This form reports total procurement and MBE/WBE vendors used for the project.

## Non-Federal Match

Grantees are obliged to document non-federal matching funds or services contributed to the project. The amount of non-federal match required is listed in the project work plan under "Budget Information". To efficiently meet documentation requirements, Grantees should have a systematic approach to accumulate match information as the project proceeds and record information in a table or spreadsheet (See Appendix A). Grantees must submit documentation of non-federal project match as part of the Final Project Report.

### Description

Non-federal matching funds are the portion of allowable project costs contributed to a federally funded project. Match includes, but is not limited to, allowable costs borne by the Grantee and contributions of cash or services from individuals, organizations, municipalities or non-federal public agencies. For the governing provisions relating to match, refer to 2 CFR 200.306 at <http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl>.

* 1. Non-federal match contributions may include:
* Cash contributions, and/or
* In kind contributions. An in kind contribution is the value of a non-cash contribution to meet a Grantee's cost sharing requirements. An in kind contribution may consist of the value of goods or services, property and equipment directly benefitting the project.
  1. Non-federal match contributions must be:
* Related directly to tasks in the project work plan;
* Reasonably valued for the work performed;
* Conducted between the Grant Agreement effective date and closeout of the Grant Agreement, except when DEP’s grant agreement with EPA allows Grantees to start accruing match during the 6-8 week period after the Grant Agreement is finalized but before it is an effective agreement. Contact the Agreement Administrator to confirm applicability. Note that project expenses incurred during this period cannot be reimbursed.
* Supported by appropriate documentation; and
* Provided by non-federal sources. Personnel, projects, or services paid with federal funds do not qualify as non-federal match.

1. Valuation of In-Kind Contributions
   1. Personnel Time Paid for by Grantee or Project Partner Organizations - When an employer furnishes free of charge the services of an employee in their normal line of work, the services will be valued at the employee’s regular rate of pay. Paid fringe benefits that are reasonable, necessary, allocable and otherwise allowable may be included in the valuation. Indirect costs may be included at either the organization’s approved federally-negotiated indirect cost rate or a rate in accordance with [2 CFR § 200.414](http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl).
   2. Donated Supplies - The contribution of donated supplies must be valued at the market value of the supplies at the time of donation.
   3. Donated Equipment or Space in a Building - The contribution must be valued at the fair market rental rate of the equipment or space.
   4. Volunteer Services - Unpaid volunteer time/services donated to the project by individuals must be valued at rates consistent with those ordinarily paid for similar work/services in the Grantee’s organization. For example, when documenting donated personnel time as match, use the amount you would pay the person to do the job for which they are volunteering. If the Grantee organization does not have employees performing similar work, the value of donated personnel time must be consistent with those ordinarily paid by other employers for similar work in the area. Methods to estimate the value of unpaid volunteer services include, but are not limited to:

* Determine the appropriate occupation and Maine occupational wage estimates provided by the Bureau of Labor Statistics, U. S. Department of Labor. For example, in 2014 the mean hourly wage rate for Environmental Scientists was $34.64; and Environmental Science Technicians, $21.82 based on “Maine May 2015 State Occupational Employment and Wage Estimates”. <http://www.bls.gov/oes/current/oes_me.htm>
* The organization “Independent Sector” provides average rates for volunteers. DEP will accept the most recent rate established for Maine at <http://www.independentsector.org/programs/research/volunteer_time.html> Make sure to use the rate provided for Maine and not the national volunteer rate.

### Documentation of Non-federal Match

Grantees should accumulate match information in a table or spreadsheet as the project proceeds. The table should allow the Grantee to efficiently summarize accumulated match. (See example in Appendix A.) The following information should be recorded to document match:

1. Date - List the date associated with the match;
2. Source - Identify the source of funds or services (e.g., person, group, business etc.);
3. Activity - Describe the activity (e.g., steering committee meeting, construction etc.);
4. Dollar Value - The value of the activity or item in dollars or dollars/hour; and
5. Valuation - Identify the basis for the dollar value assigned to the activity or item (e.g., Maine Volunteer rate reported on Independent Sector website).

Before the closeout of the project, Grantees must submit a signed Non-Federal Match Documentation and Certification form (Appendix B) along with the supporting match table.

### Examples of Match

Match must be “contributions of cash or services” that relates directly to tasks and objectives in the project work plan. Examples of services or items that may be eligible as non-federal match:

1. Time and expenses installing BMPs called for in the work plan (i.e., cost of labor, equipment and materials associated with construction of acceptable BMPs).
2. Time serving on the project steering committee; writing, copying and mailing water quality publications or watershed newsletters; providing training or workshop sessions; designing or reviewing BMP or conservation plans, etc.
3. Vehicle mileage is eligible as match, but the rate cannot exceed the State of Maine Government allowance rate at the time mileage is accrued (available at <http://www.maine.gov/osc/travel/addtltravelinfo.shtml>**).**
4. Cost of office or field equipment rentals, and supplies used for the project; and
5. Time spent at a training session that will prepare volunteers to then contribute services to help implement project tasks and objectives (e.g., volunteer time spent at a watershed survey training session). Note, people attending a meeting or a workshop to hear about the project or NPS pollution issues does ***not*** generate eligible match because they are not 'contributing services' to the project.

## Invoices and Payments

Grantees may request payments for grant activities on a reimbursement basis as described in Rider B of the Grant Agreement. Payments on all new Grant Agreements will be made only on a reimbursement basis for costs incurred, except DEP may issue an advance payment due to hardship. Ten percent (10%) of grant funds are retained until the project is completed.

### Submitting an Invoice to DEP

* Grantees should complete the Invoice form in Appendix E according to instructions in Rider B of the Grant Agreement and as follows.
* If a Grantee used funds for procurement (i.e., acquisition of supplies, equipment, construction or services) during the reporting period, a ‘MBE/WBE Utilization Report’ form (Appendix F) must be provided with the payment request.
* The Invoice should be submitted to the DEP Agreement Administrator.
* One paper copy of the invoice with original signature must be submitted. Electronic and photocopied signatures are not acceptable.
* Grantees may sign up for direct deposit with the State of Maine at <http://www.maine.gov/osc/accounting/ddeft.shtml>.

### DEP Review of Invoices

* 1. The Agreement Administrator will:
* Review the invoice for acceptance; and
* Inform the Grantee the invoice is accepted or not accepted within three (3) days of receipt.

1. An invoice will be accepted if:

* The invoice is completed according to instructions;
* The Agreement Administrator finds the Grantee exhibits adequate compliance and performance according to terms of the Grant Agreement; and
* Progress reports and deliverables due to DEP have been received and accepted.

1. If accepted, the Agreement Administrator will sign/date the invoice indicating acceptance; retain one copy for the project file; and forward the original invoice to the NPS Program Manager. Grantee can anticipate receipt of the payment from DEP within four (4) weeks of acceptance.
2. If an invoice is rejected, the Agreement Administrator will let the Grantee know the reason why the invoice is not acceptable and advise the Grantee as appropriate.

### Final Payment

### Grantees may request the final 10% payment upon submission of the Final Project Report. The Agreement Administrator will accept the final invoice provided the Final Project Report and reports and deliverables required under the Agreement are satisfactory.

1. **Constructing BMPs at NPS Sites**

Many NPS projects provide grant funding and technical assistance to prompt installation of BMPs to address identified pollution problems. This section describes the standard program elements and construction process, as well as the different methods to fund and coordinate projects. This approach should be employed for all BMP construction projects where grant funds are used or where other funds are intended to qualify as project match.

1. Project Funding

A combination of grant funds and local match is typically used to fund BMP installations. Local match is required in order to use 319 grant funds for BMP installation. Grantees set the match requirement at a level to try to accomplish BMP implementation at as many important NPS sites as feasible. Usually, the Grantee sets one uniform rate for the entire NPS project in the project work plan (e.g., 50% grant and 50% match). The grant funds for a project cannot exceed 75% of the total cost.

1. Planning for BMP Construction Projects

The Grantee generally follows the steps listed below to initiate, coordinate and oversee BMP construction:

* Project Eligibility – The Grantee reviews the NPS project work plan and program guidance to ensure that a site is eligible for grant funding and/or can be used as match. For example, project funds cannot be used to undertake, complete or maintain BMPs required by existing permits or for normal maintenance and repair at road-related NPS sites[[1]](#footnote-1).
* Site Design - The Grantee confers with the landowner about the NPS site problem and solutions to determine if the landowner would agree to install and maintain appropriate BMPs at the site. If the landowner agrees, the Grantee proceeds with developing a BMP design for the site. BMPs must comply with the Maine BMP Guidelines or Federal USDA Natural Resources Conservation Service (NRCS) standards and specifications in the NRCS Field Office Technical Guide, or other recognized guidelines.
* Cost Sharing Agreement or Construction Plan – Depending on the funding approach used, either a Cost Sharing Agreement or Construction Plan is created to outline grant and match funding, site design, long term maintenance requirements and other roles and responsibilities of the parties involved in the project.

The service life for the BMP(s) also needs to be specified in the Cost Sharing Agreement or Construction Plan. The Grantee should use best professional judgment to specify an appropriate service life for BMP(s). The USDA-NRCS maintains a list of the service life of agricultural conservation practices (BMPs) in Section IV.F. Lifespans of the Electronic Field Office Technical Guide at [https://efotg.sc.egov.usda.gov/treemenu.aspx#](https://efotg.sc.egov.usda.gov/treemenu.aspx). Landowners must agree to properly operate and maintain the BMP for the duration of its expected service life.

* Permits - The Grantee ensures that permits required for construction are secured prior to construction.
* Construction – BMPs are installed at the NPS site according to the design. The Grantee provides technical assistance as needed to help ensure the BMP is installed and constructed properly.
* Site Inspection and Payment - The Grantee (or third party if deemed necessary) inspects the site to determine if the BMPs were installed in accordance with the design. If acceptable, the Grantee or landowner is reimbursed according to the terms in the Cost Sharing Agreement or Construction Plan.

1. Coordinating BMP Construction Projects

The most common methods to coordinate and fund BMP construction projects include landowner cost sharing, direct procurement and installation by the Grantee/landowner. Each approach is described below.

1. Cost Sharing

Many 319 implementation projects use cost sharing as their standard approach to installing BMPs. With cost sharing, a Grantee provides a landowner with technical assistance; the landowner installs and maintains the planned BMPs; and the landowner is reimbursed following verification of proper installation. Cost sharing as described here is not considered procurement because the Grantee is not purchasing goods or services.

The Grantee should develop a standard CSA template for the project that aligns with the DEP example provided in Appendix C. The CSA includes the site design and outlines Grantee and landowner roles and responsibilities, grant funding, match requirements, terms of landowner reimbursement, and long term maintenance. The Agreement Administrator must review and approve this template as well as individual CSAs for projects involving $5,000 or more in grant funds.

1. Procurement

If the Grantee directly hires a contractor and/or purchases materials to install a BMP project, this is considered procurement and procurement procedures should be followed (Section III.B.). For example, if the Grantee is a Town and one of the NPS sites is on a Town Road, the Town may use procurement to select and hire a private contractor to install the BMPs.

**Types of BMP Construction Projects**

* **Cost Sharing** – Landowner selects contractor and/or purchases materials to install BMPs and is then reimbursed by Grantee following terms of Cost Sharing Agreement.
* **Procurement** – Grantee directly purchases materials and/or hires contractor services to install BMPs. Must follow procurement methods (Section III.B.). Terms of project are outlined in a written Construction Plan.
* **Grantee or Landowner Labor** - Grantee or landowner installs BMPs with their own forces. Terms of project are outlined in a written Construction Plan.

In this case, a Construction Plan should be completed to ensure different staff and departments involved with the project have a shared understanding of their respective roles and responsibilities, grant funding, match requirements, site design, timeline and long term maintenance. The plan does not require, but may include, signatures from involved parties. See Appendix D for a sample Construction Plan. As with CSAs, Agreement Administrators must review and approve individual Construction Plans for projects involving $5,000 or more in grant funds.

1. Grantee or Landowner Labor

Some construction projects do not involve cost sharing or procurement. For example, a Town Grantee might use stockpiled materials and their own crews to implement BMPs and seek partial reimbursement. In another scenario, a landowner may not receive grant funding for a BMP installation on their property. They may require only technical assistance from the Grantee, and in return, agree to install the BMPs themselves and at their own expense.

If these projects are being counted as match/project sites or receive grant funding, a Construction Plan should be completed to ensure that the Grantee, landowner and any other involved parties fully understand the BMP design, long term maintenance requirements and roles and responsibilities associated with the project. The plan does not require, but may include, signatures from involved parties. Again, Agreement Administrators must review and approve individual Construction Plans for projects involving $5,000 or more in grant funds.

## Environmental Data Quality Assurance

Project activities should be conducted according to applicable quality assurance procedures for NPS projects as described in the DEP document, *Maine Section 319 Management Program Quality Assurance Program Plan* (12/1/11) <http://www.maine.gov/dep/water/grants/319.html>. This GAG outlines many of the required program elements. The following additional provisions are required for projects that collect or use environmental data.

1. Water Quality Monitoring and Other Data Collection

Projects involving the collection and analysis of water quality or other data require a Quality Assurance Project Plan (QAPP) or other Quality Plan (e.g., Sampling & Analysis Plan), which must be approved by DEP prior to data acquisition. Project work plans identify the existing QAPP that will be utilized or describe preparation of a project-specific QAPP as a task. If a project operates under an existing approved QAPP, a Sampling and Analysis Plan (SAP) needs to be submitted and approved by DEP prior to monitoring each year. A SAP is a relatively brief document that describes project-specific monitoring information including sampling locations, methods, time schedules and any deviations from the overarching QAPP. A SAP template is typically provided in the associated QAPP.

**Quality Assurance Terms**

**Quality Assurance Project Plan (QAPP) –** Document that outlines procedures to ensure that collected data meets data quality objectives. Required for all monitoring projects.

**Survey Implementation Plan (SIP) –** Relatively brief document that includes project-specific details for lake/stream watershed surveys or stream corridor surveys that follow DEP’s generic survey QAPPs.

**Sampling and Analysis Plan (SAP) –** Relatively brief document that includes project-specific sampling details. Required for projects that collect monitoring data and operate under an existing QAPP.

If a project does not already have an existing QAPP, one will need to be prepared. The key 24 components of any QAPP are described in *EPA Requirements for Quality Assurance Project Plans* (EPA QA/R-5) <http://www.epa.gov/quality/qs-docs/r5-final.pdf>. Grantees should consult the Agreement Administrator to see if there are any similar existing QAPPs that could aid in QAPP preparation.

1. Stream Corridor Surveys and Watershed Surveys

Projects that develop a watershed-based management plan often conduct various types of field surveys to collect information about potential NPS problems in a watershed. DEP has developed the following generic QAPPs for the two most commonly used surveys:

* Maine Lake and Stream Watershed Survey Generic QAPP (2015) <http://www.maine.gov/dep/water/grants/319-documents/quapp.pdf>
* Maine Stream Corridor Survey Generic QAPP (2013) <http://www.maine.gov/dep/water/grants/319-documents/FinalStreamCorridorSurveyQAPP1-4-13.pdf>

For these types of surveys, grantees must follow the generic DEP QAPP and complete a Survey Implementation Plan (SIP) prior to the survey. A SIP is a relatively brief document that outlines the project-specific survey details. The above QAPPs and SIP templates are available from the Agreement Administrator and at the above webpages.

1. Use of Secondary Data

NPS projects that develop a watershed-based management plan often compile and use preexisting data (secondary data) about the watershed and water bodies. If a NPS project depends on the use of secondary data, then a task in the work plan will require the grantee to specify the methods used to evaluate the quality/validity of the data to determine if the data is acceptable for the purposes of the NPS project. The secondary data analysis findings are typically summarized in a table, which is submitted as a project deliverable. A sample secondary data table is available from the Agreement Administrator.

1. **Project Reporting**
2. **Progress Reports**

The Grant Agreement requires Grantees to submit semiannual progress reports. DEP uses progress reports to monitor Grantee progress and performance. Federal regulations require Grantee monitoring to provide reasonable assurance that the Grantee achieves project goals and administers the grant award in compliance with terms of the Grant Agreement.

### Preparing and Submitting a Progress Report

1. The Progress Report should concisely summarize important work activity performed within the six-month reporting period. Progress reports should not report work performed prior to the reporting period; anticipated work to be conducted in the future; or other local activities that do not relate directly to project tasks. Content and format instructions for preparing a Progress Report are detailed in Appendix G.
2. The progress report should be submitted electronically (preferred method), or two (2) hard copies should be sent to the DEP Agreement Administrator.
3. Grantees must submit progress reports on each due date until DEP receives the Final Project Report. However, if the project just started or is near completion, contact the Agreement Administrator to see if a progress report is necessary. Due dates and reporting periods are:

November 15th - Report activity for the 6 month period, May 1 to October 31

May 15th - Report activity for the 6 month period, November 1 to April 30

### DEP Review of Progress Reports

* 1. Acknowledgement - The Agreement Administrator will acknowledge receipt of the Progress Report and review the progress report within 14 days of receipt to determine whether the report is acceptable.
  2. Report Accepted - A Progress Report will be accepted if the report reasonably describes the work accomplished during the period and was prepared according to the instructions for content and format. The Agreement Administrator may accept a Progress Report with *minor* deficiencies. When the Agreement Administrator determines the progress report is acceptable, they will sign/date two (2) copies and place in the project file. (The EPA copy will be sent by DEP’s Agreement Administrator with all deliverables at the end of the project.)
  3. Report Not Accepted - The Agreement Administrator will inform the Grantee why the report is not acceptable and work together to make needed changes as soon as possible.
  4. Payment Hold - DEP will not issue a payment if the Grantee fails to provide Progress Report(s) that are accepted by the Department. Payments can resume once overdue reports are turned in and accepted or problems are addressed in reports that were previously not accepted.
  5. Project Slippage - The Agreement Administrator may find that the Progress Report(s) indicate that the project is not proceeding at the pace necessary to complete the project according to the work plan or there are some other problems. If so, the Agreement Administrator should contact the Grantee to determine why the project is not proceeding as planned and take action to resolve the matter. Refer to Section II.E. Problem Resolution and Section II.F. Changes in the Work – Requesting Approval.

## Project Deliverables

“Deliverables” are key materials or products developed under the project that demonstrate work activity and/or outcomes. Deliverables are clearly identified and listed as a separate section in project work plans. Deliverables must be submitted, reviewed, and approved to complete a project and closeout a Grant Agreement.

### Labeling Deliverables

Deliverables must be clearly labeled with the appropriate Project ID number, the project title and the deliverable number from the project work plan. If possible, labels should be added into the headers of documents prior to electronic submission. Example label for a deliverable:

#2014RR01 Red Pond Watershed Restoration Project

Deliverable #3

### Submitting Deliverables

The Grantee should prepare and submit deliverables to DEP soon after the associated work is completed. Grantees should not wait to submit deliverables until a Progress Report is due or until the end of the project. Failure to submit deliverables in a timely manner may result in project invoices being held until they are submitted. Electronic submission of deliverables is preferred. If hard copies are submitted, the Grantee should send two (2) copies of the Deliverable directly to the DEP Agreement Administrator. The AA will file one copy in the NPS project file and send one copy of all Deliverables to EPA upon closeout of the project.

## NPS Site Reports

Grantees prepare NPS Site Reports to describe before and after construction site conditions at NPS sites when grant funds or matching funds are used to pay for construction. Refer to Appendix H for the NPS Site Report form.

These reports must include a location map; brief description of the location (including GPS coordinates), NPS site problem and BMP design; before and after construction site photos or sketches; and summary of the Operations and Maintenance plan.

The work plan for a NPS Watershed Project usually specifies NPS Site Reports as a project deliverable. Grantees should submit NPS Site Reports to DEP within two (2) months of completion of the site work.

**Describing NPS Sites**

Often the terms BMP or NPS Site are used interchangeably to describe NPS work at a specific location. For clarity, DEP recommends distinguishing BMP and NPS Site from each other based on the following:

* **NPS Site** means a specific location described as a source of polluted runoff. The area or size of a NPS Site could be relatively small (culvert/stream crossing), large (17 acre corn field, 2 acre parking lot) or linear (600 feet of unstable road and ditch line).
* **BMP** (best management practice) means a conservation practice used to minimize, repair or prevent a NPS problem at a NPS Site. One or more BMPs may be needed at one NPS Site.

## Pollutants Controlled Reports

## EPA National 319 Program Guidelines requires States to enter estimates of pollutant load reduction accomplished during NPS Projects into EPA’s national database, the Grant Records Tracking System (GRTS). In order to collect this information, DEP requires annual pollutants controlled reports (PCR) for all NPS Watershed Implementation Projects intended to control sediments and/or nutrients (Appendix I).

The PCR form asks for totals of sediment and nutrient reductions and shoreline/streambank protected for each waterbody. For each NPS site, grantees should: (a) briefly describe each site (b) identify the method used to estimate NPS load reductions, and (c) estimate the amounts of pollutant load reduction in sediment (tons/year), phosphorus (pounds/year) and nitrogen (pounds/year). If the NPS project included streambank, shoreline or stream channel protection or stabilization (e.g., buffer establishment), the linear feet associated with this work should also be reported. Specific BMPs used for the project should also be selected from the options provided, and BMPs not listed can be added.

DEP recommends using the methods described in the EPA "Region 5 Model", Spreadsheet Tool for the Estimation of Pollutant Load (STEPL) and Water Erosion Prediction Project (WEPP) computer model to estimate NPS load reductions. These models are described at websites <http://it.tetratech-ffx.com/steplweb/> and <http://forest.moscowfsl.wsu.edu/fswepp/>, respectively. DEP allows the use of other accepted estimation methods that are appropriate. Contact the Agreement Administrator for review and approval if you plan to use an alternate estimation method.

PCRs should be submitted to the Agreement Administrator by December 31 of each year and upon completion (closeout) of the project. Supporting documentation should also be provided with the PCR. If there were no load reductions or resources protected during the reporting period, the Grantee should either send the Agreement Administrator an email letting them know that no load reductions were achieved or submit a PCR showing zero reductions. As with other reports and deliverables, Grantees are encouraged to submit PCRs and supporting documentation electronically. If hard copies are submitted, two (2) copies should be provided.

## Final Project Report

The Grant Agreement requires the Grantee to submit a Final Project Report (FPR) to DEP when the project ends. The FPR should provide a stand-alone, concise summary of all important project activities and outcomes for DEP, EPA, the public and other users. The FPR also documents completion of the project and closure of the Grant Agreement.

The report includes a project overview and summary of project tasks, deliverables, project outcomes and grant and match expenditures. DEP recommends the FPR be approximately 5 to10 pages in length, and 10 to 30 pages overall, including any supporting appended documentation such as photos, sketches, etc. (Note that deliverables should not be included as part of the FPR document.) Electronic submission is encouraged. If hard copies are submitted bulky binders or fasteners should be avoided since space is limited for storing project file records. Instructions for preparing a FPR are provided in Appendix J.

DEP recommends that Grantees submit a draft to the Agreement Administrator for review prior to submitting the FPR so they can provide comments before the report is finalized.

**Appendix A. Non-Federal Match Documentation Example**

This is an example of a summary table of non-federal match documentation submitted upon NPS project completion (closeout).

Costs or in-kind contributions counting towards satisfying a matching requirement must be verifiable from the records of the Grantee.

Non-Federal Match Summary NPS Project #2014RR03 Crystal Lake Watershed Improvement Project - Phase II

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Date** | **Source** | **Activity or Item** | **Hours** | **Rate or Value** | **Subtotal** | **Mileage** | **Total** |
|  | John Smith | Steering committee (5 meetings) | 15 | $20.54/hr | $308 | $64 | $308 |
|  | Mary Doe, NWA | Steering committee (5 meetings) | 15 | $20.54/hr | $308 | $80 | $308 |
|  | Dan Blake, Town CEO | Septic system file review, task 2 | 42 | $25/hr | $1,000 | $50 | $1150 |
|  | Jane Chin, Instructor | Presentation Road BMP training, task 5a | 17 | $30/hr | $510 | $15 | $525 |
|  | J. Dewey, Attorney | Setup riparian easement, task 4 | 21 | $95/hr | $1,995 | $12 | $2,007 |
|  | Mary Doe, NWA | Produce 4 newsletters, task 6 | 62 | $20.54/hr | $1,273 | $10 | $1,273 |
|  | ABC Plant Nursery | Plant materials donations for 4 NPS sites |  | $350 |  |  | $350 |
|  | Tom Ring | BMP installation, private road |  | $900 |  |  | $900 |
|  | Joe Johnson | BMP installation, residence |  | $200 |  |  | $200 |
|  | High Spring Farm | BMP installation, heavy use area |  | $6,400 |  |  | $6,400 |
|  | Sunland, Town of | BMP installation, Stine Rd |  | $8,500 |  |  | $8,500 |
|  | Sunland, Town of | BMP installation, Long Rd |  | $9,000 |  |  | $9,500 |
|  | Ray Jones | BMP installation, Buffer planting |  | $180 |  |  | $180 |
|  | Nice Lake Association | Cash Match for Outcome report, task 5 |  |  |  |  | $1,000 |
|  | Omega Foundation | Grant to Grantee, used for various tasks |  |  |  |  | $2,000 |
|  | Totals | | | | | | $34,601 |

**Valuation of Activity / Items**

1. Volunteer labor to help install BMPs was valued at $20.54/hour based on the rate for Maine reported by the Independent Sector.

2. Town CEO regular rate of pay exclusive of fringe and overhead.

3. Typical billing rate for professional legal services in this area is $90 to $110 per hour

4. BMP installations include the materials, labor and mileage at a BMP construction site.

5. Mileage is based on Maine state rate of $0.44/mile.

Appendix B. Non-Federal Match Documentation / Certification

**Non-Federal Match Documentation / Certification**

NPS Grants Program, Maine Department of Environmental Protection

Grantees need to document matching funds or services contributed to the project. The amount of match required is listed under ‘Budget Information’ in the project work plan. Grantees must submit this form as part of the Final Project Report to certify that match has been properly documented before closeout of the Grant Agreement.

To efficiently meet documentation requirements, Grantees should accumulate match information as the project proceeds and record information in a table. See *Nonpoint Source Grant Administrative Guidelines* (2016) Appendix A for an example. The following information is needed to adequately document match.

1. Source. Identify the source of the funds or services;

2. Activity. Describe the activity and the amount of activity; and

3. Valuation. Describe the basis for assigning the amount of dollar value to the activity.

Important: This signed certification form must be accompanied by supporting information that documents (source, activity and valuation) the matching funds or services claimed by the Grantee. The Certification Statement alone is not sufficient to document the non-federal match.

GRANTEE INFORMATION:

|  |  |
| --- | --- |
| Grantee Name: |  |
| Address: |  |
|  |  |
| Telephone: |  |
| Contact Person: |  |

PROJECT INFORMATION:

|  |  |  |
| --- | --- | --- |
| Project #: |  | |
| Project Title: |  | |
|  |  | |
| Match Amount Planned Under the Grant Agreement: | | $ |
| Match Amount Claimed: | | $ |

CERTIFICATION STATEMENT:

I certify that the non-federal match summarized in the attached information was expended in the course of completing work described in the Grant Agreement for the Project referenced above. Supplemental match documentation is available for review in Grantee files.

|  |  |
| --- | --- |
|  |  |
| Signature of Grantee – Authorized Official | Date |

**Appendix C. Sample Cost Sharing Agreement**

(Grantee letter head)

**Cost Sharing Agreement**

between *(Grantee name)* and *(owner name*)

A. Purpose. (Grantee name) will provide technical and cost sharing assistance to (owner name) to install Best Management Practices (BMPs) that will abate nonpoint pollution. This work is needed to help achieve the goals of: ***Nonpoint Source Pollution Control Project - (number and project title).***

NPS Site Description:

Briefly describe the site location and the NPS problem.

BMPs to be Installed:

Briefly describe the proposed BMPs to be installed to solve the NPS problem.

B. (Grantee name) agrees to:

1. Provide to the Owner design and specifications for the proposed Best Management Practices (BMPs) and an estimate of allowable costs for the BMPs to be constructed / installed under this Agreement. The design and specifications are an Appendix to this Agreement. The design meets Maine BMP Guidelines, Natural Resources Conservation Service (Field Office Technical Guide), or other recognized BMP guidance.

2. Reimburse the Owner at a rate of \_\_ % of the costs to implement the practices in the design and specifications attached, not to exceed $ \_\_\_\_\_\_\_, after verification the BMP was installed in accordance with the design.

3. Provide technical assistance to help the owner install the BMP in accordance with the design.

4. Provide a brief Operation & Maintenance Plan describing how to operate and maintain the proposed BMPs.

C. (Owner name) agrees to:

1. Construct / install the proposed BMPs as described in the attached design and specifications provided by (Grantee name). If the Owner hires a contractor, preference will be given to contractors with staff certified in Erosion Control Practices by DEP. If working in Shoreland Zone, then owner must use a contractor with staff certified in Erosion Control Practices by DEP.

2. If needed, obtain any local, state or federal permits to install / construct BMPs under this Agreement; and comply with such requirements if applicable. Signing this Agreement does not provide permits.

3. Complete all construction /installation work by (date), unless approved in writing by both parties.

4. Provide documentation to (Grantee) to substantiate the costs (expenses and/or in-kind services) to construct / install the BMP project after completion of the work or as requested.

5. Allow the (Grantee) access to the site area to inspect the BMP or show the BMP to others at a mutually convenient and pre-arranged time for a period of five years.

6. Properly operate and maintain BMPs according to the attached Operation & Maintenance Plan provided by (Grantee name) for the service life of the BMP, which is \_\_\_\_\_ years. Operation and maintenance includes actions needed to keep the completed practice safe and functioning as intended, work to prevent deterioration of the practice, repairing damage, or replacement of the practice to its original condition if one or more components fail.

D. Payments

1. The Owner agrees to pay costs for the constructing / installing the BMPs recommended in the design and specifications including payments to contractors and others.

2. The Grantee will reimburse the Owner for the costs of constructing / installing the BMPs at the rate specified in B.2. after verification by the (Grantee) representative that the BMPs were installed according to the design and specifications.

E. Changes

If necessary, the parties may mutually agree to change this Agreement. The Owner will notify (Grantee name), in advance, regarding proposed changes to this Agreement or the BMP design and specifications or cost estimate. Changes to this Agreement must be documented in writing, signed by the parties and attached to this Agreement.

**ENDORSEMENTS**

The undersigned hereby agree to the terms of this Cost Share Agreement.

|  |  |  |  |
| --- | --- | --- | --- |
| **Landowner** | | **Grantee** | |
| Name: |  | Name: |  |
| Signature: |  | Signature: |  |
| Date: |  | Date: |  |
| Phone: |  | Phone: |  |
| Mailing Address: |  | Mailing Address: |  |
|  |  |  |  |

|  |
| --- |
| Attach the Design, Specifications and Operations & Maintenance Plan for the proposed BMPs. |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Appendix D. Construction Plan**  (Grantee letter head)  **Construction Plan**  Provided for *(site name and address*)   1. Purpose   The Nonpoint Source Pollution Control Project (Project # and Title)grant will be used to assist (Grantee or Landowner name) with the installation of Best Management Practices (BMPs) that will abate nonpoint pollution to (water body name).   1. NPS Site Description:   Briefly describe the site location and the NPS problem.   1. BMPs to be Installed:   Briefly describe the proposed BMPs to be installed to solve the NPS problem.   1. Project Costs   Provide the estimated total project cost and grant and match requirements.   1. Roles and Responsibilities   Identify who (Grantee and/or Landowner) will assume responsibility for the following:   1. Develop design and specifications and cost estimate for the BMPs described above. The design and specifications are an Appendix to this Plan. The design meets Maine BMP Guidelines, Natural Resources Conservation Service (Field Office Technical Guide), or other recognized BMP guidance. 2. Provide technical assistance to help install the BMP in accordance with the design. 3. Provide an Operation & Maintenance Plan describing how to operate and maintain the proposed BMPs. The O&M Plan is an Appendix to this Plan. 4. Construct / install the proposed BMPs as described in the attached design and specifications. 5. If needed, obtain any local, state or federal permits to install / construct BMPs under this and comply with permit requirements if applicable. Signing this Agreement does not provide permits. 6. Complete all construction /installation work by (date). 7. Provide documentation to substantiate the costs (expenses and/or in-kind services) to construct / install the BMP project after completion of the work or as requested. 8. Allow access to the site area to inspect the BMP or show the BMP to others at a mutually convenient and pre-arranged time for a period of five years. 9. Properly operate and maintain BMPs according to the attached Operation & Maintenance Plan for the service life of the BMP, which is \_\_\_\_\_ years. Operation and maintenance includes actions needed to keep the completed practice safe and functioning as intended, work to prevent deterioration of the practice, repairing damage, or replacement of the practice to its original condition if one or more components fail.   D. Payments  Describe how the project will be paid for and/or reimbursed and any verification measures (including DEP or other third party verification if deemed necessary) to ensure that the BMPs were installed properly.  E. Changes  If necessary, the parties may adjust the BMP design and specifications or cost estimate.  **ENDORSEMENTS** *(optional)*  The undersigned hereby agree to the terms of this Construction Plan.   |  |  |  |  | | --- | --- | --- | --- | |  | |  | | | Name: |  | Name: |  | | Signature: |  | Signature: |  | | Date: |  | Date: |  |  |  | | --- | | Attach the Design, Specifications and Operations & Maintenance Plan for the proposed BMPs. | |  | |

**Appendix E. Invoice**

**Invoice - Nonpoint Source Grants Program**

Maine Department of Environmental Protection

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ***Instructions:*** Complete items in the following box electronically (not by hand). Submit original invoice (no copies or email) to DEP Agreement Administrator. | | | | | | | |
| Invoice Date: | |  | | Invoice ID: | |  | |
| **PROVIDER:** | | | | *Project # along with a unique invoice number (e.g., #2013RT07-02)* | | | |
| Grantee Name: | |  | | | | |
| Mailing Address: | |  | | | | |
| City, State, Zip: | |  | | | | |
| Project # | |  | | Project Title: | |  |

**PAYMENT REQUESTED:**

|  |  |
| --- | --- |
| Total Expensed to Date: |  |
| Minus Prior Payments: |  |
| Amount This Invoice: |  | Check if Final Project Payment |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **GRANT AND MATCH SUMMARY:** | | | | | |
| Total Grant: | $ | Minus Spent to Date: | $ | = Grant Remaining | $ |
| Match Required: | $ | Minus Match to Date: | $ | = Match Remaining | $ |

**PROCUREMENT:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Were funds used for procurement? | Yes |  | No |  |

If yes, submit the ‘MBE/WBE Utilization Report’ form with this invoice.

**CERTIFICATION:**

Provider certifies that grant funds were expensed or costs were incurred on allowed activities and purposes in accordance with the Grant Agreement. Upon request by DEP, the Provider agrees to produce the source documents used to prepare this payment request.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Original Signature of Authorized Provider Representative: | | | |  |  | |
| Name Printed: |  | Title |  | | Date |  |

**PAYMENT APPROVED BY:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Signature DEP Agreement Administrator: | |  | | |
| Name Printed: |  | | Date |  |

|  |  |
| --- | --- |
| **FOR DEP USE ONLY** | Date received from AA \_\_\_/\_\_\_/\_\_\_ Date forwarded to Admin \_\_\_/\_\_\_/\_\_\_ |
| AdvantageME CT No:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Vendor Code \_\_\_\_\_\_\_\_\_\_\_\_ Fund \_\_\_\_\_\_\_ Agency \_\_\_\_\_\_\_ Unit \_\_\_\_\_\_\_\_\_ SubUnit \_\_\_\_\_\_\_\_\_\_  Object \_\_\_\_\_\_\_ Activity \_\_\_\_\_\_\_ SubActivity \_\_\_\_\_\_\_ Program \_\_\_\_\_\_\_\_\_ Amount $\_\_\_\_\_\_\_\_\_\_\_ | |

Appendix F. MBE/WBE Utilization Report

**MBE/WBE Utilization Report**

NPS Grants Program, Maine Department of Environmental Protection

*Instructions:* If grant funds were used for procurement since the last invoice, submit this MBE/WBE Utilization report with payment request. If the procurement did not involve MBE/WBE vendors, fill out project information and Item #1 and list $0 on Item #2. If there was procurement using MBE/WBE vendor(s), complete Items #1, 2 and 3.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Project #: |  | Project Title: |  | |
| Grantee: |  | | | |
| 1. Total Procurement Amount in the Reporting Period: | | | |  |
| 2. MBE/WBE Procurement Accomplished in the Reporting Period: | | | |  |
| 3. MBE/WBE Vendor Information: | | | |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| a. Vendor Name: |  | | | | Date |  | | | Amount: | | | |  | | |
| Vendor Address: |  | | | | | | | | | | | | | | |
| Procurement Summary: | |  | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | |
| Procurement Code (below): | | |  | Check applicable box: | | | WBE | | |  |  | MBE | | |  |
|  | | |  |  | | |  | | |  |  |  | | |  |
| b. Vendor Name: |  | | | | Date |  | | | Amount: | | | |  | | |
| Vendor Address: |  | | | | | | | | | | | | | | |
| Procurement Summary: | |  | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | |
| Procurement Code (below): | | |  | Check applicable box: | | | | WBE | |  |  | | | MBE |  |

Procurement Codes: 1 = construction; 2 = supplies; 3 = services; 4 = equipment

***Procurement*** means acquisition of supplies, equipment, construction or services.

***MBE*** means “minority business enterprise; ***WBE*** means “women’s business enterprise”

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Prepared By: |  |  | Date: |  |

**Appendix G. NPS Progress Report**

**NPS Progress Report**

NPS Grants Program, Maine Department of Environmental Protection

***Instructions:*** Submit this form electronically or in 2 hard copies to report progress conducting a NPS Project. For instructions, refer to the *NPS Grant Administrative Guidelines*, Section IV.A. Total report should not exceed three (3) pages. Do not attach any Deliverables or other material to the Progress Report.

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project #:** |  | | **Project Title:** |  | | | | | | | | |
|  | | | | | |  | |  |  |  |  |  |
| **Report for the 6-Month Period Ending** (check one): | | | | | | April 30 | |  | Oct. 31 |  | Year |  |
| **Grantee Name:** | |  | | | | | | | | | | |
| **Grantee Contact Person:** | | |  | | | | | | | | | |
| **Phone:** |  | | | | **Email:** | |  | | | | | |

**I. Account Drawdown Information:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| a.) Funds expended this period: | Grant | $ | Match | $ |
| b.) Total agreement amount: | Grant | $ | Match | $ |
| c.) Funds expended to date: | Grant | $ | Match | $ |
| d.) Funds remaining (b-c): | Grant | $ | Match | $ |

1. Brief summary of any significant difficulties encountered, reasons for project delays and revised schedule for any work scheduled for, but not completed, in this reporting period:
2. **Report any Changes in Key Project Personnel:**

**VI. Tasks.** Use this sample format to describe work conducted for each task. Reference associated Deliverable(s). Explain periods of inactivity. Report only on activity during **this** reporting period.

|  |  |  |  |
| --- | --- | --- | --- |
| **Task**  **#** | **Task**  **Heading** | **Work Conducted During the Six Month**  **Reporting Period** | **Estimated % Completion** |
| 1 | Project Management | Grantee signed sub-agreement with the SWCD in May. Steering Committee formed; held 2 meetings to plan for accomplishing the project tasks; and agreed on details of cost sharing program to help prompt BMPs installation at the proposed NPS sites. | 25% |
| 2 | Tech Assistance –Residential NPS sites | Project Manager met onsite with 12 shoreline property owners; evaluated property NPS problems; and provided BMP recommendations. Five owners installed recommended BMPs. | 50% |
| 3 | Roadside BMPs | Project Manager & Engineer did site visits & prepared designs for 5 road projects. Five Cost Share Agreements signed. Three road projects completed – Haven, Pine, and Swing roads. 3 NPS Sites Reports were submitted. Two projects will be delayed due to landowner needs. Construction is rescheduled for June 2016. | 70% |
| 4 | Public Outreach | No activity. | 50% |
| 5 | Pollutants Controlled Report | Prepared estimates for the 3 completed road sites. | 25% |

# VII. Deliverables: List all Deliverables from the project work plan.

|  |  |
| --- | --- |
| **List of Deliverables from Work Plan** | **Date Deliverable submitted to DEP** |
| 1. Grant Agreement, Subagreement with Town  Progress Reports  Final Progress Report | 1/15/15  2/15/15  4/30/15, 11/1/15 |
| 2. Summary of technical assistance visits (Task 2) | -- |
| 3. NPS Site Reports (Task 4)  Lakeside Drive, Birchwood Drive  Town Beach | 8/15/15  10/30/15 |
| 4. Pollutants Controlled Report each year until project completion (Task 5) | 12/31/15 |

|  |  |  |  |
| --- | --- | --- | --- |
| Prepared by: |  | Date Submitted to DEP: |  |
| DEP Signature: |  | Date Accepted: |  |

**Appendix H. NPS Site Report**

**NPS Site Report**

NPS Grants Program, Maine Department of Environmental Protection

***Instructions:*** Complete the NPS Site Report to document BMP installation / construction at a NPS site. DEP requires the NPS Site Report when grant or matching funds are used to pay for construction costs at a NPS site. For more information, refer to Section IV.C. in the *NPS Grant Administrative Guidelines*.

|  |  |  |  |
| --- | --- | --- | --- |
| Project # and Title: |  | | |
| Grantee: |  | | |
| Grantee Contact: |  | DEP Agreement Admin.: |  |
|  |  |  |  |
| NPS Site Name: |  | Property Owner: |  |
| Date Site Completed: |  | Date Report Submitted: |  |
| Grant Cost: | $ | Match Cost: | $ |

1. Location of Site. Attach a map with the site clearly marked. Use USGS topo, Maine Atlas & Gazetteer, Google Earth, GIS, or other map source. Provide a sufficient description and/or sketch of local landmarks so that DEP can find the site. List location coordinates below.

|  |  |  |  |
| --- | --- | --- | --- |
| Latitude (N) |  | Longitude (W) |  |

1. NPS Problem. Describe NPS problem and site conditions that caused polluted runoff to reach surface waters via a stream, ditch, channel, diversion or other flow.
2. BMPs Installation Summary. Briefly describe the BMPs installed.
3. Operation & Maintenance Plan. Pursuant to the Cost Share Agreement or Construction Plan, the property owner agreed to properly operate and maintain the BMPs for its intended purpose for \_\_\_\_\_\_\_ years, the conservation practice service life. Summarize or attach the O&M Plan the landowner agreed to use to regularly inspect and maintain the BMPs.
4. Site Before and After Photos. Attach labeled photos or sketches that show before and after conditions.
5. Other (optional). Describe any other noteworthy project information (e.g., public outreach).

**Appendix I. Pollutants Controlled Report**

**Pollutants Controlled Report**

NPS Grants Program, Maine Department of Environmental Protection

|  |  |
| --- | --- |
| Year: |  |
| Project #: |  | Project Title: | |  | |
| Grantee: |  | | DEP Agreement Admin.: | |  |

**1. Pollutant Load Reduction Estimates for NPS Sites Treated with BMPs**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Water Body Name** | **Sediment**  Tons/Yr | **Phosphorus**  Pounds/Yr | **Nitrogen**  Pounds/Yr | **Streambank or Shoreline Protected**  Feet |
|  |  |  |  |  |
|  |  |  |  |  |
| **Totals** |  |  |  |  |

**2. NPS Sites, Methods Used, and Pollutants Controlled**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Site ID** | **Brief NPS Site Description** | **Method** (See list below) | **Sediment**  Tons/Yr | **Phosphorus**  Pounds/Yr | **Nitrogen**  Pounds/Yr | **Streambank or Shoreline Protected**  Feet |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Totals for the Year:** | | |  |  |  |  |

**Pollutant Load Reduction Estimation Methods**

Region 5 Model. Region 5 Load Reduction Model Sub-methods

<http://it.tetratech-ffx.com/steplweb/STEPLmain_files/Region%205%20manual05.pdf>

|  |  |
| --- | --- |
| R5/GEE | Gully Erosion Equation for Gully Stabilization |
| R5/CEE | Channel Erosion Equation for Streambank/Ditchbank/Roadbank Stabilization |
| R5/Fields | Uses Revised Universal Soil Loss Equation (RUSLE), sediment delivery ratio and contributing drainage area for Agricultural Fields |
| R5/Filter | Uses Relative gross filter strip effectiveness Filter Strips |
| R5/Feedlot | 12 step method for Feedlot Pollution Reduction |
| R5/Urban | Urban Runoff BMP Pollutant Load Reduction Worksheet |

WEPP Model. Water Erosion Prediction Project (WEPP) computer model <http://forest.moscowfsl.wsu.edu/fswepp/>

STEPL. Spreadsheet Tool for the Estimation of Pollutant Load

<http://it.tetratech-ffx.com/steplweb/STEPLmain_files/STEPLGuide310.pdf>

**Pollutants Controlled Report**

NPS Grants Program, Maine Department of Environmental Protection

**3. BMP Types** - Select BMPs from the list below that best describe those used at NPS sites.

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Gravel Roads & Driveways:** | | | | **Urban, Lake, & Watershed:** | | | | | | | | **Agricultural:** | | | | |
|  | | Camp Road Crowning/Ditching | |  | Catch Basin Treatment System Inserts | | | | | | |  | | Access Road | | |
|  | | Check Dams | |  | Filter Strip | | | | | | |  | | Contoured Buffer Strip | | |
|  | | Culvert Armoring | |  | Infiltration Trench | | | | | | |  | | Conservation Cover | | |
|  | | Ditch Stabilization | |  | Mulching | | | | | | |  | | Conservation Crop Rotation | | |
|  | | Road Ditch Creation / Improvement | |  | Raingarden / Bioretention Basin | | | | | | |  | | Diversion | | |
|  | | Sediment Basin | |  | Roof Runoff Management | | | | | | |  | | Filter Strip | | |
|  | | Water bars | |  | Streambank & Shoreline Protection | | | | | | |  | | Grassed Waterway | | |
|  | | Other (list below): | |  | Other (list below): | | | | | | |  | | Heavy Use Area Protection | | |
|  | |  | |  |  | | | | | | |  | | Lined Waterway (includes rock or grass-lined waterway) | | |
|  | |  | |  |  | | | | | | |  | | Sediment Basin | | |
|  | |  | |  |  | | | | | | |  | | Stream Crossing | | |
|  | |  | |  |  | | | | | | |  | | Stream Exclusion Fencing | | |
|  | |  | |  |  | | | | | | |  | | Waste Storage Facility | | |
|  | |  | |  |  | | | | | | |  | | Watering Facility | | |
|  | |  | |  |  | | | | | | |  | | Other (list below): | | |
|  | |  | |  |  | | | | | | |  | |  | | |
| **4. Certification** | | | | | | | | | | | | | | |
| To the best of my knowledge, the estimates in this report are reasonable. The estimates were determined using the appropriate model(s) and applied according to the procedures prescribed for the model(s). Documentation is attached to this PCR for review by DEP / EPA. | | | | | | | | | | | | | | |
| Prepared by: | |  | | | |  |  | |  | | | | |  |
|  | | Name | | | |  |  | | Date | | | | |  |
|  | |  | | |  | |  | | |  | |  | |  |
| DEP Reviewer: | |  | | | |  | |  |  | | | | |
|  | | Name | | | |  | |  | Date | | | | |

## Appendix J. Final Project Report Instructions

The Grant Agreement requires submission of a Final Project Report (FPR). The FPR should provide a stand-alone, concise reference that describes important project activities and outcomes. DEP acknowledges project completion once the FPR is reviewed and accepted.

**Title Page:**

Project Number and Title, Grantee name, Grantee Contact Person, Date Project Started, Date FPR submitted, and acknowledgement of DEP and EPA (Grant Agreement, Rider A).

**I. Project Overview** (suggested length - 1/2 to 2 pages)

In narrative format summarize the project purpose, highlights (successes, problems, key personnel, etc.), and any changes in scope of the project. This should be a brief abstract of the project as a whole as it occurred.

**II. Task Summary** (suggested length - 1 to 3 pages)

Summarize project efforts by respective task in the project work plan (Task #1, Task #2, etc.). Include specific numbers and facts to explain results where possible, such as number and description of NPS sites treated with BMPs; workshops held and number of attendees at each; number of technical assistance visits conducted; amount of NPS pollutant load reduction achieved, etc. Include pertinent descriptions of unusual or significant problems or successes.

#### **III. Deliverables Summary** (suggested length - 1/4 to 1/2 page)

List each of the deliverables as shown in the project work plan and dates submitted to DEP.

**IV. Project Outcomes** (suggested length - 1 to 3 pages)

A. List the major outcomes of the project (e.g., NPS sites treated with BMPs, local

NPS control accomplishments, report or publication, etc).

B. Describe environmental results of the project in terms of NPS pollutant load reductions and/or water quality improvements.

C. Discuss any "lessons learned" based on your experience doing the project. What made the project more effective? What did not work well?

#### **V. Summary of Total Expenditures** Summarize expenditure totals as follows:

NPS Grant Non-Federal Match

Grant Agreement Amount \_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

Funds Expensed \_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

Funds Balance \_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

**VI. Non-federal Match Documentation / Certification**

The Grantee must certify that non-federal match has been documented. Grantees need to complete the “Non-federal Match Documentation / Certification” form and attach supporting material adequate to summarize the contributions to project work (source, activity and valuation) claimed as non-federal match.

**Appendices** If needed include pertinent information that supports the descriptions offered in the above sections (e.g., maps, sketches, photos, figures). Appendices should not include deliverables, which should be submitted separately.

**Appendix K. Office and Site Visit Forms**

**Grantee Office Visit Checklist**

NPS Grants Program, Maine Department of Environmental Protection

Complete the Grantee office visit checklist based on interview with the Grantee, reviewing records, observing operations, and sampling information associated with active NPS Projects.

Grantee: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Grantee Representative: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Office Visit Date: \_\_\_/\_\_\_/\_\_\_

DEP Agreement Administrator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**A. List Active NPS Projects the Grantee Administers** (add more rows if necessary)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Project # and Title | Planned Project  Completion Date | Agreement Expiration Date | Grant Amount | Total of DEP payments received |
|  |  |  |  |  |
|  |  |  |  |  |

1. **Administration - Applicable to All Active NPS Projects the Grantee Administers**

|  |  |  |  |
| --- | --- | --- | --- |
|  | Status | | Comments  Summarize observations; add any useful comment;  if improvement is needed, summarize what is needed. |
| ok | Needs improving |
| 1. Grantee Responsibilities Interview.  AA interview with Grantee to review awareness and knowledge of responsibilities summarized in GAG (Section II). |  |  |  |
| 2. Recordkeeping.  Ask the Grantee to show you how they organize & file records pertaining to the NPS project(s). Are records reasonably organized and accessible to DEP if requested? Is there an archive system to keep for five (5) years? |  |  |  |

**C. Review of Specific NPS Project(s)**

Complete this checklist for each NPS project reviewed during the Grantee Office Visit

Project # and Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |
| --- | --- | --- | --- |
|  | Status | | Comments  Summarize observations; add any useful comment;  if improvement is needed, summarize what is needed. |
| ok | Needs improving |
| 1. Project Work Plan.  Review work plan & discuss progress to date. |  |  |  |
| 2. Pace Implementing Work & Planned Completion Date.  Is project work progressing at a pace needed to complete the project by the planned completion date? |  |  |  |
| 3. AA Visits for Construction Sites.  Identify NPS sites that AA needs to see in the field (post-construction, >$2,500 grant cost; or pre-construction, if complex or high cost) |  |  |  |
| 4. Changes in the Work.  Is DEP promptly notified if "Changes in the Work" are necessary? Is there adequate documentation? |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Status | | Comments  Summarize observations; add any useful comment;  if improvement is needed, summarize what is needed. |
| ok | Needs improving |
| 5. Deliverables.  Ask to see examples of some deliverables produced to date. Are deliverables generally satisfactory and provided to DEP when completed? |  |  |  |
| 6. Pollutants Controlled Reports.  Review documentation supporting the annual PCR submitted to DEP |  |  |  |
| 7. Cost Share Agreements and Construction Plans.  Does the Grantee operate its cost sharing program generally according to the GAG? Has CSA template been reviewed and approved? Are CSAs and Construction Plans with >$5,000 grant funding submitted for DEP review? |  |  |  |
| 8. Non-Federal Match.  Ask the Grantee to show you how they accumulate and document match as the project proceeds. |  |  |  |
| 9. Grantee Comments, Other Items. |  | | |

Reviewed by DEP NPS Program Manager: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

**Fieldwork Site Visit Report**

NPS Grants Program, Maine Department of Environmental Protection

Project # and Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Grantee: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

AA Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Grantee Staff Name (if present): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |
| --- | --- | --- | --- |
| NPS Site Name | Location | Construction  B - before  D - during  A - after | Brief Comments:  Site conditions observed; if pre-construction, any recommendation; if post construction, do BMPs appear to be appropriate for the site, functional and maintained; follow-up actions needed, if any; other comments |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Reviewed by DEP NPS Program Manager: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

1. Refer to DEP guidance, *Using Project Funds for Construction of BMPs at Road-related Sites: Guidance for NPS Watershed Projects* (April 2012) at <http://www.maine.gov/dep/water/grants/319.html>. [↑](#footnote-ref-1)