

2010 Grantees Guide

Watershed Projects Grants Program Information for Grantees

Massachusetts Department of
Environmental Protection
Bureau of Resource Protection
Division of Municipal Services
November 2009

Watershed Grants Program



Project Name and Number: _____

MassDEP Project Officer: _____

MassDEP Program Coordinator: _____

Notice to Proceed Date: _____

Bureau of Resource Protection

Division of Municipal Services



COMMONWEALTH OF MASSACHUSETTS
EXECUTIVE OFFICE OF ENERGY & ENVIRONMENTAL AFFAIRS
DEPARTMENT OF ENVIRONMENTAL PROTECTION
ONE WINTER STREET, BOSTON, MA 02108 617-292-5500

DEVAL L. PATRICK
Governor

TIMOTHY P. MURRAY
Lieutenant Governor

IAN BOWLES
Secretary

LAURIE BURT
Commissioner

Dear Grantee,

Welcome and congratulations on securing a grant from the Department of Environmental Protection (MassDEP), Bureau of Resource Protection (BRP). The Bureau strives to protect water resources in the Commonwealth through grant-funded programs and projects. Grant funds allow us to develop effective partnerships to accomplish this goal.

The aim of this guide is to organize contract administration tasks as clearly as possible, to allow you to focus your attention and resources on the important work of environmental protection. This booklet includes information needed to comply with the federal and state reporting requirements over the duration of the project. This guidance also is available for downloading from the MassDEP Web site, <http://www.mass.gov/dep/water/grants.htm>.

Successful project management begins and ends with people. Human interaction cannot be replaced by documents such as this one. Accordingly, we are prepared to work with you to ensure that your project proceeds smoothly and meets its intended goals. A list of contacts is in Appendix A; the staff listed are committed professionals with many years of experience. Please take full advantage of this opportunity to work with them.

Your ability to develop one or more good projects and secure funding to carry them out makes your organization an important partner in our efforts to protect Massachusetts' water resources. We look forward to working with you on your project, and we expect that our combined hard work will result in successful and timely project completion. We are also interested in hearing from you with any suggestions for improving this guidance or our program. If you have questions or suggestions, please call me directly at (617) 292-5779.

Sincerely,

Steven J. McCurdy, Director
Division of Municipal Services
Bureau of Resource Protection

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INTRODUCTION

The Division of Municipal Services (DMS) is the section of the Massachusetts Department of Environmental Protection (MassDEP) responsible for awarding and administering several different state and federal programs that provide grant funding on a reimbursement basis for projects under the Bureau of Resource Protection's (BRP) Watershed Projects Program. These include:

- 604b Water Quality Management Planning Grant Program (604)
- 319(h) Nonpoint Source Grant Program (319)
- Water Conservation Grant Program
- Capital Grants/Projects

Each grant program has a unique application and purpose. These guidelines aim to help Grantees and MassDEP staff carry out grant-funded projects, and properly administer the contracts and requirements related to the grant funding. Because all of these programs fall under the purview of MassDEP/DMS, this general set of guidelines is applicable for all BRP Watershed Projects grant programs.

We hope these guidelines will prove useful, from project initiation through project closure. Contact us should you have questions or suggestions on how these procedures may be improved. A downloadable version of this document can be found at MassDEP's web site: www.mass.gov/dep/water/grants.htm.

BRP WATERSHED PROJECTS GRANT PROGRAMS

Depending on the specific program, BRP Watershed Projects grants may be awarded to public, private, state, or federal agencies. Each program has its own eligibility and reporting requirements. Many programs are competitive grants that are awarded in response to Requests for Proposals that are issued on a regular basis, usually annually. Details about each program, including brief summaries of each project ("indicative summaries"), can be found on the MassDEP website at www.mass.gov/dep/water/grants.htm.

Some of our programs are based on federal funds, while others are state funded. This is an important distinction, since the reporting requirements will be different depending on whether a grant is state or federally funded.

Federal programs include:

- 604b Water Quality Management Planning Grant Program (604)
- 319(h) Nonpoint Source Grant Program (319)
- Water Conservation Grant Program (WCG)

State programs include:

- Capital Grants/Projects

Table 1 on the following page summarizes the requirements for BRP Watershed Projects.

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Table 1. Summary of Requirements for BRP Watershed Projects

Grant Source	Quarterly Progress Report	Invoice	M/WBE Goals	PV Attachment for M/WBE Reporting	Match Certification	Vendor Information Form	OAPP	Draft Final and Final Reports
Federal								
604b	X	X	X	X		X	X	X
319	X	X	X	X	X	X	maybe	X
WCG	X	X	X	X	X	X		X
State								
Capital	X	X				X	maybe	X

YOUR CONTRACT

Your project will be governed by the terms set forth in the project contract. The heart of your contract is the contract scope of work, which consists of three attachments: *Attachment A, the Scope of Services; Attachment B, the Project Budget; and Attachment C, the Project Milestone Schedule*. The scope of work is based upon the project proposal, and will be negotiated and mutually agreed upon by you and MassDEP program staff prior to finalizing the contract. Tasks may be added to satisfy program requirements or to improve the project. Similarly, some tasks that were originally proposed may be altered or eliminated in the final contract scope of work.

Your agreement to the contract containing the scope of work represents a contractual obligation to carry out the project according to those terms and the project milestone schedule. If it becomes necessary to consider a change in the contract scope of work, refer to the section on *Problem Resolution (page 6)*. Otherwise, it is our expectation that you will work with your MassDEP Project Officer to ensure that the tasks and deliverables proceed in accordance with the contract and the project milestone schedule.

The award of this grant by MassDEP does not constitute a permit or any other approval that may be required for implementation of the grant project. Wetlands permits, building permits, and any other requirements must also be met following normal procedures.

Your agreement to the contract containing the scope of work represents a contractual obligation to carry out the project according to those terms and the project milestone schedule.

DELIVERABLES

Project deliverables are specified in your contract's *Attachment A, Scope of Services*. Some deliverables require the review and approval of MassDEP prior to finalization; this will be spelled out in *Attachment A, Scope of Services*, of the contract. Unless otherwise specified, project deliverables should be submitted as part of the draft final and final project reports, as attachments or integrated into the report.

MASSDEP PROGRAM STAFF

Several different MassDEP staff people will play important roles in your project. Please refer to *Appendix A, Contact Information* for specific names and contact information for these individuals.

MassDEP Project Officer. The MassDEP Project Officer serves as a point of contact to help guide the project in accordance with contractual and programmatic requirements. Project Officer assignments are not supervisory, and Project Officers are not responsible for directing Grantees or grant

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activities during project execution. The Grantee is the “contractor” who accepts project oversight responsibility as part of the contract with the State. Project Officers are responsible for seeing that Grantees carry out the approved contracts in terms of timing, performance, and cost. Project Officers also help Grantees recognize and correct problems when they occur. The Project Officer’s involvement in the form of progress report reviews, occasional meetings, and advisory support is usually all that is needed to assist Grantees in carrying out their projects. Infrequently, more direct involvement is required, either to assist inexperienced Grantees or to prompt performance when progress is unsatisfactory. The MassDEP Project Officer is frequently required to review and approve contract deliverables prior to finalization or installation; this will be spelled out in the contract’s *Attachment A, Scope of Services*. The Project Officer/Grantee relationship can therefore change with the circumstances, and with the personalities and experience of the people involved.

Developing a good working relationship between Grantee and MassDEP is advantageous so that each can understand the other’s needs and duties. In some cases, the MassDEP Project Officer and/or the Grantee may prefer to work closely together on many aspects of a project, including steering committees, training sessions, report writing, and so on. At other times it may be preferable for the Project Officer 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 Project Officer and the Grantee, with the mutual goal being to implement the project as effectively as possible.

MassDEP Program Coordinator. Each grant program has a statewide Coordinator who has overall responsibility for projects. In most cases, the Program Coordinator also acts as the MassDEP Project Officer, with the duties spelled out above. Coordinator duties include contract development, report reviews, authorization of invoices and amendments, and approval of project closeout. Where a separate MassDEP Project Officer has been assigned, the Program Coordinator works closely with the MassDEP Project Officer to ensure that projects are proceeding smoothly.

MassDEP Contract Manager. The Contract Manager works with the Program Coordinator and Project Officer on financial issues. This includes contract preparation, invoice processing, and other related reporting. Contract packages are reviewed to ensure that all appropriate documentation has been received. The contracts are then entered into the Commonwealth of Massachusetts financial system and forwarded to Boston for approval. Invoices are also reviewed to ensure consistency with contractual requirements and forwarded to the Project Officer and/or Project Coordinator for approval. Once approved, the invoices are also entered into the Commonwealth of Massachusetts financial system and forwarded to Boston for final approval and payment.

MassDEP Quality Assurance (QA) Officer. Although the majority of projects no longer require them, some projects that involve assessment and monitoring work will require preparation of a Quality Assurance Project Plan (QAPP). The MassDEP QA Officer will work with you to ensure development of a QAPP that is specifically tailored to meet the intent and goals of the project. See page 4 for more about QAPP development.

MassDEP Contracts Compliance Unit. The MassDEP Contracts Compliance Unit (CCU) is responsible for reviewing and approving activities related to Equal Employment Opportunity/Affirmative Action, including the Minority and Women-Owned Business Enterprise (M/WBE) program and Fair Share Utilization goals for federally funded projects. Except for capital or state-funded projects, the CCU establishes Fair Share Utilization goals at the outset of a project, and is responsible for reviewing and granting M/WBE waiver requests when necessary (see Affirmative Action and M/WBE Fair Share Utilization, page 4). For capital or state-funded projects, Fair Share goals are established under the Affirmative Market Program at the proposal stage, prior to contract negotiation.

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AFFIRMATIVE ACTION AND M/WBE FAIR SHARE UTILIZATION

All contracts are awarded in a manner that develops and strengthens minority and women owned business enterprises (M/WBE), in accordance with federal guidelines for federally funded projects and with Massachusetts

Executive Order 390/352, the Affirmative Market Program for state

and capital projects. Fair Share Utilization goals are specified in each contract. Grantees are expected to make a “good faith effort” to meet or exceed these goals by utilizing the services of businesses that have been certified by the State Office of Minority and Women Business Assistance (SOMWBA, www.somwba.state.ma.us.) The Program Manager will contact you periodically to discuss your progress toward meeting M/WBE goals. Ultimately, if a Grantee cannot meet the goals, a waiver may be granted, provided the Grantee proves that the steps outlined on the Request for Waiver form have been followed, documenting that a good faith effort has been made. Final payment cannot

be made on projects where the M/WBE goals have not been met or a waiver has

not been issued, and a waiver will not be granted after the project closes. Therefore, it’s important that you pay careful attention to this requirement. Call the MassDEP Program Coordinator or the CCU (see Appendix A) if you have any questions or need assistance. Grantees must report Fair Share Utilization activity every quarter by filing a “PV Attachment for Reporting M/WBE Activity” form with the MassDEP Contract Manager. In addition, Grantees are expected to include a Vendor Information Form (VIF) with each solicitation for subcontractors related to the grant. Forms and further explanation can be found in *Appendix B, Forms*.

Final payment cannot be made on projects where the M/WBE goals have not been met or a waiver has not been issued, and a waiver will not be granted after the project closes.

Note that the start date shown on the contract will probably be slightly different from the NTP date.

NOTICE TO PROCEED (NTP)

A written Notice to Proceed (NTP) will be issued for each project, stating the effective date of the contract. Note that the start date shown on the contract will probably be slightly different from the NTP date, but the contract end date shown on

the contract is accurate unless an extension or amendment is granted.

The milestone schedule begins on the NTP date, and project progress should follow the contractual milestone schedule from the NTP effective date forward.

QUALITY ASSURANCE PROJECT PLANS (QAPP)

A Quality Assurance Project Plan is required for each project with a monitoring or data collection component (i.e., most 604b projects and a few 319 projects). This QAPP outlines the components of the project monitoring program, including what steps will be taken to ensure the quality of the data

that will be generated. It is an invaluable planning and operating tool

that outlines the project’s methods of data collection, storage, and analysis. It serves to assure data users about the quality of the project’s findings, and to record methods, goals, and project implementation steps for current and future project participants and for those who may wish to use the project’s data over time. While writing a QAPP can be an involved endeavor, it is an excellent exercise that will help develop a credible program and may point to weaknesses or oversights in the strategy that were not previously identified.

Development of the QAPP should be undertaken immediately upon receiving a Notice to Proceed, as the QAPP works together with the contract scope of work to serve as the outline and strategy for how the project goals will be accomplished. Specific guidance for QAPP development will be provided

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with the Notice to Proceed package at the outset of the project. The draft QAPP should be submitted directly to the MassDEP Quality Assurance Officer (*see Appendix A for contact information*). The MassDEP Quality Assurance Officer will review, comment, and ultimately approve the QAPP in concert with the EPA Quality Assurance Officer.

REPORTING

All BRP Watershed Projects grants are required to submit reports on a regular basis. Depending on the program, some or all of the following reports may be required. Refer to Table 1 on page 2 for exact information about what quarterly reporting your grant requires. All quarterly reports are due no later than the 15th of the month following the end of the calendar quarter, i.e., April 15, July 15, October 15, and January 15. Samples of all forms are provided in Appendix B. A table of submittal details (*Table 3, page 12*) is also provided in Appendix B. Electronic versions of all forms are also available through your Program Coordinator.

Quarterly Submittal to MassDEP Program Coordinator - Filed electronically

Quarterly Progress (QR) Reports. A report showing progress, problems, and anticipated activity must be submitted quarterly to the MassDEP Program Coordinator and Project Officer. This report is in a table format, and is ideally filed electronically via email. MassDEP will review the form, and may contact you with follow-up questions.

Quarterly Submittal to MassDEP Contract Manager - Signed original documents to MassDEP Contract Manager

Invoices. BRP Watershed Project grants are reimbursement grants. An Invoice Summary should be submitted, backed up by invoices and details for all expenses incurred in the previous quarter, e.g., a copy of the invoice or bill from the Grantee's subcontractor, a summary on letterhead of project staff hours and salaries paid by the municipality, a statement from the town accountant indicating reimbursable expenses paid for the use of town equipment, and so on. Expenses must be consistent with those shown on the Attachment B budget in the contract scope of work. A partially completed Invoice Summary will be provided at the outset of the project to help ensure efficient and accurate invoicing. If a large expense is incurred and you wish to be reimbursed immediately rather than waiting for the end of the quarter, you may invoice us, provided the MassDEP Program Coordinator is notified and agrees to approve the payment. Payments cannot be made on invoices that are dated prior to the effective date shown on the Contract Notice to Proceed, or for work done in previous state fiscal years (July 1 – June 30). No reimbursement is made for Massachusetts sales tax. A ten percent retainage is withheld from each invoice and paid to the Grantee at the end of the project, after all final products have been received and approved.

PV Attachment for Reporting M/WBE Activity.

This form documents expenditures related to M/WBE Fair Share Utilization goals. The Attachment submittal must be filed with every PV or at a

minimum quarterly, in order for invoices to be paid. MassDEP's Program Coordinator will provide a partially completed Attachment to assist with this task.

Grant Source	Progress Report	Invoice	PV Attachment for M/WBE Reporting	Match Certification	VIFs, when available
<i>Federal</i>					
604b	X	X	X		X
319	X	X	X	X	X
WCG	X	X	X	X	X
<i>State</i>					
Capital	X	X	X		X

Table 2. Quarterly Reporting Requirements for BRP Watershed Projects

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Match Certification Form. For grant programs requiring a match (319 requires 40% non-federal match, cash or in-kind, WCG requires a 25% match; and other programs may voluntarily offer a match), the match certification form records the cash or in-kind match contribution toward the project made during the previous quarter. Match is also reported on the Invoice Summary form. As with the Invoice Summary, the Match Certification form must be accompanied by supporting information that adequately describes the match claimed by the Grantee.

Vendor Information Forms (VIF). The VIF should be included in all bid opportunities offered by the Grantee for project-related work, and each bidder should return the completed VIFs with their response. Any VIFs that may have been collected during the reporting period should be submitted quarterly.

REIMBURSEMENT

The MassDEP Contract Manager reviews the invoice package for accuracy and consistency with the Attachment B budget, and then seeks concurrence with the Program Coordinator. Once the invoice is approved by MassDEP and submitted for payment, the payment is usually scheduled to be made within 30 days. Grantees can verify scheduled payments and payment history by going to the Vendor Web site, www.massfinance.state.ma.us/VendorWeb/vendor.asp. Once there, log in with your vendor code (a number beginning with VC found on the contract documents), and the last four digits of your TIN code (begins with 046), select “scheduled payments” or “payment history”, and search “EQE” for MassDEP payments.

DRAFT FINAL AND FINAL REPORTS

Each project is required to file a Final Report. A Draft Final Report should be submitted to the MassDEP Program Coordinator two months prior to the contract end date. MassDEP staff will review the Draft Final and will provide written comments to be incorporated into the Final Report, which is due at the contract end date. Payment of grant retainage is contingent upon receipt of a satisfactory Final Report. Generally, two hard copies plus two

or more electronic copies of the Final Report are required. See your contract scope of work (contract Attachment A) for specifics related to project deliverables.

The purpose of a Final Report is to report how project goals were met, and to document that the project was conducted in accordance with the contract. Final Reports should also serve as a technology transfer tool, so that others who may be contemplating a similar project can learn from your experience. For that reason, failures and difficulties should also be discussed. Suggested formats for Final Reports for various programs can be found in Appendix C. We recommend that you review the format and requirements for your project’s Final Report with your MassDEP Project Officer periodically through the project. This will enable you to keep notes and records throughout the project to help build the Final Report.

PROBLEM RESOLUTION

The MassDEP Program Coordinator is involved in project activities to the extent of reviewing progress reports and payment vouchers, attending occasional meetings, and providing advisory support and technical assistance. Grantees are responsible for implementing the contract. Problems such as unforeseen loss of staff, prolonged bad weather, equipment breakdown, etc., are not unusual and may affect the Grantee’s ability to meet contract requirements. In such cases, more hands-on interaction between Grantee and MassDEP may be needed to help keep project activities on track. Minor or temporary delays are usually resolved through mutual cooperation between the Grantee and the MassDEP.

Occasionally, more significant problems occur where the project work is not progressing satisfactorily. Examples of potentially serious deficiencies include:

- Consistent lack of effort to complete project tasks;
- Reports repeatedly not submitted or of poor quality;

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- Work significantly changed without notice, or contract otherwise not adhered to; or
- Poor budget management or unsubstantiated project costs.

If the problem cannot be resolved through normal means (i.e., discussion and mutual cooperation between the Grantee and the MassDEP Project Officer), it is recommended that the parties arrange a meeting with the Program Coordinator to help resolve the matter. In some cases, contract amendments may be necessary in order to formalize resolution of problems.

CONTRACT AMENDMENTS

Changes in the Contract Scope of Work. As the project proceeds, it may become necessary or appropriate to make changes in the project strategy, tasks, or deliverables. Contract amendments can be made for justifiable reasons. Examples of circumstances that may require a change in project scope include:

- When a more appropriate project strategy is identified;
- If a better result can be obtained by integrating the grant work into another project or effort; or
- If unforeseen circumstances prevent the work from proceeding as planned.

These changes must be documented in writing. A formal contract amendment should be made upon mutual agreement between the Grantee and MassDEP. Amendments are not retroactive; therefore, it is imperative that you anticipate and discuss the need for an amendment before the contract terms or requirements are violated. A contract amendment should be discussed with the MassDEP Project Officer and the MassDEP Program Coordinator, who will authorize the change and prepare the written amendment.

Changes in the Budget. It may also become necessary to amend budget line items when unanticipated expenditures cause one or more line items to fall short and/or show a surplus. As with changes to the scope of services, a written amendment to the contract budget must be prepared. This should be discussed with the MassDEP Project Officer and the MassDEP Program Coordinator, who will authorize the change and prepare the written amendment. Additional grant funds will not be awarded to an existing contract. Budgetary amendments may not be approved if the amendment will reduce the amount of funds available to meet the M/WBE Fair Share Utilization goals of the contract.

Changes in the Project Milestone Schedule. Attachment C of each contract outlines the time line for performing each task of the project. If the request is justified, this also can be amended by mutual agreement between the Grantee and MassDEP, following the same process as for scope of services and budget amendments. The milestone schedule will not be amended simply because the Grantee falls behind.

Contract Extensions. At MassDEP's discretion, MassDEP may agree to extend the contract end date for a project, provided it is warranted and allowed. Legitimate reasons for extensions may include milestone schedule changes related to scope of services amendments; unavoidable project delays due to seasonal conditions, including extended drought or flooding; or a need for additional post-implementation monitoring. Extension requests must be discussed with and supported by the MassDEP Project Officer and MassDEP Program Coordinator, who will initiate a formal contract extension if it is deemed appropriate. Extensions must be initiated at least two months prior to contract end date to allow time for processing the contract extension before contract expiration.

Changes in Grantee Project Staff.

MassDEP reserves the right to approve all Grantee project staff and subcontractors. This is to ensure that the project is being managed and supervised by qualified Grantee personnel. In the event that the Grantee experiences key staff turnover, the MassDEP Project Officer and the MassDEP Program Coordinator must be notified in writing and informed of the Grantee's plans for replacement staff who will continue to provide quality project management. Include the resume and qualifications of staff who are being assigned to replace the departing staff. Notification of the change and subsequent MassDEP approval of the staff transition plan is mandatory in order to ensure continuation of project funding.

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APPENDIX A

CONTACT INFORMATION

MASSDEP PROGRAM COORDINATORS

604b:

Gary Gonyea
MassDEP
One Winter Street, 6th Floor
Boston, MA 02108
617/556-1152
gary.gonyea@state.ma.us

319:

Jane Peirce
MassDEP CERO/DMS
627 Main Street, 2nd Floor
Worcester, MA 01608
508/767-2792
jane.peirce@state.ma.us

WCG:

Malcolm Harper
MassDEP CERO/DMS
627 Main Street, 2nd Floor
Worcester, MA 01608
508/767-2795
malcolm.harper@state.ma.us

CAPITAL:

Jane Peirce
MassDEP CERO/DMS
627 Main Street, 2nd Floor
Worcester, MA 01608
508/767-2792
jane.peirce@state.ma.us

MASSDEP CONTRACT MANAGER:

Edith Blackney
MassDEP CERO/DMS
627 Main Street, 2nd Floor
Worcester, MA 01608
508/767-2860
edith.blackney@state.ma.us

MASSDEP QUALITY ASSURANCE OFFICER:

Richard Chase
MassDEP CERO/DMS
627 Main Street, 2nd Floor
Worcester, MA 01608
508/767-2859
richard.chase@state.ma.us

MASSDEP CONTRACTS COMPLIANCE UNIT:

Yit Ling Slayman
MassDEP
One Winter Street, 4th Floor
Boston, MA 02108
617/556-1178
yitling.slayman@state.ma.us

APPENDIX B. REPORTING FORMS

The following forms may be obtained in electronic format by contacting the MassDEP Program Coordinator. Refer to Table 1 to determine which forms you will be required to submit.

PV Attachment for Reporting M/WBE

Activity: A signed hard copy must be submitted quarterly to the MassDEP Contract Manager.

Waiver: In the event that M/WBE goals cannot be met, this form must be completed and submitted to demonstrate to the Contracts Compliance Unit that a good faith effort was made to comply with the goals. The six steps that must be taken in order to demonstrate the good faith effort are outlined on the waiver form. This form should be submitted as soon as M/WBE subcontractors are established, but no later than two months prior to contract end date.

Vendor Information Form: The purpose of the Commonwealth of Massachusetts Vendor Information Form is to collect data on the qualifications, areas of expertise and the M/WBE status of all vendors submitting proposals or bids as primary contractors or subcontractors in response to project related procurements by grantees. All grantees are required to include the form in every project related to a Request for Proposal (RFP) or invitation to Bid, and to state therein that all responses or bids must include separate forms completed by each and every vendor (including proposed subcontractors) submitting a proposal or bid. The Grantee, in turn, is required to submit to the Department all forms collected from the successful respondent or bidder and from every other vendor that submitted a proposal or bid for the RFP or Invitation to Bid. Completed Vendor Information Forms should be submitted with the quarterly report following the bid opening.

Letter of Intent: to be completed by the Grantee and a selected M/WBE subcontractor and submitted with the next quarterly report.

Quarterly Report Form: to be submitted quarterly to the MassDEP Project Officer and to the MassDEP Program Coordinator, in electronic format.

Invoice: to be submitted quarterly to the MassDEP Contract Manager. Invoices must be accompanied by details and invoices related to the expenses being claimed. Photocopies of the invoices should be provided to the MassDEP Project Officer and MassDEP Program Coordinator.

Match Certification: For those grants that require a match (319, WCG), the match certification form should be submitted with the PV on a quarterly basis. As with the PV, an original, signed hard copy should be submitted to the MassDEP Contract Manager. Match certification forms also must be backed up with details and invoices.

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Required Submittals

	When Due	To: MassDEP Contract Manager	To: MassDEP Project Officer	To: MassDEP Program Coordinator	To: Other
Quarterly Progress Report	Quarterly		X Via email	X Via email	
Invoice	Quarterly	X Original plus detail			
PV Attachment for Reporting M/WBE Activity	With every PV or at a minimum Quarterly	X Original			
Match certification	Quarterly (319,104, WCG only)	X Original plus detail			
VIFs	As Available	X			
Letter of Intent	As Available	X			
Waiver Request	As soon as possible, when all subcontractors are established			X Photocopy	X MassDEP Compliance Unit, MassDEP/ DMS Program Manager
Amendment Request	As Needed		X	X	
Notification of Change in Staff	Immediate		X	X	
Draft Final Report	2 Months prior to contract end date		X	X	
Final Report	Contract End Date		X	X	

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Quarterly Progress Report Form from _____ to _____
 Project Title and Number

Task #	Task Description	% Done	Progress Narrative	Problems

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Invoice (Payment Voucher)

Project Number:
Project Title:
Grantee:

Vendor Code:
Contract Number:

Invoice number: _____
For period beginning: _____ through _____

Contract amount
Previous billing
Billing to date (total)
 Amount this invoice
 Less 10% retainage
Payment due
Remaining balance

Notes:

Project total:
Match obligation:
M/WBE goals:

Required attachments:

- Backup information consistent with Contract budget (Scope of Work Attachment B), e.g., salaries and rates, subcontractor services, equipment/supplies invoices, etc.
- Payment Voucher Attachment Form for Reporting M/WBE, signed original
- Match Certification Form, signed original
- Any Vendor Information Forms collected during the invoice period

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EXAMPLE Invoice (Payment Voucher)

Project Number and Name: **07-10/319, NPS BMPs at Filthy River**
Grantee: **Filthy River Watershed Association**
Vendor Code: **VC000123456**
Contract Number: **SC EQE 5014FilthyRiver0709-319**

Invoice number: 2
For period beginning: January 1, 2010 through March 30, 2010

Contract amount:	\$175,000	
Previous billing:	\$ 27,500	
Billing to date (total):	\$ 27,500	
Amount this invoice	\$ 34,968	
Salary amount:	\$ 20,968	
Subcontractual amount:	\$ 10,000	
Supplies and equipment:	\$ 4,000	
Other Amount	\$ 0	
Less 10% retainage	\$ 3,497	
Payment due		\$ 31,471
Remaining balance	\$112,532	

Notes:

Project Total: **\$291,667**
Match obligation: **\$116,667**
M/WBE goals: **5.3% MBE (\$15,458) 4.4% WBE (\$12,833)**

Required attachments:

- Backup information consistent with Contract budget (Scope of Work Attachment B), e.g., salaries and rates, subcontractor services, equipment/supplies invoices, etc.
- Payment Voucher Attachment Form for Reporting M/WBE, signed original
- Match Certification Form, signed original
- Any Vendor Information Forms collected during the invoice period

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INSTRUCTIONS

MASSACHUSETTS DEPARTMENT OF ENVIRONMENTAL PROTECTION

PAYMENT VOUCHER ATTACHMENT FOR REPORTING OF MBE/WBE ACTIVITY

Explanation: MassDEP is required to report to EPA regarding MBE/WBE utilization for procurement of supplies, equipment, construction and services. The reporting covers federal funds utilized by the Department as well as federal funds that are awarded as subcontracts and competitive grants. The PV attachment will allow MassDEP to meet its reporting requirements and will be used as supporting documentation for MassDEP reports to EPA.

General Instructions: Please include this form, completed and signed by the appropriate personnel, with every payment voucher, or at a minimum, quarterly. If no payment voucher is being filed for the quarter, this form is still required. Payment vouchers that are not accompanied by this M/WBE reporting form will not be paid.

Definitions: MBE (Minority Business Enterprise) is a business concern that is certified by the Massachusetts State Office of Minority and Women Business Assistance (SOMWBA) to be (1) at least 51% owned by one or more minority individuals, or in the case of a publicly owned business at least 51% of the stock is owned by one or more minority individuals and (2) whose daily business operations are managed and directed by one or more of the minority owners. A directory of SOWMBA-certified MBEs is available at www.mass.gov/somwba.

WBE (Women-owned Business Enterprise) is a business that is certified by the SOMWBA as a concern that is (1) at least 51% owned by one or more women, or in the case of a publicly owned business at least 51% of the stock is owned by one or more women and (2) whose daily business operations are managed and directed by one or more of the women owners. A directory of SOMWBA-

certified WBEs is available at www.mass.gov/somwba.

INSTRUCTIONS FOR COMPLETING FORM:

Invoice number: The Grantee's invoice number for this project

Invoice amount: The Grantee's total amount being requested for reimbursement by MassDEP

MBE/WBE firm name: List name of each M/WBE firm under contract

Check off whether each firm is MBE or WBE

INSTRUCTIONS

MASSACHUSETTS DEPARTMENT OF ENVIRONMENTAL PROTECTION PAYMENT VOUCHER ATTACHMENT FOR REPORTING OF MBE/WBE ACTIVITY

Category: Fill in the proper category for type of service or supply being purchased from each MBE/WBE. Categories are:

- 1) Construction
- 2) Supplies
- 3) Services:

A= Business

B= Professional

C= Repair

D= Personal

- 4) Equipment

Sub-Contract \$ Amount: For each MBE/WBE, the total contract amount that the Grantee will be paying to each MBE/WBE

Previously invoiced \$: Amount that Grantee has previously paid to each MBE/WBE for their Sub-Contract

This Firms Invoice \$: Amount that Grantee is paying each MBE/WBE from the current Invoice Amount

Balance Amount \$: For each MBE/WBE contract, the Sub-Contract amount less previous invoices and current invoice

Information for Grantees

**Department of Environmental Protection
Match Certification Form**

Project Number:	Project Name:
Contractor:	
Contact:	Telephone Number:
Address:	
Budget Period:	

The following must be completed and attached to your periodic bill in order to certify your organization's required match portion of federal funds you receive - the expenses listed below must be in addition to the federal funds received. The minimum non-federal match must not be used otherwise to match any other federal dollars (i.e. no double matches). Payment may be withheld if this form is missing or incomplete.

Total Federal Funding: _____ **Agency Match Required:** _____

Personnel				
Position	Estimated Hours	x Hour Rate	+ Fringe Benefits	= Contractor Cost

Other Expenses (e.g. - equipment, supplies, construction, travel, etc. Attach sheets as necessary):

Subtotal: _____ \$ _____

Total Match to Date: _____ \$ _____

Certification: I certify the costs detailed above were expended in the course of completing the work described in a Contract with the Department of Environmental Protection, and that detailed documentation of the above is on file and available for review at:

Authorized Signatory for Contractor: _____ **Date:** _____

Received Department of Environmental Protection: _____ **Date:** _____

EXPLANATION OF THE VENDOR INFORMATION FORM

The purpose of the Commonwealth of Massachusetts Vendor Information Form (VIF) is to collect data on the qualifications, areas of expertise and the M/WBE status of all vendors submitting proposals or bids as primary contractor or subcontractors in response to project related procurements by grantees. This information will be used by the Department to analyze the actual availability to M/WBEs to do work in the relevant contract categories, and to evaluate the need for any modification of the Department's M/WBE utilization goals in subsequent fiscal years.

All grantees are required to include the form in every project related to a Request for Proposal (RFP) or invitation to Bid and to state therein that all responses or bids must include separate forms completed by each and every vendor (including proposed subcontractors) submitting a proposal or bid. The Grantee, in turn, is required to submit to the Department all forms collected from the successful respondent or bidder and from every other vendor that submitted a proposal or bid for the RFP or Invitation to Bid.

All grantees are required to provide completed Vendor Information Forms quarterly, as available.

Information for Grantees

Commonwealth of Massachusetts Vendor Information Form, Page 1		
Awarding Authority:		
Company Name:		
Street Address 1		
Street Address 2		
City:	State:	Zip Code:
Telephone Number: () ____ - _____	Fax Number: () ____ - _____	Email Address
Web Address:	Dunn & Bradstreet Number:	Federal Employer Identification Number:
County:	Contact Person	
What geographic area does your firm service?		
Metro Boston	Massachusetts (entire state)	Vermont
SE MA	Rhode Island	New Jersey
Western MA	New Hampshire	New York
North of Boston	Connecticut	
Primary SIC Code:	Secondary SIC Code:	
Date Company Founded:		
Gross Annual Sales:		
\$0-\$49,999	\$500,000-\$999,999	\$5,000,000-\$10,000,000
\$50,000-\$99,999	\$1,000,000-\$2,499,999	Over \$10,000,000
\$100,000-\$499,999	\$2,500,000-\$4,999,999	
Number of Employees:		
1-10	20-30	Over 50
10-20	30-50	
Bonding Capacity		
\$0-\$49,999	\$500,000-\$999,999	\$5,000,000-\$10,000,000
\$50,000-\$99,999	\$1,000,000-\$2,499,999	Over \$10,000,000
\$100,000-\$499,999	\$2,500,000-\$4,999,999	
Business Structure:		
Profit	S Corporation	Partnership
Non-Profit	C Corporation	Joint Ventures
	Sole Proprietor	LLC
Are you a minority-owned firm?	Yes	No
Are you a woman-owned firm?	Yes	No

Information for Grantees

Commonwealth of Massachusetts Vendor Information Form, Page 2			
Are you certified by the State Office of Minority and Women Business Assistance (SOMWBA)?		Yes	No
If you are SOMWBA certified, are you certified as:		MBE	WBE
		DBE	
Are you certified by the Division of Capital Assets Management and Maintenance (formerly DCPO)?		Yes	No
Are you pre-qualified with the Massachusetts Highway Department?		Yes	No
Largest State Contract:			
\$0-\$49,999	\$500,000-\$999,999	\$5,000,000-\$10,000,000	
\$50,000-\$99,999	\$1,000,000-\$2,499,999	Over \$10,000,000	
\$100,000-\$499,999	\$2,500,000-\$4,999,999		
Contracting Agency for Largest State Contract:			
Company Comments: (Include a brief description of the goods and/or services you provide)			
Name of President or CEO:		Date:	
Telephone Number:			
Name of Individual Completing Form:		Date:	
Telephone Number:			

Information for Grantees

Minority and Women Business Enterprise Participation Massachusetts Department of Environmental Protection

Letter of Intent

This form is to be completed by the MBE and WBE and must be submitted by the bidder as part of the bid. A separate form must be completed for each MBE and WBE involved in the project.

Project Title: _____ Project Location: _____

TO: _____
(Name of Bidder)

FROM: _____
(Please indicate status MBE WBE)

• I/we intend to perform work in connection with the above project as (check only one):

An individual

A partnership

A corporation

A joint venture with: _____

Other (explain): _____

• It is understood that if you are awarded the contract, you intend to enter into an agreement to perform the activity described below for the prices indicated.

MBE/WBE Participation

Description of Activity	Date of Project Commencement	\$ Amount	% total grant amount
		\$	%

• The undersigned certify that they will enter into a formal agreement upon execution of the contract for the above referenced project.

Bidder	MBE/WBE
<i>(Authorized Original Signature) Date</i>	<i>(Authorized Original Signature) Date</i>
Address:	Address:
Telephone #:	Telephone #:

Originals:

- Compliance Mgr. City/Town Project Location
- MassDEP Program Manager for MassDEP's AAO Director
- * **Attach a copy of current (within 2 years) SOMWBA Certification**

If it is determined that one or more of the MBE/WBE subcontractors as submitted by the bidder on this form is not SOMWBA certified or certified by the Local Government Unit in accordance with the provisions of Executive Order 237, the bidder shall have an opportunity, following notification, to either find a certified MBE/WBE subcontractor to perform work equal to or greater than that of the uncertified subcontractor or to submit a waiver request.

Information for Grantees

REQUEST FOR WAIVER

Upon exhausting all known sources and making every possible effort to meet the minimum requirements for MBE/WBE participation, the Bidder may seek relief from these requirements by filing this form (completed) NO LATER THAN FIVE (5) working days following bid opening. Failure to comply with this process shall be cause to reject the bid thereby rendering the Bidder not eligible for award of the contract.

General Information

Project Title:	Project Location:
Bid Opening (time/date)	
Bidder:	
Mailing Address:	
Contact Person:	Telephone No.

Minimum Requirements

The Bidder must show that good faith efforts were undertaken to comply with the percentage goals as specified. The firm seeking relief must show that such efforts were taken appropriately in advance of the time set for opening bid proposals to allow adequate time for response(s) by submitting the following:

- A. A detailed record of the effort made to contact and negotiate with minority and/or woman owned businesses, including:
 1. names, addresses, telephone numbers and contact dates of all such companies contacted;
 2. copies of dated written notice(s) which were sent to MBE/WBE potential subcontractors prior to application deadlines;
 3. copies of dated advertisements as appearing in general publications, trade-oriented publications, and applicable minority/women-focused media detailing the opportunities for participation;
 4. a detailed statement as to why each subcontractor contacted (i) was not willing to do the job or (ii) was not qualified to perform the work as solicited; and
 5. in the case(s) where a negotiated price could not be reached the bidder should detail what efforts were made to reach an agreement on a competitive price.

Information for Grantees

- B. The Agency may require the Bidder to produce such additional information as it deems appropriate and may obtain whatever other information it deems necessary to reach a conclusion from any source.
- C. No later than fifteen (15) days after receipt of all necessary information and documentation, a decision will be made in writing to the bidder. If the waiver request is denied, the facts upon which a denial is based will be set forth. A Bidder who is dissatisfied with the decision may then appeal that decision to the EOE.

Special Note

If it is determined that one or more of the MBE/WBE subcontractors as submitted by the Bidder on form EEO-MassDEP-190C is not SOMWBA certified or certified by the Local Government Unit in accordance with the provisions of Executive Order 237, the Bidder shall have 10 working days, following notification, to either find a certified MBE/WBE subcontractor to perform work equal to or greater than that of the uncertified or submit a waiver request.

CERTIFICATION

The undersigned herewith certifies that the above information and appropriate attachments are true and accurate to the best of my knowledge and that I have been authorized to act on behalf of the Bidder in this matter.

(authorized original signature)

date

MAILING INSTRUCTIONS: (CERTIFIED MAIL)

TO: Department of Environmental Protection (319, 604b, or WCG) Program Coordinator
ONE WINTER STREET – 6TH FLOOR (or 627 Main Street - 2nd floor)
BOSTON, MA 02108-3237 (or Worcester, MA 01608)

CC: Department of Environmental Protection
Bawa Wavezwa, Asst. Deputy Commissioner
ONE WINTER STREET - 4TH FLOOR
BOSTON, MA 02108-3237

APPENDIX C

DRAFT & FINAL REPORT FORMATS

Draft Final reports must be submitted two months prior to contract end date. Final reports are due by the contract end date. Suggested formats for final reports follow. Please note that the final report title and cover pages differ for state funded and federally funded projects.

All final reports must include this Disclaimer/Acknowledgement of Support:

“This project has been financed with Federal Funds from the Environmental Protection Agency (EPA) to the Massachusetts Department of Environmental Protection (MassDEP) under a (§ 319, 604b, etc. [see page 28 for example]) competitive grant. The contents do not necessarily reflect the views and policies of EPA or of the Department, nor does the mention of trade names or commercial products constitute endorsement or recommendation for use.”

§319 PROJECT FINAL REPORTS

Each 319-funded project must file a Final Report upon project completion. Payment of project retainage is contingent upon MassDEP acceptance of the Final Report, which is due upon contract close-out, typically on June 30 of a given year (check your contract). The Final Report is a stand-alone report, separate from quarterly reports.

Draft Final Reports

A draft Final Report should be completed and submitted to the MassDEP Project Officer and to the 319 Program Coordinator two months prior to contract end date (typically April 30). The Draft Final Report should be complete and formatted in final form, with all tables, maps and appendices. Please complete proofreading and editing before submitting it to us for review. MassDEP staff will review the draft Final Report in a timely way, and will provide comments to be addressed and incorporated into the Final Report in time to meet the June 30 submittal deadline.

FINAL REPORTS

The purpose of a 319 Final Report is two-fold. First, it provides a general overview of the project and its outcome, and discusses how the terms of the contract were met. Second, it serves as a technology transfer tool so that others who are contemplating similar projects may learn from the experience gained with this project.

In general, the elements of a 319 Final Report should include:

Table of Contents

Standard cover and title page

Executive summary – One to two pages.

Project summary – One to three pages. Describe the project goals and strategy. Task by task, briefly describe and discuss each task, and list or summarize task deliverables. For the QAPP task, refer the reader to the “Environmental Monitoring” section described below. In general, discrete task deliverables will be appended to this report. However, in some cases, for example where the deliverable is a “report” on activities, it may be practical to expand this section by including the report within the task summary.

Project Budget – One to two pages. Provide the project budget, including match and any amendments. As a teaching tool for others, discuss whether the original assumptions about project cost were correct, and make recommendations where appropriate.

Environmental monitoring – One to three pages. Summarize the project strategy in terms of the environmental goals and monitoring program. Provide the data quality objectives outlined in the project Quality Assurance Project Plan, and discuss any other important aspects of the QAPP and monitoring program. Include a summary of project monitoring results. As a deliverable, include a sample data sheet(s) in the Appendix. Direct the

Information for Grantees

reader to the Division of Watershed Management, Department of Environmental Protection, 627 Main Street, Worcester MA, 01608, to review a full copy of the project QAPP.

Results and Conclusions – One to three pages. Discuss the results of the project. Where possible, quantify the amount of pollutants removed by the project, or provide other information that demonstrates the environmental benefits that have been realized. Describe how the project has changed public behavior, if appropriate. Depending on the project, you may choose to discuss results and conclusions on a task-by-task basis, or in summary format.

Lessons Learned – One to three pages. For the benefit of others, please provide an honest assessment of the project in terms of your experience. Did you have difficulty meeting project time lines, or finding the match commitment? Did the project encounter site constraints, design obstacles, or permitting difficulties? Did the QAPP development take more time than you thought it would? What advice would you give to other Grantees and prospective program applicants?

References and Further Reading – Provide a list of materials and resources that you used and/or that others can use for similar projects.

Appendices:

Project Deliverables. Task by task, include each deliverable. Wherever possible, incorporate the deliverable into the report, rather than providing detached maps, reports, or disks that can become separated from the main report.

Not all Final Reports will be able to be presented in this general format. If your project Final Report falls into this category, be sure to discuss and agree upon an appropriate format with your Project Officer at the outset of the project.

One copy of the draft Final Report should be provided to the MassDEP Project Officer, and another to:

Jane Peirce
319 Program Coordinator
Department of Environmental Protection,
627 Main Street, 2nd Floor
Worcester MA 01608

Two hard copies of the Final Report, plus one camera-ready copy, plus two copies in electronic format (MS Word), should be provided to Jane Peirce, 319 Program Coordinator, at the address above.

604B & WCG PROJECTS FINAL REPORT FORMAT

Executive Summary – one to two page concise summary of project goals and results.

Table of Contents

Standard cover and title page

Introduction – Present project goals and strategy with a description of the study area, project partners, and list of final products.

Project Approach - Provide a description of the project approach including, if applicable, maps of the sampling area, sampling methodology/data acquisition, frequency, duration of sampling efforts, and data layers used for GIS mapping efforts. Provide approved QAPP in appendix, if applicable.

Results – Provide narrative description of project results including, literature/data/bylaw reviews, landuse/GIS/nutrient loading analysis, and sampling results with summary tables. Include raw data tables by sampling date in Appendix. Suggest including a discussion of Lessons Learned – what worked and what did not work during the project.

Conclusions/project summary – Present project outcomes including recommendations for further monitoring, action plans, and identification of BMPs to correct identified problems. Preliminary design plans, estimated costs, and potential sites should be provided for recommended BMPs to assist the Grantee in preparing an application for 319 program (as appropriate).

Literature cited

Appendices – QAPP, raw data tables, field sheets, evaluation forms, etc.

One copy of the draft Final Report should be provided to the MassDEP Project Officer, and another to the appropriate Program Coordinator:

Gary Gonyea
604 Program Coordinator
Department of Environmental Protection,
Bureau of Resource Protection, 6th Floor
Boston, MA 02108

or

Malcolm Harper
WCG Program Coordinator
Department of Environmental Protection
627 Main Street, 2nd floor
Worcester, MA 01608

For 604b projects, a minimum of four paper copies of the Final Report, plus six copies in electronic format (MS Word) on a CD ROM, should be provided to Gary Gonyea, 604b Program Coordinator, at the address above. For Water Conservation Grants, a minimum of two paper copies and one copy in MS Word on CD should be provided to Malcolm Harper, WCG Program Coordinator, at the above address.

The Final Report may be in addition to other project deliverables such as guidance documents, videos, and manuals. These products should be provided separately. As with all other programs, project deliverables are spelled out in the contract. Be sure to discuss and agree upon deliverables and an appropriate format for the Final Report with your Project Officer at the outset of the project.

MODEL TITLE PAGE, Federal projects

PROJECT TITLE

PROJECT NUMBER

YEAR(S) PROJECT CONDUCTED

PREPARED BY:

CONTRACTOR/GRANTEE NAME

PREPARED FOR:

MASSACHUSETTS DEPARTMENT OF ENVIRONMENTAL PROTECTION
BUREAU OF RESOURCE PROTECTION

AND

U.S. ENVIRONMENTAL PROTECTION AGENCY
REGION 1

MODEL COVER PAGE, Federal Projects

PROJECT TITLE

PROJECT NUMBER

PREPARED BY:

CONTRACTOR/GRANTEE NAME

PREPARED FOR:

MASSACHUSETTS DEPARTMENT OF ENVIRONMENTAL PROTECTION
BUREAU OF RESOURCE PROTECTION

AND

US ENVIRONMENTAL PROTECTION AGENCY
REGION 1

MASSACHUSETTS EXECUTIVE OFFICE OF ENERGY and ENVIRONMENTAL AFFAIRS
Ian Bowles, Secretary

DEPARTMENT OF ENVIRONMENTAL PROTECTION
Laurie Burt, Commissioner

BUREAU OF RESOURCE PROTECTION
Glenn Haas, Acting Assistant Commissioner

DIVISION OF MUNICIPAL SERVICES
Steve McCurdy, Director

DIVISION OF WATERSHED MANAGEMENT
Glenn Haas, Director

This project has been financed partially with federal funds from the US Environmental Protection Agency (USEPA) to the Massachusetts Department of Environmental Protection (MassDEP) under a [319, 604b, WCG] Competitive Grant. The contents do not necessarily reflect the views and policies of EPA or of MassDEP, nor does the mention of trade names or commercial products constitute endorsement or recommendation for use.

