Budgeting & Funding Procedures

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June 2020

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1. Budget Development

The Executive Director has the day-to-day responsibility for maintaining the financial viability and credibility of the organization. All Estuary Partnership programs, activities, and functions are funded by awards, contracts and grants, or contributions. Funding sources may include, but are not limited to, state and federal agencies, foundations, corporations or individuals.

The Executive Director maintains a high level of involvement in how the Estuary Partnership meets its contract, award and grant obligations and how subcontractors are meeting their obligations. In accordance with the Finance Policies and as directed by state law governing non-profits, the Executive Director is authorized to accept funds on behalf of the Board of Directors and regularly reports to them grants pending, received or denied as well as funds awarded by the Estuary Partnership. Decisions about all funding received or sought and funds contracted by the Estuary Partnership are made and tracked by the Executive Director.

Program Managers are required to provide regular updates to the Executive Director about the status of projects and funds. The Finance and Operations Manager provides the Executive Director monthly reports on all contracts, awards and grants. Any potential problems perceived or anticipated by a Program Manager shall be brought to the Executive Director as soon as the potential problem is identified and prior to the end of the contract with adequate time that the Executive Director may be able to address the problem. Problems and prospective problems shall be discussed with the Executive Director prior to discussion with the funder.

Program Managers shall follow the procedures outlined in this manual and convey applicable procedures to staff and ensure these procedures are understood and followed by staff.

Proprietary information shall be held in confidence.

Fiscal Year & Biennium

The Estuary Partnership fiscal year runs July 1 to June 30. The biennial budget follows the two states' budget cycles, e. g., 2003-2005, 2005-2007, etc.

Organization Budget

The Comprehensive Conservation Management Plan (Management Plan) is the long-term plan for the lower river and the guiding document for the Estuary Partnership as a National Estuary Program. To guide budget development and direct day-to-day work, the Estuary Partnership Board of Directors adopts a six-year implementation strategy. The current strategy covers July 1, 2017 – June 30, 2023 (three biennia). The Executive Director develops and maintains a finance plan to implement the six-year workplan in order to prioritize the efforts of the organization and its fund-raising needs. The Executive Director develops a two-year biennial organization budget; the Executive Committee reviews and approves it.
See Finance Policies for authorizations.

Organization Budget Structure

There are three components to the Estuary Partnership budget:

- Operating
  - Environmental Protection Agency (EPA) National Estuary Program (NEP) Funds
  - Unrestricted Funds (Corporate and individual donations)
  - Indirect Funds
  - Return on Investment
- Community Programs
  - Oregon Funds for the Estuary Partnership, through Oregon Watershed Enhancement Board
  - Washington State Funds for the Estuary Partnership, through Department of Ecology
  - Competitive Funds (Grants)

- Technical Programs
- BPA Funds
- Competitive Funds (Grants)
- Fee for Services

The Executive Director finalizes all budgets for all funding received or sought. The Program Manager provides the Executive Director with grantor's budget guidelines, proposed use of funds (project), estimate of staff hours, non-personnel costs (e.g., field equipment, subcontractor costs or student transportation costs), cost share requirements with potential sources of match and the grantor's budget format if applicable.

Rates for staff and operating costs are taken from the current biennial budget 'salcal' and 'overhead' worksheets in the respective biennial Budget Folder.

See Budget Folders.

Budget Format

The Estuary Partnership uses the federal Object & Class format for its budgets. (This is the federal form 424 format.) This allows for easy transition to Estuary Partnership in-house accounting and reporting requirements when funds are awarded. The Estuary Partnership Format is the primary format and is required for every application of funds and all receipt of funds. The Executive Director develops a draft budget in the Estuary Partnership Format.

In addition:

- For private funders with no specific format, the 'Project Format' worksheet is completed. The Project Format focuses on project implementation costs rather than personnel costs. It is developed for non-federal funding applications and submitted **if** grantors do not provide their own format; ***or***
- If a grantor has provided a specific format, it is added as a worksheet in the budget workbook excel file. The Executive Director or Program Manager complete this based on the Estuary Partnership Format and Executive Director gives final approval to submit.

Each application shall have only one budget excel workbook. All various budget formats should be included in the same budget excel workbook.

Cost Share or Match

When cost share or match is required, the Executive Director verifies the source, availability and use of the cost share.

Creating the Budget

The Executive Director starts developing the budget about a year before the start of a biennium, the even year, e.g., Jun of 2020 for the 2021-2023 cycle.

One option is to do a "save as" for the current biennium and update the dates on the various sheets. (In Admin/Finance & Accounting/Budgets.)

The excel workbook includes several different worksheets: the OH -operating costs, sometimes referred to as the overhead is a worksheet; the 'salcal' worksheet which includes the salaries and benefits for each position; the organization budget; the community programs budget; and the technical programs budget. Cells in the latter two are linked to the organization budget. The organization budget cells are linked from the 'salcal' and operating worksheets to populate data. ***Many of the cells on this workbook are linked, check for links before changes cells.***

The Finance and Operations Manager updates the operating costs and the salary & benefits costs based on current biennial spending and projections for increases. Using the operating (OH) worksheet, the Executive Director updates the FTE to be funded by the various funding sources.

The Executive Director finalizes the positions that will be filled or anticipated to be filled for the biennium and puts in projected revenue from various sources, including the EPA, States NEP | Base funds, and BPA and then completes the expense portions of those sources to zero out the revenue v expenses. Several FTE are funded by competitive funds or unrestricted funds. For those sources, we start the biennium with a deficit (expenses less any carry forward); the deficit becomes the fund-raising goal for that program area.

The Executive Director presents the budget to the Executive Committee by their January or February meeting prior to the start of the fiscal year. The current Budget provides details.

Grants | Competitive Funds Budget Development

See Sections 2, 3, and 4.

2. EPA National Estuary Program Assistance Agreement & States NEP |Base Funds

Congressional NEP Appropriation

Association of National Estuary Programs

In 1996, the 28 National Estuary Programs formed a non-profit corporation to help build a stronger connection among the programs, and especially the Directors, and to create a unified presence in Congress to sustain NEP funding.

Appropriation Process

We prepare briefing materials for Congress; we begin compiling information in December, the books need to be completed to take to meetings in D.C. with Congressional staff members in late February or March. The week depends on when EPA opts to hold its required national NEP meeting. (The EPA NEP assistance agreement requires that the Executive Director or Director of each NEP attend this meeting. ANEP then holds its meeting the same week, and NEP Directors schedule their Congressional meetings that week.) The Community Relations Manager takes the lead on preparing the briefing materials with significant input from the Executive Directors. The materials include a summary of how current EPA NEP funds are being spent, how the next year's funding would be spent, the economic impact of the funds to the region, and the impact to the local Estuary Partnership study area communities.

In January, the Executive Director contacts the D.C. and district Congressional offices (the ones with whom we regularly work) and asks what appropriations forms the specific office will be using for the upcoming fiscal year requests. Typically, the forms are due back to the Congressional offices in late February. The Executive Director completes the forms (or delegates to the Executive Assistant); the Executive Director submits the forms to our Congressional D.C. staff (copying the District staff).

See L:/Administration/Legislative Activity/Federal.

Appropriations Requests

We have had two priorities for the past several years and each priority requires its own form.

1. National Estuary Program Funding. Congress appropriates funds for the NEP through §320 of the Clean Water Act, the NEP enabling legislation. It is important in this request to include a request for a budget note of a per NEP amount, so Congress sets clear and specific direction for EPA who is the final disperser of funds.
2. Columbia River Basin Restoration Act Funding.

EPA NEP Funds

EPA NEP is a primary source of Estuary Partnership funds. The EPA NEP assistance agreement (grant) is disbursed annually, using a July 1 to June 30 fiscal year. (Federal funds appropriated for a federal fiscal year are awarded to the Estuary Partnership the following July.)

As intended by EPA, EPA NEP funds and the required nonfederal cost share are to provide support for core program operations, such as key executive and core program staff and maintaining an office or operations base. EPA requires all NEPs to leverage base funds above the 1:1 required cost share to achieve implementation of specific actions in the Management Plan.

The Estuary Partnership also applies for other grants from EPA to fund specific projects. Each has its own assistance agreement/grant.

Application

The Executive Director takes the lead on the EPA NEP funding. S/he develops and submits an application to the Estuary Partnership Region 10 EPA project manager (located at the Oregon Operations Office).

Region 10 allows the Estuary Partnership to submit a two-year biennial budget and workplan, in sync with the State budget cycles. The two-year budget includes the year being awarded and a projection for the second year. (EPA can *approve* multi-year grants but can only *award* funds annually as appropriated by Congress.) In the odd year, the Estuary Partnership submits the two-year budget and workplan. In the even year, the Estuary Partnership submits a revised workplan, budget and federal forms adjusted for the actual award EPA is providing for that year.

EPA Grant Cycle

EPA keeps one assistance agreement/grant open for five years. Each five-year assistance agreement/grant includes two biennial workplans, updated annually to include four federal funding cycles, and a one year no-cost extension. This fifth year allows for gaps in award date or spending down all funds. Unspent monies from the NEP award can be carried over from year to year but must be spent by the end of year five. In the fifth year, the Estuary Partnership is awarded a new assistance agreement/grant, starting the next five-year cycle. (There is one overlapping year.)

New Awards

Only new funds are required to be submitted through grants.gov.

Incremental Funds

Incremental funds as defined by EPA, are funds that were approved in a previous assistance agreement but that had not yet been appropriated by Congress. (Congress only appropriates funding for one year; EPA can approve multiple years, contingent upon future Congressional action.) Typically, the second and fourth year funds of our current five-year cycle are incremental awards; the first and third year are new awards, each for two years.

Incremental funds are awarded through the EPA Regional 10 Estuary Partnership project manager, not through grants.gov. Once Congress has appropriated the second or fourth year of funding, the Executive Director makes any revisions to the two-year budget, based on the actual amount appropriated and submits this to the Region 10 Estuary Partnership project manager who processes them with the EPA Region 10 grants manager.

Supplemental Funds

These are **new** funds being added to an existing award. For examples, sometimes EPA has funds available to NEPs for specific projects such as climate change work, or Congress appropriations a higher level for that year than the two-year original award projected. These funds are added to an existing assistance agreement as an Amendment and are requested through grants.gov. The federal form 424 lists only the supplemental award amount and the required cost share/match. The federal 424A-C includes the previous award amount (and match) and the new supplemental funds, in different columns and rows in A and B.

It’s helpful to submit the second-year incremental award and any supplemental fund request concurrently if possible, this allows the Region 10 grants manager to process them concurrently and have the award agreement amendment cover both.

One-Time No Cost-Extension

EPA grants allow for a one-time no-cost extension, by rule. The fifth year of the cycle for our processes is a one-time, no-cost extension to spend down EPA funds, if needed.

Application Materials Forms

The EPA application includes a workplan, including a budget narrative and federal forms. The Community Relations team assists with final submittal through grants.gov. The general due date is March 31, to confirm this, check with the Region 10 Estuary Partnership project manager. It can change depending on when Congress passes the federal budget and funds get to the region.

The application includes:

- **Workplan.** A two-year workplan that includes a statement of status of activities for a two-year period. The workplan is extracted from the Board's six-year implementation strategy. EPA provides annual guidance on how to develop the workplan and its components in February at which time, EPA typically provides the annual award amount. Since 2006, Congress has set a specific award amount for each of the 28 National Estuary Programs.
- **Budget Narrative.** This is developed in excel, using the Biennial Budget for that period. It is divided into budget by year for funds anticipated in the EPA award amount and the required match. EPA guidance encourages use of volunteer or in-kind (non-cash) as well as cash match. EPA allows match from years prior to the award period, if the match has not been used for other grants. The budget narrative is inserted into the two-year workplan as a picture (or series of pictures), not in word or as a live excel sheet (for formatting purposes mainly),
- **Federal Forms.** A set of federal '424' forms and certifications.

It's a good practice to submit the workplan and the federal 424 forms to the EPA Region 10 Estuary Partnership project manager prior to formal submittal either to her or through grants.gov. Sometimes Region 10 grants managers request different processes or different ways to complete the 424 forms and submitting to her for her check can help avoid too many revisions during the grants manager review, but that doesn't always happen and it's not unusual to revise the forms (and sometimes the narrative) a couple of times, depending on the grants manager's reading of their guidelines.

Award

The EPA NEP assistance award begins July 1.

Awards may not always be executed prior to the start of the Estuary Partnership by July 1; EPA regulations allow expenses to be incurred against the award up to 90 days prior to the award agreement execution. It is essential to work with the EPA Region 10 Estuary Partnership project manager to ensure that the Estuary Partnership award agreement is executed before September 30.

EPA sends the Agreement for review; the Finance and Operations Manager and the Executive Director shall review the data carefully as it frequently needs adjustment.

Payment

EPA authorizes the Estuary Partnership to draw funds down through the automated "ASAP" system. The Finance and Operations Manager and Executive Director develop the Drawdown Tracking sheet for each five-year award. The Finance and Operations Manager shall use this tracking for all EPA funding requests and receipts.
See Accounting Procedures for more detail.

Reporting

EPA requires various fiscal reports. ***See the specific Assistance Agreement for details.***

Close Out (All Federal Awards)

The Finance and Operations Manager receives notice of close out due date; close out for federal awards is usually 30-90 days after the end date of the contract. If close out notices are sent to other staff, it shall be forwarded immediately to the Finance Manager.

The Finance and Operations Manager notifies the Executive Director and Program Manager (for other than EPA NEP awards) of contract end date and outlines process to ensure close out requirements are met on time. At that time, the Finance and Operations Manager provides actual expenditures to date and the full award amount (by federal 424 categories, if applicable.)

For federal awards other than the NEP award, the Program Manager notifies project staff of the due dates and asks for status. The Finance and Operations Manager asks the Manager to confirm work was completed and all subcontractor deliverables received and any anticipated deliverables or invoices. Work shall have been completed prior to the end date of the award, but invoices can be submitted up to 30 days after or as stipulated by the funding agency. If the project is on schedule, the Manager lets Executive Director and Finance and Operations Manager know she/he anticipates successful completion of the project.

If the Manager anticipates that a close out cannot occur on or before that date, she/he shall inform the Executive Director in writing. If things do not appear to be on schedule, Executive Director, Manager, and Finance and Operations Manager decide how to proceed.

Once all invoices have been received and paid, Finance and Operations Manager prepares a final 'award versus actual expense' by federal category report. The Finance and Operations Manager coordinates with the Program Manager (or Executive Director for NEP awards) to prepare the final program report. The Finance and Operations Manager prepares all final financial status reports, including final minority and women business reports, lobbying certification and other required forms, and coordinates with the Program Manager to provide all program reports for Executive Director final review. The Finance and Operations Manager submits the full package, all financials and forms and program report, to the Funder with email cc to the Executive Director.

The Finance and Operations Manager shall file all required close out documentation in the electronic files.

States 'NEP' Funds

The States of Oregon and Washington have provided 'base NEP' funds to the Estuary Partnership since inception in 1995. These state funds are awarded on a biennial basis. Washington state funds have come from a state toxic use dedicated account, managed by the Department of Ecology. They have provided between $200,000 and $300,000 per biennium since 1995. Oregon has provided between $200,000 and $300,000 per biennium since 1995. Their funds currently come from Lottery funds, managed by the Oregon Watershed Enhancement Board. The states biennia begin in the odd year, e.g., 2019-2021.

In April of the even year preceding the start of a biennium, e.g., April 2020 for FY 21-23, the Executive Director works with the OWEB Director and Ecology SW Regional Office Director to determine what materials are needed and by what dates. By June of that year, e.g., June 2020 for the 21-23 cycle, the Estuary Partnership submits its funding request to the respective state agencies, including a justification – how current funds were spent, results, impact on citizens – and a justification for how requested funds will be spent. The Governors typically submit their budgets to the Legislatures in December of the even year. Once the Governors' budgets have been released, the Estuary Partnership works with the State agency (OWEB and Ecology) to prepare any back up materials either state requests. For the past few biennia, neither Oregon nor Washington has required legislative presentations by the Estuary Partnership. OWEB awards their funds through an on-going grant they have now built into their budget. The Executive Director often is invited to meet with the OWEB Board in July (after the end of the legislative session), to update the Board on Estuary Partnership activities prior to the Board's final action.

State funds do not require a match; they do provide a portion of required 1:1 match for the EPA NEP award. State base funds support a portion of the community programs and are focused on riparian plantings, water temperature, and stormwater. The specific use is decided as the Executive Director with the States puts the biennial budget together.

The Executive Director tracks processes with both states and prepares the submissions as required. If possible and helpful to the agency, scheduling a meeting in the late summer or fall with key staff managing the state funds is helpful. The Executive Director keeps the Executive Committee and the Board updated on status.

Note: The Estuary Partnership also applies for other grants from various State agencies to fund specific projects.

Receipt of State 'NEP' Funds

State funds to the Estuary Partnership are awarded through a contract with Ecology and OWEB, respectively. State funds are awarded on a reimbursement for expenditure basis. ***See Accounting Procedures for more detail.*** Once the legislatures have passed a budget and it has been signed into law by the Governors, the Executive Director and the Finance and Operations Manager and Community Programs Manager work with the agencies to complete the contract. The scopes of work, or uses of state funds, are negotiated with agency staff. Legislative action on budgets can be close to or in some cases after the start of the biennium; in those cases, the Executive Director or Finance and Operations Manager requests authority from the states to incur costs, typically by drafting a written request that will be signed by the Executive Director and submitted for state approval.

Reporting

Each state's contract carries specific reporting and invoicing guidelines. The Finance and Operations Manager prepares financial invoices and reports and advises the Program Manager of the due date and format of any required program reports. The Program Manager prepares programmatic reports and briefs the Executive Director on content, issues or changes.

Close Out

Each state's contract carries specific close out guidelines. Both states' contracts end with the biennium and funds must be expended within that period. The Finance and Operations Manager prepares final financial invoices and reports and coordinates with the Program Manager to ensure appropriate final program reports are completed and submitted with the financial reports and invoices.

3. Bonneville Power Administration Funds

The Bonneville Power Administration (BPA) provides funding for portions of the Estuary Partnership's habitat restoration and monitoring programs as part of BPA's obligations under the Federal Columbia River Power System Biological Opinion. Funds are contracted pursuant to recommendations from the Northwest Power and Conservation Council Fish & Wildlife Plan.

Northwest Power and Conservation Council Proposal

The Northwest Power and Conservation Council periodically requires submission of a detailed multi-year project proposal specifying goals, objectives, methods, deliverables, and relevance to the Northwest Power and Conservation Council's Fish and Wildlife Program priorities for review by their Independent Science Review Panel.

The Chief Scientist is responsible for preparing any such application or proposal and works with partners to prepare the application and budget following BPA or Council requirements. Prior to submitting it, the Executive Director must review it and approve it for submittal.

The Northwest Power and Conservation Council completes these reviews in cycles. The next one is anticipated to begin in 2021.

BPA Contracting

Contract Period

Contracts for Fish & Wildlife funding are made through BPA. The funding cycle is set by BPA; they have synced all three contracts to start at the beginning for their federal fiscal year, October 1. Typically draft budgets and scopes of work must be submitted to BPA online 90 days prior to the start of the contract period, no later than July 1.

The Chief Scientist prepares a draft scope of work and a draft budget with updated rates provided by the Finance and Operations Manager for review and approval by the Executive Director. These monies fund Estuary Partnership technical projects and Estuary Partnership staff, including projects implemented either directly by the Estuary Partnership or through subcontracts to Estuary Partnership partners.

Contracts

Currently the BPA-funded technical program consists of multiple contracts:

- Habitat Restoration Implementation (two-year contract)
- Habitat Coordination (two-year contract)
- Monitoring (one-year contract).
- For FY20-23, BPA has added two separate contracts for the large restoration project at Steigerwald National Wildlife Refuge.
    - BPA capital funds
    - Department of Interior funds that are passing through BPA

Process

BPA's contracting process requires the Estuary Partnership to prepare and submit a number of details through BPA's web-based data management system, Pisces. These items form the basis of the technical and financial elements that appear in the final, written contract. The required technical items include a narrative that describes the Estuary Partnership's planned work to be carried out during the new contract period.

Planned work is outlined in the "Work Elements" (i.e., tasks) in Pisces; this requires entering descriptive milestones, location, metrics, list of species that benefit, deliverables, due dates, and start and end dates for each Work Element.

Other required items include a detailed Estuary Partnership line item budget in Excel format, including separate line item budget spreadsheets for each subcontract, and an invento Inventory through which items purchased under previous BPA contracts are “transferred in” to the upcoming contract.

Either the Chief Scientist or the Finance and Operations Manager (assisted by appropriate technical staff) may enter the required information and upload the approved application and budget.

Scope of Work & Work Elements. The Estuary Partnership Chief Scientist develops the scope of work based on close coordination with the BPA Contracting Officer Technical Representative (COTR), to include appropriate phases (e.g., feasibility analysis, final design and permitting, construction, post construction action effectiveness monitoring) of projects that have been approved by BPA for funding. Restoration Team staff identify a draft budget for each project for inclusion which is then compiled into the BPA line item budget template by the Chief Scientist. The Executive Director reviews and approves the draft before it is submitted to BPA. BPA compiles the submitted information with their general contract terms and conditions into a completed contract, forwarded electronically to the Chief Scientist and Finance and Operations Manager by BPA’s Contracts Officer.

The Chief Scientist reviews the technical portion of the contract and budget and confirms to the Executive Director that all Work Elements are acceptable.

Budget. The Finance and Operations Manager reviews the budget and general contract terms and conditions, notifying the Executive Director of any potential concerns. Only the Executive Director (or her/his designee) may accept the contract.

Deadlines

These required elements are due in Pisces no later than three months prior to the anticipated contract start date. The Chief Scientist must stay in close contact with the BPA COTR through this period to minimize delay and ensure that all required information is provided.

Receipt of Funds

BPA awards funds through a contract on cost-reimbursement accounting. The Finance and Operations Manager prepares and submits monthly invoices for each BPA contract. The Chief Scientist prepares invoice cover letters that detail work accomplished within the invoice period for each BPA contract. Each invoice shall include any Estuary Partnership and subcontractor expenses incurred during that month. BPA makes payment to an Estuary Partnership bank account via an Automatic Clearing House transfer; BPA notifies the Finance and Operations Manager of pending transfers via e-mail. The Finance and Operations Manager verifies that payment in the correct amount has been credited to the relevant Estuary Partnership bank account.

Reporting

The Chief Scientist participates in monthly conference calls with the BPA COTR to provide updates on work, discuss emerging issues and needs, and provide information on budgets. For the Habitat Coordination contract, the Chief Scientist and BPA COTR also discuss the upcoming habitat project review process and identify new projects that should be included. For the monitoring contract, monitoring staff may also participate to coordinate monitoring activities with other partners such as the US Army Corps of Engineers.

BPA contracts typically require quarterly progress reports within Pisces. These reports include status updates on work element milestones and deliverables. Pisces also requires input of financial information for any work elements that are marked as complete. The Chief Scientist is responsible for tracking due dates of Pisces reports and completing them on time.

Each BPA contract also requires submission of a detailed written report covering activities under contract. The Chief Scientist is responsible for ensuring that the annual report is prepared on time, is of high quality and uploaded to Pisces. See each BPA contract for specific reporting requirements. The Northwest Power and

Conservation Council also requires an annual report on the habitat restoration implementation and coordination contracts, breaking down project costs versus administration costs. The Chief Scientist has prepared this with financial information from the Finance and Operations Manager for the past four years.

BPA requires that the Estuary Partnership provide leveraging or cost share information for each contract by November 15 of each year. The Chief Scientist is responsible for uploading the information to Pisces on time.

Close Out

When the Finance and Operations Manager has confirmed that no additional costs can be charged a contract, she/he shall prepare and submit a final invoice. The Finance and Operations Manager also shall confirm that all required technical reporting, including any Pisces reports, are complete and have been submitted to BPA.

4. Competitive Grants

Technical Programs Budget

Technical programs include habitat restoration, monitoring, data collection and analysis, modeling, and contaminant reduction. These projects and the staff that support them are funded by project specific grants and contracts. A significant portion of the budget is funded by Bonneville Power Administration (BPA)***, see Section 3;*** BPA funds are not part of the technical programs competitive budget. The technical programs competitive budget for a biennium starts with a deficit which establishes the grant writing goal for the budget cycle.

Community Programs Budget

Community programs include education programs, volunteer activities, on-water programming, stormwater projects, and the water trail. These projects and the staff that support them are funded through a variety of sources, including corporations, individuals, and public and private competitive grants. The States' "NEP" funds support part of the Community Programs budget, ***see Section 2***; State funds are not part of the competitive budget. The Community Programs competitive budget for a biennium starts with a deficit which establishes the grant writing goal for the budget cycle.

Grants Research | Funding Source Identification

Project Funding List

The Community Relations Team (CRT) searches and identifies potential funding sources for projects broadly identified in the six-year implementation strategy and more specifically outlined in the Project Funding List. Right now, this folder resides in the Grant folder, Project Ideas subfolder.

The Management Team members add to the project list as they and their team identify projects or programs that they would like to fund pursuant to the six-year implementation strategy.

The project list is important for a few reasons.

1) **Projects drive funding**, funding doesn't drive what we do or the projects we request funding to do. The project list comes from the six-year implementation plan which is the strategy to implement the Management Plan. Of course, there are exceptions to all rules! Here are a couple that affect us. There are times when the timing of what we want to do gets shifted when funding becomes available. There are times we have to tweak our projects a bit to adjust to a regular funder's needs, particularly EPA and the States "NEP" base funds.

2) **The Project List drives the grant research** and assists the CRT when researching potential funding sources to focus on the types of work, activities, projects we need and want to fund.

3) **The Project List allows us to be thoughtful and timely** as we develop scopes of work rather than under the rush of a specific grant announcement and deadline. The concept of the project, the people and partners with whom we want to work, will have been already fairly well developed. Sometimes a request for grant proposals has a short window for the deadline, having a scope or project concept on tap means less stress developing it. There will be exceptions, but they can be minimized, and better accommodated if not everything is done after the grant request period is open.

4) **The Project List helps build partners and partnership** also in a timely and thoughtful process rather than under the rush of a specific grant announcement and deadline. Frequently, when we are requesting funds, we are doing so to support our work with partners. Many funders want projects that are coordinated with other partners.

Building partnerships with all the members of our community who are involved in work related to ours and especially diverse partners is part of everyone's job in our commitment to Diversity, Equity and Inclusion. The relationships have to occur outside of the need for a specific partner for specific grant criteria. That isn't appropriate or a genuine partnership.

We want to have genuine relationships with partners that can advance our objectives and theirs. What we do not want to do, is to have a grant opportunity in front of us -especially one that the funder requests partnership for – and think we can go ask someone with whom we have no relationship to partner with us for that project. The Project List can help us identify partners we would like to build relationships with because we will have been strategic about the work we want to undertake, pursuant to our objectives, which also include expanding our work with diverse communities.

Grants Database

The Community Relations Team maintains a database of potential public and private funding sources including deadlines, funding priorities, award ranges, and contact information that align with program focus areas and that address identified funding gaps. This grants database is currently managed in a shared Outlook resource calendar. Potential grants opportunities are identified through various means, including email notifications from funders, on-line research, or invitations resulting from corporate and community partnership development.

Vetting and Approving Funding Opportunities

- RFP is reviewed to confirm initial eligibility.
- If eligibility is met, the CRT forwards the RFP and announcement to the Executive Director and Program manager for review and does the following tasks:
  - Creates a new folder in L:Grants\In Progress with RFP and narrative questions.
  - Enters grant info into grants tracking sheet L:\Grants\Grant Tracking\Grants Active & Report Deadlines.xlsx.
  - Creates appointment in Outlook Grants Calendar (funder website, due date) invites PM, CRM, ED
- The CRT prepares a monthly grants update and presents to Management Team (second Tuesday of each month) where program managers make recommendations about the RFP and the Executive Director approves moving forward or not.
- The CRT maintains a tracking list of grant opportunities being considered and those that have been approved by the ED for submittal and that are in the process of being submitted.

In accordance with the Finance Policies, only the Executive Director is authorized to apply for and accept funds on behalf of the Board of Directors.

Application Development after ED Approval

- The CRT manages the application process and timely submittal including verifying that all the grantor's requirements are met.
- The CRT Schedules grant meeting with Program Manager/staff to develop the application schedule, which includes assigned dates and staff to complete the narrative, scope of work, deliverables, schedule, support materials and a draft budget for non-personnel line items, including estimated level of staff hours, equipment, materials, contractor requirements, etc.
- The CRT or program manager connects with grant funder to express interest, confirm eligibility, and/or sign up info sessions/webinar.

Budget Development

- The Executive Director drafts a budget, using cost estimates for supplies, materials, subcontractor costs, and staff hours provided by the program manager. For the education program, the draft budgets determine how many students or volunteers will be engaged or how many plantings or paddles we can carry out with the funding. The Chief Scientist drafts the budget for technical projects in coordination with the Executive Director, and the Executive Director reviews, modifies, and approves before it is finalized.

Writing the Narrative

- For Community Program grants, the CRT will work with the Program Manager (PM) to develop the narrative and email link of first draft (80%) to the ED two weeks prior to the submittal deadline, for edits and comments (always use Track Changes).
- For Technical Program grants, the Programs Manager works with the Project Manager to develop the narrative and email link of first draft (80%) to the ED two weeks prior to the submittal deadline, for edits and comments (always use Track Changes) and copy the CRT.
- The narrative should follow the Estuary Partnership Standard Language/Style guide, which is maintained by the CRT.
- The CRT or PM will incorporate edits and comments and then send out a final link to ED for final approval.

Letters of Support & Partner Engagement

- The PM will identify project partners, send intro email/meeting/phone call.
- The CRT or the PM will write Letter of Support template, and PM will send to potential partners, save email request as PDF in folder.

Forms & Attachments

- The CRT will complete or ensure completion of any funder forms (for example, the federal 424 forms) and gather, or ensure inclusion of current and accurate, all funder required support materials, including site maps, shape files, photos, and any required organization materials (resumes, staff bios, board of directors, 501(C)(3) confirmation, audited statements, organization budget).

Final Authorization to Submit

- Upon final approval from the Executive Director, the CRT submits the application and tracks it with the grantor.
- A clean copy of the final narrative, budget, attachments are saved in the grant folder.

Submittal

- The CRT submits all applications in compliance with funder's submittal process (on-line form, email, or mail). Application portal passwords are managed by the CRT and recorded in L:Grants\Passwords.xls.
- Confirmation of submittal is saved to the grant folder as a PDF (ex: Email App Rec'd 12 6 2019) and the grant folder is moved to the "Submitted and Pending" folder.
- Update grants tracking sheet –move grant from "In Progress" to "Submitted and Pending"
- Track award notification status – follow up with funder as needed
- The Executive Director or CRT updates the Grants Revenue & Match Tracking in the Admin/Finance & Accounting/Budget folder/Revenue Tracking folder.

Application Denied

- The staff person receiving notice of a funder's denial sends an email to the Executive Director, the Program Manager, and the Community Relations Manager and saves the denial notice to file.
- The CRT thanks the funder in writing for their consideration and requests feedback about why the application was denied. Feedback is documented, shared with ED and PM and filed.
- The CRT moves the grant folder to L:\Grant Applications Denied.
- The Executive Director or CRT updates the Grants Revenue & Match Tracking in the Admin/Finance & Accounting/Budget folder/Revenue Tracking folder.

Application Awarded

Notification of Award

- The person receiving notice of a funder's award immediately sends an email to the Management Team and saves the notice in the grants folder.
- If notice is received by mail, letter and materials go to the Executive Director first. If a check is included, the check is logged in by the Executive Assistant (EA) and the check goes to the Accounting and Operations Manager (AOM) for deposit. The EA makes a copy of the check to give to the ED and CRT with any other paperwork.
- The Executive Director or CRT updates the Grants Revenue & Match Tracking in the Admin/Finance & Accounting/Budget folder/Revenue Tracking folder.

Amount Awarded Different than Request

If the award is different from the amount requested, the Executive Director, in consultation with the Program Manager, revises the budget, scope of work and updates the deliverables. The revised budget is created as a worksheet within the original budget excel workbook. (Both the Estuary Partnership format and the funder's formats are updated.) Worksheets are named as appropriate to indicate submitted budget or revised budget with dates. The change in scope and deliverables is communicated to the funder through the thank you letter or other appropriate method.

Community Relations Team Tasks Post Award

- Scans or saves a copy of the award notice and any other materials sent by the funder to the electronic file.
- Completes and returns any required grant receipt paperwork required by the funder and retains a copy in the electronic file.
- Creates an electronic copy of the application, revised budget and any reporting requirements for the Education Folder Education & Volunteers\Ed & Vol Grants.
- Informs the Community Relations Assistant of any media/communications requirements.
- Has Executive Assistant add foundation contact to outlook and E-update list.
- Creates an award announcement paragraph for the E-update.
- Adds award to press releases, stories to media, social media, newsletter, and website. Touches base with funders to informally update them on project milestones and invites them into the field.
- If applicable, develops a communications plan, in collaboration with Project Manager, for project/award.
- Updates the quarterly grants report for the Executive Committee. L:\Administration\Management (Organization)\Revenue Tracking\Grant & Revenue Tracking\Quarterly Grant Activity\Quarterly Grant Activity Workbook.xlsx
- Updates grant tracking sheet - move from Submitted & Pending to Awarded and add report due dates.
- Enters reporting deadlines into the outlook.

Executive Director Tasks

- Calls the funder to thank them. Notation is made in the file.
- The Executive Director or CRT updates the Grants Revenue & Match Tracking in the Admin/Finance & Accounting/Budget folder/Revenue Tracking folder.
- Enters grant in the Education Gannt Chart and FTE table, including the deliverables. L:\Education & Volunteers\Administration & Management\Ed Gantt Dec 2018.xlsx

Finance and Operations Manager Tasks

- Moves the entire grant folder to the Contract folder.
- Creates a contract tracking spreadsheet to track contract expenditures and all reporting dates and any award deadlines.
- Records budget on Biennial Budget worksheet. ..\Management (Organization)\Budgets For Stewardship Grants.

- If Estuary Partnership funds are awarded to subcontractors, notations are included in the contract file and the Finance and Operations Manager initiates development of the subcontracts with appropriate staff.
- Enters data into the stewardship personnel tracking spreadsheet and updates projections.
- Enters the data into the Biennial Budget worksheets on the respective program budget worksheet.
- Manages final contract execution and notifies relevant parties when the contract has been executed.
- Verifies the application files are complete then moves the paper file to the “Contracts” file cabinet and moves the electronic file to L:/Administration/Contract/Funder/Year.
- Copies the award letter along with a copy of the check, if submitted, to include in the paper file and scans them to include in the electronic file.
- Processes any required award letter.
- Creates a class in QuickBooks.

See Accounting Procedures for more detail.

Program Manager Tasks

- If requested by the grantor, develops a scope of work for Executive Director review.
- Alerts team of award, contract deliverables, and reporting requirements.
- Enters FTE and schedule into overall team project management tool.
- Enters deliverables into database.
- Email confirmed partners to update them on award.

Implementation

The Program Manager has primary responsibility for implemented grants and meeting deliverable and reporting deadlines.

The CRT coordinates with the Program Manager to also:

- Set up face to face meetings with smaller foundation funders to build and strengthen relationships.
- Touch base with funders to informally update them on project milestones. Writes stories to include funders and project partners in our newsletter, on social media, etc.
- Invite and coordinate site visits or volunteer project participation for funders.

Tracking

Grants In Progress

The CRT maintains a tracking list of grant opportunities being considered and those that have been approved by the ED for submittal and that are in the process of being submitted.

Grants Revenue & Match Tracking

The Executive Director and the Community Relations Manager maintain the Grants Revenue & Match Tracking in the Admin/Finance & Accounting/Budget folder/Revenue Tracking folder.

All applicable data fields need to be regularly updated. Cells are linked between worksheets, so care should be used when adding data. If an award is made, the cost share fields are confirmed, both for award made and award from which cost share is used.

The Community Relations Manager provides a quarterly list of grants submitted, pending and received for the Executive Director for quarterly reports to the Executive Committee, as required by the Finance Policies.

Post Award Contract Tracking Spreadsheets

The Finance and Operations Manager develops and maintains a Tracking spreadsheet (an excel file) for each grant or contract received that includes subcontract projects, if applicable. Contract tracking spreadsheets are located in each contract file. Data includes:

- Award budget by tasks, if applicable, and line item.
- Monthly invoice or drawdown and actual expense reporting
- Financial and programmatic reporting requirements and deadlines.
- Projections through the award or contract period based on actual expenses
- Amendments, if applicable, as new columns next to the awarded budget, with revised budget award
- Award amount for each task, if applicable, and item followed by actual monthly expenses for a period. This provides a regular, accessible accounting of the financial status of each award.
- Cost share tracking, if applicable. Cost share is reported to funder as required and shall be reported by subcontractors to the Estuary Partnership.
- Reporting and deliverable deadlines.

Project Deliverables & Reporting

Finance and Operations Manager Responsibilities

- Maintains contact with Program Manager on the status of reporting and invoicing under award; notifies Program Manager of any related concerns. Routes subcontractor invoices to Project Manager for review.
- Coordinates with Program Manager for reporting by providing funder template, if any, necessary to write the report.
- Generates required financial reporting.
- Maintains copy of reports and deliverables in contract file and updates contract tracking spreadsheet.
- Reports regularly to Executive Director about financial status of grants and contracts.

Program Manager Responsibilities

- Tracks deadlines for project deliverables and maintains contact with project staff for programmatic deliverables for both the Estuary Partnership contract and any subcontractors.
- Ensures that subcontractors' work and deliverables are completed in accordance with the Scope of Work and budget by conferring with Project Manager prior to releasing payment.
- Reviews and approves invoice payment, prior to review by the Executive Director.
- Prepares programmatic reports.
- Tracks FTE hours over life of grant.
- Reports regularly to Executive Director about progress implementing the grant.

Community Relations Team Responsibilities

For private funders with no specified reporting requirements, the CRT will work with the program manager to prepare an informal, brief report with photos and a summary of account and submit to funder at least once, typically at the end of the award period. Informal updates should be provided to the funder during the project as well. Program staff provide the text and photos; the CRT formats, finalizes and submits the report(s). The CRT Manager maintains a copy in the electronic contract files.

For donors that have specific reporting formats and requirements, the CRT ensures compliance and timely submittal.

Filing

File Naming Standards

Grant application files, both paper and electronic, shall use the funder name or funder's acronym (if generally used), one or two words identifying the project or use of funds followed by the date. For example, the file and folder name for an education grant opportunity for service learning from the Oregon Watershed Enhancement Board for 2019 is named 'OWEB Education 2019 – Service Learning'. The electronic folder name and the paper file name shall be the same. Documents developed pursuant to this application within this folder should be named accordingly: e.g., OWEB Education 2019 – Service-Learning Proposal Narrative.doc or OWEB Education 2019

Service Learning Budget.xls. To avoid creating 'dueling drafts' the best option during drafting is to make edits in the L drive using the track changes tool which includes initials and date for reference. Use the Insert tab, hyperlink option rather than attaching a draft to an email. If it is essential to create another draft or version, the drafter shall include their initials and date of draft, e.g., OWEB Education O8 – Service-Learning AB Jul 19 10.doc

Once the final application is submitted, the Community Relations Manager deletes previous working drafts and retains only the submitted final copy and organizes the electronic and paper files to ensure all components are included. Final copies shall include a word or excel version, even if a pdf is also created. PDF versions shall use the exact same name of the file.

Grants & Contract File Storage

The electronic files are critical and must include all materials associated with the grant or contract, including but not limited to the application, the budget workbook, all materials submitted with the application and documented communication with funder and project partners.

The CRT ensures all copies of all original, and signed, materials are scanned and the file is complete before turning it over to the Finance and Operations Manager. From that point, the Finance and Operations Manager ensures all contract, agreements, budgets, reports, and key communication (email) are included in the Contract file. Paper files for the grant application process are no longer required.

Paper Contract files are still maintained by the Finance and Operations Manager, and include the following, as applicable:

- Signed agreements and amendments, particularly if original signatures are used
- Invoices (with payment confirmation) submitted under an agreement
- Important written communication between the funding entity and the Estuary Partnership
- Any other known documentation essential to understanding the terms and conditions imposed by the agreement

See the Employee Handbook, Part 2 for further discussion about files.

Applications in Process and Pending & Donor Files

The CRT shall maintain all pre-award application files.

- Applications in process are saved in: L:\Grant & Contract Applications in Progress
- At the time of submittal of the application, the Community Relations Manager moves the folder to: L:\Grant Applications Submitted & Pending. Application Files shall include:
- The original RFP, federal register notice or other notice of funding availability
- Funder's application guidance and instructions
- A copy of the final submittal, the project budget workbook (doc, xls and pdf versions), supporting documentation and correspondence with the grantor.
- Any documentation confirming the submittal, award or denial shall be kept in the paper application file as well as the electronic file. Any notice, such as a letter, email or verbal communication.

Paper copies are no longer required. Original paper files must be scanned in and saved to the electronic files. Verbal notices are recorded by the recipient as a "note to the file' and saved in the electronic file and printed for the paper copy file.

Donor files, not related to a grant or contract, are maintained in the Development files.

Post Award Files: Contract Files

The Finance and Operations Manager maintains all files for all funds awarded. Contract files shall include:

- A copy of the full application submission, including narrative or scope of work, all certifications or forms required.
- A copy of original budget and revised budget, if applicable and cost share budget if applicable.

- Original of executed grant or contract or award agreement.
- Reporting requirements and reports to funders.
- Contract Tracking Spreadsheet.
- All invoices, requests for reimbursement or drawdown advance backup.
- All correspondences: email and file notes of significant conversations, documentation of all decisions
- All amendment paperwork.

5. Unrestricted Donations

The Estuary Partnership solicits and receives donations from individuals and corporations that are not awarded as a contract or grant.

The staff person receiving notice of a donation shall send an email to the Executive Director, Finance and Operation Manager, and the Community Relations Manager.

If a donation is received through the mail, the Executive Assistant makes a copy of the check and all supporting documentation and give to the Community Relations Manager.

The Executive Director calls or sends a thank you note and makes a notation to the file.

The Community Relations Manager:

- Sends a formal thank you.
- For individual donors, logs the donation on the Individual Donation Tracking sheet
- For corporate donor, logs data on annual Donor ABC list, e.g. 2020 Donor ABC, found in the annual Development folder.
- Updates unrestricted goals tracking sheet
- Notifies the Executive Director of donation and if the amount is over $500 prompts the Executive Director to make a personal call, which the ED notes in the file.
- Works with the Executive Assistant to send a tax acknowledgement letter (signed by the Finance and Operations Manager) and a thank you note (signed by the Executive Director). Both the thank you and tax receipt are saved to the file.
- When appropriate, alerts the Community Relations Associate, who adds donation to website, newsletter and other communication channels as appropriate.

The Finance and Operations Manager:

- Logs the donation into Quickbooks as paid or pledged.
- Sends an invoice if appropriate.

6. Contracting: Estuary Partnership Award of Funds

The Estuary Partnership regularly awards funding to subcontractors for work for hire to help implement actions. In accordance with the Estuary Partnership Finance Procedures, the Estuary Partnership awards funds in one of three ways: Sole Source for awards less than $25,000; Informal Solicitation process for awards between $25,000 and $40,000; and a Formal Solicitation Process for awards in excess of $40,000. The formal process may be used for awards of less than $40,000 at the discretion of the Executive Director. Exemptions to the processes are defined the Finance Policies.

A Request for Proposals (RFPs) is typically used when soliciting specific projects, services, or proposals in response to a specific question or service need. Requests for Qualifications (RFQs) are typically used to solicit information and qualifications from firms or individuals who may be qualified to do work in the future. The RFQ may be used to select a contractor or multiple contractors to provide specific services, to generate a pool of prospects that could provide services, or in some cases to limit the RFP process by preemptively short-listing candidates who meet the desired qualifications.

The Finance and Operations Manager or her/his designee maintains a list of advertising providers. The Estuary Partnership encourages women and businesses owned by people of color or Indigenous people to apply. Maximizes open and free competition with positive efforts to utilize small businesses, MBE and WBE (2 CFR 200.321)

Conflict of Interest

All employees participating in an RFP or RFQ or any solicitation or award of funds shall follow the Conflict of Interest Policies established in the Employee Handbook.
See Employee Handbook Part I Section 1 and Finance Policies.

Sole Source

Sole source awards shall include a detailed description of the work for hire, timeline, deliverables and the projected costs and the selected contractor. Sole source awards shall include a justification for issuing a sole source contract in the file along with an authorization by the Executive Director to proceed. At a minimum, the justification shall include a presentation of the qualification of the contractor and project deliverables.

Informal Solicitation

For projects using the informal request process:

- The Manager develops a one –three-page scope of work describing the service or product needed and a one-page set of selection criteria and submits to the Finance and Operations Manager and Executive Director for review and approval.
- The Executive Director shall approve in writing, the release of an informal bid.
- The Finance and Operations Manager shall release the informal bid and solicit three responses.
- Response to solicitation.

Informal Bid Contents. The informal bid contents shall consist of:

- A concise scope of work.
- Funds available.
- Cost share if required.
- Timeline of project.
- Names of individuals or firms from whom bids were solicited
- Review and selection process.

Formal Solicitation – Request for Proposals (RFP) and Request for Qualifications (RFQ)

- The Program Manager develops a brief memo summarizing the need for the RFP/RFQ, the anticipated funding amount, which project or activity the RFP/ RFQ will implement and how the RFP/RFQ will be noticed.
- The Executive Director reviews the request. The Executive Director authorizes development of the RFP/RFQ and confirms funding.
- The Program Manager develops the draft RFP/RFQ.
- The Executive Director reviews the draft RFP/RFQ.
- The Executive Director authorizes the RFP/RFQ release in writing and authorizes notices to be placed in an agreed upon set of distribution outlets, in consultation with the program manager (newspaper "Public Notice" sections, emails to Board, Board CC, Science Work Group, and other distribution lists or categories as specified) and ensures the RFP/RFQ is posted on the Estuary Partnership web site. Notices, emails, and other communications will direct people to the Estuary Partnership web site.
- The Program Manager sends final RFP/RFQ to Finance and Operations Manager with brief two to three paragraph summary and the submittal requirements, e.g., due date, submittal process and requirements, minimum requirements and instructions on where to provide notice and list of recipients to notify.
- RFP applications are received and cataloged by Finance and Operations Manager, who creates an excel list of responders and provides the list to the Program Manager. The Finance and Operations Manager opens the submittals in the presence of at least one member of the review team at the appointed opening time.
- The Program Manager, assisted by the Project Manager, confirms that the minimum requirements have been met and confirms submission completeness.
- The Program Manager returns all materials to the Finance and Operations Manager after selection, with all other materials concerning the selection, including but not limited to the RFP, the applicants, and the selection process.
- The Finance and Operations Manager will maintain the organizational files for RFPs.

Selection

Informal Bid

- The Program Manager makes a recommendation to the Executive Director.
- The Executive Director authorizes the selection in writing or remits the decision back to the Program Manager and review team with suggestions.

Formal Bid

- The Program Manager develops draft selection criteria and a process for selection and submits that to the Executive Director for review and approval. Selection criteria and process include:
  - Review team composition
  - Review protocol
  - Selection criteria
  - Review timeline
- The Executive Director reviews the outlined process. The Executive Director authorizes in writing the process.
- The Program Manager manages the review and selection process. The Program Manager develops a memo outlining the review team recommendation to the Executive Director.
- The Executive Director authorizes the selection in writing or remits the decision back to the Program Manager and review team with suggestions.
- Before the contract is made, the Program Manager must verify the contractor's eligibility to receive federal funds and verify they are not vendors that are suspended and debarred via search of the SAM.gov website

Inquiries about the Project or Solicitation

The RFP/RFQ shall direct questions about the process to the Finance and Operations Manager and by a specific deadline. The Finance and Operations Manager compiles the questions and coordinates responses from the Program Manager by the deadline posted in the RFP/RFQ. Answers to submitted questions shall be communicated to all potential responders through the Estuary Partnership web site, ensuring all potential responders have the same level of information. At the discretion of the Estuary Partnership, the Estuary Partnership may host an informational meeting open to any party considering responding to the request.

Award

Contracts shall be awarded to contractor deemed most qualified for the work and in the best interests of the Estuary Partnership. Criteria shall include but not be limited to: diversity of the team who will be performing the work, commitment to diversity of the respondent, relevant experience, safety record, relationship to Estuary Partnership Management Plan and cost.

Notice of Decision

The Finance and Operations Manager will prepare letters/emails for the Executive Director approval to all responders indicating the decision.

RFP/RFQ File Maintenance

Post selection, the Program Manager will return all the RFP/RFQs to the Finance and Operations Manager along with all materials relevant to the selection process. This includes the record of criteria and evaluation by team, the final scoring sheet, notes, correspondence, including electronic communication.

The Finance and Operations Manager maintains Estuary Partnership electronic and paper files for all Estuary Partnership Contract or Award processes. File contents shall include:

- Authorizing Memo from Executive Director to Program Manager to release the RFP/RFQ.
- List of notices provided, including content, date of notice and placement
- Copies of the RFP/RFQ
- Scope of Work
- Required qualifications
- Copies of notices and advertisements.
- All responses to the RFP, or an annotated catalog of responses, are kept on file at the Estuary Partnership office. Supporting material may be returned to applicants if requested.
- List of responders
- Selection process and criteria
- Results of evaluation
- Final Action by Estuary Partnership
- Letters to Responders
- Copies of award and non-award notices

Contract Development

For each award, a contract shall be developed and signed by both the Estuary Partnership's Executive Director and by the subcontractor. In accordance with Part 1 Section 2, the Executive Director is authorized to enter into contracts on behalf of the Board of Directors.

Contract Templates

All templates are located in the L drive in Contract folder: L:\Administration\Contracts\Contract TEMPLATES. For most subcontracts, the Estuary Partnership uses the template. There are a few vendors who have customized Estuary Partnership templates. On rare occasion, with authorization of the Executive Director, the Estuary Partnership may use the contractor's template. The Finance and Operations Manager develops all contracts.

Budget and Scope of Work

After selection of a contractor, the Program Manager and the project manager develop a detailed scope of work, budget and deliverable schedule (Exhibits A and B) working with the Finance and Operations Manager. The Program Manager submits the draft scope of work and budget to the Executive Director for review and approval. Once approved by the Executive Director, the Finance and Operations Manager prepares in final contract form and submits to the contractor.

Budget and Cost Share Contract Exhibits A&B

Subcontract budgets shall be developed in the Estuary Partnership Format. The contract budget format is found in: ..\..\..\Contracts\TEMPLATES. If the contractor requests a different format, data from the Estuary Partnership format is transferred to the contractor's format, in a second worksheet.

If a subcontractor is required to provide cost share, the contract Exhibits A and B specify the amount. The Estuary Partnership includes information in its RFPs regarding the cost share, if applicable. Subcontractors shall be made aware that if they execute the contract with more than the required cost share, they will be required to provide that amount when reporting. The percentage of cost share is of the total project cost, not of the amount requested. For example, if the required cost share is 25%, the Estuary Partnership pays for three quarters of the total project. If a subcontractor is receiving $30,000 from the Estuary Partnership, $30,000 is three quarters of the total cost, for a total project cost of $40,000.

Scope of Work Contract Exhibit A

Scopes of work shall ensure, among other, things that the contract language is constructed to clearly define what work is expected with adequate detail, that delivery dates are within the appropriate window, and that the budget provides appropriate detail and includes allowable expenses. This includes content and formats of reports. Final due dates and deliverables shall be no less than two weeks before the close of our contract with the funding source, if applicable.

Approval of Contractor Subcontractors

The Estuary Partnership must approve selection of subcontractors hired by a direct contractor. If subcontractors are identified in the original contract scope of work, that is considered Estuary Partnership approval. If not, Estuary Partnership approval may be provided by the Program Manager in an email to the contractor. Copies of email communication shall be saved in the L drive and paper file.

Changes to Contract Template Language

Standard contract language shall be provided only by the Finance and Operations Manager and only in PDF format to any potential contractor in advance of final contract. Any changes requested to the standard language are to be directed to the Finance and Operations Manager or the Executive Director. Only the Executive Director is authorized to make changes to the language. If the requested changes are significant and the Executive Director requires the input of the attorneys, at the discretion of the Executive Director the party requesting the changes will be asked to incur the costs of the Estuary Partnership attorney review.

Amendments & Changes to Contracts or Subcontracts

As specified in the contract or grant language and unless otherwise prescribed within the governing contract or grant, the scope of work may be changed with review and authorization by the Estuary Partnership and the contractor. Such change shall be made through a formal amendment, executed by both parties prior to the change being implemented.

As stipulated in the terms and conditions of the Contract unless otherwise noted, there may be a onetime adjustment between budget categories of less than 10% of the total contract amount per grant period without the formal amendment if the Estuary Partnership receives documentation of the change in advance. Approval shall be authorized by the Program Manager; approval shall be confirmed and documented via email (saved to L drive contract folder).

Amendment Procedures

- Program Manager or Contractor identifies a need to adjust work elements, schedule or budget and discusses with and secures authorization from the Executive Director.
- If the Executive Director authorizes the amendment, the Program Manager provides the Finance and Operations Manager with all changes.
- The Finance and Operations Manager assigns an amendment # based on the original contract # (amendment # 1 for contract 13-2009 would be 13-2009-01) and completes the amendment, verifying that the information being amended meets the contract terms and conditions.
- The Finance and Operations Manager sends the PDF version electronically to the subcontractor, requests the subcontractor print three copies, double sided, sign and date and return the amendment to him/her.
- When the amendment is executed and returned, the Finance and Operations Manager forwards the three copies to the Executive Director for signature.
- The Finance and Operations Manager marks the amendment as received in the contracts spreadsheet and notifies the Program Manager.
- The Executive Director signs the three copies and returns to the Finance and Operations Manager who distributes them as follows:

▪ One to Subcontractor
▪ One in Master Contract file
▪ One to the Estuary Partnership subcontractor paper file

- The Finance and Operations Manager creates a pdf of the signed agreement saved in the applicable Contract folder.
- The Finance and Operations Manager updates the subcontractor tracking spreadsheet to reflect the amendment.

Reporting

The Finance and Operations Manager shall ensure that all financial terms and conditions are met.

The Program Manager shall ensure that all programmatic terms, conditions, and deliverables are met.

The Finance and Operations Manager and Program Manager shall:

- Be familiar with all requirements of the funder on the Estuary Partnership and subcontractors.
- Ensure all quality assurance / monitoring expectations, if applicable, are in place.
- Confirm that the subcontractor has proper permitting and compliance measures in their scope of work if applicable, for example:

▪ NEPA checklist
▪ Biological assessment document
▪ Wetland permit applications – Corps of Engineers/Division of State Lands application
▪ County permit applications

The Program Manager tracks deadlines and deliverables due from contractors.

Contract File Maintenance

The Finance and Operations Manager maintains the master paper and electronic files for all contracts and subcontracts awarded by the Estuary Partnership. Each contract and subcontract is maintained in an individual file, with the master funder contract, each in separate folders. Included in the file is:

- RFP Application and supporting materials of RFP, if applicable.
- Contract with original signatures (and any subsequent amendments.)
- Copies of correspondence to and from contractor or subcontractor regarding subcontract.
- Invoices and evidence of payments.
- Reports and Deliverables.
- Amendments.

- All material communications to and from the subcontractor (in the electronic and paper files).

Note: All contracts and letters sent electronically shall be sent in pdf format.