



DEPARTMENT OF  
**ECOLOGY**  
State of Washington

# **Shoreline Master Program Periodic Review Grants**

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*Funding Guidelines*

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# Publication and Contact Information

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# **Shoreline Master Program Periodic Review Grants**

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## *Funding Guidelines*

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# Chapter 1: Overview

The Shoreline Management Act requires local governments to periodically review their Shoreline Master Programs (SMPs) and, if necessary, revise their master programs to:

1. Assure that the master program complies with applicable law and guidelines in effect at the time of the review; and
2. Assure consistency of the master program with the local government's comprehensive plan and development regulations adopted under chapter [36.70A](#) RCW, if applicable, and other local requirements.

These reviews follow comprehensive updates of master programs. The Act establishes a schedule for periodic reviews in RCW 90.58.080. Reviews are due on June 30 of the years listed below, and every eight years thereafter, for counties and the cities and towns within the counties.

- 2019: King, Pierce, and Snohomish.
- 2020: Clallam, Clark, Island, Jefferson, Kitsap, Mason, San Juan, Skagit, Thurston, and Whatcom.
- 2021: Benton, Chelan, Cowlitz, Douglas, Kittitas, Lewis, Skamania, Spokane, and Yakima.
- 2022: Adams, Asotin, Columbia, Ferry, Franklin, Garfield, Grant, Grays Harbor, Klickitat, Lincoln, Okanogan, Pacific, Pend Oreille, Stevens, Wahkiakum, Walla Walla, and Whitman.

The State Legislature has budgeted \$1.4 million for master program work during the 2017-2019 biennium. Ecology is providing grant funding to the jurisdictions with periodic review updates due in 2019. Grant funding will be provided to jurisdictions with periodic review updates due in 2020, 2021 and 2022, as funding is available in the future.

## Governing laws and rules

- *RCW 90.58.080 -- Timetable for local governments to develop or amend master programs-Review of master programs-Grants.*
- *WAC 173-26-090 -- Locally initiated review—Periodic review—Public involvement and approval procedures.*
- *WAC 173-26-100 -- Standard local process for approving/amending shoreline master programs.*
- *WAC 173-26-104 -- Optional joint review process for amending shoreline master programs.*

## How to use these guidelines

In these guidelines, Ecology provides information about eligibility requirements, the application process, and the general requirements applicable to all awards under this grant program.

All grant applicants are responsible for reading and understanding these guidelines along with the *Administrative Requirements for Ecology Grants and Loans (Yellow Book)*. (Publication No. 17-01-004) before entering into a grant agreement with Ecology. This document is available at:  
<https://fortress.wa.gov/ecy/publications/summarypages/1701004.html> .



# Chapter 2: Funding Program

## Eligible recipients

Snohomish, King and Pierce counties and the cities and towns within these counties are required to conduct a review of their master programs and, if necessary, revise their master programs on or before June 30, 2019. Most of these jurisdictions are eligible for grant funding for the periodic review work during the 2017-2019 biennium. Several of these jurisdictions will not receive grant funding because their periodic review work is being conducted as part of Ecology's review of their comprehensive master program updates.

## Eligible project types

The tasks associated with periodic review of Shoreline Master Programs are eligible for funding. Tasks will include project oversight, public participation, review of the current master program, drafting of revisions to the master program if needed or findings of adequacy, and the local adoption process. Some jurisdictions may decide to hire a consultant to help with this work.

In the event a jurisdiction's periodic review process is complete and approved by Ecology and all grant funds have not been spent, Ecology will consider authorizing use of the remaining funds to support shoreline management activities. Examples of such work include public access planning, technical assistance memos, user guides for the master program, and assessment of permit effectiveness. If Ecology approves such use of grant funds, a formal amendment to the grant agreement will be drawn up outlining the new tasks and budget shift.

## Funding cycle

Funding will be awarded for the 2017-2019 biennium with all grant funds to be spent by June 30, 2019.

## Grant award amounts

Grants are awarded on a formula, rather than a competitive, basis. For this funding cycle, the grant allocation sets a specific amount for counties. Grants for cities and towns vary, depending on the jurisdiction's population and effective date of the shoreline master program, per Table 1, below:

**Table 1. Grant funding allocation**

<b>Grant funding allocation per population</b>	
Counties	\$ 75,000
Cities over 100,000	30,000
Cities 50,000 – 100,000	25,000
Cities 20,000 – 50,000	20,000
Cities 5,000 – 20,000	15,000
Cities under 5,000	10,000

Jurisdictions with master programs that became effective in 2015, 2016 and the first half of 2017 will receive less than the amount shown above because their master programs are mostly up-to-date with the recent statutory and rule changes. Jurisdictions with master programs that went into effect in 2015 will receive 75% of the above amount. Jurisdictions with master programs that went into effect in 2016 and the first half of 2017 will receive 50% of the above amounts.

Jurisdictions with master programs that become effective in the second half of 2017 or later will not receive any grant funding for periodic review updates. Those master programs will be updated with statutory and rule changes as Ecology conducts its formal state review process. Therefore, those jurisdictions will not be required to conduct a process to meet the requirement for the periodic review because that work will be completed.

## **Match or cost-share**

There are no recipient match or cost-share requirements under the SMP-periodic review funding opportunity.

# Chapter 3: Applying for Funding

## Application process and requirements

Jurisdictions that decide to accept the grant must complete and submit an application through the Ecology Administration of Grants and Loans (EAGL) web based grants system by June 30, 2018. *This application becomes the foundation of the grant agreement itself.*

To access the application forms, applicants must first:

1. Register for a **Secure Access Washington (SAW) online services account**.
2. Register as an **EAGL User**.

## How to register for a SAW account

To register for a SAW account, if you don't already have one, go directly to the SAW "[Create an Account](#)" site. Each staff member of an organization that will have a role in the project (e.g., project manager, financial manager, and grant signatory) must each establish their own separate SAW account before you can apply. **You may not share a SAW account with another person or organization.**

Staff members who will be part of the SMP periodic review grant already may have a SAW account due to their work with other Ecology grants. If so, they may use that user name and password.

## How to register as an EAGL user

After you confirm your SAW account, you should be directed to EAGL. If you have not yet registered with EAGL, check out the video, "[How to Obtain the Ecology Grants and Loans \(EAGL\) Database Service](#)." After you register with EAGL, Ecology will activate your account within three business days. (Note: Other processes such as those described below may take additional time.)

To register with EAGL, an applicant must provide the following information:

- a. **Statewide Vendor Number:** Jurisdictions need to register as a Statewide Payee through the Washington State Department of Enterprise Services (DES) to receive reimbursement. This is needed in order to apply for the grant through the EAGL system. Here is the link to the DES page, "[Receiving Payment from the State](#)." Note: This process may take 7 - 14 business days.
- b. **DUNS:** Here is a link to [DUNS request service](#).
- c. **Federal Tax ID (EIN or TIN):** A jurisdiction more than likely has the EIN. If a jurisdiction does not, here is a link to [How to Apply for an EIN](#) (IRS site).

Once you have been validated as a new user by Ecology's EAGL System Administrator, you will have access to EAGL.

## **EAGL overview**

EAGL is a comprehensive, web-based grant and loan management system that allows Ecology's grant and loan clients to fill out and submit applications, manage agreements, request amendments, submit payment requests and progress reports for reimbursement, upload and track deliverables, and submit closeout reports, all electronically.

EAGL is a workflow system. A user is able to perform certain actions depending on the user's assigned role and the current status of a document or subdocument. The options available to a user will change as a document and subdocument move through the workflow.

Please refer to the **EAGL – External Users' Manual (December 2017) Publication No. 17-01-015** at <https://fortress.wa.gov/ecy/publications/documents/1701015.pdf> for detailed instructions on how EAGL works, EAGL terminology, and EAGL role permissions overview.

# Chapter 4: Application to Agreement

The Shoreline Master Program – Periodic Review application forms in EAGL have been designed using prepopulated language for the standard five tasks and will also allow an applicant to add additional tasks, task descriptions, and deliverables as needed. Each of these individual application forms roll-up into one application to be submitted by the applicant. This simplifies and speeds up the application process significantly. *Please reference the Shoreline Master Program – Periodic Review – Application Instructions for completing each of the required forms. These are located in EAGL, on the Application Menu – Forms page.*

## Scope of Work (SOW)

The scope of work includes Tasks 1 through 5, which are based on statute requirements. Most jurisdictions will be able to use this scope of work. The Shoreline Periodic Review Scope of Work - Tasks 1 through 5 are:

1. Project Overview (Project Coordination, Management, and Grant Administration).
2. Secure Consultant Services.
3. Public Participation.
4. Review Shoreline Master Program and draft revisions, if needed, or draft Findings of Adequacy.
5. Conducting a local Shoreline Master Program amendment adoption process or process to adopt a Finding of Adequacy for the current master program.

Jurisdictions can add additional tasks to the scope of work, if needed, to accomplish their periodic review work. Ecology's Project Manager (regional planner) will work with the local jurisdiction to ensure the scope of work is consistent with the requirements for SMP periodic reviews. Ecology's Project Manager and Financial Manager will review the language and content to ensure it meets statutory and rule requirements. The local jurisdiction and Ecology will work together during the **agreement negotiations process before** finalizing the agreement.

## Budget

The sum of all task costs cannot exceed the total grant award defined in the applicant's grant award intent letter. Jurisdictions that decide not to use grant funding for a specific task because they will pay for it themselves are expected to notify their Project and Financial Managers during the agreement negotiation process to ensure these task costs are identified on the General Information forms page.

## Deliverable due dates

All Ecology agreements are performance-based in that payment is determined on the successful completion of expected deliverables. Each task in the Scope of Work requires a tangible deliverable that is outlined in the agreement. The applicant (jurisdiction) will

negotiate the task deliverable due dates with Ecology's Project Manager. The task deliverable due dates will be managed through the Deliverable Due Date form located on the Application Menu – Forms page in EAGL. (Note: During the life cycle of the grant, the recipient (jurisdiction) will coordinate and keep track of these dates with Ecology's Project Manager and will note any changes on the quarterly progress reports).

## **Application submitted**

Once the application has been submitted by the jurisdiction, the Ecology Fund Coordinator screens the application, verifies eligibility and award amount, and assigns an Ecology Project Management Team to the application.

The Project Management Team consists of a Financial Manager from the Ecology headquarters office and a Project Manager (Ecology regional planner).

If the application meets the eligibility requirements, the application is funded. (See Chapter 2 regarding eligibility.) The Financial Manager will change the status of the application in EAGL to "Agreement Initiated" and **agreement negotiations** can begin.

## **Agreement negotiations**

During agreement negotiations, the jurisdiction (now the "applicant" in EAGL) will work with the assigned Ecology Project Manager to identify task costs and deliverable due dates.

The agreement will include:

- A scope of work
- Costs broken out by task
- A budget
- Performance schedule
- SMP periodic review Special Terms and Conditions (Deliverable Due Date Form)
- Ecology General Terms and Conditions

## **Agreement finalized and signed by both parties**

The applicant will work with the Ecology Project Manager and Financial Manager to finalize the agreement for official signature. Once two hard copies of the agreement have been signed by the jurisdiction and mailed to Ecology for signature, a PDF of the signed agreement is uploaded into EAGL by the Financial Manager and the status is changed to "Agreement Executed." The Financial Manager will mail an original signed agreement to the jurisdiction, along with a transmittal letter that outlines **grant management** expectations and provides hyperlinks to resource guidance materials.

# Chapter 5: Grant Management

## Managing your grant agreement

Here are some resources and tips for managing a grant agreement successfully:

- Review Ecology’s Terms and Conditions of the grant agreement before you begin. This includes the **Special Terms and Conditions**. Periodically review and update the Deliverable Due Date Form in EAGL for all reporting deadlines and note any date changes on your quarterly progress report.
- Review the [Administrative Requirements for Recipients of Ecology Grants and Loans \(Yellow Book\)](#). This document establishes the administrative requirements for all grants administered by Ecology.
- Review the [EAGL – External Users’ Manual](#) (December 2017) for detailed instructions on how EAGL works, EAGL terminology, EAGL role permissions, payment requests/progress reports, etc.
- Review a [YouTube video -- How to submit a payment request or progress report for grants and loans in EAGL](#).
- Communicate proactively with your Project Manager and Financial Manager when deviating from a task’s budget or if a change is needed in the scope of work. Effective communication will lead to successful management of your grant agreement.
- If contracting for third-party services, follow the same scope of work and applicable budget. Recipients can find complete details about contracting for goods and services in the [Administrative Requirements for Recipients of Ecology Grants and Loans \(Yellow Book\)](#).

## Amendment request

A recipient’s Authorized Official or Project Manager may request an amendment by contacting the Ecology Project Manager and Financial Manager via email describing the type of amendment being requested. For example, this may include budget redistribution or adding more tasks beyond the five standard tasks in the Shoreline Master Program-Period Review template.

To initiate an amendment in the EAGL process, the agreement must be in “Agreement Active” status. (Please refer to Chapter 11, “Amendments,” in the *EAGL- External Users’ Manual*, for step-by-step instructions).

# Payment Requests/Progress Reporting (PRPR)

Ecology pays out grant funds on a cost-reimbursement basis. Therefore, a recipient must incur a cost or obligation before it is eligible for reimbursement. The definition of “date cost incurred” is the date the recipient receives the item or the date service is performed (*not* the date of invoicing).

## Payment reimbursement overview

### Incurring eligible costs

The effective date is the earliest date on which eligible project costs can be incurred. The start date of the agreement is July 1, 2017; therefore, this is the earliest date for which eligible project costs can be billed.

The recipient can incur project costs on and after the effective date and before Ecology’s signature of the final agreement, but expenditures cannot be reimbursed until the agreement has been signed by Ecology. While applicants can incur eligible costs before the agreement is signed, they do so at their own risk. Expenditures must be consistent with the scope of work.

### When are quarterly reports and payment requests due?

Payment requests and progress reports are due 30 days after the last day of each quarter, as shown in Table 2. The recipient can submit a payment request/progress report more often than quarterly, but not more often than once per month.

**All payment requests must be accompanied by a progress report.** If a recipient is not claiming any costs for the quarter, a progress report is still required.

**Table 2. Progress report periods and due dates**

Progress Report	Reporting Period	Date Due
First Quarter	July 1 – September 30	October 30
Second Quarter	October 1 – December 31	January 31
Third Quarter	January 1 – March 31	April 30
Fourth Quarter	April 1 – June 30	July ( <i>to be announced</i> )

### Agreement Status must be in “Agreement Active” to submit a PRPR

A recipient can begin **entering** Payment Request/Progress Reports (PRPR) information into EAGL once the grant agreement has been officially signed and is in “Agreement is Executed” status. However, a PRPR cannot be **submitted** until the grant agreement has been changed to the “Agreement Active” status.



## Requirements of payment request back up documentation

Project expenditures are monitored by Ecology for compliance with the task budget in the agreement. All eligible costs being claimed for reimbursement must have supporting backup documentation. It is best to highlight the backup cost that will be entered as a line item in the EAGL payment request form. When all line items have been entered, scan and upload the supporting backup documentation costs to EAGL as an upload in the same order the costs are entered onto the EAGL payment request form.

A 10 percent budget deviation is allowed between tasks (e.g., a recipient can spend less money on one task and more on another). The deviation cannot exceed 10 percent of the total cost of the grant. The Financial Manager will monitor this -- deviations could trigger a formal amendment. **Ecology recommends that you review your project tasks often to meet project goals within your established budget.**

Recipients may charge a maximum indirect (overhead) rate of 30 percent of salaries and benefits for the recipient's employees for time worked specifically on the project, subject to Ecology approval. If a recipient is claiming indirect (overhead), this must be reported on a separate line item on the EAGL payment request form.

Costs typically included in the **indirect rate** are:

- **Communication** - includes line charges for telephone, cell phone, pagers, and fax machines; internet service; and postage charges.
- **Fuel consumed** to generate power or provide heat.
- **Insurance** - fire, casualty, theft, bonds, liability, etc.
- **Intergovernmental interfund services** - costs to other recipient departments for services rendered jointly to the project and other recipient activities.
- **Intergovernmental professional services** - costs charged by other governmental entities for functions normally provided by governments and not by private businesses (such as police or fire protection).
- **Office furnishings and operating supplies** - office furnishings, stationery/supplies, forms, cleaning supplies, etc.
- **Operating rentals and leases** - rental costs for facilities or equipment - such as buildings or copy machines that are shared by the project and other recipient activities.
- **Professional services** - auditors, management consultants, legal, custodial, janitorial, messenger services, etc., shared by the project and other recipient activities.
- **Repairs and maintenance** - labor and supplies to repair or maintain real or personal property.
- **Small tools and minor equipment for administrative use** - calculators, label makers, fax machines, telephones, etc.
- **Utility services** - water, electric, gas.

To complete a payment submittal, some Ecology forms are required and should be included with back up documentation. (Note - These forms are not already built into the EAGL system. Recipient uploads these documents into EAGL).

- Copies of receipts and invoices.
- Timesheets and payroll records must include:
  - \*[Form E: Monthly timesheet](#) (Ecology form or equivalent). Timesheets must be signed and dated by *both* the employee and the supervisor. Show hours worked on the project broken out by task, date, and staff person.  
  
For larger jurisdictions, a time accounting payroll system roll-up of staff costs by task/date/staff with subtotals will suffice.  
  
\*[Form H: Conversion to Composite Hourly Rate](#) (Ecology form). Shows the calculation of the hourly rate.
- Meeting and travel expenses, must include:
  - \*[Form F: Record of Meeting Attendance](#) (Ecology form).
  - If light refreshments are deemed appropriate for a meeting, a **Light Refreshments Approval Form must be approved by Ecology's Project Manager prior to the event and included with the payment request documentation.** An agenda of the event and a roster of attendees must be submitted as back up documentation with the payment request.
  - Travel documentation – provide purpose of travel, beginning and end points, and mileage calculations. All travel costs cannot exceed state travel rates. For travel policies and per diem map, please visit the Office of Financial Management's travel reimbursement resource site at: <http://www.ofm.wa.gov/resources/travel.asp> .

## Progress reports

Ecology requires a progress report for each calendar quarter of the grant period, even if there are no expenses being claimed for the billing period.

A corresponding progress report must accompany each payment request and allows the Ecology Project Manager and Financial Manager to:

- Crosscheck information with the itemized expenses in a payment request.
- Verify compliance with the terms of the agreement.
- Track project progress.

In certain circumstances, a payment request may not be applicable for a particular calendar quarter. However, submittal of a progress report for that quarter is a requirement. In that case, simply check "No" in response to "Are you submitting a payment request with this progress report?"

## Reporting on outcomes

Progress reports should include essential task information to support costs incurred in the corresponding payment request, such as:

- Progress by task, percentage of completion per task, summary of accomplishments for the reporting period.
- Description and reasons for any delays.
- General comments.

Progress information includes such items that are not specified as a deliverable in the agreement and are specific to the time and date of the progress report.

## Deliverables (naming conventions and uploading to EAGL)

Upload deliverables by using the Uploads form, located on the Application Menu-Forms page.

Keep naming conventions short (D for deliverable, task number and name, e.g., DT2.2 Final Signed Consultant Contract).

## Managing your grant file

The list below provides information regarding required grant file contents. If you have questions about grant file management, contact your grant's Financial Manager. Required grant file contents include:

- Copy of your grant agreement, all amendments, and any other modifications.
- Budget information regarding the award.
- Backup documents – expenditure information such as:
  - Cash receipts.
  - Invoices.
  - Timesheets (Form E, ECY 060-12 or a similar form).
  - Payroll records.
- Copies of any accounting records such as applicable journal vouchers for payment refunds, transfers, and adjustments, including backup documentation. These are often the best source of information for tracking grant accounting problems and how the problems are resolved.
- Copies of grant-related documents, notes, and information pertaining to the grant agreement, including correspondence.
- Phone numbers and addresses for contacting personnel pertaining to the grant agreement.

For the purposes of auditing, you must retain records for a minimum of three years from the day that you submit your last payment request.

## Audits

All grants are subject to audit. Ecology has the right to audit the grant project for three years after the project has officially ended. Ecology may also audit the grant project, invoices, and backup documentation at any time during the project. If an audit identifies issues, a recipient must correct them right away.

## Recipient Closeout Report:

**The final payment request, including the Recipient Closeout Report, is due within 30 days of the end of the agreement.** Final payment requests are payable contingent on receipt of the final deliverables of the grant agreement.

A Recipient Closeout Report summarizes each task and its outcomes, and includes the following:

- The problem statement addressed by the grant.
- The purpose of each task.
- The task results and outcomes achieved.

## Ecology Closeout Report:

An Ecology Closeout Report will be filled out by the Project Manager. The Financial Manager will review and approve the report, and then move the agreement to Closeout / Termination.

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## Ecology's Grants and Loans - Resources

Resource	Website Location
<i>Administrative Requirements for Recipients of Ecology Grants and Loans (Yellow Book)</i>	<a href="https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html">https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html</a>
<i>EAGL - External Users' Manual</i> (Dec.2017) Publication No. 17-01-015.	<a href="https://fortress.wa.gov/ecy/publications/documents/1701015.pdf">https://fortress.wa.gov/ecy/publications/documents/1701015.pdf</a>
EAGL <b>Payment Request/Progress Report (PRPR)</b> tutorial video (about 10 minutes long).	<a href="https://www.youtube.com/watch?v=Lb17gzh6pgA&amp;index=3&amp;list=PL8BmI4b96dKa-HHPVPWkuWuPNiU4nCO90">https://www.youtube.com/watch?v=Lb17gzh6pgA&amp;index=3&amp;list=PL8BmI4b96dKa-HHPVPWkuWuPNiU4nCO90</a>