

PEST MANAGEMENT ALLIANCE GRANT PROGRAM

PART 1 | 2016–17 SOLICITATION

PEST MANAGEMENT ALLIANCE GRANTS

The Department of Pesticide Regulation’s (DPR) Pest Management Alliance Grant Program will fund projects that focus on adoption of integrated pest management (IPM) practices in agricultural, urban, or wildland settings. IPM is a long-term, preventive approach to managing pests that combines biological, cultural, physical, and/or chemical options. IPM involves a decision-making process based on pest identification, knowledge of pest biology, population monitoring, and action thresholds. Pest management practices that are effective and economically viable are used in a manner that benefits consumers, growers, farm workers, urban communities, and the environment. Pesticides are used when necessary for effective pest management.

Selected projects will promote adoption of established IPM practices that reduce use of pesticides of human health or environmental concern¹ through the guidance of a collaborative team of knowledgeable participants known as an Alliance. This team may include interested parties such as commodity group representatives, growers, university researchers, urban or industry representatives, landscape professionals, conservation agencies, and sustainability/certification programs. Alliance Grant projects should provide evidence that adoption is taking place by the end of the grant period. Research may be a minor component of the overall project, but DPR will not fund Alliance Grant projects that focus on research. Please see DPR’s Pest Management Research Grant Program for research related projects.

DPR’s Alliance Grant managers will actively participate as members of the Alliance team to help create collaborative partnerships, set priorities, and assist in carrying out the project. As appropriate, DPR may provide in-kind support including scientific analysis, writing and editing assistance, and collaborative networking and outreach.

Find summaries of past Alliance Grant projects and final reports of project accomplishments at <http://www.cdpr.ca.gov/docs/pestmgt/grants/alliance/index.htm>.

IMPORTANT DATES

Phase I, Concepts	Jan 4, 2016	Release grant solicitation
	Jan 12, 2016	Webinar for instructions and questions regarding the FFAST Application Submittal Tool (See Conference Calls and Webinar)
	Jan 19, 2016	Conference call for questions about the Alliance Grant Program and Solicitation (See Conference Calls and Webinar)
	Feb 5, 2016	Concepts due by 5:00 p.m.
Phase II, Proposals	Feb 26, 2016	Notice of invitation to submit proposals
	April 1, 2016	Proposals due by 5:00 p.m.
	Jun 30, 2016	Grants awarded
Project	Sep 1, 2016	Project start date
	Jan 31, 2019	All sub-contract work must be completed
	Mar 29, 2019	All work must be completed
	May 1, 2019	Final invoices due

¹ “Human health or environmental concern” is intentionally open-ended to allow groups to make their own case for project need and impact. DPR does not maintain a comprehensive list of pesticides of human health or environmental concern.

GRANT SUBMISSION STAGES

Phase I, Concepts: The concept is a concise description of the project including goals and objectives, Alliance team members, education and outreach, and measures of project success.

Phase II, Proposals: *Proposals are by invitation only.* The proposal is an expansion of the concept and should provide straightforward descriptions of the project and the IPM issues it will address, including a detailed scope of work, a committed team, specific measures of success, and a budget justification.

FUNDING

On July 1, 2016, (upon approval of California's 2016-17 state budget), a total of \$400,000 will be available for Alliance Grant projects. DPR will consider proposals requesting \$50,000 to \$400,000. Projects that receive funding will begin when DPR and the grantee execute a grant agreement no later than September 1, 2016.

DPR will only fund projects whose primary goal is the adoption of urban, agricultural, or wildland IPM practices that reduce the use of pesticides of human health or environmental concern.

DPR may not fund any project or portion of a project deemed to promote or disparage any brand or contradict the Department's regulatory program. Therefore, DPR must approve any deliverables before final release.

TIMELINE

Projects may not begin before July 1, 2016 and are expected to begin no later than September 1, 2016. The grant agreement must be fully executed before any work begins. All project work must be completed by March 29, 2019. Contract work must be completed by January 31, 2019. The final invoice is due by May 1, 2019. Extensions of any kind are not permissible under this program.

ELIGIBILITY

Government and tribal agencies, universities, colleges, consultants, pest control businesses, commodity groups, marketing orders, and nonprofit organizations that carry out their projects in California are eligible. DPR employees are not eligible to receive funds. Members of DPR's Pest Management Advisory Committee (PMAC) are not eligible to receive funds unless they recuse themselves from participating in the grant review process. However, the organizations with which the members are associated are eligible for funding. See the PMAC Website² for a list of committee members. Management Team members (see page 5) cannot have outstanding fines or penalties with DPR or the County Agricultural Commissioners.

REQUIRED REPORTS AND MEETINGS

Reports

- **Quarterly Progress Reports:** Concise quarterly reports include summaries of project activities, completed milestones, and unexpected problems or special situations. They are due every three months after the project begins.
- **Annual Reports:** Annual reports include results to date, problems encountered, milestones achieved, and plans for the following year. They are due every 12 months after the project begins.
- **Final Report:** The final report describes how project goals and objectives have been fulfilled, summarizes and evaluates project activities and accomplishments, and includes recommendations for outreach and/or project expansion. A draft of the final report is due by March 8, 2019, with the final version incorporating suggested edits due no later than March 29, 2019.

Meetings

- **Administrative Meeting:** The Grant Manager(s), grant administrator(s), principal investigator(s), and procurement, billing, and accounting staff associated with the project will meet within 30 days after the agreement is executed. At this meeting, all grant administrative processes and procedure requirements will be discussed, and any questions regarding project objectives and tasks will be addressed.

² <http://www.cdpr.ca.gov/docs/dept/pmac/pmaclink.htm>

- **Initial Alliance Team Meeting:** The Grant Manager(s), management team members, and team partners will meet within 30 days after the agreement is executed. At this meeting, the initial activities of the project will be discussed and roles of the participants will be outlined, and any questions regarding the execution of project objectives and tasks will be addressed. (Administrative staff do not need to attend.)
- **Project Update Meetings:** Project update meetings will occur at least twice annually. The meeting form—in-person or conference call—is at the discretion of the Grant Managers. The principal investigator(s) must provide to the Grant Managers and team members the meeting dates and locations (or call-in numbers if meeting is via conference call) at least two weeks in advance.
- **DPR Presentation:** The principal investigator(s) will make a summary presentation to DPR (which may include PMAC) at DPR headquarters during the grant's final year. The presentation will provide information about project goals, objectives, and results.

FAAST

ONLINE CONCEPT & PROPOSAL SUBMISSION TOOL

DPR contracted with the State Water Resource Control Board (SWRCB) to host the concept and proposal submission processes through their Web-based Financial Assistance Application Submittal Tool (FAAST). In order to submit a concept or proposal, the applicant must first register with FAAST. The applicant will then be able to log on to their account and save, edit, and submit their responses.

The FAAST site includes a series of tabs (General Information, Project Budget, Funding, Questionnaire, and Attachments), each with an associated list of questions and response boxes. Please read the instructions below carefully to determine how each question should be answered. Some questions that appear on the FAAST site are specific to the SWRCB and do not require a response for this grant.

NOTE: For those who copy and paste from word processor documents (such as Microsoft Word), please be aware that text from word processors may include hidden formatting code (characters) which count towards the maximum allowed characters in a FAAST text box. In addition, FAAST may change word processor characters into unexpected symbols such as upside-down question marks (¿). To avoid these issues, first copy the text into a text editor such as Notepad.

FAAST can be accessed at <https://faast.waterboards.ca.gov/>. Use the Internet Explorer (IE) browser for best results. **FAAST is not available on the first weekend of every month (6:00 a.m. Saturday through 8:00 a.m. Monday) due to system maintenance.** See [Questions and Answers](#) for information on where to get help with the solicitation or FAAST tool.

PHASE I, CONCEPTS

CONCEPT QUESTIONS GUIDE FOR FFAST

Log into FFAST and choose the RFP: 2016/2017 Pest Management Alliance Grant Program.

Under the Status Tab, it will state Phase I. The instructions below are organized to follow the structure of the FFAST system.

General Information Tab

- Confirm that any pre-populated information is correct. (Applicant/Survey Taker, Applicant Organization, Applicant Division, Submitting Organization, Submitting Division, etc.)
- **Project Title:** Enter a concise, descriptive title for the project. (125 character maximum.)
- **Project Description:** Enter a short descriptive summary of the project. (1000 character maximum.)
- **Project Location**
 - **Latitude:** Leave blank.
 - **Longitude:** Leave blank.
 - **Watershed:** Leave blank.
 - **County:** Select the primary county where the project will take place. If more than one county or all counties, select “Multiple counties” or “Statewide.”
 - **Responsible Regional Water Board:** Select “Statewide.”

Project Budget Tab

- **Funds Requested (\$):** Enter the total dollar amount requested.
- **Local Cost Match (\$):** Leave blank. Cost match is not allowed. Projects must be stand-alone.³
- **Total Budget (\$):** Enter the sum of the funds requested.
- **Applicant Federal Tax ID:** Required for grant submission.
- **DUNS Number:** Optional. (Not required at this time.)

Funding Tab

- Confirm that you wish to apply for this grant by clicking the “Apply?” box next to the Pest Management Alliance Grant Program description.

Questionnaire Tab

1. Project Overview

- 1.1. **Abstract:** Provide an abstract of the proposed project. **Include the pesticide-related problems that the project addresses and how the project outcomes may contribute to an IPM-based solution.** Include the goals and objectives. (4000 characters maximum.)
- 1.2. **Economic considerations:** For a pest management practice to be voluntarily adopted, it needs to be economically feasible as well as effective at controlling the pest(s). An estimate of the cost of materials and labor can be useful in promoting adoption of an effective practice. Will the project be able to present cost information of the IPM practices it explores? If the question is not applicable to the project, explain why. (2000 characters maximum.)
- 1.3. **California Stakeholders:** A stakeholder can be defined as an individual or group with an interest, concern, or connection to the pesticide-related problems or the IPM-based solutions that the project plans to address. Who are the project’s primary stakeholders in California, and why would they be interested in the project’s outcome? (2000 characters maximum.)

³ Cost Match: It is permissible for the proposed project to be a component of a larger project funded by multiple sources, but the proposed project cannot be dependent on other funding sources for completion of any task or deliverable included in this concept or proposal. A proposed project must be complete with its own goals, outcomes, and deliverables, all of which must be completed entirely using the requested dollar amount. The DPR-funded portion of any larger project must be “stand-alone”: If all aspects of the larger project were taken away, the DPR-funded project must still be able to achieve all objectives and deliverables. In-kind or matching contributions of effort, equipment, or materials by team members are allowed, however (see In-Kind Funds).

2. Project Summary

- 2.1. **Tasks:** Briefly outline the key tasks (activities) of the project. (2000 characters maximum.)
- 2.2. **Timeline:** Provide a timeline for completion of tasks. Assume a start date of September 1, 2015, and an end date no later than March 30, 2018, when all work must be completed. (Billable work performed under contracts must be completed by January 31, 2018.) (2000 characters maximum.)
- 2.3. **IPM Practices:** Identify the IPM practices advocated by the project and briefly justify their readiness for adoption. Discuss their effectiveness as pest management tools and their potential environmental and economic benefits compared to current conventional practices. (2000 characters maximum.)

3. Principal Investigator(s) and Team

- 3.1. **Management Team:** List the principal investigator(s) and the Management Team. Include their affiliations, expertise, and role in the project. The Management Team is the group that meets regularly to make decisions about the project. The ideal management team is a diverse group that can collectively address all aspects of the pest management project. (2000 characters maximum.)
- 3.2. **Team Partners:** List the proposed Team Partners, including their affiliations, expertise, and their roles in the project. Team Partners are those involved in the activities of the Alliance Grant project but not part of project management. Team Partners provide outreach to stakeholders, complete project tasks, and give feedback to the Management Team. (2000 characters maximum.)
- 3.3. **Résumés:** Combine the résumés or curricula vitae of the principal investigator(s) and management team members into a single portable document format (PDF). While there is no page limit for the PDF of the combined résumés, please limit the length of each individual résumé to two pages or less. Résumés should focus on the skills, publications, and work relevant to the project. See instructions under the [Attachments tab](#) section for directions on how to upload your attachment to the FFAST system.

4. Education and Outreach

- 4.1. **Target audience:** List the target audience(s) that would likely adopt IPM practices as a result of this project. (1000 characters maximum.)
- 4.2. **Outreach:** How will the project be communicated with the target audience to increase adoption of IPM practices? What outreach materials will be developed? Do the project results have the potential to reach beyond the target audience? If so, to whom and how? (2000 characters maximum.)

5. Measures of Success

- 5.1. **Project success:** What quantitative and qualitative measures can be used to determine the project's success in meeting its goals and objectives? (Maximum of 2000 characters.)

Attachments Tab

Under the Attachment Category drop down menu, select "Résumés."

- Use the Browse button to navigate to your saved PDF document completed in Question 3.3 containing the résumés or curricula vitae of the principal investigator(s) and management team members.
- Enter "Résumés" as the Attachment Title.
- Click "Attach Selected File."

Status Tab

The status tab allows the user to view the progress and status of the application. This tab is for viewing only.

UPON COMPLETION OF CONCEPT QUESTIONS, CONTINUE TO THE [SUBMISSION OF CONCEPTS AND PROPOSALS](#) SECTION FOR DETAILED INSTRUCTIONS ON THE SUBMISSION PROCESS.

PHASE II, PROPOSALS

Proposals are by invitation only. You must have prior approval in the form of an invitation from DPR in order to submit a full proposal. Uninvited proposals will not be reviewed.

PROPOSAL QUESTIONS GUIDE FOR FFAST

Log into FFAST and choose the RFP: 2016/17 Pest Management Alliance Grant Program. Under the Status Tab, it will state Phase II.

The General Information Tab, Project Budget Tab, and Funding Tab were completed during Phase I, but may be edited if needed. Please enter the information requested in the new Phase II Questionnaire Tab and Attachments Tab.

Questionnaire Tab

1. Project Overview/Background

- 1.1. **Abstract:** Provide an abstract of the proposed project. Include the pesticide-related problems that the project addresses and how the project outcomes may contribute to an IPM-based solution. (4000 characters maximum.)
- 1.2. **Current pest management practices and risks:** Identify the key pests that the project will focus on. (If too numerous to list in the space provided, please list important examples.) Describe the most common practices and pesticides used to control these pests and the human health and/or environmental risks posed by these pesticides. (Examples: Risks to the quality of ground water, soil, surface water, or air; risks to the safety or health of workers, the general public, wildlife, or endangered species; drift, runoff, or leaching; and contributions to atmospheric volatile organic compounds [VOCs]). (4000 characters maximum.)
- 1.3. **IPM Practices:** Describe the specific IPM practices being advocated by the project and justify why they are ready for adoption. (4000 characters maximum.)

2. Goals and Objectives

- 2.1. **Goals:** Describe the overall goals for the project. For example: “Reduce the use of organophosphates in fresh-market tomato production by 20 percent in three years.” (1000 characters maximum.)
- 2.2. **Objectives:** Describe measurable objectives, including specific target dates of completion. Relate objectives directly to the pesticide-related issues to be addressed. For example: “Promote use of pheromone mating disruption (instead of organophosphate use) to manage codling moth by 12 growers with over 20 acres each by the end of the 2017 season.” (2000 characters maximum.)
- 2.3. **Benefits/Feasibility:** Describe any environmental benefits expected from the project and the project’s economic feasibility. (2000 characters maximum.)

3. Audience, Deliverables, Measures of Success

- 3.1. **Audience/Area:** Describe the target audience and/or geographic area that will be addressed. For example: “The project will take place in Fresno city parks, which are visited by thousands of people each year. Training courses are expected to reach 30 municipal staff.” (2000 characters maximum.)
- 3.2. **Communication/Outreach:** Describe the framework in place (or planned) to effectively communicate IPM practices, including economic data and other project results to the target audience (e.g., Field day to demonstrate IPM practices). (2000 characters maximum.)
- 3.3. **Potential for expansion:** Describe any plans for continued adoption that will generate desired outcomes beyond the life of the grant or enable the results of the grant to be expanded to new geographic areas or target audiences. (2000 characters maximum.)
- 3.4. **Measures of Success:** Describe the method for evaluating and measuring how the project has achieved each of the goals and objectives, including adoption of IPM practices. Emphasize

measures of success that can be quantified. Include possible barriers to project success and a plan to overcome them. (2000 characters maximum.)

4.0 Scope of Work and Budget

4.0.1 Download the “Scope and Budget” form located at the DPR website here: <http://www.cdpr.ca.gov/docs/pestmgt/grants/alliance/solicitation.htm>. The form is an Excel Workbook consisting of five worksheets, tabbed at the bottom of each page for easy navigation. Use this form to enter details about the project’s scope of work and budget. Each worksheet has instructions and questions regarding goals and objectives (1. Goals Objectives Worksheet), tasks and deliverables (2. Tasks Worksheet), line item budget (3. Line Item Budget Worksheet), task budget (4. Task Budget Worksheet), and timeline (5. Task List Timeline Worksheet). See instructions under the [Attachments tab](#) section for directions on how to upload your attachment to the FAAST system. There are two versions of the form available:

- **Scope and Budget (PC).**

<http://www.cdpr.ca.gov/docs/pestmgt/grants/alliance/solicitation/attachipc.xlsx>.

This worksheet is for use with a Windows-based personal computer (PC). You will need to use a computer capable of opening an Excel document with an .xlsx extension (Excel 2007 or later). Use of earlier versions of Excel may result in compatibility issues and lack of functionality.

- **Scope and Budget (Mac).**

<http://www.cdpr.ca.gov/docs/pestmgt/grants/alliance/solicitation/attachimac.xlsx>.

This workbook is for use with Apple computers to address compatibility issues between Windows and Apple. You will need to use a computer capable of opening an Excel document with an .xlsx extension (Excel 2008 or later). Use of earlier versions of Excel may result in compatibility issues and lack of functionality. If problems are encountered, please use the PC workbook on a Windows-based personal computer.

4.1 Budget Narrative

4.1.1 **Personnel:** Personnel Services consists of salaries and benefits for staff directly involved in the planning and implementation of the project who receive their grant funds (salary, travel, operating expenses, or equipment) through the same organization as the principal investigator⁴. If they cannot receive funds through the principal investigator’s organization, they are **not** considered personnel staff. They may still receive grant funds, however, if they are listed in the budget under Contracts. Personnel does not include office support staff involved in activities such as procurement, billing, accounting, legal, and other administrative functions. Instead, those activities should be considered in the budget under Overhead.

- For each personnel staff receiving salary from the project, include the annual salary (\$/year), the percent time (100% = full time, 40-hour workweek), and the benefits as a percentage of salary for each fiscal year of the project. Factor in any annual salary or benefit increases. Fiscal years run from July 1st through June 30th. (Example: Post-doc \$39,866 per year with 3% increase in years 2 and 3, 48% time years 1 and 2, 100% time year 3; benefits 21%, with estimated 2% annual increase. (2000 characters maximum.)

4.1.2 **In-Kind Contributions**⁵: Identify any sources of in-kind services as they relate to the proposed project (see footnote for information on what is allowed). In-kind services are not

⁴ Exceptions may exist for federal agencies that establish Research Service Agreements (RSAs) with State Cooperative Institutions and other colleges or universities for the acquisition of goods and services.

⁵ **In-kind contributions:** Project activities conducted by team members that have been approved by their employers to be compensated with existing employer funds at the time of proposal submission.

Allowed:

- Personnel time given to project by team members.

required for receiving an award. They should be identified here if they are needed to explain how an otherwise unfunded task is accomplished. Keep in mind that while the Pest Management Alliance Grant Program encourages the collaboration with and leveraging of complementary projects, all tasks and deliverables of projects funded through this grant program must be able to be accomplished entirely on grant funding alone. (1000 characters maximum.)

- 4.1.3 **Operating Expenses:** Briefly describe any operating expenses the project personnel (see 4.1.1) will incur (e.g. pesticides, seeds, software licenses, office supplies). Any labor should be listed under personnel or contracts, not operating expenses. (1000 characters maximum.)
- 4.1.4 **Travel:** Briefly describe any travel expenses that will be incurred by project personnel⁷. All travel must be within California. Identify the personnel that will incur the travel expenses, the types of travel, and the frequency. Include travel to meetings with the Grant Manager and project team members that might be required under the terms of the prospective grant agreement. (For example: Post-doc and field assistant to make approximately 20 trips to local field sites, principal investigator and post doc to travel to biannual meetings with Grant Manager and project team.) Include a reasonable percentage of monthly leased vehicle expenses if applicable. (1500 characters maximum.)
- 4.1.5 **Equipment:** Equipment is defined as any one durable, reusable item with residual value costing more than \$500 and must be intrinsic to the approved project. Briefly list any equipment and justify why it is needed by the project. Equipment purchased with grant funds are the property of DPR and shall be returned to DPR at the end of the grant term. (1000 characters maximum.)
- 4.1.6 **Contracts:** List any professional and consultant services you expect will be needed to complete project tasks. Include any team members who will require funds from the grant but cannot be considered “Personnel” because they are affiliated with a different organization than the principal investigator. Briefly justify why these contracts are needed by the project. (1500 characters maximum.)

5 Principal Investigators and Team

- 5.1 **Management Team:** List the principal investigator(s) and the Management Team. Include their affiliations, expertise, and role in the project. (Maximum of 2000 characters.)
- 5.2 **Team Partners:** List the proposed Team Partners, including their affiliations, expertise, and their roles in the project. (Maximum of 2000 characters.)
- 5.3 **Résumés:** Combine the résumés or curricula vitae of the principal investigator(s) and management team members into a single PDF document. You may use the same document submitted during the concept phase if there are no changes. See instructions under the [Attachments tab](#) section for directions on how to upload your attachment to the FFAST system.

6 Letters of Commitment

- 6.1 Compile letters of commitment from management team members (letters from team partners are not necessary) into a single PDF document. Please do not identify DPR staff as management team members in the proposal. **DPR staff will be assigned as part of the management team when grants are awarded.** See instructions under the [Attachments tab](#) section for directions on how to upload your attachment to the FFAST system.

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- Use of team member’s existing equipment or facilities.
 - Donation of materials by team members.

Not allowed:

- Project tasks that are simultaneously funded by more than one source.
- Project tasks reliant on labor or outcomes of activities that are not part of the DPR-funded project.

7 Literature Cited

7.1 Compile a list of literature cited (if applicable) into a single PDF document. Examples of literature include scientific journal articles, technical reports, etc. See instructions under the [Attachments tab](#) section for directions on how to upload your attachment to the FAAST system.

8 General Information

8.1 Resubmission: Indicate if this project idea has been submitted for funding under the DPR Alliance Grant Program before. Use the text box to indicate what year the project idea was previously submitted and discuss how previous reviewer's concerns stated in the notification letter were addressed in this current submission. (Maximum 2000 characters.)

No, this project idea is not a resubmission Yes, this project idea is a resubmission

8.2 Notification: When a project is chosen for funding, a notification letter and an e-mail will be sent to the organization address and submitter's e-mail address associated with the submitter's FAAST account. If you would prefer the notification letter to be sent to a different address, enter it in the text box below. Additional e-mail addresses to receive notification of award may also be added here. (Maximum of 1000 characters.)

8.3 Signatory Authority: The signatory authority is the person duly authorized to execute all grant-related documents in the name of the applicant. At academic and governmental institutions, the signatory authority usually is NOT the same as the principal investigator. Enter the name and contact information for the signatory authority in the text box below. (Maximum of 1000 characters.)

8.4 Media Contact: The media contact is the organization's contact person for media inquiries. If the organization does not have an official media contact, the principal investigator may be designated. Enter the name and contact information for the media contact in the text box below. (Maximum of 1000 characters.)

9 Additional Information

9.1 Optional. We understand that certain projects may not lend themselves as easily as others in formulating answers to the questions in this application. You may submit a one page (maximum) document of any information (text, graphs, photos, etc.) not covered in the previous questions that you think important for reviewers to know. Save your one page document as a PDF entitled "Additional Information." See instructions under the [Attachments tab](#) section for directions on how to upload your attachment to the FAAST system.

Attachments Tab

Scope and Budget: Under the Attachment Category drop down menu, select "Scope and Budget."

- Use the Browse button to navigate to your saved Scope and Budget Excel worksheet that you downloaded from the DPR website and completed in Question 2.1.
- Enter "Scope and Budget" as the Attachment Title.
- Click "Attach Selected File."

Résumés: Under the Attachment Category drop down menu, select "Résumés."

- Use the Browse button to navigate to your saved PDF document completed in Question 6.3 containing the résumés or curricula vitae of the principal investigator(s) and management team members.
- Enter "Résumés" as the Attachment Title.
- Click "Attach Selected File."

Letters of Commitment: Under the Attachment Category drop down menu, select “Letters of Commitment.”

- Use the Browse button to navigate to your saved PDF document completed in Question 7 containing letters of commitment from Management Team members.
- Enter “Letters of Commitment” as the Attachment Title.
- Click “Attach Selected File.”

Literature Cited: Under the Attachment Category drop down menu, select “Literature Cited.”

- Use the Browse button to navigate to your saved PDF document completed in Question 8.1 containing a list of literature cited in the proposal.
- Enter “Literature Cited” as the Attachment Title.
- Click “Attach Selected File.”

Optional: Under the Attachment Category drop down menu, select “Additional Information.”

- Use the Browse button to navigate to your saved PDF document completed in Question 7.1 containing any important information not covered in previous questions.
- Enter “Additional Information” as the Attachment Title.
- Click “Attach Selected File.”

Status Tab

The Status tab allows the user to view the progress and status of the application. This tab is for viewing only.

SUBMISSION OF CONCEPTS OR PROPOSALS

Preview and Submit

- To preview your application, click a “Preview/Submit” button located on all tabs except for the Status Tab.
- To print your application, use the print function on your web browser to print the preview.
- The “Back to Application/Survey” button will allow you to exit the preview without submitting.
- The “Application/Survey Completion Check” button will check that all required fields have been answered. ***NOTE: The Application/Survey completion check will not check for any unanswered questions in the Questionnaire Tab.***
- Once the Application is complete, the “Certification and Submission Statement” will appear. By initializing the certification statement, you are verifying under penalty of perjury that the following statements are true:
 - The information entered on the behalf of the Applicant Organization is true and complete to the best of your knowledge.
 - You are an employee or a consultant for the Applicant Organization and are authorized to submit the application on behalf of the Applicant Organization.
 - You understand that any false, incomplete, or incorrect statements made may result in the disqualification of this application.
- To submit the Application, read the “Certification and Submission Statement,” verify that the certification requirements are met by entering your initials, and click the “Submit Application/Survey” button. *It is not possible to make edits after submission. Be absolutely sure you have completed the application to your satisfaction before clicking Submit.*

SELECTION PROCESS

The questions and guidelines for reviewers are included here to assist the applicant in understanding the selection process. Applicants are encouraged to use these review questions as a checklist to ensure that they have been addressed in their application.

CONCEPT REVIEW

DPR staff will review all concepts to determine which applicants will be invited to submit a full proposal. Concept feedback will be included in a letter mailed to the applicant after the review process is completed. There is no official ranking point system at the concept level. In general, concepts will be reviewed for strengths and weaknesses in the following areas:

1. **OVERVIEW:** The reviewer's overall assessment of the project. The following will be considered: (a) Does the project fulfill a pest management need and will it provide significant benefits? (b) Are the problems from pesticide use clearly described, and is the project likely to contribute to an IPM-based solution to reduce pesticide related problems? (c) Are the overall goals and objectives for the project clearly stated, important, and reasonably achievable within the grant period?
2. **SCOPE OF WORK:** The project's feasibility and readiness for adoption. The following will be considered: (a) Are the IPM practices proven and ready for adoption? (b) Will the tasks and objectives achieve the goal(s) of the project? (c) Is the timeline reasonable to complete the key activities and achieve the project's objectives?
3. **ADOPTABILITY:** The potential of the IPM practices promoted in the project to be adopted by the target audience. The following will be considered: For a pest management practice to be voluntarily adopted on a wide scale, it needs to be economically feasible as well as effective at controlling the pest(s). Will the project consider both the economic feasibility and efficacy of the IPM practices promoted in the project?
4. **PRINCIPAL INVESTIGATOR(S) AND TEAM:** The expertise level of the principal investigator(s), the management team, and team partners to complete the project successfully. The following will be considered: (a) Do the principal investigator(s), management team members, and team partners have the background and technical experience to complete the project?

PROPOSAL REVIEW

Proposals will be reviewed by the PMAC and DPR staff. The PMAC reviewers are from diverse affiliations with expertise in pest management. The committee's role, as specified in law and regulations, is to review proposals for adoptability and merit and recommend to DPR's director which proposals should be funded. The director then makes the final decision. Feedback on the proposal will be included in a letter mailed to the applicant after the review process is completed.

Below is the point system that all reviewers will be asked to use to initially score each project. Proposal reviewers will have access to both the concept and the proposal submissions during their review. Each section is assigned a maximum number of points that can be received. The total points a project can receive is 100. The scores are then ranked and used by reviewers as the basis for discussing the merits of applications during a review meeting where the final recommendations are determined.

1. **PROJECT OVERVIEW/BACKGROUND:** The reviewer's overall assessment of the project. The following will be considered:
 - 1.1. Is the project needed and will it provide significant benefits?
 - 1.1.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.
 - 1.2. Is the applicant's knowledge of the pests and current common management methods consistent with the expertise necessary to accomplish the project's goals and objective?
 - 1.2.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.

- 1.3. Is the project likely to contribute to a readily adoptable IPM-based solution to reduce pesticide related risks?
 - 1.3.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.

2. **GOALS AND OBJECTIVES:** The project's goals, objectives and environmental benefits. The following will be considered:
 - 2.1 Are the overall goals and objectives for the project clearly stated, important, and reasonably achievable within the grant period?
 - 2.1.1 Maximum of **10 points**, with 1 = poor and 10 = excellent.
 - 2.2 Have the environmental benefits and economic feasibility been adequately addressed?
 - 2.2.1 Maximum of **10 points**, with 1 = poor and 10 = excellent.

3. **AUDIENCE, DELIVERABLES, MEASURES OF SUCCESS:** The outreach framework, target audience and measures of success. The following will be considered:
 - 3.1. Is the quality and quantity of the project's outreach component sufficient to reach a suitable target audience?
 - 3.1.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.
 - 3.2. Has the project been designed to continue beyond the life of the grant?
 - 3.2.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.
 - 3.3. Does the project present quantifiable measures of success and address potential barriers to adoption?
 - 3.3.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.

4. **BUDGET:** The likelihood that the budget will allow completion of the project and that the project's value is worth the amount of funds requested. The following will be considered:
 - 4.1. Is the Line Item Budget (Worksheet 3 of Scope and Budget Form) reasonable to complete the project?
 - 4.2. Is the Task Budget (Worksheet 4 of Scope and Budget Form) reasonable and does it effectively link project expenses to tasks?
 - 4.3. Do the answers to the budget narrative questions (personnel, supplies, travel, equipment, and contracts) successfully justify project expenses?

The Budget section is worth a maximum of **10 points**, with 1 = poor and 10 = excellent.

5. **PRINCIPAL INVESTIGATOR(S) AND TEAM:** The expertise level of the principal investigator(s), management team, and team partners to complete the project successfully. The following will be considered:
 - 5.1. Do the principal investigator(s), management team, and team partners have the background, breadth, and technical experience to complete the project?
 - 5.1.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.

QUESTIONS & ANSWERS

Pest Management Alliance Grant Questions: Please see the [Questions and answers](#)⁶ document for answers to frequently asked questions.

Or contact Mark Robertson at Mark.Robertson@cdpr.ca.gov or (916) 324-2451.

FAAST Submission Tool Questions: Please see the FAQ link and User Manual link available at the [FAAST](#)⁷ website. The FAAST Help Desk can be reached at faast_admin@waterboards.ca.gov or (866) 434-1083. It is open 8:00 a.m.–5:00 p.m., Monday through Friday.

NOTE: FAAST is not available on the first weekend of every month (from 6:00 a.m. on Saturday to 8:00 a.m. on Monday) due to System Maintenance. Please plan in advance for these closures in order to meet concept and proposal deadlines.

Conference Calls and Webinars (Voluntary)

FAAST: Webinar for instructions on how to submit applications using the FAAST application submittal tool

Time: January 12, 10:00 a.m.

Phone: 1-888-417-0485

Passcode: 569 749 1

Go to Webinar: <https://waterboards.webex.com/waterboards>

Locate the FAAST Training webinar

Click “Join” and enter your name and email address if requested

Webinar Password: CDPR

Note: If the meeting is not listed, click on “Unlisted Meeting” in the left hand column and enter the following Meeting Number: 745 256 808

Alliance Grant: Conference call for general questions about the Alliance Grant Program and Solicitation.

Time: January 19, 9:30 a.m.

Phone: 877-820-7831

Passcode: 357242

FEEDBACK

We continue to strive to create a Pest Management Grants Program application and review process that is straight-forward and easy to use. Your input is valuable in letting us know what we are doing right and where we may be able to improve. We appreciate your constructive feedback in the form of comments and suggestions regarding our Pest Management Grants Program and application process. Anonymous feedback can be submitted at the [Pest Management Grants Feedback](#) page.

⁶ http://www.cdpr.ca.gov/docs/pestmgmt/grants/alliance/solicitation/q_and_a.pdf

⁷ <https://faast.waterboards.ca.gov/>

PART 2 | PROPOSED GRANT AGREEMENT

DEPARTMENT OF PESTICIDE REGULATION 2016/2017 GRANT PROGRAM

PEST MANAGEMENT ALLIANCE GRANT

Awarded By

THE DEPARTMENT OF PESTICIDE REGULATION, hereinafter "Department"

TO

{Name of Grantee}, hereinafter "Grantee"

Implementing "{Name of Project}," hereinafter "Project"

GRANT AGREEMENT NUMBER 16-PML-G00x

The Department of Pesticide Regulation awards this Grant and Grantee hereby accepts and agrees to use the Grant funds as follows:

AUTHORITY: Food and Agricultural Code section 12536 authorizes the Department to grant funds for the Project.

PURPOSE: The Department shall provide a grant to and for the benefit of the Grantee; the purpose is the {SHORT SUMMARY}.

GRANT AMOUNT: The maximum amount payable under this Grant shall not exceed xxx,xxx dollars (\$xxx,xxx).

TERM OF GRANT: The term of the Grant shall begin on **September 1, 2016**, or upon approval of this agreement, and continue through Project completion unless otherwise terminated or amended as provided in the Grant. Absolutely no funds may be requested or invoiced after **May 1, 2019**.

PROJECT REPRESENTATIVES. The Project Representatives during the term of this Grant will be:

Department of Pesticide Regulation		Grantee:	
Name:	{name} Grant Managers	Name:	{name} Principal Investigator (PI)
Address:	1001 I Street-MS-3A PO Box 4015	Address:	
City, Zip:	Sacramento, California 95812-4015	City, Zip:	
Phone:		Phone:	
Fax:		Fax:	
E-mail:		E-mail:	

Direct all project inquiries to:

Department of Pesticide Regulation, Pest Management & Licensing Branch	Grantee:
Attention:	Attention:
Address:	Address:
City, Zip:	City, Zip:
Phone:	Phone:
Fax:	Fax:
E-mail:	E-mail:

Direct all administrative and fiscal inquiries to:

Department of Pesticide Regulation, Pest Management & Licensing Branch	Grantee:
Attention:	Attention:
Address:	Address:
City, Zip:	City, Zip:
Phone:	Phone:
Fax:	Fax:
E-mail:	E-mail:

Either party may change its Project Representative upon written notice to the other party.

STANDARD PROVISIONS. The following exhibits are attached and made a part of this Grant by this reference:

Exhibit A	SCOPE OF WORK
Exhibit B	INVOICING, BUDGET DETAIL AND REPORTING PROVISIONS
Exhibit C	GENERAL TERMS AND CONDITIONS—2016/2017 GRANTS
Exhibit D	TRAVEL AND PER DIEM EXPENSES
Exhibit E	DEPARTMENT'S ORIGINAL SOLICITATION PACKAGE—Including the Administrative Procedures and Requirements, Attachments 1, 2, 3, 4, and 5.
Exhibit F	GRANTEE'S WRITTEN RESPONSE—{name of Grantee}, New Proposal Application—Pest Management Alliance Grant Program entitled "name of project," dated {date}, 2016; xx pages.

GRANTEE REPRESENTATIONS: The Grantee accepts all terms, provisions, and conditions of this grant, including those stated in incorporated documents. The Grantee shall fulfill all assurances and commitments made in its application, declarations, other accompanying documents, and written communications (e.g., e-mail, correspondence) filed in support of its request for grant funding. The Grantee shall comply with and require its contractors and subcontractors to comply with all applicable laws, policies, and regulations.

Executed by:

Date: _____

Grantee

Date: _____

Brian R. Leahy Director
Department of Pesticide Regulation

Date: _____

Office of Legal Affairs

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EXHIBIT A—SCOPE OF WORK**A. COMPLIANCE REQUIREMENTS**

If landowner agreements are required, signed copies must be submitted to the Grant Managers and Administrators before work begins.

If permits are required, the permits must be obtained and signed copies submitted to the Grant Managers and Administrators before work begins.

State Disclosure Requirements—

Include the following disclosure statement in any document, written report, or brochure prepared in whole or in part pursuant to this Grant:

“The Department of Pesticide Regulation (DPR) provided partial or full funding for this project but does not necessarily agree with any opinion expressed, nor endorse any commercial product or trade name mentioned.”

Signage shall be posted in a prominent location at the project site (if applicable) and shall include the Department of Pesticide Regulation logo (available from the Grant Managers) and the following disclosure statement: “Funding for this project has been provided in full or in part through a grant awarded by the Department of Pesticide Regulation.”

All deliverables intended for disclosure to third parties or the public must be approved by DPR before final release to ensure the project or portions of the project are within the scope of work described in this agreement and do not promote or disparage any brand or trade name. DPR’s review and approval of deliverables will not hinder the academic freedom of the research team regarding data, methodology, or conclusions reached within the parameters of the project described in this agreement. Evaluation of DPR’s regulatory program is outside the scope of this project and will not be funded.

B. WORK TO BE PERFORMED BY GRANTEE**1. OVERVIEW****2. SCOPE OF WORK****3. TASK LIST AND TIMELINE****4. ALLIANCE TEAM**

EXHIBIT B—INVOICING, BUDGET DETAIL, AND REPORTING PROVISIONS**A. INVOICING**

Invoices shall be submitted using the invoice template provided by the Department. The invoice template will be customized based on the approved line items specified in the Budget. The original invoice shall be submitted to the Department's Grant Managers on a quarterly basis for the duration of this grant. The final invoice shall be received no later than **May 1, 2019**. Such invoicing shall be consistent with the reporting schedule in Exhibit A, Scope of Work.

ADDRESS FOR SUBMITTAL VIA U.S. MAIL	ADDRESS FOR SUBMITTAL VIA OVERNIGHT COURIER
NAMES, Grant Managers Pest Management and Licensing Branch Department of Pesticide Regulation 1001 I Street, Third Floor—MS—3A P.O. Box 4015 Sacramento, California 95812-4015	NAMES, Grant Managers Pest Management and Licensing Branch Department of Pesticide Regulation 1001 I Street, Third Floor—MS—3A Sacramento, California 95814

Invoices submitted in any other format than the one provided by the Department will cause an invoice to be disputed. In the event of an invoice dispute, the Department's Grant Administrator will notify the Grantee by initiating an Invoice Dispute Notification form (see [Attachment 4](#))⁸. Payment will not be made until the dispute is resolved and a corrected invoice submitted. Failure to use the address exactly as provided above may result in delay of receipt and processing of the submitted invoice. Payment shall be deemed complete upon deposit of the payment, properly addressed, postage prepaid, in the United States mail. The Department's Grant Managers along with the Grant Administrator has the responsibility for approving invoices.

The Grantee shall not request disbursement for any cost until such cost has been incurred and has been paid by, or is due and payable by the Grantee. Invoice payment shall be made only after receipt of a complete, properly documented, and accurately addressed invoice.

Notwithstanding any other provision of this Grant, no disbursement shall be required at any time or in any manner which is in violation of, or in conflict with, federal or state laws, rules, or regulations, or which may require any rebates to the Federal Government, or any loss of tax-free status on state bonds, pursuant to any Federal statute or regulation.

Notwithstanding any other provision of this Grant, the Grantee agrees that the Department shall retain an amount equal to ten percent (10%) from the payment for each invoice until completion of the Project (i.e., when the Grantee has complied with all terms, conditions, and performance requirements of this Agreement as set forth in the Scope of Work, marked as Exhibit A). Any retained amounts due to the Grantee will be promptly disbursed to the Grantee, without interest, upon completion of the Project.

The invoice shall contain the information as set forth in [Attachment 3](#),⁹ Alliance Grant Invoice Example.

The Final invoice shall be clearly marked FINAL INVOICE and received no later than May 1, 2019.

Additionally, the Grantee shall promptly notify the Department in writing of completion of work on the Project to assure payment of the ten percent (10%) retention withheld from the Grantee's funding (invoiced separately). Absolutely no funds may be requested or invoiced after May 1, 2019, whatsoever. Any invoice(s) submitted on or after May 2, 2019, will be considered null and void and have no legal effect. All invoices shall be signed under penalty of perjury.

⁸ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/alliance/solicitation/attach4.pdf>

⁹ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/alliance/solicitation/attach3.pdf>

B. BUDGET CONTINGENCY CLAUSE

The maximum amount to be encumbered under this Grant for the 2016/2017 fiscal year ending June 30, 2016, shall not exceed \$xxx,xxx (xxx,xxx dollars).

If the Budget Act of the current year and/or any subsequent years covered under this Grant does not appropriate sufficient funds for the program, this Grant shall be of no force or effect. This provision shall be construed as a condition precedent to the obligation of the Department to make any payments under this Grant. In this event, the Department shall have no liability to pay any funds whatsoever to the Grantee or to furnish any other considerations under this Grant and the Grantee shall not be obligated to perform any provisions of this Grant. Nothing in this Grant shall be construed to provide the Grantee with a right of priority for payment over any other Grantee.

If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the Department shall have the option to either cancel this Grant with no liability occurring to the Department, or offer a Grant amendment to Grantee to reflect the reduced amount.

C. BUDGET

Attached and made a part of this agreement is the budget sheet(s) submitted by the Grantee, named "TITLE."

1. Line Item Budget
2. Task Budget
3. Budget Narrative

D. BUDGET LINE ITEM FLEXIBILITY

Procedure to Request an Adjustment. The Grantee may request adjustments to the budget, provided the summation of all adjustments totals ten percent (10%) or less of the total project budget. Requests from the Grantee must be submitted in writing to the Grant Managers and Grant Administrator and include a copy of the most current approved Line Item Budget form (Worksheet 3 of [Scope and Budget Form](#)¹⁰) with proposed changes highlighted by striking the current amount(s) and boldfacing proposed revision(s). Adjustments are limited to the approved budget line items (i.e., Personnel Services, Operating Expenses, Travel, Contracts, Equipment, Academic Remissions, and Overhead). Deleting or adding a budget line item is not permissible under this provision. Requested adjustments shall not increase or decrease the total grant amount. Requests must also include a description of how requested adjustments will affect each line item and the implementation of the project. The Grantee must not proceed with an adjusted budget unless and until it is approved in writing by the Grant Managers. The Department may also propose adjustments to the budget if deemed necessary.

The Department withholds ten percent (10%) from each invoice. These withheld funds are eligible for release to the Grantee only after the Grant Managers and Grant Administrator confirm that the Grantee has complied with all terms, conditions, and performance requirements of this Agreement, as set forth in the Scope of Work; the final report is received and approved; and the final expenditure report is approved. The Grantee shall request release of the ten percent (10%) withheld on a separate invoice, checking box 14, "Request the Release of 10% retention".

Remaining Balance. In the event the Grantee does not submit invoices requesting all of the funds encumbered under this Grant, any remaining funds revert to the Department. The Department will mail a Notice of Project Completion letter to the Grantee stating that the project file is closed, the final invoice is being processed for payment, and any remaining balance is being disencumbered and unavailable for further use under the Grant.

¹⁰ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/alliance/solicitation/attach1.xlsx>

Procedure to Request an Amendment. The Grantee may request amendments to the budget, if the summation of all amendments totals more than ten percent (10%) of the total project budget. Requests from the Grantee must be submitted in writing to the Grant Manager and include a copy of the most current approved Line Item Budget form with proposed changes highlighted by striking the current amount(s) and boldfacing proposed revision(s). Amendments are limited to budget changes corresponding to the approved budget line items (i.e., Personnel Services, Operating Expenses, Travel, Contracts, Equipment, Academic Remissions, and Overhead) and may include changes to the Scope of Work or timeline. Requested amendments must not increase or decrease the total grant amount or extend the term of the agreement. Requests must also include a description of how requested amendments will affect each line item and the implementation of the project. The Grantee must not proceed with an amended budget unless and until it is approved in writing by the Grant Manager, and if deemed necessary by the Grant Manager, the amendment must be executed by the signatories for both the Department and the Grantee and made a part of the agreement as an amendment.

E. AUDIT DISALLOWANCES

The Grantee agrees it shall return any audit disallowances to the Department. (See Audit clause below.)

///

EXHIBIT C—GENERAL CONDITIONS, 2016/2017 GRANT

NOTE: [Terms and Conditions for the University of California \(UC\)](#) contain certain variations, edits, and deletions due to the structure and function of the UC system. For information about Terms and Conditions, please contact Marta Barlow, Senior Staff Attorney at (916) 445-3640, or marta.barlow@cdpr.ca.gov.

AMENDMENT: No amendment or variation of the terms of this Grant shall be valid unless made in writing, signed by the parties, and approved as required.

APPROVAL: The Grantee will not proceed with any work on the Project until authorized in writing by the Department. Such authorization will be transmitted via U.S. Certified Return Receipt Mail, Federal Express Overnight delivery, or equivalent.

ASSIGNMENT: This grant is not assignable by the Grantee, either in whole or in part, without the written consent of the Grant Managers. The Department contemplated awarding this Grant in part by ascertaining the expertise of the person(s) or entity(ies) awarded this grant; hence, assignment of the Grantee's research shall not be allowed without such written consent by the Grant Managers.

AUDIT: The Grantee agrees that the Department, the Bureau of State Audits, or their designated representative shall have the right to review and to copy any financial records and supporting documentation pertaining to the performance of this Grant. The Grantee agrees to maintain such records for a possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated. The Grantee agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Grantee agrees to include a similar right of the Department to audit records and interview staff in any context related to performance of this Grant.

BRAND OR TRADE NAME USAGE: The Grantee agrees not to use any brand or trade name on any printed material, unless and until the grantee receives written approval to do so by the Department. A brand is a name, term, design, symbol, or any other feature that identifies one seller's product distinct from those of other sellers.

COMPLIANCE WITH LAWS AND REGULATIONS: The Grantee agrees that it will, at all times, comply with and require its contractors and subcontractors to comply with all applicable federal and state laws, rules, guidelines, regulations, and requirements.

COMPUTER SOFTWARE: The Grantee certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Grant for the acquisition, operation or maintenance of computer software in violation of copyright laws.

CONFLICT OF INTEREST: The Grantee certifies that it is in compliance with applicable state and/or federal conflict of interest laws.

CONTRACT: Written agreements between the Grantee and those providing a Professional and/or Consultant Service when necessary to complete the Grant project. All contracts, Memoranda of Understanding (MOU), Purchase Orders (PO), and Service Orders (SO) must include the following elements: (1) term dates, (2) maximum amount of dollars, (3) Scope of Work, (4) budget, and (5) signatures of both parties. The following must be submitted to DPR:

- Copy of executed contract, MOU, POs and SOs.
- Billing statements, invoices, and receipts.

DATA MANAGEMENT: This Project includes appropriate data management activities so that Project data can be incorporated into appropriate Department data systems.

DEPARTMENT ACTION, COSTS, AND ATTORNEY FEES: The Grantee agrees that any remedy provided in this Grant is in addition to and not in derogation of any other legal or equitable remedy available to the Department as a result of breach of this Grant by the Grantee, whether such breach occurs before or after completion of the Project. Exercise of any remedy provided by this Grant by the Department shall not preclude the Department from pursuing any legal remedy or right which would otherwise be available. In the event of litigation between the parties arising from this Grant, it is agreed that both parties shall be entitled to such reasonable costs and/or attorney fees as may be ordered by the court entertaining such litigation.

DEPARTMENT REVIEWS AND INDEMNIFICATION¹¹: The parties agree that review or approval of Project applications, documents, permits, plans, and specifications, or other Project information by the Department is for administrative purposes only and does not relieve the Grantee of its responsibility to properly plan, design, construct, operate, maintain, implement, or otherwise carry out the Project. To the extent permitted by law, the Grantee agrees to indemnify, defend, and hold harmless the Department and the State against any loss or liability arising out of any claim or action brought against the Department and/or the State from and against any and all losses, claims, damages, liabilities or expenses, of every conceivable kind, character and nature whatsoever arising out of, resulting from, or in any way connected with (1) the Project or the conditions, occupancy, use, possession, conduct or management of, work done in or about, or the planning, design, acquisition, installation or construction, of the Project or any part thereof; (2) the carrying out of any of the transactions contemplated by this Grant or any related document; (3) any violation of any applicable law, rule or regulation, any environmental law, rule or regulation, or the release of any toxic substance; or (4) any untrue statements or omission, alleged untrue statements or omissions, or misleading statements or omissions, made at any time by the Grantee related in any way to this Grant. To the fullest extent permitted by law, the Grantee agrees to pay and discharge any judgment or award entered or made against the Department and/or the State with respect to any such claim or action, and any settlement, compromise, or other voluntary resolution. The provisions of this section shall survive the term of this Grant.

DISPUTES: The Grantee shall continue with the responsibilities under this Grant during any dispute. Any dispute arising under this Grant which is not otherwise disposed of by agreement shall be decided by the Chief Deputy Director of the Department, or his authorized representative. The decision shall be reduced to writing and a copy thereof furnished to the Grantee and to the Department's Director. The decision of the Chief Deputy Director shall be final and conclusive unless, within thirty (30) calendar days after mailing of the decision to the Grantee, the Grantee mails or otherwise furnishes a written appeal of the decision to the Director. The decision of the Director shall be final and conclusive unless determined by a court of competent jurisdiction to have been fraudulent, capricious, arbitrary, so grossly erroneous as necessarily to imply bad faith, or not supported by substantial evidence. In connection with any appeal under this clause, the Grantee shall be afforded an opportunity to be heard and to offer evidence in support of its appeal. Pending final decision of a dispute, the Grantee shall continue to fulfill and comply with all the terms, provisions, commitments, and requirements of this Grant. This clause does not preclude consideration of legal questions, provided that nothing herein shall be construed to make final the decision of the Department, or any official or representative thereof, on any question of law.

FISCAL MANAGEMENT SYSTEMS AND ACCOUNTING STANDARDS: The Grantee agrees that, at a minimum, its fiscal control and accounting procedures will be sufficient to permit tracking of all grant funds to a level of expenditure adequate to establish that such funds have not been used in violation of state law or

¹¹ The language for this clause is modified for the University of California (UC)

this Grant. The Grantee further agrees that it will maintain separate Project accounts in accordance with generally accepted accounting principles.

GOVERNING LAW: This grant is governed by and shall be interpreted in accordance with the laws of the State of California.

GRANT MODIFICATIONS: The Department may, at any time, by written "grant modification," make any change to Exhibit A, Scope of Work, including changes in the specifications or in the method, manner, or time of performance of work. Department modification requests shall not include material changes to the Grantee's researchers' scientific or technical method or manner. If the Grantee intends to dispute the change, the Grantee must, within ten (10) days after receipt of a written "grant modification," submit to the Department a written statement setting forth the disagreement with the change. After reviewing the proposed modification and the Grantee's written disagreement, the Chief Deputy Director, or his or her designee, shall be the final arbiter of the disagreement. In no case shall the Department materially alter the scope of work set forth in Exhibit A.

INCOME RESTRICTIONS: The Grantee agrees that any revenues, refunds, rebates, credits, or other amounts (including any interest thereon) accruing to or received by the Grantee under this Grant shall be paid by the Grantee to the Department, to the extent that they are properly allocable to costs for which the Grantee has been reimbursed by the Department under this Grant.

INDEPENDENT ACTOR: The Grantee, and its agents and employees, if any, in the performance of this Grant, shall act in an independent capacity and not as officers, employees or agents of the Department.

INSPECTION: Throughout the life of the Project, the Department shall have the right to inspect the facility(ies) (e.g., fields, orchards, offices, laboratories) to ascertain compliance with this Grant. The Grantee acknowledges that the Project records and location(s) are public records.

INSURANCE: Any non-UC contractors and subcontractors shall, throughout the life of the Project, provide and maintain auto insurance with the limits set at a minimum of \$100,000/\$300,000/\$100,000, property damage and liability. This insurance shall be issued by a company or companies admitted to transact business in the State of California. It is noted that the University of California system is self-insured; hence, the Grantee will provide the Grant Managers or the Grant Administrator its letter from the Department of General Services, Office of Risk and Insurance Management showing the Grantee's self-insured status before beginning work on the project.

MEDIA EVENTS: The Grantee shall notify the Department's Grant Managers in writing at least twenty (20) working days before any public or media event publicizing the accomplishments and/or results of this Grant and provide the opportunity for attendance and participation by Department's representatives.

NONDISCRIMINATION: During the performance of the scope of work listed in this Grant, the Grantee and its employees/agents/contractors shall not unlawfully discriminate against, harass, or allow harassment against any employee or applicant for employment because of sex, race, religion, color, national origin, ancestry, disability, sexual orientation, medical condition, marital status, age (over 40) or denial of family-care leave, medical-care leave, or pregnancy-disability leave. The Grantee and its employees/agents/contractors shall ensure that the evaluation and treatment of their employees and applicants for employment are free of such discrimination and harassment.

NO THIRD-PARTY RIGHTS: The parties to this Grant do not create rights in, or grant remedies to, any third-party as a beneficiary of this Grant, or of any duty, covenant, obligation or undertaking established herein.

NOTICE: The Grantee shall promptly notify the Department's Grant Managers in writing of events or proposed changes that could affect the scope or budget of the project proposed under this Grant. The Grantee agrees that no material change in the scope of the Project will be undertaken until written notice of the proposed change has been provided to the Department, and the Department has given written approval for such change. "Material" is defined as "More or less necessary; having influence or effect; going to the merits."

PERMITS, CONTRACTING, WAIVER, REMEDIES AND DEBARMENT: The Grantee shall procure all permits and licenses necessary to accomplish the work contemplated in this Grant, pay all charges and fees, and give all notices necessary and incidental to the due and lawful execution of the work. Any contractors, outside associates, or consultants required by the Grantee in connection with the scope of work covered by this Grant shall be limited to such individuals or firms as were specifically identified and agreed to during negotiations for this Grant, or as are specifically authorized by the Department's Grant Managers during the performance of the scope of work detailed in this Grant. Any substitutions in, or additions to, such contractors, associates, or consultants, shall be subject to the prior written approval of the Department's Grant Managers. Any waiver of rights with respect to a default or other matter arising under the Grant at any time by either party shall not be considered a waiver of rights with respect to any other default or matter. Any rights and remedies of the Department provided for in this Grant are in addition to any other rights and remedies provided by law. The Grantee shall not contract with any party who is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension." The Grantee shall not contract with any individual or organization on U.S. EPA's List of Violating Facilities. (40 C.F.R. § 31.35, Gov. Code, § 4477, <http://www.epls.gov/>.) The Grantee certifies to the best of its knowledge and belief, that it and its principals:

- Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or the Grantee;
- Have not, within a three-year period preceding the execution of this Grant, been convicted of or had a civil judgment rendered against them for: fraud or other offense in connection with a public (federal, state, or local) transaction or contract; violation of federal or state antitrust statutes; or embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and
- Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses listed above.

PROFESSIONALS: The Grantee agrees that only licensed professionals will be used to perform services under this Grant where such services are called for.

RECORDS: The Grantee agrees to maintain Project accounts in accordance with generally accepted accounting principles. The Grantee further agrees to:

- Establish an official file for the Project which shall adequately document all significant actions relative to the Project;
- Establish separate accounts which will adequately and accurately depict all amounts received and expended on this Project, including all grant funds received under this Grant;

- Establish separate accounts which will adequately depict all income received which is attributable to the Project, especially including any income attributable to grant funds disbursed under this Grant;
- Establish an accounting system which will adequately depict final total costs of the Project, including both direct and indirect costs; and,
- Establish such accounts and maintain such records as may be necessary for the state to fulfill federal reporting requirements, including any and all reporting requirements under federal tax statutes or regulations.

RELATED LITIGATION: Under no circumstances may a Grantee use funds from any disbursement under this Grant to pay costs associated with any litigation the Grantee pursues against the Department.

RIGHTS IN DATA: The Grantee and the Department agree that all data, plans, drawings, specifications, reports, computer programs, operating manuals, notes, and other written or graphic work submitted under Exhibit A in the performance of this Agreement shall be in the public domain. The Grantee may disclose, disseminate and use in whole or in part, any final form data and information received, collected, and developed under this Agreement, subject to appropriate acknowledgment of credit to the Department for financial support. The Grantee shall not utilize the materials submitted to the Department (except data) for any profit-making venture or sell or grant rights to a third party who intends to do so. The Department has the right to use submitted data for all governmental purposes.

TERMINATION: This Grant may be terminated by written notice at any time before completion of the Project, at the option of the Department, upon violation by the Grantee of any material provision after such violation has been called to the attention of the Grantee and after failure of the Grantee to bring itself into compliance with the provisions of this Grant within a reasonable time as established by the Department. Absent a showing of bad faith on the part of the Grantee, the Department shall reimburse the Grantee for all costs incurred up to the date of termination, including all un-cancellable obligations. Both parties reserve the right to terminate this Grant for any reason subject to thirty (30) days written notice to the other. Department shall reimburse the Grantee for all costs incurred up to the date of termination, including all un-cancellable obligations.

TIMELINESS: Time is of the essence in this Grant. The Grantee shall proceed with and complete the Project in an expeditious manner.

TRAVEL AND PER DIEM: Any reimbursement for necessary travel and per diem shall be at rates not to exceed those amounts set forth in Exhibit D. (Note: travel rates are set by Department of Personnel Administration and subject to change. See <http://www.dpa.ca.gov/personnel-policies/travel/employees.htm>) No travel outside the State of California shall be permitted, whatsoever.

UNENFORCEABLE PROVISION: In the event that any provision of this Grant is held to be unenforceable, then the parties agree that all other provisions of this Grant shall continue to have full force and effect.

VENUE: The Department and the Grantee agree that any action arising out of this Grant shall be filed and maintained in the Superior Court, County of Sacramento, California, or in the United States District Court, Eastern District of California. The Grantee waives any existing sovereign immunity for the purposes of this Grant, if applicable.

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EXHIBIT D—TRAVEL AND PER DIEM EXPENSES

University of California: Any reimbursement for necessary travel and per diem shall be at University of California (UC) rates per State Contracting Manual (SCM) Section 3.18. No travel whatsoever outside the State of California shall be permitted.

For all except UC, the following shall apply:

SHORT-TERM PER DIEM EXPENSES

In computing reimbursement for continuous short-term travel of more than 24 hours and less than 31 consecutive days, that is at least 50 miles from the main office, headquarters or primary residence, the employee will be reimbursed for actual costs up to the maximum allowed for each meal, incidental, and lodging expense for each complete 24 hours of travel, beginning with the traveler's times of departure and return, as follows:

On the first day of travel on a trip of 24 hours or more:

Trip begins at or before 6 a.m.	Breakfast may be claimed on the first day.
Trip begins at or before 11 a.m.	Lunch may be claimed on the first day.
Trip begins at or before 5 p.m.	Dinner may be claimed on the first day.

On the fractional day of travel at the end of a trip of more than 24 hours:

Trip ends at or after 8 a.m.	Breakfast may be claimed.
Trip ends at or after 2 p.m.	Lunch may be claimed.
Trip ends at or after 7 p.m.	Dinner may be claimed.

If the fractional day includes an overnight stay, receipted lodging may also be claimed. No meal or lodging expense may be claimed or reimbursed more than once on any given date or during any 24-hour period.

Reimbursement shall be for actual expenses, subject to the following maximum rates:

MEALS

Breakfast	\$7	Receipts are not required for regular short-term travel meals
Lunch	\$11	
Dinner	\$23	
Incidentals	\$5	

LODGING

Statewide (excluding the counties of Alameda, Los Angeles, Monterey, Napa, Orange, Riverside, Sacramento, San Diego, San Francisco, San Mateo, Santa Clara, and Ventura, Edwards AFB and the City of Santa Monica; see below)	Actual up to \$90 plus tax
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When required to conduct State business and obtain lodging in the counties of Napa, Riverside, or Sacramento, reimbursement will be for actual receipted lodging to a maximum of \$95, plus tax.

When required to conduct State business and obtain lodging in the counties of Los Angeles, Orange, Ventura or Edwards AFB, excluding the City of Santa Monica, reimbursement will be for actual receipted lodging to a maximum of \$120, plus tax.

When required to conduct State business and obtain lodging in the counties of Alameda, Monterey, San Diego, San Mateo, or Santa Clara, reimbursement will be for actual receipted lodging to a maximum of \$125, plus tax.

When required to conduct State business and obtain lodging in San Francisco County or the City of Santa Monica, reimbursement will be for actual receipted lodging to a maximum of \$150, plus tax.

If lodging receipts are not submitted, reimbursement will be for meals *only* at the rates and time frames set forth below.

In circumstances where the contractor cannot obtain the state per diem lodging rate, verification from the hotel that such a rate was not available to the contractor may be submitted to substantiate lodging costs above the per diem rate.

No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from the main office, headquarters or primary residence.

In computing reimbursement for continuous travel of less than 24 hours actual expenses up to the maximum rates will be reimbursed for breakfast and/or dinner and/or lodging in accordance with the following time frames:

Travel begins at or before 6 a.m. and ends at or after 9 a.m.; breakfast may be claimed.

Travel begins at or before 4 p.m. and ends at or after 7 p.m.; dinner may be claimed.

If the trip of less than 24 hours includes an overnight stay, receipted lodging may be claimed.

No lunch or incidentals may be reimbursed on travel of less than 24 hours.

Employees on short-term travel who stay in commercial lodging establishments or commercial campgrounds will be reimbursed for actual lodging expenses substantiated by a receipt. Employees who stay with friends or relatives, or who do not produce a lodging receipt, will be eligible to claim meals only.

MILEAGE REIMBURSEMENT

Reimbursement for personal vehicle mileage is \$0.575 cents per mile.

VEHICLE RENTAL

Reimbursement for vehicle rental shall be for actual and necessary costs of such rental and airplane usage shall be allowed at the lowest fare available. Claims for reimbursements shall be allowed upon submittal of the appropriate receipt. (Cal. Code Regs., tit. 2, §§ 599.627, 599.628.)

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PART 3 | ADMINISTRATIVE PROCEDURES AND REQUIREMENTS

INTRODUCTION

The Alliance Grant Administrative Procedures and Requirements set forth the procedures and processes necessary for administering an Alliance Grant. The following is incorporated into the grant and describes the administrative reporting requirements, instructions for billing and receiving payment, and fiscal control procedures that are to be followed during the grant term.

The Grantee's Principal Investigator or designated staff must invoice the Alliance Grant Program to receive reimbursement for work set forth in the Scope of Work (Exhibit A) and the Task List and Timeline (Worksheets in Scope and Budget form). The Alliance Grant Invoice and supporting documentation must be sent to the Grant Managers, who along with the Grant Administrator, will review, approve, facilitate payment, and track expenditures per line item throughout the grant term.

GENERAL GUIDELINES

The Grantee shall not request disbursement for any cost until such cost has been incurred and has been paid or is due and payable by the Grantee. Invoices shall be submitted at a minimum of one (1) time per quarter or at a maximum of one (1) time per month, whichever is most convenient for the Grantee.

Payments can only be made to the Grantee; therefore, it is the responsibility of the Grantee to pay all staff, subcontractors, and/or vendors for goods and services rendered.

Grant dollars only fund approved expenses incurred after issuance of the Notice to Proceed and on or before March 31, 2019. Any invoice received after May 1, 2019 will not be paid.

Any changes to the Grant, once a Notice to Proceed has been issued, may require an amendment. Budget line item variations that in summation total ten percent (10%) or less of the total grant award may be made during the term of this agreement with prior written approval from the Grant Managers without an amendment (see procedure for requesting an amendment). Any budget line item variations that in summation total greater than ten percent (10%) of the total grant award require an amendment (see Procedure to Request an Amendment). It is the Grantee's responsibility to ensure that all claimed costs are appropriate by reviewing the Grant and associated documents, newsletters, e-mails, and other information updates supplied by DPR. All claimed costs shall be directly related to implementation and operation of the Project.

COMMUNICATION

Communications with the Grant Managers and Grant Administrator regarding the Administrative Procedures and Requirements described in this section should be conducted via e-mail to record issues discussed and the resolution achieved for future reference.

INVOICING GRANT EXPENDITURES

ALLIANCE GRANT INVOICE

Following the issuance of the Notice to Proceed and the administrative meeting, the Grant Administrator will send to the Grantee and designated staff an electronic version of a customized invoice template titled, Pest Management Alliance Grant Invoice (Grant Invoice Example, Attachment 3). Each time an invoice is approved and processed an updated invoice template is sent to the Grantee and designated staff for the following billing cycle. An invoice must be submitted no more than monthly and no less than quarterly. *A Grant Invoice must be submitted for each billing period even if no expenditures occur.*

Only expenses covered in the billing period may be claimed. Expenses from previous billing periods must be submitted on a separate Grant Invoice marked “Supplemental.”

To assure prompt and accurate payment, the most current Grant Invoice template must be used to request reimbursement. *Using any other template version or modifying the template provided to the Grantee will result in the invoice being rejected.*

The Department withholds ten percent (10%) from each invoice. These withheld funds are eligible for release to the Grantee only after the Grant Manager confirms that the Grantee has complied with all terms, conditions, and performance requirements of this Agreement, as set forth in the Scope of Work; the final report is received and approved; and the final expenditure report is approved. The Grantee shall request release of the ten percent (10%) withheld on a separate invoice, checking box 14, “Request the Release of 10% Retention”.

All grant invoices must be received by **May 1, 2019**. Any invoice(s) submitted on or after May 2, 2019, will be considered null and void and have no legal effect.

ALLIANCE GRANT REPORTS

- Submitted quarterly to the Grant Managers, the Quarterly Progress Report ([Attachment 2¹²](#)) is a one-to-two-page summary of the work performed during a specific billing period and may be used to support the corresponding Grant Invoice. The report summarizes project activities, completed milestones, and unexpected problems or special situations. The narrative portion of the report must contain sufficient information to support any large or unusual invoiced charges during the billing period.
- A Quarterly Progress Report must be submitted quarterly, even if no expenditures occur during the corresponding billing period.
- The final report describes how project goals and objectives have been fulfilled, summarizes and evaluates project activities and accomplishments, and includes recommendations for outreach and/or project expansion.

INVOICE SUPPORTING DOCUMENTATION

The supporting documentation (e.g., legible copies of required receipts) for the Grant Invoice provides the basis for maintaining auditable files by properly accounting for Grant fund usage. The Grant Administrator may request more detailed information to support items invoiced if deemed necessary.

The following documents may be used to support budget line item expenditures:

Personnel Services

Personnel Services consists of salaries and benefits for staff directly involved in the planning and implementation of the project. To be included as personnel, staff must receive their funds (salary, travel, operating expenses, or equipment) through the same organization as the principal investigator.¹³ If they cannot receive funds through the principal investigator’s organization, they are not considered personnel staff. They may still receive grant funds, however, if they are listed in the budget under Contracts. Personnel does not include office support staff involved in activities such as procurement, billing, accounting, and other administrative functions. Instead, those activities should be considered in the budget under Overhead.

¹² <http://www.cdpr.ca.gov/docs/pestmgt/grants/alliance/solicitation/attach2.pdf>

¹³ Exceptions may exist for federal agencies that establish Research Service Agreements (RSAs) with State Cooperative Institutions and other colleges or universities for the acquisition of goods and services.

Benefits are calculated as a percentage of salaries and may include contributions made for sick leave, retirement, insurance, or similar. These services must be broken down by classification or title, the annual wage (\$/year), the percent time (100% = full time, 40 hour work week), and the benefits as a percentage of salary for each fiscal year of the project. Factor in any annual salary or benefit increases.

- A summary of personnel expenses may be provided in Item 5 of the Quarterly Progress Report (Attachment 2).
- Employee timesheets
- Accounting Transaction ledgers.

Operating Expenses

Operating Expenses may include but are not limited to office supplies, in-house printing, postage, GAEL (General, Automobile, and Employee Liability), rent, and utilities.

- Legible copies of invoices, store receipts, and billing statements.
- Copies of rental agreements and supporting documents for rent and utilities must indicate the approved percentage charged to the Alliance Grant Program.

Travel

Travel includes the cost of lodging, transportation, subsistence, and other associated costs incurred by the principal investigator(s), management team, and team partners, excluding subcontracts, during the project term. Travel expenditures will be reimbursed at the rate allowed as specified in the Grant Agreement, Exhibit D, which reflects the current State Department of Personnel Administration Rules (<http://www.dpa.ca.gov/personnel-policies/travel/rules-for-represented-employees-menu.htm>).

- A completed Travel Summary Log ([Attachment 5¹⁴](#)) which shall include all supporting documentation (e.g., appropriate receipt copies) in excess of \$25.00. (Note: UC travel rates are reimbursed per SCM Section 3.18.)

Equipment

Equipment is defined as any durable, reusable item with residual value that costs over \$500. Equipment purchased with grant funds are the property of DPR and shall be returned to DPR at the end of the grant term.

- Approved in the original budget or with prior written approval of the Grant Manager.
- Purchase orders, invoices, and receipts.

Contracts

Written agreements between the Grantee and those providing a Professional and/or Consultant Service are necessary to complete the Grant project. All contracts, Memoranda of Understanding (MOU), Purchase Orders (PO), and Service Orders (SO) must include the following elements: (1) term dates, (2) maximum amount of dollars, (3) Scope of Work, (4) budget, and (5) signatures of both parties. The following must be submitted to DPR:

- Copy of executed contract, MOU, POs and SOs.
- Billing statements, invoices, and receipts.

Academic Remissions

Full or partial payment of required fees, tuition, or nonresident supplemental tuition can be covered by the grant funds for personnel with academic titles that are considered eligible for these remissions by their California academic institution. Remission amounts will be based on the policy and guidelines of the academic institution for the academic title.

- Billing statements, receipts, proof of eligibility.

¹⁴ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/alliance/solicitation/attach5.pdf>

Overhead

Overhead consists of a reasonable percentage of costs not directly related to project tasks and activities, but necessary to run your agency while completing your project. Such costs would be associated with activities including administrative support services, accounting support services, contract support services, and legal services. **Overhead must not exceed fifteen percent (15%) of the modified total direct cost (MTDC), which is the sum of the Personnel, Operating Expenses, and Travel line items. Contracts, Academic Remissions, or Equipment line items are not included in the MTDC.**

HELPFUL HINTS FOR SUBMITTING INVOICES

Listed below are some common problems that have caused delays in processing invoices. Careful review of the Grant Invoice and the supporting documents will help to eliminate delays.

Overspending a line item. Careful review of the line item allocation approved in the Alliance Grant Agreement and reflected on the Invoice can ensure that overspending does not occur.

Making incorrect calculations. Make sure that all expenditures are calculated correctly and that the dollar amount matches that of the supporting documentation.

Providing incorrect or inconsistent billing dates. Review the documents to make sure that the billing period is consistent with the Grant Invoice and supporting documentation.

Using the wrong invoice template. The Grant Administrator will provide a customized invoice template to the Principal Investigator and designated staff when the grant is executed. This is the only invoice template that will be accepted for reimbursement payments.

Providing insufficient supporting documentation. Documentation (e.g., receipts, invoices, contract copies) must accompany the Grant Invoices to support all charges over \$50. (Not applicable to UC.)

PROCESSING TIME

There is a 45-day turnaround for processing invoices for payment from the time the invoice is received by the Grant Managers. Invoice disputes may increase the 45-day turnaround time.

INVOICE DISPUTES CAN SUSPEND THE PAYMENT PROCESS

The 45-day processing time resumes when the dispute is resolved. The Grant Administrator along with the Grant Managers may issue an Invoice Dispute Notification Form (Attachment 4) when any of the following occurs:

- When the Grantee overspends a line item.
- When the Grantee provides insufficient documentation to support invoice charges.
- When the Grantee is in noncompliance with the agreement, which includes invoicing items not included on the Scope of Work or Budget without written Grant Manager approval.

INELIGIBLE PROJECT COSTS

Any expense not directly related to the Grant Project is ineligible. This includes, but is not limited to:

- Costs incurred before issuance to the Notice to Proceed or after the end of the grant term.
- Costs not included in the approved budget.
- Costs covered by another grant or contract.
- Overtime costs (except for local public agency staffing during specially scheduled evening or weekend events that are pre-approved in writing by the Grant Manager, when law or labor contract requires overtime compensation).
- Out-of-state travel.
- Any food or beverages (e.g., as part of meetings, workshops, training, or events).

- Costs not directly associated with the approved project.
- Profit or markup by the Grantee or partner.
- Purchase of cell phones, pagers, computers, personal electronic and/or digital assistive devices, and all Apple products.
- Overhead costs above fifteen percent (15%) of the [MTDC](#).
- Any costs that are not consistent with local, state, and federal guidelines, regulations, and laws.

GRANT PAYMENTS

All payment requests must include:

- An original Grant Invoice signed by the authorized individual.
- A completed Travel Summary Log, if requesting reimbursement for travel expenses ([Attachment 5](#)).
- Documentation supporting all claimed expenditures, legible copies of invoices, billing statements, and receipts for expenses of \$50.00 or more. (Not applicable to UC.)

ALL FORMS MUST HAVE ORIGINAL SIGNATURES IN BLUE INK

AUDIT/FISCAL REVIEW

An audit or fiscal review may be conducted by the Grant Administrator periodically during the term of the agreement. The focus will be to review original expenditure journals, transaction reports and/or other expenditure documents related to the project. Additional documents to be reviewed may include:

- Personnel Services reports
- Procurement receipts
- Billing statements
- Contract invoices
- Travel claims

PROJECT COMPLETION

Grant closure will occur: (1) upon the determination by the Grant Manager that all requirements of the Grant have been satisfactorily completed, or (2) the end of the Grant term, whichever comes first. The final report shall be approved before the final payment request is forwarded to the State Controller's Office for payment.

EXCEPTIONS TO THESE ADMINISTRATIVE PROCEDURES AND REQUIREMENTS

Any exceptions to these *Administrative Procedures and Requirements* must be requested and approved in writing by the Grant Manager before any grant fund expenditures. The request will be reviewed and a determination made as soon as possible, usually within ten (10) working days of receipt of the request.

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PART 4 | GLOSSARY OF TERMS

ACADEMIC REMISSIONS: Full or partial payment of required fees, tuition, or nonresident supplemental tuition can be covered by the grant funds for personnel with academic titles that are considered eligible for these remissions by their California academic institution. Remission amounts will be based on the policy and guidelines of the academic institution for the academic title. Academic remissions are **not** considered part of the Modified Total Direct Cost base upon which indirect costs are calculated.

ADJUSTMENT: A minor change to an executed grant agreement not requiring a formal amendment. An adjustment may constitute the summation of all adjustments totaling ten percent (10%) or less of the Alliance Grant award (e.g., transferring funds between line items), or changes in contact information. An adjustment must be pre-approved in writing by the Grant Manager.

AMENDMENT: A formal change to an executed grant agreement, such as the term dates, scope of work, or due dates. An amendment is needed to move funds between line items totaling more than ten percent (10%) of the Alliance Grant award. An amendment must have written approval from the Grant Manager, and must be executed by the signatories for both the Department and the Grantee.

APPLICANT: A qualified group requesting funds to implement proposed IPM Projects in California. Applicants can be from public or private institutions (e.g., commodity boards, licensed pest control businesses, school districts, or resource conservation districts).

BUDGET: A detailed itemization of all eligible costs required to complete the grant project that delineates grant funds requested.

CONTINGENCY: Dependent upon conditions or events not yet established.

CONTRACT: Written agreements between the Grantee and those providing a Professional and/or Consultant Service when necessary to complete the Grant project.

DESIGNATED SIGNATORY: The individual(s) authorized to sign the grant application, the Grant Agreement, and other grant-related documents. Such authority may require a resolution by the local political subdivision's board or council.

DIRECT COST: Eligible costs specifically associated with implementation of the grant project.

ELIGIBLE COSTS: Costs included in the approved budget and incurred within the grant term.

ENDORSEMENT: Written approval or validation.

EQUIPMENT: The term equipment, in relation to the Grant Agreement or line item budget, refers to any single piece of durable and reusable equipment item costing \$500 or more with residual value. Equipment purchased with grant funds are the property of DPR and shall be returned to DPR at the end of the grant term.

ESTIMATE: A written statement of the approximate charge for the grant work proposed, submitted by an individual or company ready to undertake the work.

EVALUATION: Assessment methods used to measure the success of the grant project.

GRANT ADMINISTRATOR: A person designated by the Department who is responsible for the administrative aspect of the grant agreement. The Grant Administrator, along with the Grant Manager, will review, approve, facilitate payment, and track funds expended per line item.

GRANT AGREEMENT OR GRANT: The legally binding document enumerating the rights and duties of the Department of Pesticide Regulation and the Grantee regarding the Pest Management Alliance Grant. The document consists of a cover sheet, *Terms and Conditions, Procedures, and Requirements*, the Grantee's approved scope of work and budget, and attachments, and is signed by the Grantee's designated signatory and the Director of the Department of Pesticide Regulation or his or her designated signatory.

GRANT AWARD: Amount of money awarded by the Department to complete the proposed grant project.

GRANT FUNDS REQUESTED: The total number of dollars requested from the Pest Management Alliance Grant to conduct a project.

GRANT MANAGER: The Grant Manager's role is to provide support and technical oversight for grant projects as well as actively participate as a member of the Alliance Team. Along with the Grant Administrator, the Grant Manager will review and approve project expenditures.

GRANTEE: The organization receiving an award from the Department to conduct an Alliance Grant project.

INELIGIBLE COSTS: Includes but is not limited to costs incurred before the Notice to Proceed, after the end of the grant term, and costs not included in the approved budget or specifically listed in the Grant Agreement under *Ineligible Project Costs*.

LETTER OF SUPPORT: A letter written by businesses, organizations, or community members stating their support of and involvement in the applicant's proposed project.

IN-KIND SERVICES: Project activities by team members that have been approved by their employers to be compensated with existing employer funds at the time of proposal submission.

Allowed:

- Personnel time given to project by team members.
- Use of team member's existing equipment or facilities.
- Donation of materials by team members.

Not allowed:

- Project tasks that are simultaneously funded by more than one source.
- Project tasks reliant on labor or outcomes of activities that are not part of the DPR-funded project.

MATCHING FUNDS: Funding provided by the Grantee or the Grantee's organization. This does not include third party funding. DPR does not allow matching funds. Projects must be stand-alone (see footnote 3)

MANAGEMENT TEAM: The group that meets regularly to make decisions about the project. The ideal management team is a diverse group that can collectively address all aspects of the pest management project.

MODIFIED TOTAL DIRECT COST (MTDC): The sum of the Personnel, Operating Expenses, and Travel line items.

NOTICE TO PROCEED: The formal letter from the Department authorizing the Grantee to start work on the grant project.

OPERATING EXPENSES: Includes but is not limited to printing, postage, office supplies, and equipment of a durable/re-usable nature costing less than \$500.

OVERHEAD COSTS: Expenditures that cannot be assigned to a particular task or project activity, but are considered necessary for the operation of the organization and the performance of the grant such as

administrative support services, accounting support services, contract support services, and legal services. Overhead must not exceed fifteen percent (15%) of the MTDC.

PERSONNEL: Personnel is defined as the staff directly involved in the planning and implementation of the project. To be included as personnel, staff must receive their funds (salary, travel, operating expenses, or equipment) through the same organization as the principal investigator¹⁵. If they cannot receive funds through the principal investigator's organization, they are not considered personnel staff. They may still receive grant funds, however, if they are listed in the budget under Contracts. Benefits for personnel are calculated as a percentage of salaries and may include contributions made for sick leave, retirement, insurance, or similar. Personnel costs do not include administrative support services, accounting support services, contract support services, legal services, or salaries for office support staff involved in activities such as procurement, billing, accounting, and other administrative functions. Instead, those activities should be considered in the budget under Overhead.

PEST MANAGEMENT ADVISORY COMMITTEE (PMAC): A broad group of stakeholders established in law (Food & Agr. Code, § 12536) to advise the Department on pest management issues. It is comprised of growers, processors, industry, public interest groups, public and private research and educational institutions, government agencies, and individuals knowledgeable about pest management.

PRINCIPAL INVESTIGATOR: An employee designated by the Grantee's organization, responsible for the management of the technical and administrative aspects of the Grant Agreement. The Principal Investigator is ultimately responsible for the completion of the project and adhering to the terms of the agreement.

PROFESSIONAL AND CONTRACTUAL SERVICES (CONTRACTS): Budget line item used when the grant recipient contracts out services that require a recommended course of action or personal expertise needed to complete project tasks, including team members paid through a different organization than applicant) (see entry 'Contract').

PROJECT COST: All costs incurred by the Grantee in performing the grant project. (The Alliance Grant will only reimburse eligible costs incurred by the Grantee.)

PROJECT SITE: A physical location associated with, and necessary to, carry out a project objective.

REASONABLE COSTS: Moderately priced for the geographical location.

REPORTS:

QUARTERLY PROGRESS REPORT (ATTACHMENT 2)—A one- to two-page summary of work completed in the previous quarter (three month period) that includes an indication of the state of completion (percentage) of all the tasks listed in the Scope of Work, a discussion of anticipated accomplishments for the next reporting period, a description of any changes in personnel, and a discussion of problems or special situations encountered during the reporting period and the Grantee's response to those problems or situations. Additional information may be requested by the Grant Manager.

ANNUAL PROGRESS REPORT—A detailed description of all work to date, progress on each task in the work plan, and projections and updated timelines.

FINAL REPORT—Details that were appropriate for annual reports but not previously reported; an explanation of all project activities and accomplishments and how they met the project's goals and objectives; recommendations for future outreach; and a copy of all final public education, advertising, or promotional materials produced, purchased, and/or distributed with grant funds.

¹⁵ Exceptions may exist for federal agencies that establish Research Service Agreements (RSAs) with State Cooperative Institutions and other colleges or universities for the acquisition of goods and services.

RESOLUTION: A formal authorization by the local political subdivision with authority to participate in, or apply for, and accept this grant, as applicable.

RÉSUMÉ OR CURRICULUM VITAE: A brief, written account of personal, educational, and professional qualifications and experience.

SCOPE OF WORK: The detailed listing of all tasks and subtasks necessary to complete the proposed grant project.

SIGNATORY AUTHORITY: The person duly authorized and empowered to execute in the name of the applicant all grant-related documents.

TARGET GROUP: Typically a small group (e.g., local growers in a statewide commodity, local golf course association, city parks and recreation department, or regional water quality coalition) of a larger related group that will be the target of project activities and that will be used to measure project success.

TASKS: The specific activities conducted to complete a grant project.

TEAM PARTNERS: Those involved in the activities of the Alliance Grant project but not part of project management.

THIRD PARTY FUNDING SOURCE: Funding provided by a source other than the Grantee or the Grantee's organization.

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