## 2022 ALTERNATIVE MANURE MANAGEMENT PROGRAM

The 2022 Alternative Manure Management Program is funded by the California State Budget General Fund



## GRANT AWARD PROCEDURES MANUAL



California Department of Food and Agriculture Office of Environmental Farming and Innovation 1220 N Street Sacramento, CA 95814 cdfa.oefi\_ammp\_tech@cdfa.ca.gov

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## **General Information**

## Program Purpose and Authority

The <u>2022 Alternative Manure Management Program (2022 AMMP)</u> provides financial assistance for the implementation of non-digester manure management practices in California, which will result in reduced greenhouse gas emissions.

The <u>Budget Act of 2021</u> (SB 170, Chapter 240) appropriated \$32 million dollars from the California State Budget to the California Department of Food and Agriculture (CDFA) for methane emissions reductions from dairy and livestock operations.

The 2022 AMMP Grant Award Procedures (GAP) manual is designed to provide direction to Grant Recipients (Recipients) for the successful management and completion of Alternative Manure Management Program funded projects. The GAP manual identifies roles and responsibilities of all parties, and describes the processes and procedures required by the terms and conditions in the Grant Agreement.

## **General Responsibilities**

### California Department of Food and Agriculture

The CDFA <u>Office of Environmental Farming and Innovation (OEFI)</u> oversees the 2022 AMMP Recipient Grant Agreements. The OEFI is responsible for monitoring Recipients to ensure compliance with program requirements and grant terms and conditions. The OEFI will provide Recipients with on-going assistance and consultation throughout the duration of the project term. The OEFI is also responsible for conducting verifications for the projects.

#### **Grant Recipients**

Recipients are responsible for project implementation as outlined in the Grant Agreement Scope of Work (SOW). Further, Recipients must ensure all project activities, including contractor/consultant activities, are compliant with applicable federal, state, and local laws, regulations, and ordinances set forth in the Grant Agreement terms and conditions. Moreover, Recipients are responsible for obtaining and maintaining all necessary permits, licenses, agreements, and approvals for the construction, operation and maintenance of projects.

Recipients are responsible for submitting timely and accurate invoices and reports during the project term. Additionally, Recipients must maintain clear and consistent communication regarding project progress status throughout the grant term, particularly if problems or issues arise resulting in project delays. Upon discovery of problems and/or delays, Recipients must notify the CDFA OEFI Grant Analyst immediately for purposes of resolving such problems and/or delays.

Recipients may be required to provide specific requested documentation related to the project as CDFA deems necessary.

To demonstrate the estimated benefits from 2022 AMMP awarded projects, Recipients are expected to report to CDFA Greenhouse Gas (GHG) emissions reduction data for five (5) years after implementation of the manure management practice. Refer to <u>Post-Project Completion Requirements</u> for detailed information regarding reporting requirements after project implementation.

## **Required Forms**

Forms and templates referenced in this manual will be provided by the assigned CDFA OEFI Grant Analyst. Forms can also be requested through email, or may be found at <a href="https://www.cdfa.ca.gov/forms/#oefi">https://www.cdfa.ca.gov/forms/#oefi</a>. This document (the GAP Manual), and the 2022 AMMP Request for Grant Applications are available at <a href="https://www.cdfa.ca.gov/oefi/AMMP/">https://www.cdfa.ca.gov/forms/#oefi</a>. This document (the GAP Manual), and the 2022 AMMP Request for Grant Applications are available at <a href="https://www.cdfa.ca.gov/oefi/AMMP/">https://www.cdfa.ca.gov/forms/#oefi</a>.

## Assistance

A CDFA OEFI Grant Analyst (Grant Analyst) is available to answer questions regarding program requirements and Grant Agreement terms and conditions. Recipients should contact their assigned Grant Analyst at cdfa.oefi\_ammp\_tech@cdfa.ca.gov for assistance with grant management.

## **Prior Approval Required**

Prior approval is required from CDFA for material revisions, including, but not limited to:

- Revision of the SOW, work plan, objectives, activities, milestones, dates or deliverables
- Line item shifts (i.e., budget revisions)
- Change in Recipient organization or key project team members, including contractors that were named in the original SOW, work plan, or budget

Recipients should contact their assigned Grant Analyst in writing whenever a change requiring prior approval is necessary or if they are uncertain whether a project activity or cost requires prior approval. Failure to obtain prior approval may result in costs being deemed unallowable and requests for reimbursement being denied.

#### IMPORTANT!

Once a project has been submitted to the AMMP electronic application submission platform and awarded funds, the project must not:

- Change or alter the proposed manure management practice to be implemented as it may change the GHG estimates.
- Change the herd size beyond the limits established by the operation's existing permits at the time of application during the project term.
- Change construction or design of buildings such that number of animals in the project boundary are impacted, resulting in a change in estimated GHG reductions.
- In the event the grantee enters into negotiations for the sale of the dairy
  or livestock operation for which a grant was awarded, the grantee shall
  disclose said negotiations to the CDFA immediately. The grant shall not be
  assigned to the purchaser, unless approved by the CDFA pursuant to
  any/all terms and conditions the CDFA deems necessary. Should the
  grantee or purchaser refuse to comply with the terms and conditions set
  forth by the CDFA or the grantee sells the dairy livestock operation that
  was the subject of the grant award without approval from the CDFA, the
  grantee shall return all grant monies to the CDFA immediately.

# Project Management

Recipients are responsible for the overall management of the project, ensuring all project activities are completed as identified in the Work Plan and follow program requirements and the Grant Agreement terms and conditions.

## **Project Communication**

Recipients are required to maintain clear and consistent communication with OEFI regarding project progress during the Grant Agreement term. This includes but is not limited to:

- Notification of changes to project implementation, timelines, contractors (reference <u>Scope of Work Revisions</u>)
- Notification of issues affecting project progress (reference <u>Notification of</u> <u>Problems and Delays</u>)
- Responding to requests for project status updates and revised work plans

## Allowable Costs

A cost is allowable if it directly relates to project implementation of the nondigester manure management practice(s) and nutrient management technologies (if applicable), and is incurred solely to advance work under the Grant Agreement SOW. Allowable costs may include supplies and materials, equipment, and contractor/consultant services, and other costs associated with implementation of a non-digester manure management practice as described below:

- Supplies: Supplies and materials are items with an acquisition cost less than \$5,000 per unit and have a useful life of less than one year.
- Equipment: Equipment is an article of nonexpendable, tangible personal property and has a useful life of more than one year, and a purchase cost which equals or exceeds \$5,000 per unit.
- Contractor: Contractor cost are limited to labor to install the project. Contractor cost must be for a specific and identifiable service that is directly related to project implementation. Compensation for individual contractor fees must be reasonable and consistent with fees in the marketplace for the same or similar services. Costs in this category must not exceed 25% of total amount requested.
- Design and engineering: Design, engineering, consulting and permit costs specifically related to the implementation of the proposed manure management practice(s) incurred during the grant agreement term. Compensation for design and engineering fees must be reasonable and

consistent with fees in the marketplace for the same or similar services. Costs in this category must not exceed 5% of the total amount requested.

• Other Costs: Other direct costs and expenses for implementing the project not covered in any of the previous categories.

Expenditures must conform to the 2022 AMMP requirements (refer to the <u>2022</u> <u>Request for Grant Applications</u>), be made in compliance with federal and state laws and regulations as applicable, and be:

- Necessary and reasonable for proper and efficient performance and administration of the project.
- Easily identifiable to a specific project activity and tracked separately from other funding sources.
- Determined in accordance with generally accepted accounting principles.
- Authorized or not prohibited under federal, state, and local laws, regulations, and ordinances.

Allowable costs must be documented, reasonable, and allocable to the project. 2022 AMMP project costs must be incurred for the purpose for which the funding was granted and charged to the award on a specifically calculated basis. All project expenses billed to the 2022 AMMP project must maintain all documents including, but not limited to invoices, receipts, and agreements. In addition, 2022 AMMP project expenses must be necessary for award performance, as well as prudently incurred.

### **Unallowable Costs**

A cost is unallowable if it does not comply with program requirements or other terms and conditions in the Grant Agreement. A cost is also unallowable if it: (1) is covered by another Federal or State grant program; and (2) is not directly related to the implementation of a manure management practice and nutrient management technologies (if applicable). Unallowable costs will not be reimbursed. Questions regarding allowable costs should be directed to the assigned Grant Analyst.

Unallowable expenses may include, but are not limited to:

- Costs incurred outside of the grant agreement term.
- Costs for repairs and spare parts.
- Pre-development costs, including but not limited to: application preparation, permits obtained prior to the grant agreement term, project designs, and any other activities that contributed to a project's readiness.

- Costs associated with CEQA environmental review, such as preparation of Environmental Impact Reports.
- Costs associated with the five years of post-project reporting.
- Costs associated with purchasing general purpose equipment (e.g., tractors, loaders) that will be used primarily for non-manure management practices/activities.
- Non-labor cost (e.g., management) and fees associated with project oversight and coordination.
- Consulting fees not directly related to project implementation.
- Direct and/or indirect expenditures for purchasing or leasing land and/or buildings, including costs associated with land use or loss of agricultural production.
- General costs associated with grant management (e.g., invoicing, reporting, oversight, ordering equipment).
- Costs associated with travel (e.g., hotels, flights, per diem).
- Purchase of dairy manure (tipping fees) or other feedstock.
- Costs not supported with adequate documentation.

## Cost Share

Cost share can be in the form of matching funds or in-kind contributions, and includes project costs (i.e., supplies, equipment, and contractor/consultant labor cost/hour, and any other necessary costs) incurred by the Recipient that directly support project implementation. Matching funds (cash contributions) are the amount of funds contributed by the Recipient to the project and not borne by the AMMP grant. In-kind contributions include contributions by the Recipient in the form of contractor/consultant (labor) involved with project installation and donated supplies and/or equipment necessary to implement the project.

## Contractors/Consultants

Recipients may contract for services that cannot be performed by staff employed by the Recipient. Generally, these services are for a short-term period and provide a specific and identifiable product or service.

Recipients are responsible for ensuring their contractors/consultants comply with all applicable federal, state, and local laws, regulations and ordinances. Moreover, all contractors/consultants must have the proper licenses/certificates required for their respective disciplines. Contractor invoices shall include sufficient detail and information so CDFA can make a determination that the expenditures invoiced are deemed reasonable and allowable under the approved SOW and Budget. In the event the contactor outsources to a subcontractor for a specific product and/or service, supporting subcontractor invoices must also include detailed itemization to ensure that only actual expenses are charged to grant funds.

If adding or changing a contractor/consultant, Recipients must provide reasonable notice to the Grant Analyst.

## Timekeeping Requirements

Activity reports or timesheets must be submitted to support salary and wage expenditures charged to 2022 AMMP grants. Each report must account for the total activity for which each employee is compensated, as well as hours worked on a particular 2022 AMMP grant project, include dates (or date range) and a description of activities performed with enough detail to determine whether the activity is project related. Costs not supported by timekeeping requirements are potentially unallowable.

## Permits, Licenses, Agreements, and Approvals

Recipients must obtain and maintain any and all permits, licenses, agreements, and approvals required for the project.

Recipients are required to notify the Grant Analyst in writing regarding the status of all necessary permits, licenses, agreements, and approvals. Furthermore, once permits, licenses, agreements, and approvals are issued, the Recipient is required to provide a copy to the Grant Analyst.

Recipients must demonstrate compliance with the California Environmental Quality Act (CEQA) and all applicable permits within six (6) months of the execution of the grant agreement.

If there are issues or unforeseen circumstances resulting in delays in obtaining required permits, licenses, agreements, or approvals, Recipients must notify the Grant Analyst immediately in writing.

## **Notifications of Problems and Delays**

Upon discovery of problems, delays, or adverse conditions that will materially affect project implementation, Recipient must immediately notify CDFA in writing. Examples include, but are not limited to:

- Inability to complete any portion of the project installation according to the Grant Agreement SOW.
- Inability to obtain the necessary permits or licenses to implement a manure management practice.

- Substituting supplies, materials, or equipment identified in the Budget Worksheet.
- Change in project technologies.
- Inability of contractor/consultants to perform work resulting in activities delayed or eliminated.

## Scope of Work Revisions

Scope of Work revisions may be required when project modifications are essential to complete project implementation. Requests for revisions must be made by using a <u>Project Modification Request Form</u>, and must provide detailed information explaining the need and how the change affects the estimated project GHG emission reductions and directly and/or indirectly the project implementation.

Examples of project changes requiring a SOW revision include but are not limited to:

- Change in project design
- Modifications or material changes to any technical aspect of a project
- Addition or deletion of activities or deliverables outlined in the Work Plan
- Budget revisions
- Change of Recipient organization name or organizational status
- Changes in the status of the Project Manager, such as withdrawing from the project entirely, being absent during any continuous period of three months or more or reducing the time base by 25% or more
- Changes to project partners and/or project team members, including contractors that were named in the original SOW, work plan, or budget.

Recipients must obtain approval from CDFA before proceeding with revision to the SOW. Changes that result in a lower estimated projected project GHG emission reduction may not be approved.

For detailed instructions on completing the Project Modification Request Form, refer to <u>Appendix C.</u>

### **Budget Revisions**

For SOW revisions that also require adjustments to the Budget Worksheet, a Line Item Shift Request (LISR) using the <u>Project Modification Request Form</u> must be submitted in advance for CDFA approval. Follow instructions under <u>Financial</u> <u>Management – LISR</u> section to request a budget revision.

The LISR must be accompanied by a revised Budget Worksheet. A total project budget cannot be increased or decreased through this process.

## **Financial Management**

Recipients are accountable for all grant funds awarded and must ensure all funds are used solely for their authorized purposes. Recipients must maintain financial supporting documentation (i.e. receipts, invoices) for all project expenditures. Accordingly, Recipients must provide financial supporting documentation for expenditures submitted to the Grant Analyst for reimbursement.

## **Advance Payments**

Recipients may be eligible to receive a one-time advance payment up to 25 percent of the total grant award to begin project implementation. Requests must be submitted using the Advance Payment Request form. In addition, Recipients are required to provide an estimate or quote documenting the project costs from their approved budget that will need to be funded in order to begin project implementation. These costs cannot have already been incurred prior to the start date of the grant agreement term.

The advance payment must be fully expended within a three-month period. All remaining funds will be allocated on a reimbursement basis.

### Advance Payment Request Process

- Estimate the advance amount needed for up to a three-month period.
- Submit an Advance Payment Request with justification (e.g. low cash flow, major equipment purchase, contractor down payment), and associated supporting documentation to the Grant Analyst at cdfa.oefi\_ammp\_tech@cdfa.ca.gov.

For detailed instructions on completing the Advance Payment Request, refer to <u>Appendix A</u>.

To invoice against the advance payment, follow instructions under <u>Invoices -</u> <u>Completing an Invoice</u>. The invoice template provided will automatically calculate the amount to be paid less the advance payment amount.

### Invoices

#### **Reimbursement Payments**

Recipients submit invoices to the Grant Analyst for reimbursement of actual expenditures incurred (i.e. paid for by recipient prior to reimbursement) to implement their project. Invoices must be submitted quarterly and include all financial supporting documentation to substantiate 2022 AMMP expenses.

Reimbursements must be requested on the invoice template provided by the Grant Analyst. A scanned, legible copy of the signed invoice or a signed digital invoice should be emailed to the Grant Analyst at cdfa.oefi\_ammp\_tech@cdfa.ca.gov.

#### When to Submit Invoices

Invoices are due no later than 30 days after the quarterly invoice period and are required regardless of whether or not project costs are incurred during the invoice period. The quarterly invoice periods are:

Quarterly Period	Invoice Due
January 1 – March 31	April 30
April 1 – June 30	July 31
July 1 – September 30	October 31
October 1 – December 31	January 31

Final invoices are due no later than 30 days following the expiration of the Grant Agreement term or after the project is complete, whichever comes first.

Invoices and financial supporting documentation submitted to the Grant Analyst will be reviewed for completeness and accuracy. The Grant Analyst will promptly notify the Recipient of any incompleteness or deficiencies which appear on the invoice. Once the incompleteness or deficiencies are corrected, the Grant Analyst will process the invoice for payment. It may take up to 45 days from the date the invoice is approved for a payment check to be issued by the State Controller's Office.

#### Completing an Invoice

#### Request for Reimbursement Invoice

The Grant Analyst initiates each invoice cycle by generating an electronic invoice template. The Grant Analyst emails Recipients an invoice template with the Grant Agreement Number, Recipient Name, Project Title, Invoice Number, and the Project Budget Entered. Recipients complete the following and return to the Grant Analyst:

- Billing Period Month/year when costs occurred
- Amount Requested Dollar amount requested by budget category. Recipients should refer to the project's approved Budget Worksheet; reimbursement for project expenditures is based on these budget categories and amounts.

- Preparer's Signature Signature, phone number, email address of preparer and date prepared
- Authorized Signature (individual authorized on the Grant Agreement) Signature, phone number, email address of the authorized representative

For detailed instructions on completing the CDFA invoice template, refer to <u>Appendix B</u>.

#### No Expenditure Invoice

If no expenses were incurred during the quarter/billing period, the Recipient checks the "NO EXPENDITURES" box, signs, dates, and returns the invoice to the Grant Analyst. No Expenditure invoices must be accompanied by an explanation of why costs were not incurred during the billing period.

#### Final Invoice

Recipient marks "Final Invoice" in the Invoice Number area, indicating all payment obligations have been met and no further payments are due. Any remaining balance will revert back to CDFA after project close out.

#### **Proof of Expenditures**

Recipients must submit a Proof of Expenditures form with the CDFA invoice template to the Grant Analyst when requesting reimbursement. The Proof of Expenditures form must include reference to all financial supporting documentation (e.g., invoices, receipts for expenses incurred) to substantiate project expenditures. Personal checks containing confidential and sensitive information such as routing and account numbers should not be submitted as a form of supporting documentation.

Recipients complete the following in the form and return to the Grant Analyst:

- Budget Category: Itemize project expenditures into the applicable budget category (refer to project's approved Budget Worksheet).
- Invoice Number: All itemized expenditures and matching funds activities (if applicable) must correlate to a project invoice.
- Description: Provide a brief description of the quantity or service.
- CDFA Reimbursement, Matching Funds (if applicable): Dollar amount contributed for each project cost.

## Line Item Shift Request

When adjustments to the project result in the need to shift funds from one budget line item to another, Recipients are required to complete and submit to the Grant Analyst a Line Item Shift Request (LISR) using the <u>Project Modification Request</u> <u>Form</u>. All un-shaded areas of the LISR on the Project Modification Request Form should be completed. Recipient must enter the following:

- Enter the current approved budget values (these amounts should be taken from the most recent approved invoice, Project Budget column).
- Enter the amount of funds shifted from a budget category as a negative by using brackets "()", and the amount of funds shifted to a budget category as a positive amount by using the plus sign "+". The revised budget will automatically be calculated.

The LISR must be accompanied by a revised Budget Worksheet. The total project budget cannot be increased or decreased through this process.

### Withholds

#### Withhold Payment Notification

Upon discovery of an invoice discrepancy or material issues adversely affecting project implementation, the Grant Analyst will issue a Withhold Payment Notification (Notification) to delay payment of an invoice. The Notification describes the reason for withholding payment and what actions may be required. Within ten (10) calendar days from receipt of the notice, the Grant Analyst will contact the Recipient for purposes of resolving any issues. Invoices are processed once all issues are resolved.

#### Withhold Pending Closeout

CDFA will withhold 10% of the Grant Agreement award until approval of the Final Invoice and completion of the project's Final Verification, and/or resolution of any performance issues or audit findings.

#### **Suspension of Payments**

If a Recipient is not compliant with the Grant Agreement terms and conditions, CDFA may suspend reimbursement. Upon discovery of any violations of the Grant Agreement terms and conditions, Recipient will be advised in writing of the terms breached and the reasons for imposing suspension of payments.

A determination of breach may be appealed in writing either mailed to:

#### California Department of Food and Agriculture Attn: Legal Hearing and Appeals Office 1220 N Street, Suite 400 Sacramento, CA 95814

#### Or via email to: CDFA.LegalOffice@cdfa.ca.gov

The appeal must include a copy of the notification or the name of the Recipient organization, the grant agreement number, the title of the project, the reasons the action should not be imposed, including any documentation to support the appeal, and the signature of the authorized representative. Appeals must be postmarked (date stamped if via email) within 10 calendar days of the date of the notification of the action from OEFI. Appeals not received within this timeframe will be denied. The action specified in the notification remains in effect while the appeal is under review.

# Reporting Requirements

## **Final Verification**

Recipients must notify their assigned Grant Analyst in writing that the project implementation is complete. Once OEFI is notified that projects are complete, an OEFI Environmental Scientist or representative will contact Recipients to schedule a site visit to complete the verification requirement. CDFA may also perform the verification remotely, using methods including but not limited to project photographs and video conferencing. The purpose of the final verification is to verify proper completion of the project according to the approved SOW and summarize project accomplishments, including estimated GHG reductions for the entire project, quantifiable improvements in air and water quality resulting from the project, and any additional co-benefits achieved during the grant term.

## **Post-Project Completion Requirements**

2022 AMMP recipients are expected to provide data to CDFA for five (5) years after the end of the project term and/or the alternative management practice becomes operational. The purpose of such follow-up reporting is to demonstrate the long-term success of 2022 AMMP projects by documenting the project data.

After the practice becomes operational, CDFA will work with Recipients to collect data and to validate initial project estimations. Recipients are required to determine and report project GHG emission reductions consistent with guidelines in the <u>CARB Compliance Offset Protocol – Livestock Projects</u>.

Recipients will be required to collect data and submit reports to CDFA on an annual basis for a period of five years to support GHG quantification. Reporting may include, but is not limited to:

- Weeks per year livestock spent at pasture before and during reporting period.
- Confirmation that solid separation or dry scrape technology, or compost bedded pack barn, is operational and being utilized; information on frequency of use or barn management.
- Amount of compost produced (short tons/year).
- Explanation of project co-benefits achieved, and description of efforts planned or in place for sustaining the project's co-benefits.
- Explanation of economic benefits (including but not limited to number of jobs provided, average wages and benefits) achieved and description of efforts planned or in place for sustaining the project's economic benefits.

## Compliance Reviews

CDFA can conduct a Financial Audit and/or Critical Project Review upon reasonable notice at any time during the project term. The purpose is to review financial records and project documentation to ensure 2022 AMMP funds are used for their intended purpose and the project is meeting the deliverables as approved in the SOW, specifically relating to the Work Plan and Budget.

## **Financial Review**

All invoices submitted to the Grant Analyst are subject to a financial compliance desk review by a CDFA auditor. The purpose is to review financial records and documentation to ensure 2022 AMMP funds are used for their intended purposes in compliance with the GAP manual as well as the Grant Agreement terms and conditions. Documentation may include, but is not limited to, invoices/receipts for operating costs, contractor/consultant invoices and agreements, timesheets and payroll records, and permitting fees.

## Project Closeout

Before the Grant Agreement is closed, OEFI will review the project's verification report and final invoice, and ensure resolution of any project concerns. CDFA will withhold 10% of the Grant Agreement amount pending project verification and resolution of any issues. A closeout letter and final payment will be issued when closeout review and any needed resolution is complete.

## **Record Retention**

Recipient must retain supporting financial records, project records, and any other relevant supporting documents for a period of three (3) years from the date the Grant Agreement is closed or until final resolution of any litigation related to the grant.

Records that must be retained include:

- Actual expenditure invoices of supplies and materials and equipment charged to grant fund;
- Contractor/Consultant reimbursement claims for work performed on the project;
- Permits, licenses, approvals and agreements obtained for project implementation;
- All other supporting financial documentation related to the Grant Agreement.

## Appendix A: Advance Payment Request

Cdfa Alternativ	e Manure Mar dvance Paym	nagement Prog ent Request	ıram 🔽
Submit To: STATE OF CALIFORNIA California Department of Food and Ag Office of Environmental Farming and 1220 N Street, Room 162-1 Sacramento, CA 95814 Attn: OEFI/AMMP		Make Check Payat ABC Dairy, Inc Address City, State, Zip Attn:	ble To:
Rev. 02/2020 The Advance Payment Request may t COMPLETE ITEMS 1-10 BELOW	EXAMPLE		
1. GRANTEE NAME (AS IT APPEARS ON C		2. GRANT AGREEMEN	T# 3. ADVANCE PAYMENT
ABC Dairy, Inc	SIV WIT AGREEMENT)	22-XXXX-XXX-SO	REQUEST# 1
4. PROJECT END DATE	5. ADVANCE PERIOD		6. AMOUNT REQUESTED
12/31/2024 (mm/dd/yy)	From 02/23 throu	gh 04/23 (mm/yy)	\$ 85,000.00
Down payment necessary for major equipm 8. PRINT NAME AND TITLE OF AUTHOR			
9. AUTHORIZED SIGNATURE		10. DATE	
	CDFA USE	<u>ONLY</u> :	
	APPROVED FOI		
\$ , AMOUNT PAYABLE		STATE FISCAL YEAR	
PROGRAM CODE		PROGRAM COST ACCT (PCA	)
ACCOU		OBJECT CODE	
SUPPLIER ID		VEN	
CDFA Authorized Approver CDFA Au	thorized Signature	Date	Grant Specialist Initials Date

OEFI-007

#### **CDFA Advance Payment Request Template Instructions and Definitions**

Recipients must complete items 1-10 identified on the CDFA Advance Payment Request template. The following provides definitions and instructions on completing specific sections of the CDFA Advance Payment Request template to receive a onetime advance payment to cover anticipated project expenditures at the start of the project implementation. The advance payment may not exceed 25 percent of the total award and must be expended within a three-month period. For questions regarding and assistance with completing this template, Recipients should contact their assigned Grant Analyst.

Item 4 - Project End Date: The end date of the current project term.

**Item 5 - Advance Period**: The three-month period during which the advance payment is to be expended. The anticipated time frame should account for the processing period (i.e., should begin at least 45 days after the time of request submission).

Item 6 - Amount Requested: The advance payment may not exceed 25 percent of the total award.

Item 7 - Justification for Request: Examples of advance payment request reasons low cash flow, major equipment purchase, etc.

**Items 8,9,10 - Authorized Signature**: An authorized representative of the operation (Recipient) must print their name and sign on the "Authorized signature" line to certify the amount requested for advance period. OEFI will not approve an Advance Payment Request without the Recipient signing as the "Authorized signature." The form has been created to allow for electronic signatures. This method is preferred when submitting forms for processing.

## Appendix B: CDFA Invoice Template

Bill to: STATE OF CALIFORIA CA DEPARTMENT FOOD & AGRICULTURE OFFICE OF ENVIRONMENTAL FARMING AND INNOVATION 1220 N STREET, ROOM 162-1 SACRAMENTO, CA 95814 GRANTS INVOICE Rev. 32021	Climate Smart Agric	IVOICE ulture Technical Assistance PLE ONLY	e ABC Da Address	neck Payable to: i <b>ry Inc</b> te, Zip Code
Grant Agreement Number: <u>22-XXXX-000-SO</u>	Billing Period:	Invoice Date:	Invoice N	umber: 22-XXXX-XXX-SO-1
Recipient's Name: <u>ABC Dairy Inc</u>				
1 Project Budget	8	Invoiced to Date	mount Requested 7	Remaining Balance
1 PERSONNEL a) Salaries & Wages b) Fringe Benefits	\$0.00 \$0.00	\$0.00 \$0.00	\$0.00 \$0.00	\$0.00 \$0.00
2 OPERATING EXPENSES a) Supplies b) Special Purpose Equipment c) Travel	\$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00
3 CONTRACTORS/ LABOR COSTS	\$0.00	\$0.00	\$0.00	\$0.00
4 OTHER DIRECT COSTS	\$0.00	\$0.00	\$0.00	\$0.00
5 INDIRECT COSTS	\$0.00	\$0.00	\$0.00	\$0.00
Totals:	\$0.00	\$0.00	\$0.00	\$0.00
Funds to be withheld Until Project Completion and Vent Matching Funds to Date:  Approved Line Item Shifts:  0	n/A	Less Remaining Advance: Amount to be Paid:	5 \$0.00 9	
0 I certify the amount requested is for	or actual and allowable expenditures incur	red for project activities performed in a	ccordance with the Grant Agree	ment provisions.
PREPARER'S SIGNATURE	PHONE NUMBER	E-MAIL ADDRESS		DATE
_×AUTHORIZED SIGNATURE (REQUIRED)	PHONE NUMBER	E-MAIL ADDRESS		DATE
	FOR S	TATE USE ONLY		
\$				
AMOUNT	STATE FISCAL YEAR GRANT SPECIAL	ST INITIALS AND DATE ACCOU	NT CODE PROGRAM C	DDE SUPPLIER ID
CDFA AUTHORIZED APPROVER CDFA A	JTHORIZED SIGNATURE	DATE OBJEC	T CODE PRGM COST AC	CT (PCA) VENDOR ID
			fied. 🛛 🗌 F	Project verified. Final payment.

### **CDFA Invoice Template Instructions and Definitions**

Recipients must complete all yellow shaded sections (when applicable) identified on the CDFA invoice template. The following provides definitions and instructions on completing specific sections of the CDFA invoice template to request reimbursement payments for costs incurred to implement the project. For questions regarding and assistance with completing this template, Recipients should contact the Grant Analyst.

**1) Project Budget:** The total grant award amount for each budget category (for AMMP, these are Supplies, Equipment, Contractor/Labor, and Other) as identified in the approved Budget. Reimbursement for project expenditures is based on these categories and amounts.

**2) Billing Period:** The period in which project costs were incurred. For example, if project costs were incurred during the second billing quarter, the billing period could be April 1, 2023 – June 30, 2023.

**3) Invoice date:** The date Recipient completes and signs the CDFA Invoice template. This date cannot precede the latest date indicated on the Billing Period. For example, if the Billing Period is April 1 – June 30, the Invoice Date cannot be June 25 – it must be after June 30.

4) Amount Requested: Enter the dollar amounts in each budget category to request reimbursement for project costs that were incurred during the billing period. The amount requested in each budget category cannot exceed the total amounts listed in the "Project Budget" box or the amount detailed in the project's approved Budget Worksheet.

**5) Less Remaining Advance:** If Advance Payment was requested, OEFI will adjust the "Less Remaining Advance" amount based on the approved advance payment. The invoice template will automatically calculate the Amount to be Paid less the advance payment.

6) Amount to be Paid: The total payment amount requested for project costs that were incurred during a billing period. The invoice template will automatically calculate this total. Once OEFI approves the invoice, the "Amount to be Paid" will be the amount issued for reimbursement.

7) **Remaining Balance:** The amount of grant funding remaining that has not been paid. OEFI will not approve an invoice with negative balances in this column. Contact your assigned Grant Analyst if a budget revision is needed.

**8) Invoiced to Date:** The total project cost amount reimbursed for each budget category based on previously approved invoices. OEFI will adjust the "Invoiced to Date" amount each billing period.

**9) No Expenditures**: Mark this box if no project costs were incurred during the Billing Period and include a brief explanation below of why costs were not incurred.

**10) Preparer/Authorized Signatures:** An authorized representative (individual authorized on the Grant Agreement) of the operation must print their name and sign on the "Authorized Name and Signature" line to certify the amount requested for each billing period. If the invoice was prepared on behalf of the Recipient, the preparer should print their name and sign on the "Preparer's Name and Signature" line. *OEFI will not approve invoices without the Recipient signing as the "Authorized Signature."* The form has been created to allow for electronic signatures.

## Appendix C: Project Modification Request Form

		t Modification Request For	
Date:	Grant Agreement #:	Grant Award Amount:	Revision Request #:
0/01/23 Grant Recipien	22-XXXX-XXX-SO	\$500,000.00	1
	rogram Alternative Manure Managen	nent Program	
	Name: ABC Dairy Inc	č	
Contact	Name: Alex Example		
Tele	phone: XXX-XXX-XXXX		
	Email:		
	cation (Check All Applicable)		
_	ork Plan (e.g. addition or deletion of activities/d ope of Work (e.g. project narrative, design, proj	-	KS)
_	ope of work (e.g. project narrative, design, proj dget	ect partners/team members)	
_	ners (explain below)		
mark an	cations except Budget Revisions: Atta y proposed modifications by <del>striking t</del>	through any old text (do not delete),	ale. Please review the project's SOW and , and adding new text in <b>red font</b> .
3. For Budge	et Revisions: Please fill out the section includes changes in cost of equipme	0 0	nt Table" below. If the budget revision ovide an updated quote.
lustification:			
ustinoution.			

Project Budget Categories	Current Project Budget Amounts (A)	Line Item Shift Revisions enter negative amount with (-) enter positive amount with (+) (B)	Revised Project Budget (A+B)
I. PERSONNEL			
a) Salaries & Wages	\$0.00	\$0.00	\$0.00
) Fringe Benefits	\$0.00	\$0.00	\$0.00
2. OPERATING EXPENSES			
<ul> <li>a) Supplies and Materials</li> </ul>	\$0.00	\$0.00	
b) Equipment	\$0.00	\$0.00	
c) Travel	\$0.00	\$0.00	\$0.00
3. CONTRACTORS/LABOR	\$0.00	\$0.00	\$0.00
4. OTHER DIRECT COSTS	\$0.00	\$0.00	\$0.00
5. INDIRECT COSTS	\$0.00	\$0.00	
Totals:	\$0.00	\$0.00	\$0.00
	•	(MUST NET \$0)	(MUST EQUAL GRANT AWARD AMOUNT)
Name			Telephone Number
Alex Example			XXX-XXX-XXXX
Alex Example Fitle/Role on Project			Date
litle/Role on Project			Date
Title/Role on Project		tment Use Only	
litle/Role on Project		tment Use Only	Date
Title/Role on Project Dairy Owner/Manager Program Comments and Recor	nmendation:	tment Use Only	Date
Title/Role on Project         Dairy Owner/Manager         Program Comments and Recor         Reviewed by Program staff         Reviewed by Program staff         Approval does not require SO-36         Approval requires SO-365 Form	nmendation:	tment Use Only	Date

Recipients should complete all sections highlighted in red. For Requestor Information, an ink signature is not needed – checking the box serves as certification that an authorized representative of the project (usually the Recipient or authorized contact identified on the grant agreement) is submitting the request. The form should be returned as an Excel document.