

# 2023 DAIRY PLUS PROGRAM

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Agriculture Partnerships for Climate-Smart Commodities*



## GRANT AWARD PROCEDURES MANUAL



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# General Information

## Program Purpose and Authority

The California Department of Food and Agriculture (CDFA) [2023 Dairy Plus Program \(Dairy Plus\)](#) provides competitive grants to California dairy farms for the implementation of advanced manure management practices that address both methane emissions and nutrient surplus.

The [California Dairy Research Foundation \(CDRF\)](#), in collaboration with CDFA and several other organizations, has been awarded \$85 million in funding by the [U.S. Department of Agriculture \(USDA\)](#) under the Partnerships for [Climate-Smart Commodities \(PCSC\) opportunity](#). Over the next five years, this project will provide incentives for dairy producers to adopt advanced climate-smart manure management practices, measure greenhouse gas (GHG) and nutrient benefits associated with implemented practices, provide outreach and technical assistance, and develop climate-smart product markets. A total of \$75 million will support the implementation of advanced manure management practices through the new Dairy Plus Program during three solicitation cycles.

Incentive funds for this program will supplement the existing CDFA [Alternative Manure Management Program \(AMMP\)](#) and [Dairy Digester Research and Development Program \(DDRDP\)](#), which remain as standalone programs. Dairies interested in pursuing a more comprehensive project than what CDFA supports through AMMP or DDRDP funding alone, addressing both manure methane emission and nutrient surplus, may apply for additional funding via the Dairy Plus Program. In addition, past recipients with successfully completed or in progress AMMP or DDRDP projects may also apply for funding through the Dairy Plus Program.

The 2023 Dairy Plus Grant Award Procedures (GAP) manual is designed to provide direction to Grant Recipients (Recipients) for the successful management and completion of Dairy Plus 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 [Office of Environmental Farming and Innovation \(OEFI\)](#) oversees the 2023 Dairy Plus 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 of 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, local and tribal 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 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 2023 Dairy Plus awarded projects, Recipients are expected to report to CDFA GHG emissions reduction data for five (5) years after implementation of the advanced manure management practice. Refer to [Post-Project Completion Requirements](#) 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 <https://www.cdfa.ca.gov/forms/#oefi>. This document (GAP Manual), and the 2023 Dairy Plus Program Request for Grant Applications are available at <https://www.cdfa.ca.gov/oefi/dairyplus/> under Recipient Resources.

## 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\\_DairyPlus@cdfa.ca.gov](mailto:CDFA.OEFI_DairyPlus@cdfa.ca.gov) for assistance with grant management.

## Prior Approval Required

Prior approval is required from CDFA, and in some instances USDA, for material revisions, including, but not limited to:

- Revision of the SOW, work plan, objectives, activities, 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.
- Purchase of special purpose equipment
- Revision to outcome measures, indicators and/or sub-indicators

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 awarded funds and until the project is complete and closed out, the project may not:

- Change or alter the proposed advanced 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 or structures approved by CDFA, CDRF and USDA (e.g., NEPA approval). Those include, but not limited to, changes in design and construction such that number of animals in the project boundary are impacted, resulting in a change in estimated GHG reductions.
- Change ownership and/or partnership entities of the dairy. In the event the grantee needs to change ownership of the dairy and/or partnership entities or enters negotiations for the sale of the dairy 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 and USDA pursuant to any/all terms and conditions that CDFA and USDA deem 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 operation that was the subject of the grant award without approval of grant transfer from the CDFA, the grant agreement will be terminated, and 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 [Scope of Work Revisions](#))
- Notification of issues affecting project progress (reference [Notification of Problems and Delays](#))
- Responding to requests for project status updates and revised work plans

### Allowable Costs

A cost is allowable if it directly relates to and supports project implementation of the non-digester manure management practice(s) and nutrient management technologies (if applicable) and is incurred solely to advance work under the Grant Agreement SOW as identified in your approved Budget Worksheet. Allowable costs may include supplies and materials, equipment, and contractor/consultant services, and other costs associated with project implementation 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 advanced 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 USDA and CDFA program requirements, 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.
- Authorized or not prohibited under federal, state, local, and tribal laws and regulations.
- Consistent with policies, regulations, and procedures that apply uniformly to both federal and state funds and other activities of the governmental unit.
- Determined in accordance with generally accepted accounting principles.
- Adequately documented and easily identifiable to a specific project activity and tracked separately from other funding sources.

Project costs must be incurred for the purpose for which the funding was granted and charged to the award on a specifically calculated basis. Documents must be maintained for all expenses billed to the project, including, but not limited to invoices, receipts, and agreements. Project expenses must be necessary for award performance and prudently incurred.

## Unallowable Costs

A cost is unallowable if it does not comply with applicable cost principles, 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, including those incurred for the AMMP and DDRDP; (2) is not directly related to the implementation of an advanced manure management practice and nutrient management technologies (if applicable); and (3) is not supported by adequate documentation. 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.
- Costs that are not directly related to the implementation of the Dairy Plus Program practice.
- Costs related to grant management and fulfilling requirements set by the Program, including but not limited to: progress reports, final performance reports, post-project completion report preparation, and virtual or in-person site visits for critical project review/verification.
- Costs covered by another State or Federal grant program, including AMMP and DDRDP.
- Pre-development costs, including, but not limited to application preparation, project designs, and any other activities that contributed to a project's readiness.
- Cost of all permits necessary for the completion of the project. Examples include but are not limited to air district permits, county building permits, water board permits.
- Costs associated with CEQA environmental review, such as preparation of Environmental Impact Reports.
- 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.
- Any labor provided by the Recipient or staff employed by the Recipient (CDFA categorizes these costs as "in-kind")
- Consulting fees not directly related to project implementation.
- Costs associated with travel (e.g., hotels, flights, per diem, etc.).
- Costs associated with the five-year GHG emissions reductions reporting.
- Costs incurred during community outreach.
- Costs associated with mitigation of potential adverse impacts (i.e., California Government Code Section 16428.86(a)).
- Costs not supported with adequate proof of payment documentation.
- Direct and/or indirect expenditures for purchasing or leasing land and/or

buildings, including costs associated with the land use or loss of agricultural production.

- Direct and/or indirect expenditures for purchasing dairy manure (tipping fees) or other feedstocks.

\*For more guidance on Allowable and Unallowable Costs please refer to CCR 330.2 and guidance posted by CDFA at [Final Selected Items of Cost Guidance](#) webpage.

## **Cost Share**

Cost share shall 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 Dairy Plus 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, local, and tribal laws, regulations and ordinances. Contracting out must not affect the Recipient's overall responsibility for the management of the project, and the Recipient must reserve sufficient rights and controls to enable it to fulfill its responsibilities for the project. Moreover, all contractors/consultants must have the proper licenses/certificates required for their respective disciplines.

Recipients must establish and follow a documented procurement policy which conforms to applicable federal law and reflects applicable state, local and tribal laws and regulations. Reference [2 CFR 200.318](#) for additional information on general procurement standards.

Prior approval is required when contracting out or obtaining the services of a third party. Please see [Prior Approval Required](#) and [Scope of Work Revisions](#).

## **Permits, Licenses, Agreements, and Approvals**

Recipients must obtain and maintain any and all permits, licenses, agreements, and approvals required for the project. Furthermore, once permits, licenses, agreements, and approvals are issued, the Recipient is required to provide a copy to the Grant Analyst.

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

Additionally, grant applicants are required to demonstrate progress within twelve (12) months by accomplishing at least one of the following: securing matching funding, ordering related supplies/equipment, submitting invoices to CDFA for reimbursement, providing proof of matching costs expenditures, obtaining necessary planning permits, demonstrating site preparation for the implementation of the project. Failure to demonstrate progress in the activities mentioned above may result in termination 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, the 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 approved 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 (SOW) revisions are required when changes to activities, milestones, dates, deliverables, support from other grant programs, and/or

budget occur. Requests for revisions must be made by using a [Project Modification Request Form](#), and provide sufficient information to explain the need and how the change affects the estimated project GHG emission reductions, permits, timeline, budget and the project implementation. Requests for revisions must be made in writing and Revisions must be requested by an authorized official of the Recipient organization, and approved by CDFA, and in some instances USDA. Reimbursement is available only for approved project activities. Failure to obtain prior approval of SOW revisions may result in costs being deemed unallowable, request for reimbursement denied, and may result in audit findings.

Examples of 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
- Change in Recipient organization or key 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 revisions to the SOW. Changes that result in a lower estimated projected project GHG emission reduction may not be approved. Consult with the assigned Grant Analyst for further instructions on completing a SOW revision.

For detailed instructions on completing the Project Modification Request Form, refer to [Appendix B](#).

## **Budget Revisions**

For SOW revisions that also require adjustments to the Budget Worksheet (including if impacting the Cost Share column), a Line Item Shift Request (LISR) using the [Project Modification Request Form](#) must be submitted in advance for CDFA approval. Follow instructions under [Financial Management – LISR](#) section to request a budget revision. Note: Please be advised that grant recipient funds awarded by the USDA are contingent upon USDA CPA-52 Environmental Evaluation Worksheet (CPA-52) review and approval. Any revisions to the budget may require review and approval from CDFA, CDRF, and USDA.

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

## Project Termination

If the Recipient chooses to terminate their grant agreement, forgoing the grant award, the Recipient will need to request this in writing using a provided template or in a letter which must include all of the following information:

- Program
- Grant Agreement number
- Name of grant recipient and project name/operation
- Reason for termination request
- Date of termination
- Date and Signature of grant recipient

The Program will send a closeout letter confirming termination of the project 30 days following the effective date of termination indicated in the request. Once confirmed by the Program, the termination is irreversible. If any approved project costs were reimbursed prior to termination date, the project will be considered failed and the Recipient unable to re-apply to the program for three (3) years.

## 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 all 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.

### Reimbursement Payments

#### Invoices

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 2023 Dairy Plus expenses.

Reimbursements must be requested on the CDFA Invoice template provided by the Grant Analyst and emailed to [cdfa.oefi\\_dairyplus@cdfa.ca.gov](mailto:cdfa.oefi_dairyplus@cdfa.ca.gov).

#### When to Submit Invoices

Invoices should be submitted quarterly, at minimum, and are required regardless of whether project costs are incurred during the invoice period. Recipients may submit significant project expenses for reimbursement when

they are incurred, even outside of the quarter system, but a minimum of once per quarter is requested to serve as a status check and part of regular communication. The quarterly invoice periods are:

| <b>Quarterly Period</b> | <b>Invoice Due<br/>(no later than)</b> |
|-------------------------|--|
| July 1 – September 30   | October 31                             |
| October 1 – December 31 | January 31                             |
| January 1 – March 31    | April 30                               |
| April 1 – June 30       | July 31                                |

Final invoices are due no later than 30 calendar days following the expiration of the Grant Agreement term or after the project is verified, whichever comes first. Please note that final invoicing not submitted within 60 days of the end of the grant term may not be reimbursed.

CDFA Invoices and supporting financial 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. The Grant Analyst may request additional information or supporting documentation to determine the eligibility of allowable costs. 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** – Time period inclusive of when project costs were incurred.
- **Amount Requested** – Dollar amount requested for each 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/Authorized Certification** – Name of Preparer and Authorized

Representative (individual authorized on the Grant Agreement), phone number, email address and date, certifying the requested amount is for actual and allowable expenditures incurred for project activities performed in accordance with Grant Agreement provisions.

For detailed instructions on completing the CDFA invoice template, refer to [Appendix A](#).

#### No Expenditure Invoice

If no expenses were incurred during the quarter/billing period, the Recipient checks the “NO EXPENDITURES” box, completes the preparer/authorized representative certification box, 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 submitted as supporting documentation.
- Description: Provide a brief description of the quantity or service (expenditures should be identifiable to items and activities in the approved Budget Worksheet).
- CDFA Reimbursement and 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 [Project Modification Request Form](#). All un-shaded areas of the LISR on the Project Modification Request Form should be completed as follows:

- 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 award amount 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 agreement amount 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](mailto: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

### Quarterly Reporting

Grant recipients are required to submit quarterly Progress Reports to CDRF. CDFA and USDA may request copies of quarterly reports during the project term. The Progress Report is used to identify tasks and activities achieved, potential concerns, matching funds expended to date, and other pertinent information as part of the work plan. The Progress Report should be filled out, by the recipients, with information and pictures about the progress of the project, milk price, milk production values used in calculator, current usage and/or method used to estimate pre- and post-project diesel or electricity. Note: After the start of the grant agreement term, your assigned grant analyst will provide further instructions on how to fill out the quarterly report.

### 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

2023 Dairy Plus Program 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 2023 Dairy Plus 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 [CARB Compliance Offset Protocol – Livestock Projects](#).

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:

- Confirmation that advanced manure management practice, is operational and being utilized; information on frequency of use.
- 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.

NOTE: Recipients may not engage in any advertising deemed by USDA as disparaging to another agricultural commodity or competing product, or in violation of the prohibition against false and misleading advertising. Disparagement is defined as anything that depicts other commodities in a negative or unpleasant light via overt or subjective video, photography, or statements. Comparative advertising is allowable, provided the presentation of facts is truthful, objective, not misleading, and supported by a reasonable basis.

## 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 2023 Dairy Plus Program funds are used for their intended purpose, that the project is meeting deliverables as approved in the SOW and evaluate project implementation progress to ensure projects are complete within the project term.

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 2023 Dairy Plus Program 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 project costs, contractor/consultant invoices and agreements 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 the grant funds;
- 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: CDFA Invoice Template

| <b>Bill to:</b><br>STATE OF CALIFORNIA<br>CA DEPARTMENT FOOD & AGRICULTURE<br>OFFICE OF ENVIRONMENTAL FARMING AND INNOVATION<br>1220 N STREET, ROOM 162-1<br>SACRAMENTO, CA 95814<br>GRANTS INVOICE<br>Rev. 9/2023   | <b>INVOICE</b><br>Dairy Plus Program<br><div style="background-color: #4b4b8b; color: white; padding: 5px; display: inline-block;"><b>EXAMPLE ONLY</b></div>  | <b>Make Check Payable to:</b><br><b>ABC Dairy Inc</b><br>1234 Example Street<br>Sacramento, CA, 95814<br>Attn: Dairy Owner                  |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
|--|---|---|------------------------------------|--------------------|----------------------|------------------------------------|----------------------------------|--------------------|--------------------------|------------|--------------------|--------|---------|--------|---|------------------|--------------------------|-------------------|---------------------------|--------|--------|-------------|----------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--|
| Grant Agreement Number: <u>23-XXXX-000-SG</u>  | Billing Period: <span style="border: 1px solid red; background-color: yellow; padding: 2px;">2</span> <span style="border: 1px solid red; background-color: yellow; padding: 2px;">3</span><br><small>MMDDYYYY - MMDDYYYY</small> | Invoice Date: <span style="border: 1px solid red; background-color: yellow; padding: 2px;">3</span> Invoice Number: <u>23-XXXX-000-SG-1</u> |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| Recipient's Name: <u>ABC Dairy Inc</u>   |   |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| <div style="border: 1px solid red; padding: 5px;"> <b>1</b> <span style="float: right;">7</span><br/> <table style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="background-color: #d9e1f2;">Project Budget</th> </tr> <tr> <td style="width: 80%;">OPERATING EXPENSES</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>  a) Supplies</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>  b) Special Purpose Equipment</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>CONTRACTORS/ LABOR COSTS</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>OTHER DIRECT COSTS</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>Totals:</td> <td style="text-align: right; border-top: 1px solid black;">\$0.00</td> </tr> </table> </div> | Project Budget  |   | OPERATING EXPENSES                 | \$0.00             | a) Supplies          | \$0.00                             | b) Special Purpose Equipment     | \$0.00             | CONTRACTORS/ LABOR COSTS | \$0.00     | OTHER DIRECT COSTS | \$0.00 | Totals: | \$0.00 | <div style="border: 1px solid red; padding: 5px;"> <b>4</b> <span style="float: right;">6</span><br/> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="background-color: #d9e1f2;">Invoiced to Date</th> <th style="background-color: #d9e1f2;">Amount Requested</th> <th style="background-color: #d9e1f2;">Remaining Balance</th> </tr> <tr> <td style="text-align: right;">\$0.00</td> <td style="text-align: right;">\$0.00</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td style="text-align: right;">\$0.00</td> <td style="text-align: right;">\$0.00</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td style="text-align: right;">\$0.00</td> <td style="text-align: right;">\$0.00</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td style="text-align: right;">\$0.00</td> <td style="text-align: right;">\$0.00</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td style="text-align: right; border-top: 1px solid black;">\$0.00</td> <td style="text-align: right; border-top: 1px solid black;">\$0.00</td> <td style="text-align: right; border-top: 1px solid black;">\$0.00</td> </tr> </table> </div> | Invoiced to Date | Amount Requested         | Remaining Balance | \$0.00                    | \$0.00 | \$0.00 | \$0.00      | \$0.00               | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | <div style="border: 1px solid red; padding: 5px;"> <b>8</b><br/>         Funds to be withheld Until Project Completion and Verification: 10% = \$0.00<br/>         Matching Funds to Date: <u>N/A</u><br/>         Approved Line Item Shifts: <u>0</u><br/>         Less Remaining Advance: <span style="border: 1px solid red; background-color: yellow; padding: 2px;">5</span> \$0.00<br/>         Amount to be Paid: <span style="border: 1px solid red; background-color: yellow; padding: 2px;">5</span> \$0.00<br/> <div style="border: 1px solid red; background-color: yellow; padding: 5px; text-align: center;"> <b>NO EXPENDITURES</b> </div> </div> |
| Project Budget   |   |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| OPERATING EXPENSES   | \$0.00  |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| a) Supplies  | \$0.00  |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| b) Special Purpose Equipment   | \$0.00  |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| CONTRACTORS/ LABOR COSTS   | \$0.00  |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| OTHER DIRECT COSTS   | \$0.00  |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| Totals:  | \$0.00  |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| Invoiced to Date   | Amount Requested  | Remaining Balance   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| \$0.00   | \$0.00  | \$0.00  |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| \$0.00   | \$0.00  | \$0.00  |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| \$0.00   | \$0.00  | \$0.00  |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| \$0.00   | \$0.00  | \$0.00  |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| \$0.00   | \$0.00  | \$0.00  |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| <div style="border: 1px solid red; padding: 5px;"> <b>9</b><br/>         I certify the amount requested is for actual and allowable expenditures incurred for Projects activities performed in accordance with the Grant Agreement provisions.<br/> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">PREPARER'S NAME _____</td> <td style="width: 16%;">PHONE NUMBER _____</td> <td style="width: 33%;">E-MAIL ADDRESS _____</td> <td style="width: 18%;">DATE _____</td> </tr> <tr> <td>AUTHORIZED NAME (REQUIRED) _____</td> <td>PHONE NUMBER _____</td> <td>E-MAIL ADDRESS _____</td> <td>DATE _____</td> </tr> </table> </div>   |   |   | PREPARER'S NAME _____              | PHONE NUMBER _____ | E-MAIL ADDRESS _____ | DATE _____                         | AUTHORIZED NAME (REQUIRED) _____ | PHONE NUMBER _____ | E-MAIL ADDRESS _____     | DATE _____ |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| PREPARER'S NAME _____  | PHONE NUMBER _____  | E-MAIL ADDRESS _____  | DATE _____                         |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| AUTHORIZED NAME (REQUIRED) _____   | PHONE NUMBER _____  | E-MAIL ADDRESS _____  | DATE _____                         |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| <b>FOR STATE USE ONLY</b>  |   |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">\$</td> <td style="width: 20%;">AMOUNT</td> <td style="width: 15%;">STATE FISCAL YEAR</td> <td style="width: 20%;">GRANT SPECIALIST INITIALS AND DATE</td> <td style="width: 15%;">ACCOUNT CODE</td> <td style="width: 15%;">PROGRAM CODE</td> <td style="width: 20%;">SUPPLIER ID</td> </tr> <tr> <td></td> <td style="border: 1px solid black; text-align: center;">X</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="2">CDFA AUTHORIZED APPROVER</td> <td colspan="2">CDFA AUTHORIZED SIGNATURE</td> <td>DATE</td> <td>OBJECT CODE</td> <td>PRGM COST ACCT (PCA)</td> </tr> <tr> <td colspan="2"></td> <td colspan="2"></td> <td></td> <td></td> <td></td> </tr> </table>                               |   |   | \$                                 | AMOUNT             | STATE FISCAL YEAR    | GRANT SPECIALIST INITIALS AND DATE | ACCOUNT CODE                     | PROGRAM CODE       | SUPPLIER ID              |            | X                  |        |         |        |   |                  | CDFA AUTHORIZED APPROVER |                   | CDFA AUTHORIZED SIGNATURE |        | DATE   | OBJECT CODE | PRGM COST ACCT (PCA) |        |        |        |        |        |        |        |        |        |        |  |
| \$   | AMOUNT  | STATE FISCAL YEAR   | GRANT SPECIALIST INITIALS AND DATE | ACCOUNT CODE       | PROGRAM CODE         | SUPPLIER ID                        |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
|  | X   |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| CDFA AUTHORIZED APPROVER   |   | CDFA AUTHORIZED SIGNATURE   |                                    | DATE               | OBJECT CODE          | PRGM COST ACCT (PCA)               |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
|  |   |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| <div style="display: flex; justify-content: space-between;"> <div><input type="checkbox"/> Liquidate against Advance payment.</div> <div><input type="checkbox"/> Withhold 10% of Grant Award until Project is verified.</div> <div><input type="checkbox"/> Project verified. Final payment.</div> </div>   |   |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |
| <small>* - CDFA withholds 10% of the total grant amount and it will not be released until all tasks noted in project Scope of Work are completed by Recipient and verified by CDFA, including approval of the Final Project Report by CDFA. A Withhold Payment Notification will not be sent, and the 10 percent withhold may not be appealed.</small>   |   |   |                                    |                    |                      |                                    |                                  |                    |                          |            |                    |        |         |        |   |                  |                          |                   |                           |        |        |             |                      |        |        |        |        |        |        |        |        |        |        |  |

OEFI-009

### 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 Dairy Plus, 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 of the grant term, the billing period could be June 1, 2024 – August 31, 2024.

**3) Invoice Date:** The date Recipient completes and submits the CDFA Invoice template. This date cannot precede the latest date indicated on the Billing Period. For example, if the Billing Period is June 1 – August 31, the Invoice Date *cannot* be August 30 – it must be September 1 or later.

**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) 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.

**6) 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.

**7) 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.

**8) 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.

**9) Preparer/ Authorized Certification:** An authorized representative (individual authorized on the Grant Agreement) of the operation must print their name on the “Authorized Name” 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 “Preparer’s Name” line.

## Appendix B: Project Modification Request Form




State of California  
California Department of Food and Agriculture  
Office of Environmental Farming and Innovation

### Project Modification Request Form

|   |                           |                            |                            |
|---|---------------------------|----------------------------|----------------------------|
| <b>Date:</b>  | <b>Grant Agreement #:</b> | <b>Grant Award Amount:</b> | <b>Revision Request #:</b> |
| 10/01/23  | 22-XXXX-XXX-SO            | \$500,000.00               | 1                          |
| <b>Grant Recipient Information:</b>   |                           |                            |                            |
| <b>Grant Program</b> Dairy Plus Program   |                           |                            |                            |
| <b>Organization Name:</b> ABC Dairy Inc   |                           |                            |                            |
| <b>Contact Name:</b> Alex Example   |                           |                            |                            |
| <b>Telephone:</b> XXX-XXX-XXXX  |                           |                            |                            |
| <b>Email:</b>   |                           |                            |                            |
| <b>Type of Modification (Check All Applicable)</b>  |                           |                            |                            |
| <input type="checkbox"/> Work Plan (e.g. addition or deletion of activities/deliverables; change to start/end dates of tasks)   |                           |                            |                            |
| <input type="checkbox"/> Scope of Work (e.g. project narrative, design, project partners/team members)  |                           |                            |                            |
| <input type="checkbox"/> Budget   |                           |                            |                            |
| <input type="checkbox"/> Others (explain below)   |                           |                            |                            |
| <b>Description of the Modification</b>  |                           |                            |                            |
| <p>1. Provide a detailed description of proposed modification in this section.</p> <p>2. For all modifications except Budget Revisions: Attach a revised document as applicable. Please review the project's SOW and mark any proposed modifications by <del>striking-through</del> any old text (do not delete), and adding new text in <b>red font</b>.</p> <p>3. For Budget Revisions: Please fill out the section "Line Item Shift Budget Adjustment Table" below. If the budget revision includes changes in cost of equipment, supplies or services, please provide an updated quote.</p> |                           |                            |                            |
| <b>Justification:</b>   |                           |                            |                            |
| <p>Justification should cover reasons for request and detailed explanation of how the change will impact the project, including but not limited to: 1) Project Timeline 2) Budget 3) Estimated GHG Emission Reduction 4) Permits</p>  |                           |                            |                            |

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| Line Item Shift Budget Adjustment Table (only fill out if applicable)  |                                       |  |                                 |
|--|---------------------------------------|--|---------------------------------|
| Project Budget Categories  | Current Project Budget Amounts<br>(A) | Line Item Shift Revisions<br>enter negative amount with (-)<br>enter positive amount with (+)<br>(B) | Revised Project Budget<br>(A+B) |
| 1. PERSONNEL   |                                       |  |                                 |
| a) Salaries & Wages  | \$0.00                                | \$0.00   | \$0.00                          |
| b) Fringe Benefits   | \$0.00                                | \$0.00   | \$0.00                          |
| 2. OPERATING EXPENSES  |                                       |  |                                 |
| a) Supplies and Materials  | \$0.00                                | \$0.00   | \$0.00                          |
| b) Equipment   | \$0.00                                | \$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   | \$0.00                          |
| <b>Totals:</b>   | <b>\$0.00</b>                         | <b>\$0.00</b>  | <b>\$0.00</b>                   |
|  |                                       | (MUST NET \$0)   | (MUST EQUAL GRANT AWARD AMOUNT) |
| <b>Requestor Information:</b>  |                                       |  |                                 |
| <input checked="" type="checkbox"/> By checking this box, I certify that I am an authorized representative for this project                                      |                                       |  |                                 |
| <b>Name</b>  |                                       | <b>Telephone Number</b>  |                                 |
| Alex Example   |                                       | XXX-XXX-XXXX   |                                 |
| <b>Title/Role on Project</b>   |                                       | <b>Date</b>  |                                 |
| Dairy Owner/Manager  |                                       | 10/2/2023  |                                 |
| <b>For Department Use Only</b>   |                                       |  |                                 |
| <b>Program Comments and Recommendation:</b>  |                                       |  |                                 |
| <input type="checkbox"/> Reviewed by Program staff   |                                       |  |                                 |
|  |                                       |  |                                 |
| <input type="checkbox"/> Approval does not require SO-36 Form<br><input type="checkbox"/> Approval requires SO-36S Form<br><input type="checkbox"/> NOT APPROVED |                                       |  |                                 |
| CDFA AUTHORIZED SIGNATURE:   |                                       | DATE:  |                                 |
|   |                                       |  |                                 |

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Recipients should complete all sections highlighted in red. For Requestor Information, an ink or digital 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.