ARRA Work Planning Instructions

Please read through all instructions before starting to prepare the work plan.

Complete the attached templates as instructed below and remove the instruction pages from the completed work plan document. Return ONLY the Project Work Plan that includes the following:

I. Cover Sheet
II. Budget
III. Project Summary
IV. Project Objectives and Tasks
V. Key Personnel
VI. Deliverables
VIII. Project Schedule

I. Cover Sheet

Provide the requested information on the attached Cover Sheet. See specific instructions.

Tracking – Various numbers identify the grant, its source and the funded projects.

- Application Tracking Number – this is the number assigned by NYS DEC to the project application. It is found on the award letter sent by NYS DEC to the Sub-recipient.
- ARRA Grant Award Number and CDFA Number are assigned by the federal government and are the same for all ARRA 604(b) projects in NYS.
- State Contract Number – the NYS DEC has assigned a contract number to the project and it is on the Project Summary Fact Sheet.

Sub-recipient Information - To expedite communications, always provide a street address for contacts listed below. Express mail cannot be delivered to a post office (P.O.) box

- Sub-recipient Name: List the lead Regional Public Comprehensive Planning Organization or Interstate Organization.
- D-U-N-S number – this number is required by ARRA. If your organization does not have a D-U-N-S number, see the Dun & Bradstreet web site at http://fedgov.dnb.com/webform.
- CCR is a federal program to register all organizations that do business with the federal government. Registration is required for ARRA reporting. Detailed information is available at http://www.ccr.gov/FAQ.aspx
- Congressional District – list the Congressional District in which the sub-recipient is located, e.g. NY-26.
- Organization Contact: The Contact Person should be the authorized representative named in the Regional or Interstate Organization Resolution.

- Project Manager: Identify the day-to-day program (technical) contact for this project.
- Fiscal Contact: The person doing the administrative work on the project, preparing reimbursement requests and maintaining fiscal records.

Project Information - Provide the project specific information requested

- Project Type – Enter one of the following project types: TMDL Elements, Green Infrastructure Planning, Stormwater Phase II Planning, or Water Quality Management Planning.
- Regional or Interstate Organization Resolution – The Regional Public Comprehensive Planning Organization or Interstate Organization must pass a resolution naming the individual authorized to act for the organization in matters relating to this project funding award. See Attachment B, Resolution for the resolution format.
- Project Location (s) – provide information on each of the locations covered by this project. List the Congressional District in which the majority of the project occurs (e.g. NY-26).

Project Timing and Costs --It is very important to fill out this section correctly. Incomplete or incorrect information has delayed many contracts.

- Start and End Dates - The start and end dates on the cover sheet must match those on the project schedule (Part VII). Your anticipated project dates may have changed since you submitted your application. Make sure the work plan schedule is realistic, reflects current conditions and will cover all anticipated expenses. When identifying the proposed start date, make sure it is before work has begun and any costs have been incurred. When identifying the expected completion date, leave yourself enough time to ensure that the project will be completed, final report prepared, and all bills paid within that time period. Give yourself extra time to be sure that all bills will fall within the project schedule. *No contract extensions or amendments will be granted to ARRA 604(b) projects.* **Do not send any bills or invoices with the work plan.**
- Projects may have a start date as early as February 17, 2009. Projects must begin or have a signed contract with NYS DEC no later than February 17, 2010. Projects must be completed and grant funding expended no later than February 17, 2012.
- Project Cost - The cost on the cover sheet must match the total project cost on the Budget Worksheet (Part II). Your project may not have received all the funding that was applied for. Your reimbursement amount can not exceed the amount that you have been awarded.

II. Budget

Fill in the Budget Worksheet and Detail Sheet using estimated costs or actual costs (where known) for each expenditure category. Please double-check all calculations.

Important Pointers

- When presenting the budget, include the entire project that will be funded using ARRA 604(b) reimbursements. This work plan should include all segments and phases of the project even if funded in different years. By including all information in this work plan, the Regional or Interstate Organization will avoid having to redo the work plan and contract if activities are shifted between any of the segments or phases.
- The sub-recipient MAY shift UP TO 10% of total costs between expenditure categories. If cumulative changes exceed 10% of the total cost, you must first obtain NYS DEC approval and the contract must be formally amended. In NO event shall changes to the budget cause the aggregate costs to exceed the "not to exceed" amount of the authorized State Assistance as set forth in Section 3a of this Contract.
- Any invoices to be reimbursed, must be for eligible services that fall between the start date and completion date of the project. When identifying the proposed start date, make sure it is before work has begun and costs have been incurred. When identifying the expected completion date, leave yourself enough time to ensure that the project will be completed and all bills paid within that time period. Give yourself extra time to be sure that all bills will fall within the project timeframe!
- Make sure the costs on the cover sheet match those on the Budget Worksheet!

Personal Services – Include the <u>total</u> of Payroll, Fringe Benefits and Indirect costs on this line.

- <u>Personal Services Detail</u> - Provide a list of titles, salaries, estimated hours and tasks for the TOTAL COSTS on the Budget Detail Sheet.
- <u>Note</u>: In most cases, time spent on the project by elected officials is not eligible for reimbursement. However, when prior approval is received by the project manager, time spent by an elected official in lieu of hiring additional staff may be reimbursable. Even when approved by the project manager, the cost will only be reimbursed at the local prevailing wage rate of the routine title used to perform the task, not at their official salary.

Non-personal Services -- Enter a total amount for non-personal services on this line. Enter the amount for each of the sub categories on lines a., b., and c. Provide detail for each category, as follows in a., b., and c. below.

a. <u>Equipment</u> – If the total line item is greater than $5,000 *and* one or more individual items exceeds $5,000, provide a list of *all* items and the cost of each on the Budget Detail Sheet.

b. Supplies and Materials - If the total line item is greater than $5,000 *and* one or more individual items exceeds $5,000, provide a list of *all* items and the cost of each on the Budget Detail Sheet.
c. Travel - If the total line item is greater than $5000, provide a list of destinations, type of expenditures, and anticipated costs on the Budget Detail Sheet

Consulting and Other Contractual Services -- If the contract line is over $25,000 *and* one or more individual contracts exceed $25,000, provide a list of *all* awardees' names, type of work and the amounts on the Budget Detail Sheet.

Other -- Enter costs not covered on the other lines of the Budget Worksheet**.** Provide a detailed breakdown of *all* costs included in this category on the Budget Detail Sheet.

III. Project Summary

Provide a description of the overall purpose and nature of the project, with appropriate detail to ensure proper conduct of a project that meets all NYS DEC requirements. Include the items listed below. For TMDL Element projects, use the detailed Statement of Work provided in Attachment A as the basis for the project summary and augment it as appropriate for your project.

NOTE: Clean Water Act (CWA) Section 604(b) funds are *for planning activities only* and the project work plan needs to clearly reflect the planning nature of the work to be done under this grant.

- What planning activities to improve water quality will be accomplished.
- The location of the project (street address, proximity to the affected waterbody, etc.). For projects involving multiple phases, components and/or locations, briefly describe each.
- The water quality problems that the project will address (e.g., the name and value of the affected waterbody(ies)); the water quality problem; the name of the priority pollutant(s) or disturbance(s) causing the impairments; the source(s) of priority pollutants or disturbances causing the impairment.
- The expected environmental benefit (e.g., the extent to which a water quality problem will be addressed by the project). For pollution prevention projects, describe the anticipated reduction in risk to the public health or environment and explain the type and amount of toxic or hazardous material to be reduced, avoided or eliminated.

IV. Objectives and Tasks

Describe the specific objectives of the project and identify the tasks that will be performed to meet those objectives. The following should be included: specific objectives; associated tasks; approximate amount of time necessary to accomplish each task; and the party/parties responsible for completing each task. For example, see chart below. Include reporting requirements in the list of Objectives and Tasks. For TMDL Element projects, use the information in the detailed Statement of Work provided in Attachment A as the basis for the objectives and tasks and augment it as appropriate for your project.

Objective(s)	Task(s)	Time	Responsible Party
Establish partnerships with key stakeholders.	Identify individuals, organizations and local government representatives with an interest or stake in the project	30 days	RPDB Project manager and intern
	Conduct one on one contacts to invite participation	60 days	RPDB Project manager
	Plan, set up and hold initial stakeholder meeting.	30 days	RPDB Project manger, intern and support staff

V. Key Personnel

Brief Professional Bio - For key project personnel, provide their name, agency, qualifications and a brief description of experience with a similar type of project. Include the following positions plus any other key personnel. In some cases, an individual may fill more than one role.

- Municipal Contact
- Project Manager
- Fiscal Contact
- Engineer
- Parties responsible for project oversight
- Parties responsible for operation and maintenance

Highly Compensated Officers – List the sub-recipient organization's top 5 officers and their compensation if, in the sub-recipient's preceding fiscal year, the sub-recipient received:

a) 80 per cent or more of its annual gross revenues from Federal contracts (and sub-contracts), loans, grants (and sub-grants), and cooperative agreements; *and*
b) $25,000,000 or more in annual gross revenues from Federal contracts (and sub-contracts), loans, grants (and sub-grants), and cooperative agreements; *and*
c) The public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities and Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d) or section 6104 of the Internal Revenue Code of 1986.

VI. Deliverables

List and describe anticipated deliverables. Deliverables include:

a) Products or outcomes associated with each task identified in Part IV.
b) Quarterly Reports. Use the Quarterly Report form included in this package.
c) Final Report. The final report presents the results of the project and a discussion of those results.

For TMDL Element projects, use the detailed information in the Statement of Work provided in Attachment A as the basis for list of deliverables and augment it as appropriate for your project.

Note: Any deviation(s) from the Project Work Plan that significantly affect(s) the outcome of the deliverables will require prior approval from the NYS DEC. A change in the contract may be required as well. Therefore, it is important to indicate in quarterly progress reports any anticipated deviation from the original Project Work Plan and advise the NYS DEC Project Manager before proceeding.

VII. Project Schedule

Projects may have a start date as early as February 17, 2009. Projects must begin or have a signed contract with the Department no later than February 17, 2010. Projects must be completed and grant funding expended no later than February 17, 2012

Note: ARRA contracts will not be extended. It is critical to develop a schedule in the contract that cushions reasonable amounts of delay, thus avoiding loss of funding due to not completing the project by the end date in the contract.

Develop a time line for the project that includes:

1) project start date;
2) estimated start date and completion date for each task; and
3) estimated project completion date.

Track time in monthly increments as shown in the example on the following page. For instance, the first task in the sample timeline would begin sometime in April and the last task ending sometime in June, 2010.

For TMDL Element projects, use the information in the detailed Statement of Work provided in Attachment A as the basis for the project schedule and augment it as appropriate for your project.

Any invoices to be reimbursed must be for services that fall between the start date and completion date of the project. When identifying the proposed start date, make sure it is before work has begun and costs have been incurred. When identifying the expected completion date, leave yourself enough time to ensure that the project will be completed and all bills paid within that time period. Give yourself extra time to be sure that all bills will fall within the project timeframe!

Check to make sure that the start and completion dates on the cover sheet must match those on the project schedule.

***Sample Timeline*-Include all phases and segments of the project**

Task	**Jan**	**Feb**	**Mar**	**Apr**	**May**	**Jun**	**Jul**	**Aug**	**Sept**
2010									
Identify individuals, organizations and local government representatives with an interest or stake in the project									
Conduct one on one contacts to invite participation									
Plan, set up and hold initial stakeholder meeting.									

How to Submit the Completed Work Plan to NYS DEC

Completed work plans should be e-mailed to wqipuser@gw.dec.state.ny.us. To assure delivery of the work plan to the proper NYS DEC staff, use the subject line: Submit ARRA Work plan.