

CALIFORNIA COASTAL COMMISSION

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Guidance on LCP Grant Invoicing and Progress Reporting **Round 4**

Prior to preparing or submitting an invoice and/or progress report, please consult the terms and conditions of your grant agreement, including the sections entitled Budget Detail and Payment Provisions (Exhibit C). If you have questions, please email or call Daniel Nathan at Daniel.Nathan@coastal.ca.gov (415-904-5251).

The important reminders and general instructions below provide an overview of the invoicing process, as well as reminders for the timely submittal of invoices, deliverables and progress reports. For detailed instructions on how to fill out the invoice form (also known as "RFF" or "Request For Funds"), please see the *Detailed Instructions for Completing the Request for Funds Form* section on page 5 of this document.

Important Reminders:

- 1. All deliverables must be sent to your Grant Coordinator upon completion and billing of the specific task, in addition to the local Commission District staff you work with on an ongoing basis. Submittal of deliverables in electronic format (i.e. pdfs) is acceptable, particularly if they are large in size. Please see page 12 for your Grant Coordinator's contact information.**
- 2. If you are billing any task in full, please send your Grant Coordinator copies of all deliverables associated with that task, as listed in your grant agreement, for review and approval. Deliverables that substantially differ from the task descriptions in your executed grant will not be accepted.**
- 3. Draft and Final deliverables related to sea level rise (e.g., vulnerability assessments, reports, or draft sea level rise policies) will be reviewed by your Grant Coordinator in addition to your local Commission District staff. Please be sure to include your Grant Coordinator in all communication related to these items.**

4. **Your progress should follow the Schedule shown in your executed grant agreement. If you anticipate major delays, please contact your Grant Coordinator.**
5. **Please use your customized RFF and Progress Report template (see item 1, below).**

General Instructions:

1. Invoices to the California Coastal Commission must be submitted using the “LCP Grant Request for Funds form” (RFF). RFF templates specifically tailored for each grantee will be sent to each jurisdiction following execution of the grant agreement. General RFF templates can also be found on the Coastal Commission website at: <https://www.coastal.ca.gov/lcp/grants/>. Please note that general RFF templates must be updated to reflect the budget as laid out in your grant agreement, including the total number of tasks and individual task budgets.
2. As your grant agreement indicates, RFF forms must be submitted “in arrears” i.e. **for work already completed or expenses already incurred.**
3. Do not submit an RFF form for work and/or expenses undertaken **before the “start date”** of your grant agreement (if not otherwise specified, this is the date the agreement was fully executed) or **after the “completion date”** of the grant agreement unless special provision/arrangements exist in the grant agreement language.
4. Submit the RFF form, in triplicate, no more frequently than monthly but no less frequently than quarterly (assuming activity occurred within that quarter). Each RFF submittal package must be accompanied by a progress report. To lighten your workload, we recommend submitting the RFF on the quarterly schedule (listed below). If RFFs are submitted more frequently than quarterly (e.g. monthly), they must be accompanied by an additional progress report that matches the duration of the work period that is being invoiced. Quarterly scheduling RFFs and Progress reports are due as follows:

RFF #	Billing Period (work performed)	RFF Due Date
1	Grant Agreement Execution Date - 3/31/18	April 27, 2018
2	4/1/18 – 6/30/18	July 27, 2018
3	7/1/18 – 9/30/18	October 26, 2018
4	10/1/18 – 12/31/18	January 31, 2019

5. The amounts invoiced must be consistent with the **Scope of Work** included in the grant agreement. On the first page of the RFF form, itemize costs by tasks and budget items identified in the approved Scope of Work, in the same or greater level of detail as indicated in the approved Budget included in the grant agreement.

6. Grantees must provide **back-up documentation for all labor and consultant expenses, including all receipts or bills for items purchased or rented.**
7. RFFs that contain errors or inconsistencies (i.e., miscalculations, incompletions) are considered “Disputed” and will not be processed until corrected. If an RFF is “Disputed”, a member of the LCP Grant Team will notify you of required revisions. To reduce delays, we recommend emailing a pdf of your RFF before you mail in the hardcopies so that we may review the RFF for any potential errors before the official hardcopies are submitted, though this is not a requirement. If RFF hardcopies are submitted that need minor revisions, such as corrections to dates or miscalculations that can be easily addressed without altering the final amount requested for reimbursement, the LCP Grant Team may correct the RFF in order to avoid resubmittal, though this is not guaranteed. In these instances, we will inform you of any corrections that need to be made to the RFF and request your verbal approval before proceeding.
8. Payment typically takes 45 days from the date undisputed hardcopies of the RFF are received in the San Francisco office.
9. When calculating costs and balances on your RFF, please remember to use **2 decimals** in all cells so that an accurate account of costs and balances can be made.
10. Attach your **progress report** for work performed during the billing period. Customized progress report templates will be sent to each grantee. The progress report template will include the grant-specific tasks as shown in the grant agreement. The progress report should summarize the work that was completed during the billing period and provide the current status of the work for which disbursement is sought (e.g. *in progress, behind schedule, complete*, etc.). Progress reports should accompany each RFF submittal and must be submitted at least every quarter; please note that progress reports must be submitted even if an RFF is not being submitted. The submittal schedule for progress reports is the same as the RFF quarterly schedule:

Progress Report	Billing Period (work performed)	Progress Report Due Date
1	Grant Agreement Execution Date - 3/31/18	April 27, 2018
2	4/1/18 – 6/30/18	July 27, 2018
3	7/1/18 – 9/30/18	October 26, 2018
4	10/1/18 – 12/31/18	January 31, 2019

11. Please remember to submit **3 copies** of your RFF, **each** with an original, wet-ink signature, preferably in blue ink + **3 copies** of any relevant supporting documentation (e.g., consultant invoices, travel reimbursement forms) + **1 copy** of your progress report.

12. The Commission cannot pay for any **conference, training or seminar fees, registrations, the cost of purchasing insurance, or items that will be sold**. The Commission cannot pay for **food, drinks, snacks, or prizes** (with the exception of meals during travel as outlined below).
13. If your grant agreement includes a budgeted amount for Labor (City or County) travel, Commission funds may be used to pay for **travel expenses** consistent with the State's travel reimbursement information provided below and only with the submittal of a Travel Expense Claim and applicable receipts. Travel expenses in excess of these rates will not be reimbursed. For consultant travel, Commission funds may be used to pay for travel expenses as well, consistent with the State's travel reimbursement information provided below. Consultant travel expenses may be billed to the Consultant task budget they pertain to and do not require a Travel Expense Claim.
14. Generally, Commission funds may not be used to purchase **equipment**, such as furniture, computers, phones, etc. If you believe a piece of equipment is directly related to carrying out a grant's purposes, check with the Grant Coordinator *before* you purchase the item to ensure that it can be reimbursed under the grant agreement.
15. Online purchases should be documented with packing slips summarizing total charges rather than screen printouts whenever possible.

Detailed Instructions for Completing the Request for Funds Form:

Page 1 of RFF:

- Fill in each space in the top section of the RFF completely.
 - The **Name of the Grantee** is the City or County as indicated on the STD213 (first page) of your grant agreement, not the person filling out the RFF.
 - Write the **“Agreement Number”** exactly as it appears on the grant agreement cover sheet (e.g., LCP-16-##).
 - The **Invoice #** is numerical, starting with the #1. There is no need to submit a blank invoice (for \$0.00) if you’re not requesting reimbursement.
 - The **Address** listed should be the address where the reimbursement check should be sent.
 - The **Project Name** should match the name of the project as listed in Exhibit B1 of your grant agreement.
 - The **Billing Period Covered** should reflect the dates that work was completed. This is the time period in which work was performed. If you are using a consultant, the Billing Period Covered should be inclusive of the consultant invoice dates, specifically the dates from when the consultant work was completed (which may vary from the suggested quarterly billing period listed in the general instructions). Therefore specific dates listed under the Billing Period Covered are flexible, meaning the dates being billed for work performed do not have to match the quarterly billing schedule as listed in the *general instructions*); accordingly, subsequent RFFs can have dates that overlap with prior RFFs.

- The **“Scope of Work Task Number and Name”** column should correspond to the tasks listed in the Scope of Work of your grant agreement. If you are using an RFF form specifically tailored by Commission staff for your jurisdiction, this column will already be complete.

- The **“Task Budget”** column should correspond to the amount allocated for each Task and each line item (e.g., materials and supplies, mileage, etc) as provided in your grant agreement budget. If you are using an RFF form specifically tailored by Commission staff for your jurisdiction, these columns will already be complete and will only need to be updated in the event that your grant agreement budget is amended at a later date during the grant term.

- The **“Costs Incurred This Period”** should correspond to the amount being billed for each task during the Billing Period Covered. Please remember to use 2 decimals in all cells so that an accurate account of costs and balances can be made.
 - Under Labor Costs, fill in the City or County Staff Labor Costs incurred per each Task during the Billing Period Covered. Amounts listed for labor must be inclusive of hourly rates and benefits.

- Under Direct Costs, fill in the costs incurred as City/County Project Supplies and Travel during the Billing Period Covered. For City/County Staff Travel costs, a Travel Expense Claim must be completed in addition to the RFF (please see page 9).
 - Under Direct Costs, fill in the costs incurred as Consultant costs during the Billing Period Covered. Any Consultant costs incurred as supplies and travel (or other Direct Costs of the Consultant) should be included in the relevant Task the supplies and travel pertain to, unless there is a specific budget line item for such costs.
 - In the Overhead/Indirect costs line, fill in the costs incurred during the Billing Period Covered only if your grant agreement budget includes a Task Budget for Overhead/Indirect Costs. If your grant agreement does include a budgeted amount for Overhead/Indirect Costs, please remember that the amount requested for Overhead/Indirect Costs must be no more than 10% of the Labor being requested.
- The “**Total Cost To Date**” column is the total of all previous billings including the “Cost Incurred this Period” column(s). If you are using an RFF form specifically tailored by CCC staff for your jurisdiction, these columns will be included in your RFF, but will need to be filled in accordingly. Each time you prepare an RFF, you will need to update the Total Cost To Date based on prior costs incurred that were submitted as reimbursement requests –as RFFs. Please remember to use 2 decimals in all cells so that an accurate account of costs and balances can be made.
 - The “**Remaining Balance**” column(s) refers to the “Task Budget” minus the “Total Cost To Date” column. Your customized RFF form should automatically calculate this amount. Please remember to use 2 decimals in all cells so that an accurate account of costs and balances can be made.
 - An original, wet-ink signature is required in the **Certification of Grantee** box, preferably in blue ink. Only the project representative listed in exhibit B of your grant agreement may sign the RFF. Please print or type the name, title, and date. Emailed, Faxed, or Xerox copies of the Request for Funds form cannot be processed for reimbursement.

Page 2 of RFF:

The Grand Total (Subtotals A+B+C+D) should equal the “Total Amount Requested” on Page 1 of the RFF.

1. LABOR (A): This refers to the expenditures that the Grantee actually incurred for Labor, excluding expenditure to consultants and subconsultants. Labor refers to salaries,

benefits, etc. of the Grantee’s own personnel. Under Labor Description, please list each City/County staff position multiplied by the hourly rate.

- Under (A) Labor Description:
 - i. Please list each City/County Staff Position and the Hourly Rate multiplied by the Number of Hours spent on each Task
- Under (A) Labor Reference:
 - i. Please write in the relevant Task # for each position listed
- Under (A) Labor Amount:
 - i. Please write in the relevant Amount for each Position per Task
- Example:

(A) LABOR – Description	Reference	Amount
Assistant Planner x \$45 per hour x 10 hours	Task 1	\$450.00
Senior Planner x \$75 per hour x 20 hours	Task 1	\$1,500.00
Senior Planner x \$75 per hour x 15 hours	Task 2	\$1,125.00
SUB-TOTAL (A)		\$3,075.00

2. CONSULTANT’S EXPENDITURE (B): This refers to Grantee’s payments to consultants and subconsultants with which the Grantee has entered into a contractual agreement for performance of work under the LCP grant agreement. Please remember to provide back-up documentation for all consultant and subconsultant’s expenditures. Back-up documentation must include a short For Opinvoice expenses.

- Under (B) Consultant’s Expenditure Description:
 - i. Please write in the Consultant Name (e.g. Dudek, EMC, AECOM, etc.) and the Consultant Invoice #.
- Under (B) Consultant’s Expenditure Reference:
 - i. Please write in the Consultant Invoice Task # for each amount being billed
- Under (B) Consultant’s Expenditure Amount:
 - i. Please write in the Amount requested for reimbursement per Consultant Invoice
- Example:

(B) SUBCONTRACTOR'S EXPENDITURE – Description	Reference	Amount
Dudek Invoice #12345	Task 1	\$1,000.00
Dudek Invoice #12345	Task 2	\$2,000.00
Dudek Invoice #23456	Task 1	\$3,000.00
EMC Invoice #34567	Task 2	\$4,000.00
SUB-TOTAL (B)		\$10,000.00

3. OPERATING COSTS (C): Items in this section refer to project implementation materials, travel costs, rental equipment, or costs of operating Grantee’s own equipment. Generally, State funds may not be used to purchase equipment. Provide back-up documentation (such as receipts) for ALL expenses, including travel. If there are small

receipts, tape them to a blank piece of paper and label them.

- Under (C) Operating Costs Description and Reference:
 - i. List the operating item, such as travel and postage, utilized by City/County Staff (not your consultant)
- Under (C) Operating Costs Amount:
 - i. List the cost incurred related to each operating cost. Please note that operating costs for your consultant should not be included in this section, but rather in the task by task consultant costs under RFF Section (B) Consultant’s Expenditure.
- Example:

(C) OPERATING COSTS (Project materials, travel, overhead, etc.) – Description	Amount
Postage	\$100.00
Travel	\$50.00
SUB-TOTAL (C)	\$150.00

4. OVERHEAD AND INDIRECT COSTS (D): Items in this section, if included in your grant agreement budget, refer to City/County Overhead, such as a pro rata share of rent, utilities, and salaries for certain positions indirectly supporting the proposed project but not directly staffing it. Amount requested for indirect costs should be capped at 10% of amount requested for “Labor.”

- Under (D) Overhead / Indirect Costs Description:
 - i. Please write in the specific item related to Overhead / Indirect Costs such as rent, utilities, etc.
- Under (D) Overhead / Indirect Costs Amount:
 - i. Please write in the Amount requested for reimbursement as Overhead / Indirect Costs
- Example:

(D) OVERHEAD / INDIRECT COSTS – Description	Amount
Rent	107.50
Utilities	200.00
SUB-TOTAL (D)	\$307.50

5. GRANTEE MATCHING FUNDS: Please report the amount of matching funds that were expended during the billing period covered and for which tasks they were applied.

Travel Reimbursement Information

(Mileage Reimbursement Rate Effective 1-1-2018)

The state requires that grantees follow the same guidelines for travel as all state employees. All travel must be included in your grant agreement budget and is restricted to *within California*. After your trip, you will need to send a claim form to the Grant Coordinator, using the state travel expense claim form. *Remember to sign the claim form.* Receipts are required and should be attached to the travel expense claim form.

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under your grant agreement.
 - a. Reimbursement for travel and/or per diem shall be at the rates established for nonrepresented/excluded state employees.
 - b. Short Term Travel is defined as a 24-hour period, and less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever an employee leaves his or her home or headquarters. "Headquarters" is defined as the place where the employee spends the largest portion of their working time and returns to upon the completion of assignments. Headquarters may be individually established for each traveler.
 - c. Employees on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on Page 11 of this document to determine the reimbursement allowance. All lodging reimbursement claims must be supported by a receipt*. If an employee does not or cannot present receipts, lodging expenses will not be reimbursed.

(1) Lodging (with receipts*):

Travel Location / Area	Reimbursement Rate
Statewide (excluding the counties identified below)	\$ 90.00 plus tax
Counties of Napa, Riverside and Sacramento	\$ 95.00 plus tax
Counties of Los Angeles, Orange, Ventura, excluding city of Santa Monica	\$120.00 plus tax
Counties of Alameda, Monterey, San Diego, San Mateo, and Santa Clara	\$125.00 plus tax
County of San Francisco and City of Santa Monica	\$150.00 plus tax

*Receipts from Internet lodging reservation services such as Priceline.com which require prepayment for that service ARE NOT ACCEPTABLE LODGING RECEIPTS and are not reimbursable without a valid lodging receipt from a lodging establishment.

- (2) Meal/Supplemental Expenses: With substantiating receipts, a contractor may claim actual expenses incurred up to the following maximum reimbursement rates for each full 24-hour period of travel

Meal / Expense	Reimbursement Rate
Breakfast	\$ 7.00
Lunch	\$ 11.00
Dinner	\$ 23.00
Incidental expenses ¹	\$ 5.00

- d. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.
2. For transportation expenses, the employee must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt. For auto rentals, the Commission cannot pay for the cost of adding a collision-damage waiver/loss-damage waiver (CDW/LDW).
 3. **Note on use of autos:** If an employee uses his/her or a company car for transportation, the rate of reimbursement will be **54.5 cents** maximum per mile. If an employee uses his/her or a company car "in lieu of" airfare, the air coach fare will be the maximum paid by the State. The employee must provide a cost comparison upon request by the State. Gasoline and routine automobile repair expenses are not reimbursable.
 4. **Airplane travel:** use the lowest available fare.
 5. The employee is required to furnish details surrounding each period of travel. Travel expense reimbursement detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc. Reimbursement for travel expenses may be withheld pending receipt of adequate travel documentation.

¹ *Incidentals include personal phone calls, newspapers and magazines, tips, etc.*

Per Diem Reimbursement Guide

Length of travel period	And this condition exists...	Meal allowed with receipt
Less than 24 hours	<ul style="list-style-type: none"> • Trip begins at or before 6:00 a.m. and ends at or after 9:00 a.m. • Trip begins at or before 4:00 p.m. and ends at or after 7:00 p.m. <p><i>Lunch or incidentals cannot be claimed on one-day trips.</i></p>	Breakfast Dinner
24 hours or more	<p>All meals may be claimed for full 24 hour periods</p> <p><i>First Day of Trip (of more than 24 hours)</i></p> <ul style="list-style-type: none"> • Trip begins at or before 6:00 a.m..... • Trip begins at or before 11:00 a.m..... • Trip begins at or before 5:00 p.m..... 	Breakfast Lunch Dinner
More than 24 hours	<p><i>Last Day of Trip (of more than 24 hours)</i></p> <ul style="list-style-type: none"> • Trip ends at or after 8:00 a.m..... • Trip ends at or after 2:00 p.m..... • Trip ends at or after 7:00 p.m..... 	Breakfast Lunch Dinner
<p>The following meals may not be claimed for reimbursement: meals provided by the State, meals included in hotel expenses or conference fees, meals included in transportation costs such as airline tickets, or meals that are otherwise provided. Snacks and/or continental breakfasts such as rolls, juice, and coffee are not considered to be a meal.</p> <p><u>No meal expense may be claimed for reimbursement more than once in any given 24-hour period.</u></p>		

Changes?

Please work diligently to meet the project milestones and deadlines set out in your grant agreement. If unforeseen circumstances necessitate any changes to your timeline or scope of work, please contact your Grant Coordinator immediately.

Contact Information

General Inquires on the LCP Grant Program may be directed to:

LCPGrantProgram@coastal.ca.gov

The Grant Coordinator for Humboldt, Trinidad, Fort Bragg, Marina, and Pismo Beach is:

Kelsey Ducklow

Kelsey.Ducklow@coastal.ca.gov

(415) 904-2335

The Grant Coordinator for Avalon and San Diego is:

Daniel Nathan

Daniel.Nathan@coastal.ca.gov

(415) 904-5251

If further assistance is needed, please contact:

Madeline Cavalieri, Coastal Program Manager

Madeline.Cavalieri@coastal.ca.gov

(831) 427-4890

Fax: (415) 904-5216