319 Reporting Guidance



*Ramshorn Creek Restoration Project, 2019*

***September 2021***

***Montana Watershed Protection Section***



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# Purpose

This document provides guidance for submitting Mid-Year, Interim, Annual and Final Reports, and Attachment B Billing Statements for 319 contracts. These reports fulfill EPA reporting requirements, provide the DEQ Project Manager with information needed to approve payments, and create opportunities for sharing project progress, challenges and successes.

# Reporting Basics

**All reports are submitted directly to the DEQ Project Manager, preferably through email.**

Mid-Year Reports

* Due June 15th of each year.
* Completed using the Mid-Year/Interim/Annual Report template provided by the DEQ Project Manager.
* Accompanied by a complete Attachment B Billing Statement, even if no payment is requested and no match is reported.

Interim Reports

* Submitted any time payment is requested outside of the Mid-Year Reports, Annual Reports, or Final Report; may be submitted no more frequently than monthly.
* Completed using the Mid-Year/Interim/Annual Report template provided by the DEQ Project Manager.
* Accompanied by a complete Attachment B Billing Statement.

Annual Reports

* Due December 15th of each year.
* Completed using the Mid-Year/Interim/Annual Report template provided by the DEQ Project Manager.
* Accompanied by a complete Attachment B Billing Statement, even if no payment is requested and no match is reported.

Draft Final Report

* Due 15 days prior to the contract expiration date.
* Completed using the Final Report template provided by the DEQ Project Manager.
* Must include all required attachments.
* Accompanied by a complete Attachment B Billing Statement.

Final Report

* Due on the contract expiration date.
* Addresses all comments and concerns raised by the DEQ Project Manager during review of the draft Final Report.
* Completed using the Final Report template provided by the DEQ Project Manager.
* Includes all required attachments.
* Accompanied by a complete Attachment B Billing Statement.
* Replaces the last required Mid-Year Report or Annual Report.

Attachment B Billing Statement

* Submitted each time a Mid-Year, Interim, Annual or Final Report is submitted, even if no payment is requested and no match is reported.
* A new signature is required each time the Attachment B Billing Statement is submitted. Electronic signatures are acceptable, as are scanned copies (in PDF format) of signed hardcopy documents.

## Report Format

Do not alter the template formats except as directed. Do attach deliverables and other documentation to the end of the templates as necessary. If you have questions about how to fill out one of the templates, or suggestions for how DEQ might improve the reporting process, please contact your DEQ Project Manager.

## Electronic Signatures

**Electronic signatures are required** on all reports and Attachment B Billing Statements. The easiest way to do this is to have your signatory sign a blank piece of paper, take a photo of the signature with your phone, store the photo as a file on your computer, and then insert the photographed signature in the appropriate location each time you submit a document. Alternatively, there are various commercially available digital signature options (e.g. DocuSign, Adobe Sign, etc).

## Record Keeping

**Contractors**

Please follow the records retention requirements identified in your contract. Also, keep electronic copies of all emails, reports, payment requests and deliverables. DEQ makes every effort to maintain detailed records of correspondence and submittals, but occasionally staff turnover and simple human error result in missing items.

**DEQ Project Managers**

Save copies of all pertinent emails, reports, payment requests and deliverables in the contract folder on the network. Whenever a contractor submits an electronically signed document via email, you **must** save a copy of the accompanying email in the contract folder.

# Mid-Year, Interim and Annual Report Instructions

## Instructions for DEQ Project Manager

Prior to the signing of a contract, prepare the Mid-Year/Interim/Annual Report form for your Contractor by filling in all the gray highlighted fields as instructed in the template. Email the prepared form to your Contractor with an electronic copy of the Attachment B Billing Statement.

During the contract initiation meeting, review the instructions for filling out the Mid-Year/Interim/Annual Report form and the Attachment B Billing Statement with your contractor.

When you receive a Mid-Year, Interim or Annual Report from your contractor, carefully review the report to ensure deliverables have been accurately reported and adequate documentation has been provided to justify the expenses and match reporting in the accompanying Attachment B Billing Statement. You should generally review and respond to submittals within 3-5 business days.

## Instructions for the Contractor

Prior to the signing of a contract, your DEQ Project Manager will send you an electronic copy of the Mid-Year/Interim/Annual Report form, along with an electronic Attachment B Billing Statement.

During the contract initiation meeting, your DEQ Project Manager will review the instructions for filling out the Mid-Year/Interim/Annual Report form and the Attachment B Billing Statement. Don’t hesitate to ask for clarification if something doesn’t make sense. Your Project Manager is there to help.

When you submit a Mid-Year, Interim or Annual Report, do not alter the form except as directed in the yellow highlighted text. Do attach deliverables and other documentation to the template.

Most reports, deliverables, and other documentation must be submitted electronically in either Adobe PDF, Microsoft Word, or Microsoft Excel format. Photos must be submitted in JPEG format, even if they are also included as content within a report. You must also submit an accompanying spreadsheet identifying the date, location, subject matter and photographer for each photo. GIS data must be compatible with ESRI GIS software. Video footage, survey data, and other specialized information must be submitted in its native format, or in a format specified by your DEQ Project Manager. If files are less than 10.0 megabytes in size, transmit them via email. If files are greater than 10.0 megabytes, use the state of Montana file transfer service (<https://transfer.mt.gov>).

## Scope and Detail

Mid-Year, Interim and Annual Reports should contain enough detail for a person unfamiliar with the project history to pick up the report and the contract, and easily determine what activities occurred and where, and whether the activities described are within the scope of the contract and commensurate with the funding requested in the Attachment B Billing Statement.

If you find yourself spending more than 8 hours on a single Mid-Year, Interim or Annual Report, please contact your DEQ Project Manager.

## Need Help?

If you have questions about reporting requirements, necessary documentation for justifying payment, or any other aspect of contract management, please contact your DEQ Project Manager.

## Understanding the Template

* Gray-highlighted text contains instructions for the DEQ Project Manager and must be replaced by the DEQ Project Manager with Contract-specific information.
* Yellow-highlighted text contains instructions for the Contractor and is to be filled-out/replaced by the Contractor.
* [Bracketed text] must be filled-in/replaced, and the brackets subsequently deleted.

# 1.0 General Information

|  |
| --- |
| **Project Title: from the top of the first page of the Attachment A** |
| **Contractor: Name of Contractor** |
| **Contact Name: Contact Person for the Contractor** | **Email: Contact Person’s email address** |
| **Address: Contractor’s mailing address** | **Phone: Contact Person’s phone number** |

# 2.0 Notices to Proceed

Fill out the first two columns of the table below, based on the notice to proceed requirements in the Attachment A.

|  |  |  |  |
| --- | --- | --- | --- |
| **Activity** | **Prerequisite Deliverables** | **Requested** | **Received** |
| Copy and paste the notice to proceed requirement from the Attachment A | Copy and paste the prerequisite deliverables from the Attachment A | MM/DD/YYYY, the date you submitted a request to DEQ for a notice to proceed. | MM/DD/YYYY, the date you received the notice to proceed. |
| Copy and paste the notice to proceed requirement from the Attachment A | Copy and paste the prerequisite deliverables from the Attachment A | MM/DD/YYYY, the date you submitted a request to DEQ for a notice to proceed. | MM/DD/YYYY, the date you received the notice to proceed. |

Make a copy of Section 3.0 for each task in Attachment A of the 319 contract. Each task must be reported on, even if no billable work occurred.

# 3.0 Task Reports

**Task number and title from Attachment A**

**Is the Task Complete?** Y/N

**Task Description:** Copy and paste the entire task description from Attachment A

**Mid-Year/Interim Report:** Provide a detailed description of the work for which you are seeking reimbursement or reporting as match. Include sufficient information to justify the expenditures and match reporting identified in an accompanying Attachment B Billing Statement. If no activities have occurred during the reporting period, explain why.

**Annual Report:** If you are submitting this report as an Annual Report, provide a summary of all the activities completed under this task during the previous year. If not, leave this space blank.

**Upcoming Work:** Describe what is planned next for this task.

**Deliverables:** Fill in the “Deliverable” column in the table below, adding more rows if needed. List each, individual deliverable on a separate row. For example, if the task deliverables call for draft and final designs to be submitted, place the draft design and the final design on separate rows; if 3 Mid-Year Reports, 2 Annual Reports, and a Final Report will all be required, place each report on a separate row. Be specific and thorough. Remember that in an Attachment A, deliverables may exist in the Task Description, or in the Deliverables, or in both. Use the table below to indicate the status of each deliverable associated with this task.

|  |  |  |
| --- | --- | --- |
| **Deliverable** | **Status/Date Completed** | **Notes/Comments** |
| deliverable | MM/DD/YYYY or, if partially completed, list completed items in this column, and remaining items in the column to the right. | Add notes as needed for clarification. |
| deliverable | MM/DD/YYYY or, if partially completed, list completed items in this column, and remaining items in the column to the right. | Add notes as needed for clarification. |

# 4.0 Signature

 Signature MM/DD/YYYY

 Signatory Name, Title Date

# Final Report Instructions and Template

## Purpose of a Final Report

A Final Report should accomplish the following:

* Fulfill EPA reporting requirements.
* Provide the DEQ Project Manager with the information needed to justify final payments.
* Document project goals and impacts.
* Document lessons learned that could benefit future efforts to improve water quality and administer the 319 program.
* Provide a base of knowledge from which to evaluate project effectiveness during future site visits.
* Track the spatial distribution of on-the-ground restoration activities, monitoring efforts, and funding across Montana.
* Document the full cost of restoration activities.

## Scope and Detail

The Final Report must be a stand-alone, beginning-to-end account of all activities associated with the contract. Somebody unfamiliar with the project should be able to pick up the report and easily determine why the project was initiated, who was involved, what was done and where, and what impact was made. The Final Report should thoroughly document on-the-ground activities (including locations and actions), education and outreach events and products, project evaluation efforts and data, and project finances. Plan to spend at least a day or two compiling and editing your Final Report.

## Report Format

Use the template on the following pages as a basis for your Final report. Doing so will help ensure timely review and acceptance of your Final Report and payment request, and it will ensure that you have provided all of the necessary documentation to close out your 319 contract.

## Attachments

You must **attach electronic copies of all deliverables associated with the Contract, including those that were previously submitted**. Most reports, deliverables, and other documentation must be submitted electronically in either Adobe PDF, Microsoft Word, or Microsoft Excel format. Photos must be submitted in JPEG format, even if they are also included as content within a report. You must also submit an accompanying spreadsheet identifying the date, location, subject matter and photographer for each photo. GIS data must be compatible with ESRI GIS software. Video footage, survey data, and other specialized information must be submitted in its native format, or in a format specified by your DEQ Project Manager. If files are less than 10.0 megabytes in size, please transmit them via email. If files are greater than 10.0 megabytes in size, use the state of Montana file transfer service (<https://transfer.mt.gov>).

## Understanding the Template

* Gray-highlighted text contains instructions for the DEQ Project Manager and must be replaced by the DEQ Project Manager with Contract-specific information.
* Yellow-highlighted text contains instructions for the Contractor and is to be filled-out/replaced by the Contractor.
* [Bracketed text] must be filled-in/replaced, and the brackets subsequently deleted.

Final Report

319 Contract ######

Representative photo

***Photo Subject, Date***

**Prepared By**

**Contractor Name**

**Month Year**

# General Information

Contractor Primary Contact: Name, Mailing Address, Phone, Email This is the person DEQ, EPA or others might contact in the future to learn more about the project or to arrange a site visit.

Budget Summary

|  |  |
| --- | --- |
| 319 Funds Expended | $ |
| Non-Federal Match Reported | $ |
| Federal Match Reported | $ |
| **Total** | **$** |

# Activity Reports

Fill out an Activity Report for each activity completed as part of the project. An activity is any distinct, stand-alone project accomplished under the contract. For example:

* If contract work included 3 acres of wetland creation on Cow Tail Creek, 400 feet of riparian buffer planting on Lone Pine Creek and 2 miles of forest road obliteration in the Green River watershed, you would fill out 3 Activity Reports.
* If contract work included 1,500 feet of stream reconstruction on the BJ Ranch in upper Lone Pine Creek and 4,000 feet of riparian fencing and buffer planting on the Cool Dog Ranch in lower Lone Pine Creek, you would fill out 2 Activity Reports.
* If contract work was limited to 200 feet of riparian buffer planting and development of a grazing management plan for a single landowner on Yellow Dog Creek, you would only fill out one Activity Report.
* If contract work involved engineering work for a future project (no on-the-ground work) or managing an education and outreach mini-grant program, you would only fill out one Activity Report.

## 1.1 Activity Report for insert name of activity

### Project Location

**Latitude and Longitude**: Latitude and longitude must be expressed in decimal degrees. For projects that involve long linear sections of streambank or large surface areas, pick a point that is roughly in the geographical center of the project. For projects that involve multiple small activities scattered across a considerable distance (e.g. forest road improvements, culvert replacements, mini-grant projects) provide a separate latitude and longitude for each activity or improvement. For education and outreach activities, leave this item blank.

**Site Map**: A map or set of maps showing the specific location and extent of the activity. The map scale must be between 1:1,000 and 1:12,500. The map(s) must have an aerial photo background (e.g., USDA NAIP photography, Google Earth imagery, etc.). The map(s) should identify waterbodies affected by the pollution that the activity is designed to address. For outreach and education activities, the map should show the watershed(s) and/or waterbodies that you targeted.

### Purpose of the Activity

**Watershed Restoration Plan**: Insert name of Watershed Restoration Plan associated with the project

**Waterbodies and Impairments**

Indicate the waterbody name where the activity occurred. Waterbodies with impairments can be obtained from Montana’s Clean Water Act Information Center (CWAIC) website at [www.cwaic.mt.gov](http://www.cwaic.mt.gov). When obtaining data from CWAIC, be sure to look at the right waterbody and the right segment of that waterbody. For example, there are dozens of streams named “Beaver Creek,” so be sure to look at the one in your watershed. Many of the larger streams are divided into segments (i.e., “Assessment Units”), and different segments may have different impairments. For each listed waterbody, CWAIC lists the probable causes of impairment (e.g., sedimentation/siltation, nitrogen, lead). For the selected waterbody, list the probable causes of impairment that your activity specifically addresses.

|  |  |
| --- | --- |
| **Waterbody Name *(from Montana’s List of Impaired Waters)*** | **Impairment Causes Addressed** |
|  |  |
|  |  |
|  |  |

### Partners and Participants

Use the table below to describe the partners and participants involved in the activity and the roles they played. Be sure to include landowners, funding partners, subcontractors, technical assistance providers, presenters, etc. For participants (attendees) in education and outreach activities, simply include the number and type of participants. You do not need to include names of all the attendees, but you should include a description such as “10 landowners, 3 federal agency staff, and 15 local high school students”.

|  |  |
| --- | --- |
| **Partner/Participant** | **Role** |
|  |  |
|  |  |
|  |  |
|  |  |

### Accomplishments

In two pages or less, describe what you accomplished with your activity. Identify important contract deliverables (e.g. design drawings, landowner agreements, grazing management plan). Describe the nature and extent of on-the-ground restoration activities. Provide statistics where appropriate (e.g. installed 6,500 feet of riparian exclusion fencing, created 3 new acres of off-channel wetlands, reconstructed 3,200 feet of stream channel that had been affected by historic placer mining, repaired or replaced 15 culverts to allow for fish passage, achieved a 75% survival rate on revegetation work, etc). Include pictures of completed work. Describe landowner goals for the project and how those were met.

### Load Reductions

If the Contract included a requirement to report sediment, nitrogen, or phosphorus load reduction estimates, list the estimates and describe how they were derived.

### Lessons Learned

Describe any challenges that arose and how you addressed them. Identify things you learned that could help you or other organizations in the future. In retrospect, are there things you would have done differently knowing what you know now? Are there things you plan on doing again? Describe how the project affected you, your organization, and your community. Were there any unanticipated benefits? Why was the landowner inspired to engage in the project, and how did their engagement evolve throughout the project? Are there things that could be done to improve DEQ’s 319 projects program?

# 2.0 Education and Outreach

Describe any education and outreach activities you didn’t already touch on in the Activity Reports above. Be sure to include the following:

* The target audience.
* The education or outreach technique employed.
* The desired outcome within the target audience.
* Any evidence that the desired outcome was achieved.
* Any lessons learned that could apply to future education and outreach activities.
* Photos where appropriate.
* A list of any associated contract deliverables (e.g. lesson plans, brochures, newsletter articles, etc).

# 3.0 Final Billing

Provide justification for your final billing and match reporting.

Task 1 – insert task name

Activities: provide a description of the activities for which you are seeking reimbursement or reporting match on your final Attachment B Billing Statement

Task 2 – insert task name

Activities: provide a description of the activities for which you are seeking reimbursement or reporting match on your final Attachment B Billing Statement

 . . . . . . . etc.

# 4.0 Signature

 Signature MM/DD/YYYY

 Signatory Name, Title Date

# Attachments

Attach copies of all contract deliverables, including those that were previously submitted. Attach a signed copy of your final Attachment B Billing Statement.

## Attachment A – Final Attachment B Billing Statement

## Attachment B – insert description

##  . . . . . etc.

# Attachment B Billing Statement Instructions

The DEQ Project Manager will provide you with an electronic (MS Excel) version of the Attachment B Billing Statement. You must submit a complete Attachment B Billing Statement each time you submit a Mid-Year, Interim, Annual, or Final Report.

## Electronic Signatures

An electronic signature is required **each time you submit** an Attachment B Billing Statement. The easiest way to do this is to have your signatory sign a blank piece of paper, take a photo of the signature with your phone, store the photo as a file on your computer, and then insert the photographed signature in the appropriate signatory cell each time you submit an Attachment B Billing Statement. Alternatively, there are various commercially available, digital signature options (e.g. DocuSign, Adobe Sign, etc).

## Key Considerations

1. Every time you submit a Billing Statement, you must submit either a Mid-Year, Interim, Annual, or Final report, and vice versa.
2. All expenses must be within the scope of your contract.
3. You must provide sufficient documentation of work completed such that a person unfamiliar with the contract might be able to read the contract, review the information provided, and easily conclude that the work completed justifies the expense reported. Please work with your DEQ Project Manager to ensure you are providing adequate supporting documentation.
4. Billing is conducted on a reimbursement basis. You may only bill for work that has already been completed and materials that have already been purchased. You may not bill in advance for future expenses.
5. DEQ may withhold up to 10% of the available 319 funding until all deliverables have been submitted.
6. Once all deliverables have been submitted and accepted for a specific task, if there are funds remaining in that task, the funds may be applied to other tasks within the same contract. To do this, email your DEQ Project Manager and request permission, then fill out the Attachment B Billing Statement in a way that shows a positive balance for the under-budget task and a negative balance for the over-budget task. *At no time may the total 319 funds balance remaining go below $0.*
7. If after you submit a billing statement for a given billing period, you then receive an additional bill for work completed during the previous billing period, submit the additional bill with your next billing statement. For example, if on June 30th you submit a billing statement to DEQ for work completed between January 1st and June 30th, and then on July 15th you receive a bill for $3,500 from one of your subcontractors for work done in May, go ahead and bill DEQ for the $3,500 on your next billing statement. In your Mid-Year/interim/Annual/Final Report, please provide an explanation for the “out-of-reporting period” reimbursement request.

## Specific Instructions and Example

Specific instructions for filling out the Attachment B Billing Statement are contained within the electronic (MS Excel) version of the Attachment B Billing Statement supplied by your DEQ Project Manager.