

PEST MANAGEMENT RESEARCH GRANT PROGRAM

PART 1 | 2016-17 SOLICITATION

PEST MANAGEMENT RESEARCH GRANT PROGRAM

The Department of Pesticide Regulation (DPR) established its Pest Management Research Grant Program to develop practices that reduce the use of and risk from pesticides that are of human health or environmental concern in California.¹

Voluntary adoption of these practices, through use of integrated pest management² (IPM) systems, reduces use of high-risk pesticides and reliance on regulations to minimize risks associated with these pesticides. Effective California IPM systems developed with the aid of a research grant may be promoted in the future through DPR's Pest Management [Alliance Grants Program](#),³ which emphasizes outreach and implementation.

SCOPE OF PROSPECTIVE RESEARCH PROJECTS

Projects must address issues pertinent to agricultural field fumigant use in California and all field work must be conducted in California. Projects must contribute to a California IPM system for prevention and management of pests by addressing at least one of the following:

- Decision-making for pest management
- Improvement of application technologies⁴
- Increased cost effectiveness of reduced-risk practices
- Modeling or meta-analyses to answer important questions related to agricultural field fumigants and IPM adoption

Projects focused on other high-risk pesticides will be considered.

2016-17 FUNDING PRIORITY:

This year, the Pest Management Research Grant Program will allocate approximately 55% of its funds to projects that explore using integrated pest management (IPM) to reduce pesticide-related risks associated with **agricultural field fumigants**. The remaining 45% will be allocated competitively to projects that explore using IPM to reduce risks associated with other high-risk pesticides as well as projects focused on reducing risks associated with fumigants.

IMPORTANT DATES

Phase I, Concepts	Sep 8, 2015	Release grant solicitation
	Sep 15, 2015	Webinar for instructions and questions regarding the FAAST Application Submittal Tool (See Conference Calls and Webinar)
	Sep 17, 2015	Conference call for questions about the Research Grant Program and Solicitation (See Conference Calls and Webinar)
	Oct 1, 2015	Concepts due by 5:00 p.m.
Phase II, Proposals	Oct 22, 2015	Notice of invitation to submit proposals
	Dec 16, 2015	Proposals due by 5:00 p.m.
	Mar 21, 2016	Grants awarded
Project	Jul 1, 2016	Project start date
	Jan 31, 2019	All sub-contract work must be completed
	Mar 31, 2019	All work must be completed
	May 1, 2019	Final invoices due

¹ "Human health or environmental concern" is intentionally open-ended to allow groups to make their own case for project need and impact. DPR does not maintain a comprehensive list of pesticides of human health or environmental concern.

² University of California Statewide IPM Program definition of IPM: Integrated pest management (IPM) is an ecosystem-based strategy that focuses on long-term prevention of pests or their damage through a combination of techniques such as biological control, habitat manipulation, modification of cultural practices, and use of resistant varieties. Pesticides are used only after monitoring indicates they are needed according to established guidelines, and treatments are made with the goal of removing only the target organism. Pest control materials are selected and applied in a manner that minimizes risks to human health, beneficial and non-target organisms, and the environment.

³ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/alliance/index.htm>

⁴ Projects should clearly demonstrate how an application technology improvement will benefit an **IPM system**. Projects that improve application technologies solely to mitigate risks of conventional systems are unlikely to be selected for funding.

GRANT SUBMISSION PHASES

Phase I, Concepts: A concept is a concise description of the project's goals and objectives, project team, and the scientific merit of the methodology.

Phase II, Proposals: *Proposals are by invitation only.* A proposal is an expansion of the concept and should provide straightforward descriptions of the proposed project and the IPM issues it will address, including a detailed scope of work, commitments from team members, and a budget justification.

FUNDING

On July 1, 2016 (upon approval of California's 2016-17 state budget), a total of \$1,100,000 will be available for research grants. By legislative mandate \$600,000 must fund projects that develop effective alternatives to fumigants. The balance of funds will be awarded competitively to projects focusing on fumigants or other high-risk pesticides. DPR will consider proposals requesting \$50,000 to \$500,000. DPR expects to fund two to four projects.

TIMELINE

Projects may not begin before July 1, 2016. The grant agreement must be fully executed before any work begins. Execution is contingent on approval of California's 2016-2017 state budget. All project work must be completed by March 31, 2019. Sub-contract work must be completed by January 31, 2019. The final invoice is due by May 1, 2019. Extensions of any kind are not permissible under this program.

ELIGIBILITY

Government and tribal agencies, universities, colleges, consultants, pest control businesses, commodity groups, marketing orders, and nonprofit organizations that have experience performing research are eligible. DPR employees are not eligible to receive funds. Members of DPR's Pest Management Advisory Committee (PMAC) are not eligible to receive funds unless they recuse themselves from participating in the grant review process. However, the organizations with which committee members are associated are eligible for funding. See the PMAC Website for a list of committee members. Principal investigators cannot have outstanding fines or penalties with DPR or the County Agricultural Commissioners.

REQUIRED REPORTS AND MEETINGS

- **Reports**
 - **Quarterly Progress Reports:** Concise quarterly reports include brief summaries of project activities, completed milestones, and unexpected problems or special situations. They are due every three months after the grant agreement is executed.
 - **Annual Reports:** Annual reports include results to date, problems encountered, milestones achieved, and plans for the following year. They are due every 12 months after the grant agreement is executed.
 - **Final Report:** The final report describes how project goals and objectives have been fulfilled, summarizes and evaluates project activities and accomplishments, and includes recommendations for outreach and/or future research. A draft of the final report is due by March 15, 2019, with the final version incorporating suggested edits due no later than March 29, 2019. The final report may be submitted in the form of a publishable paper, with supplemental appendices as needed.

- **Meetings**

- **Administrative Meeting:** Administrative meeting, to be held within 30 days after the agreement is executed: The Grant Administrator(s), Grant Manager(s), Principal Investigator(s), and procurement, billing, and accounting staff associated with this project shall attend this meeting. At this meeting, all grant administrative processes and procedure requirements will be discussed, and any questions regarding project objectives and tasks as they relate to administration will be addressed.
- **Initial Project Meeting:** First meeting of the project team, to be held within 30 days after the agreement is executed. The Grant Manager(s), Principal Investigator(s), and all research team members will meet for the first time. This meeting will be a time to go over team member roles, timeline, and deliverables, as well as to discuss any questions regarding project objectives and tasks. (Administrative staff do not need to attend.)
- **Bi-annual Project Update Meetings:** Project update meetings will occur at least every six months, in person or by conference call, as requested by Grant Manager(s) or designated representatives. The grantee must notify the Grant Manager(s) and research team members of meeting dates and locations at least two weeks in advance. If requested by Grant Manager(s), meetings should occasionally include representation by the intended end-users of the research results (e.g., growers, marketing boards) for feedback and insights to improve effectiveness and usefulness of the results. Grant Manager(s) may require additional meetings as needed.
- **DPR Presentation:** The Principal Investigator(s) will make a summary presentation at DPR headquarters during the grant's final year. The presentation will provide information about project goals, objectives, and results.

FAAST

ONLINE CONCEPT & PROPOSAL SUBMISSION TOOL

DPR contracted with the State Water Resource Control Board (SWRCB) to host the concept and proposal submission process through their Web-based Financial Assistance Application Submittal Tool (FAAST). In order to submit a concept or proposal, the applicant must first register with FAAST. The applicant will then be able to log on to their account to enter, save, edit, and submit their responses.

The FAAST site contains a series of tabs (General Information, Project Budget, Funding, Cooperating Entities, Questionnaire, and Attachments), each with an associated list of questions and response boxes. Please read the instructions below carefully to determine how each question should be answered. Some questions that appear on the FAAST site are specific to the SWRCB and do not require a response for this grant.

NOTE: For those who copy and paste from word processor documents (such as Microsoft Word), please be aware that text from word processors may include hidden formatting code (characters) which count towards the maximum allowed characters in a FAAST text box. In addition, FAAST may change word processor characters into unexpected symbols such as upside-down question marks (¿). To avoid these issues, first copy the text into a text editor such as Notepad.

FAAST can be accessed at: <https://faast.waterboards.ca.gov/>. Use the Internet Explorer ("IE") browser for best results. **FAAST is not available on the first weekend of every month (6:00 a.m. Saturday through 8:00 a.m. Monday) due to system maintenance.** See [Questions and Answers](#) for information on where to get help with the solicitation or FAAST tool.

PHASE I, CONCEPT

CONCEPT QUESTIONS GUIDE FOR FAAST

Log into FAAST, click on Start a New Application and choose the RFP: 2016/17 Pest Management Research Grant Program.

Under the Status Tab, it should state Phase I. The instructions below are organized to follow the structure of the FAAST system.

General Information Tab

- Confirm that any pre-populated information is correct. (Applicant/Survey Taker, Applicant Organization, Applicant Division, Submitting Organization, Submitting Division, etc.)
- **Project Title:** Enter a concise, descriptive title for the project. (125 character maximum.)
- **Project Description:** Enter a short descriptive summary of the project. (1000 character maximum.)
- **Project Location**
 - **Latitude:** Leave blank.
 - **Longitude:** Leave blank.
 - **Watershed:** Leave blank.
 - **County:** Select the primary county where the research will take place. If more than one county or all counties, select “Multiple counties” or “Statewide.”
 - **Responsible Regional Water Board:** Select “Statewide.”

Project Budget Tab

- **Funds Requested (\$):** Enter the total dollar amount requested.
- **Local Cost Match (\$):** Leave blank. Cost match is not allowed. Projects must be stand-alone.⁵
- **Total Budget (\$):** Re-enter the value from the “Funds Requested” box.
- **Applicant Federal Tax ID:** Required for grant submission.
- **DUNS Number:** Optional. (Not required for Concept submission.)

Funding Tab

- Confirm that you wish to apply for this grant by clicking the “Apply?” box next to the Pest Management Research Grant Program description.

Questionnaire Tab

1. Project Overview

- 1.1. **Abstract:** Provide an abstract of the proposed project. Include the pesticide-related problems that the project is addressing and how the project outcomes may contribute to an IPM-based solution. Include the goals and objectives. (4000 characters maximum.)

2. Project Summary

- 2.1. **Tasks:** Briefly outline the key tasks (activities) of the project. (2000 characters maximum.)
- 2.2. **Timeline:** Provide a timeline for completion of tasks. Assume a start date no earlier than July 1, 2016, and an end date no later than March 30, 2019, when all work must be completed. (Billable work performed under subcontract must be completed by January 31, 2019.) (2000 characters maximum.)

⁵**Cost Match:** It is permissible for the proposed project to be a component of a larger project funded by multiple sources, but the proposed project cannot be dependent on other funding sources for completion of any task or deliverable included in this concept or proposal. A proposed project must be complete with its own goals, outcomes, and deliverables, all of which must be completed entirely using the requested dollar amount. The DPR-funded portion of any larger project must be “stand-alone”: If all aspects of the larger research endeavor were taken away, the DPR-funded project must still be able to achieve all objectives and deliverables. In-kind or matching contributions of effort, equipment, or materials by team members are allowed, however (See [In-Kind Funds](#)).

- 2.3. **Economic considerations:** For a pest management practice to be voluntarily adopted, it needs to be economically feasible as well as effective at controlling the pest(s). An estimate of the cost of materials and labor can be useful in promoting adoption of an effective practice. Will the project be able to collect cost information of the IPM practices it explores? If the question is not applicable to project, explain why. (2000 characters maximum.)
- 2.4. **California Stakeholders:** A stakeholder can be defined as an individual, group, or environmental entity with an interest, concern, or connection to the pesticide-related problems or the IPM-based solutions that the project plans to address. Who are the project's primary stakeholders in California, and why would they be interested in the project's outcome? (2000 characters maximum.)
3. **Project Design and Analysis**
- 3.1. **Design and Analysis:** Briefly discuss the experimental design(s) or analytical study(s) the project intends to conduct, including hypotheses, experimental unit, treatments, number of replications, randomization, measurements, statistical analyses, and/or modeling approaches as applicable. (2000 characters maximum.)
4. **Principal Investigators and Team**
- 4.1. **Project Team:** List the principal investigator(s) and all staff (personnel and contractors) involved in the research. Include their affiliations, expertise, and role in the project. If a position has not been filled yet, list the position title and role. (2000 characters maximum.)
- 4.2. **Résumés:** Combine résumés of the principal investigator(s) and any key team members involved in the research into a single PDF document. While there is no page limit for the PDF of the combined résumés, please limit the length of each individual résumé to two pages or less. Résumés should focus on the skills, publications, and work relevant to the project. See instructions under the [Attachments Tab](#) section for directions on how to upload your attachment to the FAAST system.
5. **Additional Information**
- 5.1. **Notification:** Invitations to submit full proposals will be sent via letter and email to the organization address associated with the applicant's FAAST account. If you would prefer the letter to be sent to a different mailing address, enter it here. Additional email addresses to receive notifications of invitation may also be added here. (2000 characters maximum.)

Attachments Tab

- **Résumés:** Under the Attachment Category drop down menu, select "Résumés."
 - Use the Browse button to navigate to your saved PDF document completed in Question 3.2 containing the résumés of the principal investigator(s) and any key team members involved in the research.
 - Enter "Résumés" as the Attachment Title.
 - Click "Attach Selected File."

Status Tab

- The Status Tab allows the user to view the progress and status of the application. This tab is for viewing only.

UPON COMPLETION OF CONCEPT QUESTIONS, CONTINUE TO THE [SUBMISSION OF CONCEPTS AND PROPOSALS](#) SECTION FOR DETAILED INSTRUCTIONS ON THE SUBMISSION PROCESS.

PHASE II, PROPOSAL

Proposals are by DPR invitation only. Uninvited proposals will not be accepted into the FAAST system and will not be reviewed.

PROPOSAL QUESTIONS GUIDE FOR FAAST

Log into FAAST, click on Active Applications and choose your project title under the RFP: 2016/17 Pest Management Research Grant Program. Under the Status Tab, it should state Phase II.

The General Information Tab, Project Budget Tab, Funding Tab, and Cooperating Entities Tab were completed during Phase I, but may be edited if needed. Please enter the information requested in the new Phase II Questionnaire Tab and Attachments Tab.

Questionnaire Tab

1. Project Background

- 1.1. **Pesticides and Pests:** List the high-risk pesticide product names or active ingredients that the project will address. Identify the key pests that these pesticides target. (If too numerous to list in the space provided, please list important examples.) (2000 characters maximum.)
- 1.2. **Risk:** Describe why the pesticides listed in question 1.1 are considered high-risk. (Examples: Risks to the quality of ground water, soil, surface water, or air; risks to the safety or health of workers, the general public, wildlife, or endangered species; drift, runoff, or leaching; and contributions to atmospheric volatile organic compounds [VOCs]) (1500 characters maximum.)
- 1.3. **IPM Solution:** Describe how the project may contribute to an IPM solution and reduce use of and risk from agricultural field fumigants (or other high-risk pesticides). (Examples: Does it develop a component of an IPM system that could serve as a feasible alternative to conventional pest control practices? Does it analyze data to answer important questions that could assist in promoting the adoption of IPM?) (2000 characters maximum.)
- 1.4. **Related Research:** Describe any related research or preliminary data that supports the value of the proposed project. (4000 characters maximum.)

2. **Project Design and Analysis:** If a question is not applicable to the project, please explain why. Applicants will not be penalized if a question is not applicable to their project if they respond with a satisfactory explanation. For example: Observational studies such as meta-analysis or certain types of models may be computer-based analyses of existing data and therefore do not need a traditional experimental field or laboratory design. See [Experimental Design Example](#) for an example of a sketch and answers to questions regarding the design of a field experiment.

- 2.1. **Hypotheses:** Describe all hypotheses to be tested by the project. (1000 characters maximum.)
- 2.2. **Study Method:** Identify the basic method(s) that will be used to test the hypotheses listed in question 3.1. If none of the options apply to the project, check "Other" and explain why in the optional text box. (1000 characters maximum.)
 - **Field experiment:** Statistical inference from scientific method applied in the field (controlled setting).
 - **Laboratory/greenhouse experiment:** Statistical inference from scientific method applied in the laboratory or greenhouse (controlled setting).
 - **Observational study:** Statistical analysis of existing data or measured variables under existing conditions (research without manipulation of setting).

Check all applicable methods (multiple boxes may be checked).

Field experiment Laboratory/greenhouse experiment Observational study Other

- 2.3. Experimental design:** Experimental design refers to the organization of the experiment: the types and amount of collected data, the method of assigning treatments, the layout of the treatments, and so forth. (For example, a field study may implement a randomized complete block design, split plot design, or some other experimental design, while observational studies may not have an experimental design given the inability to change existing conditions.)
- If applicable, briefly summarize the basic experimental design and assignment of treatments that the project expects to follow. Include details about what the experimental units are, what treatments will be applied, what treatment serves as a control(s), the level of replication, what measurements will be taken, and the statistical analysis likely to be applied. Neglecting these details is likely to lead to a lower score on review. If the question is not applicable to the project, explain why. (2000 characters maximum.)
- 2.4. Observational study design:** Observational study design refers to the organization and analysis of observational data. (For example, meta-analyses, modeling existing data, survey, descriptive, case study, ecoinformatics, or others. Laboratory or field experimental studies may or may not have an observational study design component.)
- If applicable, briefly describe the basic observational study design that the project expects to follow. To the extent applicable, include all the elements of an experimental design listed in 2.3. If the question is not applicable to the project, explain why. (2000 characters maximum.)
- 2.5. Optional Project Design Diagram:** An optional diagram of the layout of the experimental or analytical design (see [Experimental Design Example](#)) may be saved as a one page PDF document called “Project Design Diagram.” There is no specified format or criteria for the diagram beyond that it should be a graphical visualization that can assist reviewers in better understanding the design of your project and can be saved as a one-page PDF. See instructions under the [Attachments Tab](#) section for directions on how to upload your attachment to the FAAST system.
- 3. Scope of Work and Budget**
- 3.1. Scope of Work and Budget:** Download the “Scope and Budget” form located at the [DPR website](#)⁶. The form is an Excel workbook consisting of five worksheets, tabbed at the bottom of each page for easy navigation. Use this form to enter details about the project’s scope of work and budget. Each worksheet has instructions and questions regarding goals and objectives (1. Goals Objectives Worksheet), tasks and deliverables (2.Tasks Worksheet), line item budget (3. Line Item Budget Worksheet), task budget (4. Task Budget Worksheet), and timeline (5. Task List Timeline Worksheet). See instructions under the [Attachments Tab](#) section for directions on how to upload your attachment to the FAAST system. There are two versions of the form available:
- [Scope and Budget \(“PC”\)](#)⁷. This is a workbook for use with Windows-based personal computer (“PC”). You will need to use a computer capable of opening an Excel document with an .xlsx extension (Excel 2007 or later). Use of earlier versions of Excel may result in compatibility issues and lack of functionality.
 - [Scope and Budget \(“Mac”\)](#)⁸. This is a trial workbook for use with Apple computers in an attempt to address compatibility issues between Windows and Apple. You will need to use a computer capable of opening an Excel document with an .xlsx extension (Excel 2008 or later). Use of earlier versions of Excel may result in compatibility issues and lack of functionality. If problems are encountered, please use the PC workbook on a Windows-based personal computer.

⁶ <http://www.cdpr.ca.gov/docs/pestmgt/grants/research/solicitation.htm>

⁷ <http://www.cdpr.ca.gov/docs/pestmgt/grants/research/solicitation/attach1pc.xlsx>

⁸ <http://www.cdpr.ca.gov/docs/pestmgt/grants/research/solicitation/attach1mac.xlsx>

4. Budget Narrative

- 4.1. Personnel Services:** Personnel Services consists of salaries and benefits for staff directly involved in the planning and implementation of the project who receive their grant funds (salary, travel, operating expenses, or equipment) through the same organization as the principal investigator.⁹ (If they cannot receive funds through the principal investigator's organization, they are **not** considered personnel staff. They may still receive grant funds, however, if they are listed in the budget under Contracts. Personnel does not include office support staff involved in activities such as procurement, billing, accounting, and other administrative functions. Instead, those activities should be considered in the budget under Overhead.)
- For each personnel staff receiving salary from the project, include the annual salary (\$/year), the percent time (100% = full time, 40 hour work week), and the benefits as a percentage of salary for each fiscal year of the project. Factor in any annual salary or benefit increases. Fiscal years run from July 1st through June 30th. (Example: Post doc \$39,866 per year with 3% increase in years 2 and 3, 48% time years 1 and 2, 100% time year 3; benefits 21%, with estimated 2% annual increase.) (2000 characters maximum.)
- 4.2. In-Kind Contributions¹⁰:** Identify any sources of in-kind services as they relate to the proposed project (see footnote for information on what is allowed). In-kind services are not required for receiving an award. They should be identified here if they are needed to explain how an otherwise unfunded task is accomplished. Keep in mind that while the Pest Management Research Grant Program encourages the collaboration with and leveraging of complementary research projects, all tasks and deliverables of projects funded through this grant program must be able to be accomplished entirely on grant funding alone. (1000 characters maximum.)
- 4.3. Operating Expenses:** Briefly describe any operating expenses the project personnel (see 4.1) will incur. (For example, pesticides, seeds, software licenses, and office supplies.) Any labor should be listed under personnel or contracts, not operating expenses. (1000 characters maximum.)
- 4.4. Travel:** Briefly describe any travel expenses that will be incurred by project personnel. All travel must be within California. Identify the personnel that will incur the travel expenses, the types of travel, and the frequency. Include travel to meetings with the Grant Manager and project team members that might be required under the terms of the prospective grant agreement. (For example: Post doc and field assistant to make approximately 20 trips to local field sites; principal investigator and post doc to travel to in-state professional conference to present results of project.) (1500 characters maximum.)
- 4.5. Equipment:** Equipment is defined as any one durable, reusable item with residual value costing more than \$500 purchased by personnel. Briefly list any equipment and justify why it is needed by the project. (1000 characters maximum.) Equipment purchased with grant funds are the property of DPR and shall be returned to DPR at the end of the grant term.

⁹ Exceptions may exist for federal agencies that establish Research Service Agreements (RSAs) with State Cooperative Institutions and other colleges or universities for the acquisition of goods and services.

¹⁰ **In-kind contributions:** Project activities by team members that have been approved by their employers to be compensated with existing employer funds at the time of proposal submission.

Allowed:

- Personnel time given to project by team members.
- Use of team member's existing equipment or facilities.
- Donation of materials by team members.

Not allowed:

- Project tasks that are simultaneously funded by more than one source.
- Project tasks reliant on labor or outcomes of activities that are not part of the DPR-funded project.

4.6. Contracts: List any professional and consultant services you expect will be needed to complete project tasks. Include any team members who will require funds from the grant but cannot be considered “Personnel” because they are affiliated with a different organization than the principal investigator. Briefly justify why these contracts are needed by the project. (1500 characters maximum.)

5. References

5.1. References: Compile a list of any references cited into a single PDF document. See instructions under the [Attachments Tab](#) section for directions on how to upload your attachment to the FFAST system.

6. Additional Information

6.1. Resubmission: Using the drop-down menu, indicate if this project idea has been submitted for funding under the CDPR Research Grant Program before. If it has, use the text box to indicate what year the project idea was previously submitted and briefly discuss how reviewer's previous concerns (as stated in the past notification letter) were addressed in this current submission. (2000 characters maximum.)

No, this project idea is not a resubmission Yes, this project idea is a resubmission

6.2. Notification: Applicants whose projects were chosen for funding will be sent a letter and an email to the mailing address and email associated with the applicant's FFAST account. If you would prefer the letter to be sent to a different mailing address, enter it here. Additional email addresses to receive notifications of award may also be added here. (1000 characters maximum.)

6.3. Signatory Authority: The signatory authority is the person duly authorized to execute all grant-related documents in the name of the applicant. At academic and governmental institutions, the signatory authority usually is NOT the same as the principal investigator. Enter the name, address, phone, fax, and email for the signatory authority in the text box below. (500 characters maximum.)

6.4. Media Contact: The media contact is the organization's contact person for media inquiries. If the organization does not have an official media contact, the principal investigator may be designated. Enter the name and contact information for the media contact in the text box below. (500 characters maximum.)

6.5. Optional Additional Relevant Information: We understand that some applicants may feel that their projects cannot be adequately described solely by answering the questions in this application. You may submit a one page (maximum) document of any information (For example, text, graphs, photos, updates to project team members, or anything else) not covered in the previous questions that you think are important for the reviewers to know. Save your one page document as a PDF document entitled “Additional Relevant Information.” See instructions under the [Attachments Tab](#) section for directions on how to upload your attachment to the FFAST system.

6.6. Letters of Support: Combine letters of support and commitment from any co-principal investigators, other key research personnel, or relevant stakeholders, into a single PDF document. Save your document as a PDF entitled “Letters of Support.” See instructions under the [Attachments Tab](#) section for directions on how to upload your attachment to the FFAST system.

Attachments Tab

- **Scope and Budget:** Under the Attachment Category drop down menu, select “Scope and Budget.”
 - Use the Browse button to navigate to your saved Scope and Budget Excel worksheet that you downloaded from the DPR website and completed in Question 3.1.
 - Enter “Scope and Budget” as the Attachment Title.
 - Click “Attach Selected File.”

- **Optional Project Design Diagram:** Under the Attachment Category drop down menu, select “Project Design Diagram.”
 - Use the Browse button to navigate to your saved PDF document completed in Question 2.5 containing a diagram of the layout of the experimental or analytical design.
 - Enter “Project Design Diagram” as the Attachment Title.
 - Click “Attach Selected File.”
- **References:** Under the Attachment Category drop down menu, select “References.”
 - Use the Browse button to navigate to your saved PDF document completed in Question 5.1 containing a reference list of any citations in the proposal.
 - Enter “References” as the Attachment Title.
 - Click “Attach Selected File.”
- **Optional Additional Relevant Information:** Under the Attachment Category drop down menu, select “Additional Information.”
 - Use the Browse button to navigate to your saved PDF document completed in Question 6.5 containing any important information not covered in previous questions.
 - Enter “Additional Relevant Information” as the Attachment Title.
 - Click “Attach Selected File.”
- **Letters of Support:** Under the Attachment Category drop down menu, select “Letters of Support.”
 - Use the Browse button to navigate to your saved PDF document completed in Question 6.6 containing a reference list of any citations in the proposal.
 - Enter “Letters of Support” as the Attachment Title.
 - Click “Attach Selected File.”

Status Tab

- The Status Tab allows the user to view the progress and status of the application. This tab is for viewing only.

SUBMISSION OF CONCEPTS OR PROPOSALS

Preview and Submit

- To preview your application, click a “Preview/Submit” button (a “Preview/Submit” button is available on all tabs except for the Status Tab).
- To print your application, use the print function on your web browser to print the preview.
- The “Back to Application/Survey” button will allow you to exit the preview without submitting.
- The “Application/Survey Completion Check” button will check that all required fields have been answered. *NOTE: The Application/Survey completion check will not check for any unanswered questions in the Questionnaire Tab.*
- Once the Application is complete, the “Certification and Submission Statement” will appear. By initializing the certification statement, you are verifying under penalty of perjury that the following statements are true:
 - The information entered on the behalf of the Applicant Organization is true and complete to the best of your knowledge.
 - You are an employee or a consultant for the Applicant Organization and are authorized to submit the application on behalf of the Applicant Organization.
 - You understand that any false, incomplete, or incorrect statements made may result in the disqualification of this application.
- To submit the Application, read the “Certification and Submission Statement,” verify that the certification requirements are met by entering your initials, and click the “Submit Application/Survey” button.

SELECTION PROCESS

The questions and guidelines for reviewers are included here to assist the applicant in understanding the selection process. Applicants are encouraged to use these review questions as a checklist to ensure that they have been addressed in their application.

Concept Review

DPR staff will review all concepts to determine which applicants will be invited to submit a full proposal. Feedback will be included in a letter mailed to the applicant. There is not an official scoring point system at the concept level. In general, concepts will be reviewed for strengths and weaknesses in the following areas:

1. **OVERVIEW:** (a) Does the proposed project fulfill a need and will it provide significant benefits? (b) Are the risks from pesticide use clearly described, and is the project likely to contribute to an IPM-based solution to pesticide related risks? (c) Are the overall goals and objectives for the project clearly stated, important, and reasonably achievable within the grant period? (d) Does the project address the 2016/17 DPR priority area: exploring IPM solutions to pesticide-related risks associated with agricultural field fumigants for soil pests in California; or the lower priority area: exploring solutions to risks associated with other high-risk pesticides?
2. **SCOPE OF WORK:** The project's methodology should have scientific merit and the timeline should be feasible. (a) Are hypotheses clearly stated and can they be reasonably tested within the grant period? (b) Do the experimental designs, analytical studies, statistical analyses, and modeling approaches appear adequate to test the hypotheses? (c) Is the timeline reasonable to complete the key activities and achieve the project's objectives? (d) Does the applicant plan to collect cost information of the IPM practices it explores?
3. **PRINCIPAL INVESTIGATOR(S) AND TEAM:** The expertise level of the principal investigator(s) and key research personnel should be appropriate for the successful completion of the project. (a) Do the principal investigator(s) and key research team members have the background and technical experience to complete the project?

Proposal Review

Proposals will be reviewed by the PMAC and DPR staff. The PMAC reviewers are from diverse affiliations with expertise in pest management. PMAC's role, as specified in law and regulations, is to review proposals for pest management research and recommend to DPR's director which proposals should be funded. The director then makes the final decision.

Below is the point system that all reviewers will be asked to use to initially score each project. Proposal reviewers will have access to both the concept and the proposal submissions during their review. Each section is assigned a maximum number of points that can be received. The total points a project can receive is 100. The scores are then ranked and used by reviewers as the basis for discussing the merits of applications during a review meeting where the final recommendations are determined.

1. **OVERVIEW:** The reviewer's overall assessment of the project. Consider the following:
 - 1.1. Is the project needed and will it provide significant benefits to California stakeholders? Are the risks from pesticide use clearly described, and is the project likely to contribute to an IPM-based solution to pesticide related risks?
 - 1.1.1. Maximum of **20 points**, with 1 = poor and 20 = excellent.
 - 1.2. Are the overall goals and objectives for the project clearly stated, important, and reasonably achievable within the grant period?
 - 1.2.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.

2. SCOPE OF WORK: The scientific merit of project's methodology and the feasibility of the timeline. Consider the following:
 - 2.1. Are hypotheses clearly stated and can they be reasonably tested within the grant period?
 - 2.1.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.
 - 2.2. Are the data collection, experimental or analytical design, statistical analyses, and/or modeling approaches appropriate to investigate the research topic? If not applicable to their project, is their explanation reasonable?
 - 2.2.1. Maximum of **15 points**, with 1 = poor and 15 = excellent.
 - 2.3. Are the tasks adequately described? Will the tasks achieve the project objectives?
 - 2.3.1. Maximum of **5 points**, with 1 = poor and 5 = excellent.
 - 2.4. Does the task timeline outline reasonable dates for the commencement and completion of each task, objective, and deliverable?
 - 2.4.1. Maximum of **5 points**, with 1 = poor and 5 = excellent.
3. ECONOMIC CONSIDERATIONS: For a pest management practice to be voluntarily adopted on a wide scale, it needs to be economically feasible as well as effective at controlling the pest(s). Consider the following:
 - 3.1. Does the project plan to collect cost information of the IPM practices it explores? Alternatively, do they explain why they will not be collecting economic information and is their reason valid?
 - 3.1.1. Maximum of **5 points**, with 1 = poor and 5 = excellent.
4. PRINCIPAL INVESTIGATOR(S) AND TEAM: The expertise level of the principal investigator(s) and key research team members to complete the project successfully. Consider the following:
 - 4.1. Do the principal investigator(s) and key research team members have the background, technical experience, and commitment to complete the project?
 - 4.1.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.
5. BUDGET: The likelihood that the budget will allow completion of the project and that the project's value is commensurate with the amount of funds requested. Consider the following:
 - 5.1. Is the Line Item Budget reasonable to complete the project?
 - 5.1.1. Maximum of **10 points**, with 1 = poor and 10 = excellent.
 - 5.2. Is the Task Budget reasonable and does it effectively link project expenses to tasks?
 - 5.2.1. Maximum of **5 points**, with 1 = poor and 5 = excellent.
 - 5.3. Do the answers to the budget narrative questions (personnel, supplies, travel, equipment, academic remissions, and contracts) appropriately justify project expenses?
 - 5.3.1. Maximum of **5 points**, with 1 = poor and 5 = excellent.

QUESTIONS & ANSWERS

Pest Management Research Grant Questions: Please see the [Questions and answers](#)¹¹ document for answers to frequently asked questions.

Or contact Doug Downie at Douglas.Downie@cdpr.ca.gov or (916) 445-0430.

FAAST Submission Tool Questions: Please see the FAQ link and User Manual link available at the [FAAST](#)¹² website. The FAAST Help Desk can be reached at faast_admin@waterboards.ca.gov or (866) 434-1083. It is open 8:00 a.m.–5:00 p.m. Monday through Friday.

Conference Calls and Webinars (Voluntary)

Research Grant: Conference call for general questions about the Research Grant Program and Solicitation.

Time: September 17, 10:00 a.m.

Phone: 888-469-1286

Passcode: 40679

FAAST: Webinar for instructions on how to submit applications using the FAAST application submittal tool

Time: September 15, 10:00 a.m.

To join online meeting:

1. Go to Webinar: [CDPR FAAST Training](#)¹³
2. If requested, enter your name and email address.
3. If a password is required, enter the meeting password: cdpr
4. Click "Join".

To join the teleconference only:

1. Call-in toll-free number (Verizon): 1-888-417-0485 (US)
2. Call-in number (Verizon): 1-203-277-8855 (US)
3. Attendee access code: 569 749 1

For assistance: Go to <https://waterboards.webex.com/waterboards/mc>. On the left navigation bar, click "Support" Meeting Number: 745 226 764.

FEEDBACK

We continue to strive to create a Pest Management Grants Program application and review process that is straight-forward and easy to use. Your input is valuable in letting us know what we are doing right and where we may be able to improve. We appreciate your constructive feedback in the form of comments and suggestions regarding our Pest Management Grants Program and application process. Anonymous feedback can be submitted at the [Pest Management Grants Feedback](#)¹⁴ page.

¹¹ http://www.cdpr.ca.gov/docs/pestmgmt/grants/research/solicitation/q_and_a.pdf

¹² <https://faast.waterboards.ca.gov/>

¹³ https://waterboards.webex.com/mw0401lsp13/mywebex/default.do?service=1&siteurl=waterboards&nomenu=true&main_url=%2Fmc0901lsp13%2Ffe.do%3Fsiteurl%3Dwaterboards%26AT%3DMI%26EventID%3D360637162%26UID%3D2421092207%26Host%3DQUHtSwAAAAKddLkETr9x9tJppYyN5-4Uat8IJKl-M0yAYd_293OS66cLQuK0nfmfluDPOYo_8p49xxvRVU5i0Jvd2V725OSv0%26FrameSet%3D2%26MTID%3Dm87a88375f4952afa0f38d6e7e734822e

¹⁴ <https://docs.google.com/forms/d/1iWakoGWhU12alfiqmdznsQtuIEAhihkr2hVO2Dggb4/viewform>

PART 2 | PROPOSED GRANT AGREEMENT

DEPARTMENT OF PESTICIDE REGULATION 2016/2017 GRANT PROGRAM

PEST MANAGEMENT RESEARCH GRANT

Awarded By

THE DEPARTMENT OF PESTICIDE REGULATION, hereinafter “Department”

TO

{Name of Grantee}, hereinafter “Grantee”

Implementing “{Name of Project},” hereinafter “Project”

GRANT AGREEMENT NUMBER 16–PML–R00x

The Department of Pesticide Regulation awards this Grant and the Grantee accepts and agrees to use the Grant funds as follows:

AUTHORITY: The Department has authority to grant funds for the Project under Food and Agricultural Code section 12536.

PURPOSE: The Department shall provide a grant to and for the benefit of the Grantee; the purpose is the {SHORT SUMMARY}.

GRANT AMOUNT: The maximum amount payable under this Grant shall not exceed xxx,xxx dollars (\$xxx,xxx).

TERM OF GRANT: The term of the Grant shall begin on **July 1, 2016**, or upon approval of this agreement, and continue through Project completion unless otherwise terminated or amended as provided in the Grant. Absolutely no funds may be requested or invoiced after **May 1, 2019**.

PROJECT REPRESENTATIVES: The Project Representatives during the term of this Grant will be:

Department of Pesticide Regulation	Grantee:
Name: {name} Grant Managers	Name: {name} Principal Investigator (PI)
Address: 1001 I Street–MS–A3	Address:
City, Zip: Sacramento, California 95814	City, Zip: City, California 9____
Phone:	Phone:
Fax:	Fax:
E-mail:	E-mail:

Direct all project inquiries to:

Department of Pesticide Regulation, Pest Management & Licensing Branch	Grantee:
Attention:	Attention:
Address	Address
City, Zip	City, Zip
Phone	Phone
Fax	Fax
E-mail	E-mail

Direct all administrative and billing inquiries to:

Department of Pesticide Regulation, Pest Management & Licensing Branch	Grantee:
Attention:	Attention:
Address	Address
City, Zip	City, Zip
Phone	Phone
Fax	Fax
E-mail	E-mail

Either party may change its Project Representative upon written notice to the other party.

STANDARD PROVISIONS: The following exhibits are attached and made a part of this Grant by this reference:

Exhibit A	SCOPE OF WORK
Exhibit B	INVOICING, BUDGET DETAIL, AND REPORTING PROVISIONS
Exhibit C	GENERAL TERMS AND CONDITIONS—2016/2017 GRANTS
Exhibit D	TRAVEL AND PER DIEM EXPENSES
Exhibit E	DEPARTMENT'S ORIGINAL SOLICITATION PACKAGE—Including the Administrative Procedures and Requirements, Attachments 1, 2, 3, 4, and 5.
Exhibit F	GRANTEE'S WRITTEN RESPONSE—{name of Grantee}, New Proposal Application—Pest Management Research Grant Program entitled "name of project," dated {date}, 2015; xx pages.

GRANTEE REPRESENTATIONS: The Grantee accepts all terms, provisions, and conditions of this grant, including those stated in incorporated documents. The Grantee shall fulfill all assurances and commitments made in its application, declarations, other accompanying documents, and written communications (e.g., e-mail, correspondence) filed in support of its request for grant funding. The Grantee shall comply with and require its contractors and subcontractors to comply with all applicable laws, policies, and regulations.

Executed by:

Date: _____
_____ Grantee

Date: _____
_____ Brian R. Leahy Director
Department of Pesticide Regulation

Date: _____
_____ Office of Chief Counsel

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EXHIBIT A—SCOPE OF WORK

A. COMPLIANCE REQUIREMENTS

If landowner agreements are required, signed copies must be submitted to the Grant Manager before works begins.

If permits are required, the permits must be obtained and signed copies submitted to the Grant Manager before work begins.

State Disclosure Requirements—Include the following disclosure statement in any publically available document, publication, report, brochure, website, or electronic media prepared in whole or in part by this Grant:

“The Department of Pesticide Regulation (DPR) provided partial or full funding for this project but does not necessarily agree with any opinion expressed, nor endorse any commercial product or trade name mentioned.”

Signage must be posted in a prominent location at the Project site (if applicable) and must include the Department of Pesticide Regulation logo (available from the Grant Managers) and the following disclosure statement: “Funding for this project has been provided in full or in part through a Grant awarded by the Department of Pesticide Regulation.”

All deliverables intended for disclosure to third parties or the public must be approved by DPR before final release to ensure the project or portions of the project are within the scope of work described in this agreement and do not promote or disparage any brand or trade name. DPR’s review and approval of deliverables will not hinder the academic freedom of the research team regarding data, methodology, or conclusions reached within the parameters of the project described in this agreement. Evaluation of DPR’s regulatory program is outside the scope of this project and will not be funded.

B. WORK TO BE PERFORMED BY GRANTEE

1. OVERVIEW

2. SCOPE OF WORK

3. PRINCIPAL INVESTIGATOR(S)

EXHIBIT B—INVOICING, BUDGET DETAIL, AND REPORTING PROVISIONS**A. INVOICING**

1. Invoices shall be submitted using the invoice template provided by the Department. The invoice template will be customized based on the approved line items specified in the Budget. The original invoice shall be submitted to the Department's Grant Manager on a quarterly basis for the duration of this grant. The final invoice shall be received no later than **May 1, 2019**. Such invoicing shall be consistent with the reporting schedule in Exhibit A, Scope of Work.

ADDRESS FOR SUBMITTAL VIA U.S. MAIL	ADDRESS FOR SUBMITTAL VIA OVERNIGHT COURIER
NAME, Grant Manager Pest Management and Licensing Branch Department of Pesticide Regulation 1001 I Street, Third Floor—MS—3A Sacramento, California 95814	NAME, Grant Manager Pest Management and Licensing Branch Department of Pesticide Regulation 1001 I Street, Third Floor—MS—3A Sacramento, California 95814

2. Invoices submitted in any other format than the one provided by the Department will cause an invoice to be disputed. In the event of an invoice dispute, the Department's Grant Administrator will notify the Grantee by initiating an Invoice Dispute Notification form (see [Attachment 4](#)¹⁵). Payment will not be made until the dispute is resolved and a corrected invoice submitted. Failure to use the address exactly as provided above may result in delay of receipt and processing of the submitted invoice. Payment shall be deemed complete upon deposit of the payment, properly addressed, postage prepaid, in the United States mail. The Department's Grant Manager along with the Grant Administrator has the responsibility for approving invoices.

The Grantee shall not request disbursement for any cost until such cost has been incurred and has been paid by, or is due and payable by, the Grantee. Invoice payment shall be made only after receipt of a complete, properly documented, and accurately addressed invoice.

Notwithstanding any other provision of this Grant, no disbursement shall be required at any time or in any manner which is in violation of, or in conflict with federal or state laws, rules, or regulations, or which may require any rebates to the Federal Government, or any loss of tax-free status on state bonds, under any Federal statute or regulation.

Notwithstanding any other provision of this Grant, the Grantee agrees that the Department shall retain an amount equal to ten percent (10%) from the payment for each invoice until completion of the Project (i.e., when the Grantee has complied with all terms, conditions, and performance requirements of this Agreement as set forth in the Scope of Work, marked as Exhibit A). Any retained amounts due to the Grantee will be promptly disbursed to the Grantee, without interest, upon completion of the Project.

The invoice shall contain the information as set forth in [Attachment 3](#),¹⁶ Research Grant Invoice Example.

The Final invoice shall be clearly marked **FINAL INVOICE** and received no later than May 1, 2019. Additionally, the Grantee shall promptly notify the Department in writing of completion of work on the Project to assure payment of the ten percent (10%) retention withheld from the Grantee's funding (invoiced separately). Absolutely no funds may be requested or invoiced after May 1, 2019, whatsoever. Any invoice(s) submitted on or after May 2, 2019, will be considered null and void and have no legal effect. All invoices shall be signed under penalty of perjury.

¹⁵ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/research/solicitation/attach4.pdf>

¹⁶ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/research/solicitation/attach3.pdf>

B. BUDGET CONTINGENCY CLAUSE

The maximum amount to be encumbered under this Grant for the 2016/2017 fiscal year ending June 30, 2017, shall not exceed \$xxx,xxx (xxx,xxx dollars).

If the Budget Act of the current year and/or any subsequent years covered under this Grant does not appropriate sufficient funds for the program, this Grant shall be of no force or effect. This provision shall be construed as a condition precedent to the obligation of the Department to make any payments under this Grant. In this event, the Department shall have no liability to pay any funds whatsoever to the Grantee or to furnish any other considerations under this Grant and the Grantee shall not be obligated to perform any provisions of this Grant. Nothing in this Grant shall be construed to provide the Grantee with a right of priority for payment over any other Grantee.

If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the Department shall have the option to either cancel this Grant with no liability occurring to the Department, or offer a Grant amendment to the Grantee to reflect the reduced amount.

C. BUDGET

Attached and made a part of this agreement is the budget sheet(s) submitted by the Grantee, named "TITLE."

Line Item Budget**Task Budget****Budget Narrative****D. BUDGET LINE ITEM FLEXIBILITY**

Procedure to Request an Adjustment. The Grantee may request adjustments to the budget, provided the summation of all adjustments total ten percent (10%) or less of the total project budget. Requests from the Grantee must be submitted in writing to the Grant Manager and include a copy of the most current approved Line Item Budget form (Worksheet 3 of [Scope and Budget Form](#)¹⁷) with proposed changes highlighted by striking the current amount(s) and underlining and boldfacing proposed revision(s). Adjustments are limited to the approved budget line items (i.e., Personnel Services, Operating Expenses, Travel, Contracts, Equipment, Academic Remissions, and Overhead). Deleting or adding a budget line item is not permissible under this provision. Requested adjustments shall not increase or decrease the total grant amount. Requests must also include a description of how requested adjustments will affect the implementation of the project. The Grantee must not proceed with an adjusted budget unless and until it is approved in writing by the Grant Manager. The Department may also propose adjustments to the budget if deemed necessary.

The Department withholds ten percent (10%) from each invoice. These withheld funds are eligible for release to the Grantee only after the Grant Manager confirms that the Grantee has complied with all terms, conditions, and performance requirements of this Agreement, as set forth in the Scope of Work; the final report is received and approved; and the final expenditure report is approved. The Grantee shall request release of the ten percent (10%) withheld on a separate invoice, checking box 14, "Request the Release of 10% Retention".

Remaining Balance. In the event the Grantee does not submit invoices requesting all of the funds encumbered under this Grant, any remaining funds revert to the Department. The Department will mail a Notice of Project Completion letter to the Grantee stating that the project file is closed, the final invoice is being processed for payment, and any remaining balance is being disencumbered and unavailable for further use under the Grant.

¹⁷ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/research/solicitation/attach1pc.xlsx>

Procedure to Request an Amendment. The Grantee may request an amendment to realign the budget, if the summation of all reallocation totals more than ten percent (10%) of the total project budget. Requests from the Grantee must be submitted in writing to the Grant Manager and include a copy of the most current approved Line Item Budget form with proposed changes highlighted by striking the current amount(s) and underlining and boldfacing proposed revision(s). Amendments are limited to budget changes corresponding to the approved budget line items (i.e., Personnel Services, Operating Expenses, Travel, Contracts, Equipment, Academic Remissions, and Overhead) and may include changes to the Scope of Work or timeline. Requested amendments must not increase or decrease the total grant amount. Requests must also include a description of how requested amendments will affect the implementation of the project. The Grantee must not proceed with an amended budget unless and until it is approved in writing by the Grant Manager, and if deemed necessary by the Grant Manager, the amendment must be executed by the signatories for both the Department and the Grantee and made a part of the agreement as an amendment.

E. AUDIT DISALLOWANCES

The Grantee agrees it shall return any audit disallowances to the Department. (See Audit clause below.)

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EXHIBIT C—GENERAL CONDITIONS, 2016/2017 GRANT

NOTE: Terms and Conditions for the University of California (UC) contain certain variations, edits, and deletions due to the structure and function of the UC system. For information about the UC Terms and Conditions, please contact Marta Barlow, Senior Staff Attorney at (916) 445-3640, or marta.barlow@cdpr.ca.gov.

AMENDMENT: No amendment or variation of the terms of this Grant shall be valid unless made in writing, signed by the parties, and approved as required.

APPROVAL: The Grantee will not proceed with any work on the Project until authorized in writing by the Department. Such authorization will be transmitted via U.S. Certified Return Receipt Mail, Federal Express Overnight delivery, or equivalent.

ASSIGNMENT: This grant is not assignable by the Grantee, either in whole or in part, without the written consent of the Grant Manager. The Department contemplated awarding this Grant in part by ascertaining the expertise of the person(s) or entity(ies) awarded this grant; hence, assignment of the Grantee's research shall not be allowed without such written consent by the Grant Manager.

AUDIT: The Grantee agrees that the Department, the Bureau of State Audits, or their designated representative shall have the right to review and to copy any financial records and supporting documentation pertaining to the performance of this Grant. The Grantee agrees to maintain such records for a possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated. The Grantee agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Grantee agrees to include a similar right of the Department to audit records and interview staff in any context related to performance of this Grant.

COMPLIANCE WITH LAWS AND REGULATIONS: The Grantee agrees that it will, at all times, comply with and require its contractors and subcontractors to comply with all applicable federal and state laws, rules, guidelines, regulations, and requirements.

COMPUTER SOFTWARE: The Grantee certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Grant for the acquisition, operation or maintenance of computer software in violation of copyright laws.

CONFLICT OF INTEREST: The Grantee certifies that it is in compliance with applicable state and/or federal conflict of interest laws.

CONTRACT: Written agreements between the Grantee and those providing a Professional and/or Consultant Service when necessary to complete the Grant project. All contracts, Memoranda of Understanding (MOU), Purchase Orders (PO), and Service Orders (SO) must include the following elements: (1) term dates, (2) maximum amount of dollars, (3) Scope of Work, (4) budget, and (5) signatures of both parties. The following must be submitted to DPR:

- Copy of executed contract, MOU, POs and SOs.
- Billing statements, invoices, and receipts.

DATA MANAGEMENT: This Project includes appropriate data management activities so that Project data can be incorporated into appropriate Department data systems.

DEPARTMENT ACTION, COSTS, AND ATTORNEY FEES: The Grantee agrees that any remedy provided in this Grant is in addition to and not in derogation of any other legal or equitable remedy available to the Department as a result of breach of this Grant by the Grantee, whether such breach occurs before or after completion of the Project. Exercise of any remedy provided by this Grant by the Department shall not

preclude the Department from pursuing any legal remedy or right which would otherwise be available. In the event of litigation between the parties arising from this Grant, it is agreed that both parties shall be entitled to such reasonable costs and/or attorney fees as may be ordered by the court entertaining such litigation.

DEPARTMENT REVIEWS AND INDEMNIFICATION¹⁸: The parties agree that review or approval of Project applications, documents, permits, plans and specifications, or other Project information by the Department is for administrative purposes only and does not relieve the Grantee of its responsibility to properly plan, design, construct, operate, maintain, implement, or otherwise carry out the Project. To the extent permitted by law, the Grantee agrees to indemnify, defend and hold harmless the Department and the State against any loss or liability arising out of any claim or action brought against the Department and/or the State from and against any and all losses, claims, damages, liabilities or expenses, of every conceivable kind, character and nature whatsoever arising out of, resulting from, or in any way connected with (1) the Project or the conditions, occupancy, use, possession, conduct or management of, work done in or about, or the planning, design, acquisition, installation or construction, of the Project or any part thereof; (2) the carrying out of any of the transactions contemplated by this Grant or any related document; (3) any violation of any applicable law, rule or regulation, any environmental law, rule or regulation or the release of any toxic substance; or (4) any untrue statements or omission, alleged untrue statements or omissions, or misleading statements or omissions, made at any time by the Grantee related in any way to this Grant. To the fullest extent permitted by law, the Grantee agrees to pay and discharge any judgment or award entered or made against the Department and/or the State with respect to any such claim or action, and any settlement, compromise, or other voluntary resolution. The provisions of this section shall survive the term of this Grant.

DISPUTES: The Grantee shall continue with the responsibilities under this Grant during any dispute. Any dispute arising under this Grant which is not otherwise disposed of by agreement shall be decided by the Chief Deputy Director of the Department, or his authorized representative. The decision shall be reduced to writing and a copy thereof furnished to the Grantee and to the Department's Director. The decision of the Chief Deputy Director shall be final and conclusive unless, within thirty (30) calendar days after mailing of the decision to the Grantee, the Grantee mails or otherwise furnishes a written appeal of the decision to the Director. The decision of the Director shall be final and conclusive unless determined by a court of competent jurisdiction to have been fraudulent, capricious, arbitrary, so grossly erroneous as necessarily to imply bad faith, or not supported by substantial evidence. In connection with any appeal under this clause, the Grantee shall be afforded an opportunity to be heard and to offer evidence in support of its appeal. Pending final decision of a dispute, the Grantee shall continue to fulfill and comply with all the terms, provisions, commitments, and requirements of this Grant. This clause does not preclude consideration of legal questions, provided that nothing herein shall be construed to make final the decision of the Department, or any official or representative thereof, on any question of law.

FISCAL MANAGEMENT SYSTEMS AND ACCOUNTING STANDARDS: The Grantee agrees that, at a minimum, its fiscal control and accounting procedures will be sufficient to permit tracing of all grant funds to a level of expenditure adequate to establish that such funds have not been used in violation of state law or this Grant. The Grantee further agrees that it will maintain separate Project accounts in accordance with generally accepted accounting principles.

GOVERNING LAW: This grant is governed by and shall be interpreted in accordance with the laws of the State of California.

¹⁸ The language for this clause is modified for the University of California (UC)

GRANT MODIFICATIONS: The Department may, at any time, by written “grant modification,” make any change to Exhibit A, Scope of Work, including changes in the specifications or in the method, manner, or time of performance of work. Department modification requests shall not include material changes to the Grantee’s researchers’ scientific or technical method or manner. If the Grantee intends to dispute the change, the Grantee must, within ten (10) days after receipt of a written “grant modification”, submit to the Department a written statement setting forth the disagreement with the change. After reviewing the proposed modification and the Grantees written disagreement, the Chief Deputy Director, or his or her designee, shall be the final arbiter of the disagreement. In no case shall the Department materially alter the scope of work set forth in Exhibit A.

INCOME RESTRICTIONS: The Grantee agrees that any revenues, refunds, rebates, credits, or other amounts (including any interest thereon) accruing to or received by the Grantee under this Grant shall be paid by the Grantee to the Department, to the extent that they are properly allocable to costs for which the Grantee has been reimbursed by the Department under this Grant.

INDEPENDENT ACTOR: The Grantee, and its agents and employees, if any, in the performance of this Grant, shall act in an independent capacity and not as officers, employees or agents of the Department.

INSPECTION: Throughout the life of the Project, the Department shall have the right to inspect the facility(ies) (e.g., fields, orchards, offices, laboratories) to ascertain compliance with this Grant. The Grantee acknowledges that the Project records and location(s) are public records.

INSURANCE: Any non-UC contractors and subcontractors shall, throughout the life of the Project, provide and maintain auto insurance with the limits set at a minimum of \$100,000/\$300,000/\$100,000, property damage and liability. This insurance shall be issued by a company or companies admitted to transact business in the State of California. It is noted that the University of California system is self-insured; hence, the Grantee will provide the Grant Manager or the Grant Administrator its letter from the Department of General Services, Office of Risk and Insurance Management showing the Grantee’s self-insured status before beginning work on the project.

MEDIA EVENTS: The Grantee shall notify the Department’s Grant Manager in writing at least twenty (20) working days before any public or media event publicizing the accomplishments and/or results of this Grant and provide the opportunity for attendance and participation by Department’s representatives.

NONDISCRIMINATION: During the performance of the scope of work listed in this Grant, the Grantee and its employees/agents/contractors shall not unlawfully discriminate against, harass, or allow harassment against any employee or applicant for employment because of sex, race, religion, color, national origin, ancestry, disability, sexual orientation, medical condition, marital status, age (over 40) or denial of family-care leave, medical-care leave, or pregnancy–disability leave. The Grantee and its employees/agents/contractors shall ensure that the evaluation and treatment of their employees and applicants for employment are free of such discrimination and harassment.

NO THIRD-PARTY RIGHTS: The parties to this Grant do not create rights in, or grant remedies to, any third-party as a beneficiary of this Grant, or of any duty, covenant, obligation or undertaking established herein.

NOTICE: The Grantee shall promptly notify the Department’s Grant Manager in writing of events or proposed changes that could affect the scope or budget of the project proposed under this Grant. The Grantee agrees that no material change in the scope of the Project will be undertaken until written notice of the proposed change has been provided to the Department, and the Department has given written approval for such change. “Material” is defined as “More or less necessary; having influence or effect; going to the merits.”

PERMITS, CONTRACTING, WAIVER, REMEDIES AND DEBARMENT: The Grantee shall procure all permits and licenses necessary to accomplish the work contemplated in this Grant, pay all charges and fees, and give all notices necessary and incidental to the due and lawful execution of the work. Any contractors, outside associates, or consultants required by the Grantee in connection with the scope of work covered by this Grant shall be limited to such individuals or firms as were specifically identified and agreed to during negotiations for this Grant, or as are specifically authorized by the Department's Grant Manager during the performance of the scope of work detailed in this Grant. Any substitutions in, or additions to, such contractors, associates, or consultants, shall be subject to the prior written approval of the Department's Grant Manager. Any waiver of rights with respect to a default or other matter arising under the Grant at any time by either party shall not be considered a waiver of rights with respect to any other default or matter. Any rights and remedies of the Department provided for in this Grant are in addition to any other rights and remedies provided by law. The Grantee shall not contract with any party who is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension." The Grantee shall not contract with any individual or organization on U.S. EPA's List of Violating Facilities. (40 C.F.R. § 31.35, Gov. Code, § 4477, <http://www.epls.gov/>.) The Grantee certifies to the best of its knowledge and belief, that it and its principals:

- Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or the Grantee.
- Have not, within a three-year period preceding the execution of this Grant, been convicted of or had a civil judgment rendered against them for: fraud or other offense in connection with a public (federal, state, or local) transaction or contract; violation of federal or state antitrust statutes; or embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
- Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses listed above.

PROFESSIONALS: The Grantee agrees that only licensed professionals will be used to perform services under this Grant where such services are called for.

RECORDS: The Grantee agrees to maintain Project accounts in accordance with generally accepted accounting principles. The Grantee further agrees to:

- Establish an official file for the Project which shall adequately document all significant actions relative to the Project.
- Establish separate accounts which will adequately and accurately depict all amounts received and expended on this Project, including all grant funds received under this Grant.
- Establish separate accounts which will adequately depict all income received which is attributable to the Project, especially including any income attributable to grant funds disbursed under this Grant
- Establish an accounting system which will adequately depict final total costs of the Project, including both direct and indirect costs.
- Establish such accounts and maintain such records as may be necessary for the state to fulfill federal reporting requirements, including any and all reporting requirements under federal tax statutes or regulations.

RELATED LITIGATION: Under no circumstances may a Grantee use funds from any disbursement under this Grant to pay costs associated with any litigation the Grantee pursues against the Department.

RIGHTS IN DATA: The Grantee and the Department agree that all data, plans, drawings, specifications, reports, computer programs, operating manuals, notes, and other written or graphic work submitted under

Exhibit A in the performance of this Agreement shall be in the public domain. The Grantee may disclose, disseminate and use in whole or in part, any final form data and information received, collected, and developed under this Agreement, subject to appropriate acknowledgment of credit to the Department for financial support. The Grantee shall not utilize the materials submitted to the Department (except data) for any profit making venture or sell or grant rights to a third-party who intends to do so. The Department has the right to use submitted data for all governmental purposes.

TERMINATION: This Grant may be terminated by written notice at any time before completion of the Project, at the option of the Department, upon violation by the Grantee of any material provision after such violation has been called to the attention of the Grantee and after failure of the Grantee to bring itself into compliance with the provisions of this Grant within a reasonable time as established by the Department. Absent a showing of bad faith on the part of the Grantee, the Department shall reimburse the Grantee for all costs incurred up to the date of termination, including all un-cancellable obligations. Both parties reserve the right to terminate this Grant for any reason subject to thirty (30) days written notice to the other. Department shall reimburse the Grantee for all costs incurred up to the date of termination, including all un-cancellable obligations.

TIMELINESS: Time is of the essence in this Grant. The Grantee shall proceed with and complete the Project in an expeditious manner.

TRAVEL AND PER DIEM: Any reimbursement for necessary travel and per diem shall be at rates not to exceed those amounts set forth in Exhibit D. (Note: travel rates are set by Department of Personnel Administration and subject to change. See <http://www.dpa.ca.gov/personnel-policies/travel/employees.htm>.) No travel outside the State of California shall be permitted, whatsoever.

UNENFORCEABLE PROVISION: In the event that any provision of this Grant is held to be unenforceable, then the parties agree that all other provisions of this Grant shall continue to have full force and effect.

VENUE: The Department and the Grantee agree that any action arising out of this Grant shall be filed and maintained in the Superior Court, County of Sacramento, California, or in the United States District Court, Eastern District of California. The Grantee waives any existing sovereign immunity for the purposes of this Grant, if applicable.

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EXHIBIT D—TRAVEL AND PER DIEM EXPENSES

University of California: Any reimbursement for necessary travel and per diem shall be at University of California (UC) rates per State Contracting Manual (SCM) Section 3.18. No travel whatsoever outside the State of California shall be permitted.

For all except UC, the following shall apply:

SHORT-TERM PER DIEM EXPENSES

In computing reimbursement for continuous short-term travel of more than 24 hours and less than 31 consecutive days, that is at least 50 miles from the main office, headquarters or primary residence, the employee will be reimbursed for actual costs up to the maximum allowed for each meal, incidental, and lodging expense for each complete 24 hours of travel, beginning with the traveler's times of departure and return, as follows:

On the first day of travel on a trip of 24 hours or more:

Trip begins at or before 6 a.m.	Breakfast may be claimed on the first day.
Trip begins at or before 11 a.m.	Lunch may be claimed on the first day.
Trip begins at or before 5 p.m.	Dinner may be claimed on the first day.

On the fractional day of travel at the end of a trip of more than 24 hours:

Trip ends at or after 8 a.m.	Breakfast may be claimed.
Trip ends at or after 2 p.m.	Lunch may be claimed.
Trip ends at or after 7 p.m.	Dinner may be claimed.

If the fractional day includes an overnight stay, receipted lodging may also be claimed. No meal or lodging expense may be claimed or reimbursed more than once on any given date or during any 24-hour period.

Reimbursement shall be for actual expenses, subject to the following maximum rates:

MEALS

Breakfast	\$7	Receipts are not required for regular short-term travel meals
Lunch	\$11	
Dinner	\$23	
Incidentals	\$5	

LODGING

Statewide (Excluding Edwards AFB, the City of Santa Monica, and the counties of Alameda, Los Angeles, Monterey, Napa, Orange, Riverside, Sacramento, San Diego, San Francisco, San Mateo, Santa Clara, and Ventura. See below)	Actual up to \$90 plus tax
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When required to conduct State business and obtain lodging in the counties of Napa, Riverside, and Sacramento, reimbursement will be for actual receipted lodging to a maximum of \$95 plus tax.

When required to conduct State business and obtain lodging in Los Angeles, Orange, and Ventura Counties and Edwards Air Force Base (AFB), excluding the city of Santa Monica, reimbursement will be for actual receipted lodging to a maximum of \$120 plus tax.

When required to conduct State business and obtain lodging in the counties of Alameda, Monterey, San Diego, San Mateo, Santa Clara, reimbursement will be for actual receipted lodging to a maximum of \$125 plus tax.

When required to conduct State business and obtain lodging in San Francisco County and the City of Santa Monica, reimbursement will be for actual receipted lodging to a maximum of \$150 plus tax.

If lodging receipts are not submitted, reimbursement will be for meals *only* at the rates and time frames set forth below.

In circumstances where the contractor cannot obtain the state per diem lodging rate, verification from the hotel that such a rate was not available to the contractor may be submitted to substantiate lodging costs above the per diem rate.

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 the main office, headquarters or primary residence.

In computing reimbursement for continuous travel of less than 24 hours actual expenses up to the maximum rates will be reimbursed for breakfast and/or dinner and/or lodging in accordance with the following time frames:

- Travel begins at or before 6 a.m. and ends at or after 9 a.m.; breakfast may be claimed.
- Travel begins at or before 4 p.m. and ends at or after 7 p.m.; dinner may be claimed.
- If the trip of less than 24 hours includes an overnight stay, receipted lodging may be claimed.
- No lunch or incidentals may be reimbursed on travel of less than 24 hours.

Employees on short-term travel who stay in commercial lodging establishments or commercial campgrounds will be reimbursed for actual lodging expenses substantiated by a receipt. Employees who stay with friends or relatives, or who do not produce a lodging receipt, will be eligible to claim meals only.

MILEAGE REIMBURSEMENT

Reimbursement for personal vehicle mileage is \$0.575 cents per mile.

VEHICLE RENTAL

Reimbursement for vehicle rental shall be for actual and necessary costs of such rental and airplane usage shall be allowed at the lowest fare available. Claims for reimbursements shall be allowed upon submittal of the appropriate receipt. (Cal. Code Regs., tit. 2, §§ 599.627, 599.628.)

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PART 3 | ADMINISTRATIVE PROCEDURES AND REQUIREMENTS

INTRODUCTION

The Research Grant's Administrative Procedures and Requirements set forth the procedures and processes necessary for administering a Research Grant. The following is incorporated into the grant and describes the administrative reporting requirements, instructions for billing and receiving payment, and fiscal control procedures that are to be followed during the grant term.

The Grantee's Principal Investigator or designated staff must invoice the Research Grant Program to receive reimbursement for work set forth in the Scope of Work (Exhibit A) and the Task List and Timeline (Worksheets in [Scope and Budget form](#)).¹⁹ The Research Grant Invoice and supporting documentation must be sent to the Grant Manager, who along with a Grant Administrator, will review, approve, facilitate payment, and track expenditures per line item throughout the grant term.

GENERAL GUIDELINES

The Grantee shall not request disbursement for any cost until such cost has been incurred and has been paid or is due and payable by the Grantee. Invoices shall be submitted at a minimum of one (1) time per quarter or at a maximum of one (1) time per month, whichever is most convenient for the Grantee.

Payments can only be made to the Grantee; therefore, it is the responsibility of the Grantee to pay all staff, contractors, and/or vendors for goods and services rendered.

Grant dollars only fund approved expenses incurred after issuance of the Notice to Proceed and on or before March 31, 2019. Any invoice received after May 1, 2019 will not be paid.

Any changes to the Grant, once a Notice to Proceed has been issued, may require an amendment. Budget line item variations that in summation total ten percent (10%) or less of the total grant award may be made during the term of this agreement with prior written approval from the Grant Manager without an amendment (see procedure for requesting an adjustment). Any budget line item variations that in summation total greater than ten percent (10%) of the total grant award require an amendment (see Procedure to Request an Amendment). It is the Grantee's responsibility to ensure that all claimed costs are appropriate by reviewing the Grant and associated documents, newsletters, emails, and other information updates supplied by DPR. All claimed costs shall be directly related to implementation and operation of the Project.

COMMUNICATION

Communications with the Grant Manager and Grant Administrator regarding the Administrative Procedures and Requirements described in this section should be conducted via email to record issues discussed and the resolution achieved for future reference.

INVOICING GRANT EXPENDITURES

RESEARCH GRANT INVOICE

Following the issuance of the Notice to Proceed and the administrative meeting, the Grant Administrator will send to the Grantee and designated staff an electronic version of a customized invoice template titled, Pest Management Research Grant Invoice (Grant Invoice Example, [Attachment 3](#)).²⁰ Each time an invoice is approved and processed an updated invoice template is sent to the Grantee and designated staff for the

¹⁹ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/research/solicitation/attach1pc.xlsx>

²⁰ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/research/solicitation/attach3.pdf>

following billing cycle. An invoice must be submitted no more than monthly and no less than quarterly. *A Grant Invoice must be submitted for each billing period even if no expenditures occur.*

Only expenses covered in the billing period may be claimed. Expenses from previous billing periods must be submitted on a separate Grant Invoice marked “Supplemental.”

To assure prompt and accurate payment, the most current Grant Invoice template will be used to request reimbursement. *Using any other template version or modifying the template provided to the Grantee will result in the invoice being rejected.*

The Department withholds ten percent (10%) from each invoice. These withheld funds are eligible for release to the Grantee only after: the Grant Manager confirms that the Grantee has complied with all terms, conditions, and performance requirements of this Agreement, as set forth in the Scope of Work; the final report is received and approved; and the final expenditure report is approved. The Grantee shall request release of the ten percent (10%) withheld on a separate invoice, checking box 14, “Request the Release of 10% Retention”.

All grant invoices must be received by **May 1, 2019**. Any invoice(s) submitted after May 1, 2019, will be considered null and void and have no legal effect.

RESEARCH GRANT REPORTS

- Submitted quarterly to the Grant Manager, the Quarterly Progress Report ([Attachment 2](#))²¹ is a one-to-two-page summary of the work performed during a specific billing period and may be used to support the corresponding Grant Invoice. The report summarizes project activities, completed milestones, and unexpected problems or special situations. The narrative portion of the report must contain sufficient information to support any large or unusual invoiced charges or staff changes during the billing period.
- A Quarterly Progress Report must be submitted quarterly, even if no expenditures occur during the corresponding billing period.
- The final report describes how project goals and objectives have been fulfilled, summarizes and evaluates project activities and accomplishments, and includes recommendations for outreach and future research.

INVOICE SUPPORTING DOCUMENTATION

The supporting documentation (e.g., legible copies of required receipts) for the Grant Invoice provides the basis for maintaining auditable files by properly accounting for Grant fund usage. The Grant Administrator may request more detailed information to support items invoiced if deemed necessary.

The following documents may be used to support budget line item expenditures:

Personnel Services

Personnel Services consists of salaries and benefits for staff directly involved in the planning and implementation of the project. To be included as personnel, staff must receive their grant funds (salary, travel, operating expenses, or equipment) through the same organization as the principal investigator²². If they cannot receive funds through the principal investigator’s organization, they are not considered personnel staff. They may still receive grant funds, however, if they are listed in the budget under Contracts. Personnel does not include office support staff involved in activities such as procurement, billing,

²¹ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/research/solicitation/attach2.pdf>

²² Exceptions may exist for federal agencies that establish Research Service Agreements (RSAs) with State Cooperative Institutions and other colleges or universities for the acquisition of goods and services.

accounting, and other administrative functions. Instead, those activities should be considered in the budget under Overhead.

Benefits are calculated as a percentage of salaries and may include contributions made for sick leave, retirement, insurance, or similar. These services must be broken down by classification or title, the annual wage (\$/year), the percent time (100% = full time, 40 hour work week), and the benefits as a percentage of salary for each fiscal year of the project. Factor in any annual salary or benefit increases.

- A summary of personnel changes may be provided in Item 5 of the Quarterly Progress Report ([Attachment 2](#)).
- Employee timesheets.
- Accounting Transaction ledgers.

Operating Expenses

Operating Expenses may include but are not limited to office supplies, in-house printing, postage, GAEL (General, Automobile, and Employee Liability), rent, and utilities.

- Legible copies of invoices, store receipts, and billing statements.
- Copies of rental agreements and supporting documents for rent and utilities must indicate the approved percentage charged to the Research Grant Program.

Travel

Travel includes the cost of lodging, transportation, subsistence, and other associated costs incurred by the principal investigator(s) and research team listed under personnel services during the project term. Travel expenditures will be reimbursed at the rate allowed as specified in the Grant Agreement, Exhibit D, which reflects the current State Department of Personnel Administration Rules (<http://www.dpa.ca.gov/personnel-policies/travel/rules-for-represented-employees-menu.htm>).

- A completed Travel Summary Log ([Attachment 5](#))²³ which shall include all supporting documentation (e.g., appropriate receipt copies) in excess of \$25.00. (Note: UC travel rates are reimbursed per SCM Section 3.18.)

Equipment

Equipment is defined as any durable, reusable item with residual value that costs over \$500. Equipment purchased with grant funds are the property of DPR and shall be returned to DPR at the end of the grant term.

- Approved in the original budget or with prior written approval of the Grant Manager.
- Purchase orders, invoices, and receipts.

Contracts

Written agreements between the Grantee and those providing a Professional and/or Consultant Service are necessary to complete the Grant project. All contracts, Memoranda of Understanding (MOU), Purchase Orders (PO), and Service Orders (SO) must include the following elements: (1) term dates, (2) maximum amount of dollars, (3) Scope of Work, (4) budget, and (5) signatures of both parties. The following must be submitted to DPR:

- Copy of executed contract, MOU, POs and SOs.
- Billing statements, invoices, and receipts.

²³ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/research/solicitation/attach5.pdf>

Academic Remissions

Full or partial payment of required fees, tuition, or nonresident supplemental tuition can be covered by the grant funds for personnel with academic titles that are considered eligible for these remissions by their California academic institution. Remission amounts will be based on the policy and guidelines of the academic institution for the academic title.

- Billing statements, receipts, proof of eligibility.

Overhead

Overhead consists of a reasonable percentage of all costs, not directly related to the project, but necessary to run your agency while completing your project such as administrative support services, accounting support services, contract support services, and legal services. **Overhead is not to exceed fifteen percent (15%) of the modified total direct cost (MTDC) and cannot be calculated against the Contracts, Academic Remissions, or Equipment line items.**

HELPFUL HINTS FOR SUBMITTING INVOICES

Listed below are some common problems that have caused delays in processing invoices. Careful review of the Grant Invoice and the supporting documents will help to eliminate delays.

Overspending a line item. Careful review of the line item allocation approved in the Research Grant Agreement and reflected on the Invoice can ensure that overspending does not occur.

Making incorrect calculations. Make sure that all expenditures are calculated correctly and that the dollar amount matches that of the supporting documentation.

Providing incorrect or inconsistent billing dates. Review the documents to make sure that the billing period of the Grant Invoice and supporting documentation is consistent.

Using the wrong invoice template. The Grant Administrator will provide a customized invoice template to the Principal Investigator and designated staff when the grant is executed. This is the only invoice template that will be accepted for reimbursement payments.

Providing insufficient supporting documentation. Documentation (e.g., receipts, invoices, contract copies) must accompany the Grant Invoices to support all charges over \$50. (Not applicable to UC.)

PROCESSING TIME

There is a 45-day turnaround for processing invoices for payment from the time the invoice is received by the Grant Manager. Invoice disputes may increase the 45-day turnaround time.

INVOICE DISPUTES CAN SUSPEND THE PAYMENT PROCESS

The 45-day processing time resumes when the dispute is resolved. The Grant Administrator along with the Grant Manager may issue an Invoice Dispute Notification form ([Attachment 4](#))²⁴ when any of the following occurs:

- When the Grantee overspends a line item.
- When the Grantee provides insufficient documentation to support invoice charges.
- When the Grantee is in noncompliance with the agreement, which includes invoicing items not included on the Scope of Work or Budget without written Grant Manager approval.

INELIGIBLE PROJECT COSTS

Any expense not directly related to the Grant Project is ineligible. This includes, but is not limited to:

- Costs incurred before issuance to the Notice to Proceed or after the end of the grant term.

²⁴ <http://www.cdpr.ca.gov/docs/pestmgt/grants/research/solicitation/attach4.pdf>

- Costs not included in the approved budget.
- Costs currently covered by another grant or contract.
- Overtime costs (except for local public agency staffing during specially scheduled evening or weekend events that are pre-approved in writing by the Grant Manager, when law or labor contract requires overtime compensation).
- Out-of-state travel.
- Any food or beverages (e.g., as part of meetings, workshops, training, or events).
- Costs not directly associated with the approved project.
- Profit or markup by the Grantee or partner.
- Purchase of cell phones, pagers, computers, personal electronic and/or digital assistive devices, and all Apple products.
- Overhead costs above fifteen percent (15%) of the MTDC.
- Any costs that are not consistent with local, state, and federal guidelines, regulations, and laws.

GRANT PAYMENTS

All payment requests must include:

- An original Grant Invoice signed by the authorized individual.
- A completed Travel Summary Log, if requesting reimbursement for travel expenses ([Attachment 5](#)).
- Documentation supporting all claimed expenditures, legible copies of invoices, billing statements, and receipts for expenses of \$50.00 or more. (Not applicable to UC.)

ALL FORMS MUST HAVE ORIGINAL SIGNATURES IN BLUE INK

AUDIT/FISCAL REVIEW

An audit or fiscal review will be conducted by the Grant Administrator periodically during the term of the agreement. The focus will be to review original expenditure journals, transaction reports and/or other expenditure documents related to the project. Additional documents to be reviewed may include but are not limited to:

- Personnel Services reports
- Procurement receipts
- Billing statements
- Contract invoices
- Travel claims

PROJECT COMPLETION

Grant closure will occur: (1) upon the determination by the Grant Manager that all requirements of the Grant have been satisfactorily completed, or (2) the end of the Grant term, whichever comes first. The final report shall be approved before the final payment request is forwarded to the State Controller's Office for payment.

EXCEPTIONS TO THESE ADMINISTRATIVE PROCEDURES AND REQUIREMENTS

Any exceptions to these *Administrative Procedures and Requirements* must be requested and approved in writing by the Grant Manager before any grant fund expenditures. The request will be reviewed and a determination made as soon as possible, usually within ten (10) working days of receipt of the request.

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PART 4 | GLOSSARY OF TERMS

ACADEMIC REMISSIONS: Full or partial payment of required fees, tuition, or nonresident supplemental tuition can be covered by the grant funds for personnel with academic titles that are considered eligible for these remissions by their California academic institution. Remission amounts will be based on the policy and guidelines of the academic institution for the academic title. Academic remissions are **not** considered part of the Modified Total Direct Cost base upon which indirect costs are calculated.

ADJUSTMENT: A minor change to an executed grant agreement not requiring a formal amendment. An adjustment constitutes the summation of all adjustments totaling ten percent (10%) or less of the Research Grant award (e.g., transferring funds between line items), or changes in contact information. An adjustment must be pre-approved in writing by the Grant Manager.

AMENDMENT: A formal change to an executed grant agreement, such as the term dates, Scope of Work, or due dates. An amendment is needed to move funds between line items totaling more than ten percent (10%) of the Research Grant award. An amendment must have written approval from the Grant Manager, and must be executed by the signatories for both the Department and the Grantee.

APPLICANT: A qualified group requesting funds to implement proposed IPM Projects in California. Applicants can be from public or private institutions (e.g., commodity boards, licensed pest control businesses, school districts, or resource conservation districts).

BUDGET: A detailed itemization of all eligible costs required to complete the grant project that delineates grant funds requested.

CONTINGENCY: Dependent upon conditions or events not yet established.

CONTRACT: Written agreements between the Grantee and those providing a Professional and/or Consultant Service when necessary to complete the Grant project.

DESIGNATED SIGNATORY: The individual(s) authorized to sign the grant application, the Grant Agreement, and other grant-related documents. Such authority may require a resolution by the local political subdivision's board or council.

DIRECT COST: Eligible costs specifically associated with implementation of the grant project.

ELIGIBLE COSTS: Costs included in the approved Budget and incurred within the grant term.

ENDORSEMENT: Written approval or validation.

EQUIPMENT: The term equipment, in relation to the Grant Agreement or line item budget, refers to any single piece of durable and reusable equipment item costing \$500 or more with residual value. Equipment purchased with grant funds are the property of DPR and shall be returned to DPR at the end of the grant term.

ESTIMATE: A written statement of the approximate charge for the grant work proposed, submitted by an individual or company ready to undertake the work.

EVALUATION: Assessment methods used to measure the success of the grant project.

GRANT ADMINISTRATOR: A person designated by the Department who is responsible for the administrative aspect of the grant agreement. The Administrator, along with the Grant Manager, will review, approve, facilitate payment, and track funds expended per line item.

GRANT AGREEMENT OR GRANT: The legally binding document enumerating the rights and duties of the Department of Pesticide Regulation and the Grantee regarding the Pest Management Research Grant. The

document consists of a cover sheet, *Terms and Conditions, Procedures, and Requirements*, the Grantee's approved Scope of Work and Budget, and attachments, and is signed by the Grantee's designated signatory and the Director of the Department of Pesticide Regulation or his or her designated signatory.

GRANT AWARD: Amount of money awarded by the Department to complete the proposed grant project.

GRANT FUNDS REQUESTED: The total number of dollars requested from the Pest Management Research Grant to conduct a project.

GRANT MANAGER: The Grant Manager's role is to provide support and technical oversight for grant projects. Along with the Grant Administrator, the Grant Manager will review and approve project expenditures.

GRANTEE: The organization receiving an award from the Department to conduct a Research Grant project.

INELIGIBLE COSTS: Includes but is not limited to costs incurred before the Notice to Proceed, after the end of the grant term, and costs not included in the approved budget or specifically listed in the Grant Agreement under *Ineligible Project Costs*.

IN-KIND SERVICES: Project activities by team members that have been approved by their employers to be compensated with existing employer funds at the time of proposal submission.

Allowed:

- Personnel time given to project by team members.
- Use of team member's existing equipment or facilities.
- Donation of materials by team members.

Not allowed:

- Project tasks that are simultaneously funded by more than one source.
- Project tasks reliant on labor or outcomes of activities that are not part of the DPR-funded project.

MATCHING FUNDS: Funding provided by the Grantee or the Grantee's organization. This does not include third party funding. DPR does not allow matching funds. Projects must be stand-alone (see footnote 5)

MODIFIED TOTAL DIRECT COST (MTDC): The sum of the Personnel, Operating Expenses, and Travel line items.

NOTICE TO PROCEED: The formal letter from the Department authorizing the Grantee to start work on the grant project.

OPERATING EXPENSES: Includes but is not limited to printing, postage, office and field supplies, and equipment of a durable/re-usable nature costing less than \$500.

OVERHEAD COSTS: Expenditures that cannot be assigned to a particular task or project activity, but are considered necessary for the operation of the organization and the performance of the grant such as administrative support services, accounting support services, contract support services, and legal services. Overhead is not to exceed fifteen percent (15%) of the MTDC

PERSONNEL: Personnel is defined as the staff directly involved in the planning and implementation of the project. To be included as personnel, staff must receive their grant funds (salary, travel, operating expenses, or equipment) through the same organization as the principal investigator²⁵. If they cannot receive funds

²⁵ Exceptions may exist for federal agencies that establish Research Service Agreements (RSAs) with State Cooperative Institutions and other colleges or universities for the acquisition of goods and services.

through the principal investigator's organization, they are not considered personnel staff. They may still receive grant funds, however, if they are listed in the budget under Contracts. Benefits for personnel are calculated as a percentage of salaries and may include contributions made for sick leave, retirement, insurance, or similar. Personnel costs do not include administrative support services, accounting support services, contract support services, legal services, or salaries for office support staff involved in activities such as procurement, billing, accounting, and other administrative functions. Instead, those activities should be considered in the budget under Overhead.

PEST MANAGEMENT ADVISORY COMMITTEE (PMAC): A broad group of stakeholders established in law (Food & Ag. Code, § 12536) to advise the Department on pest management issues. It is comprised of growers, processors, industry, public interest groups, public and private research and educational institutions, government agencies, and individuals knowledgeable about pest management.

PRINCIPAL INVESTIGATOR: An employee designated by the Grantee's organization, responsible for the management of the technical and administrative aspects of the Grant Agreement. The Principal Investigator is ultimately responsible for the completion of the project and adhering to the terms of the agreement.

PROFESSIONAL AND CONSULTANT SERVICES (CONTRACTS): Budget line item used when the grant recipient contracts out services that require a recommended course of action or personal expertise needed to complete project tasks, including team members paid through a different organization than applicant) (see entry 'Contract').

PROJECT COST: All costs incurred by the Grantee in performing the grant project. (The Research Grant will only reimburse eligible costs incurred by the Grantee.)

REASONABLE COSTS: Moderately priced for the geographical location.

REPORTS:

- **QUARTERLY PROGRESS REPORT** ([Attachment 2](#)²⁶)—A one- to two-page summary of work completed in the previous quarter (three month period) that includes an indication of the state of completion of all the tasks listed in the Scope of Work, a discussion of any milestones achieved, a description of any changes in personnel, an explanation of any large or unusual expenditures, and a discussion of problems or special situations encountered during the reporting period and the Grantee's response to those problems or situations. Additional information may be requested by the Grant Manager(s).
- **FINAL REPORT**—Details that were appropriate for annual reports but not previously reported; an explanation of all project activities and accomplishments and how they met the project's goals and objectives; recommendations for future outreach and research; and a copy of all final public education, advertising, or promotional materials produced, purchased, and/or distributed with grant funds.

RESOLUTION: A formal authorization by the local political subdivision with authority to participate in, or apply for, and accept this grant, as applicable.

RÉSUMÉ OR CURRICULUM VITAE: A brief, written account of personal, educational, and professional qualifications and experience.

SCOPE OF WORK: The detailed listing of all tasks and subtasks necessary to complete the proposed grant project.

SIGNATORY AUTHORITY: The person duly authorized and empowered to execute in the name of the applicant all grant-related documents.

²⁶ <http://www.cdpr.ca.gov/docs/pestmgmt/grants/research/solicitation/attach2.pdf>

TASKS: The specific activities conducted to complete a grant project.

THIRD PARTY FUNDING SOURCE: Funding provided by a source other than the Grantee or the Grantee's organization.

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