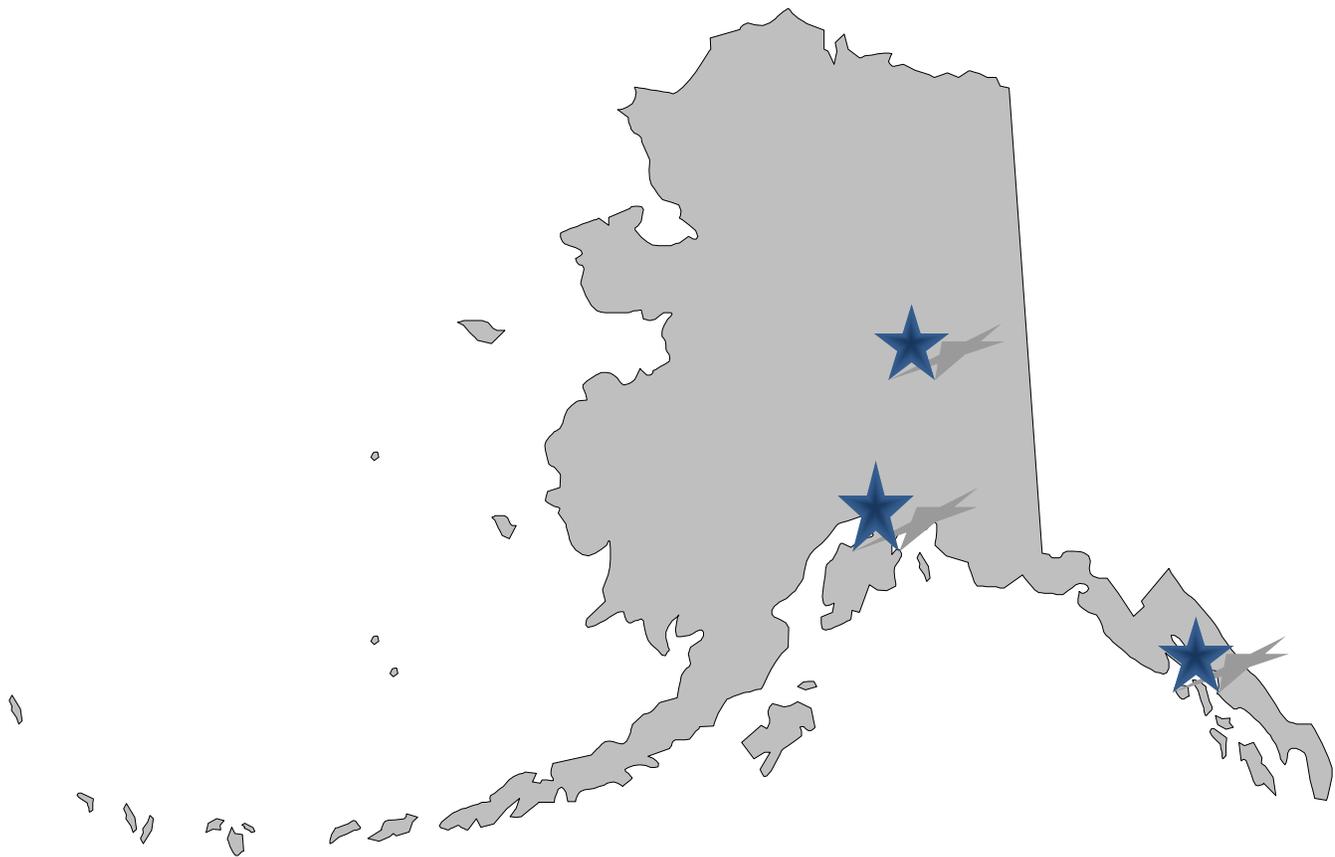


DESIGNATED LEGISLATIVE GRANT PROGRAM



Grantee Handbook

Division of Community and Regional Affairs



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INTRODUCTION

Congratulations! Your organization has been appropriated a Designated Legislative Grant. In order to receive funds, a grant agreement must be executed with the Department of Commerce, Community, and Economic Development, Division of Community and Regional Affairs (DCCED, DCRA). You have been assigned a grant administrator (GA) in the Anchorage, Fairbanks, or Juneau offices. We will try to keep your paperwork to a minimum, explain the rules and regulations, and assist you in meeting the project requirements. Regional supervisors are listed below.

Anchorage Grants Office

Debi Kruse, Grants Administrator III

Ph. (907) 269-8131

Fax (907) 269-4066

550 W. 7th Avenue, Suite 1640

Anchorage, AK 99501-3569

Fairbanks Grants Office

Pauletta Bourne, Grants Administrator III

Ph. (907) 451-2721

Fax (907) 451-2742

211 Cushman Street

Fairbanks, AK 99701-3110

Juneau Grants Office

Jolene Julian, Grants Administrator III

Ph. (907) 465-4758

Fax (907) 465-5867

P.O. Box 110809

Juneau, AK 99811-0809



IMPORTANT WEBSITE LINKS

www.commerce.alaska.gov

This site offers information on programs and services available through our department.

<http://commerce.alaska.gov/dnn/dcra/home.aspx>

This site offers information on programs and services available through our division.

<http://commerce.alaska.gov/dca/apps/egrantsonline/>

The above link is eGrants Online. This database provides grant information on several different grant programs administered by DCRA. A tutorial is provided to assist you with generating the most effective report to meet your needs. Data is presented in a user friendly format. The database includes information such as community name, grant number, grant recipient, project name, grant status, grant type, grants administrator, award amount, disbursed amount, remaining amount, and house district. Another helpful service on this site is the ability to download the grants information in an Excel spreadsheet format.

<http://fin.admin.state.ak.us/aapvis/index.jsp>

This is the State of Alaska Electronic Payment Inquiry website. This site allows vendors (grantees) who are enrolled to receive electronic payments from the State of Alaska to view information about payments. If grantees are not currently set up to receive electronic payments it is possible to sign up for this service by completing an Electronic Payment Agreement Form. To access the system you will need to know the vendor number that has been assigned to you in the Alaska Statewide Accounting System (AKSAS). Please contact your grants administrator for this number.

<http://commerce.alaska.gov/CBP/Main/CBPLSearch.aspx?mode=Name>

This is the website for the Division of Corporations, Business and Professional Licensing search database and provides access to thousands of license records as a service to the public. The department utilizes this website to confirm that grantees are legal entities registered to do business in the State of Alaska and are in active status, a requirement that must be met prior to entering into a grant agreement with each grantee.

PART I

PROGRAM INFORMATION

Communities and organizations seek funding from their state senators and representatives for identified capital projects. Appropriations are included in the Capital Bill by the legislature at their discretion, with final approval required by the governor. Under the governor's discretion, project funding may be reduced or vetoed entirely.

The department manages the Designated Legislative grant program under the provisions of the Alaska Statutes (AS). The statutes that pertain to this program are listed below:

- AS 37.05.315 Grants to Municipalities
- AS 37.05.316 Grants to Named Recipients
- AS 37.05.317 Grants to Unincorporated Communities
- AS 37.05.318 Further Regulations prohibited
- AS 37.05.325 Definitions for AS 37.05.315-37.05.317



- AS 37.25.020 Unexpended balances of appropriation for Capital Projects

Alaska Statutes are codified laws enacted by the legislature. The most current statutes can be found on the Alaska State Legislature website: <http://www.legis.state.ak.us/basis/folio.asp>

Types of Designated Legislative Grants

The types of projects eligible for funding may include:

- feasibility studies
- construction projects
- building improvements and upgrades
- design and engineering
- land acquisition
- equipment purchase, upgrades, or repairs

Designated Legislative Grants 50k and Less

In SLA 2011 the Legislature approved language in the Capital Bill that provided authority to the department to eliminate the requirement for narrative and financial quarterly reporting for any grant \$50,000 or less.

“It is the intent of the legislature that the Department of Commerce, Community, and Economic Development eliminate the requirement for narrative and financial quarterly reporting for any grant of \$50,000 or less. It is further intended that the department make a single upfront payment for any grant \$50,000 or less, conditioned on the department first receiving a signed certification from the recipient agreeing to use the full grant amount for its intended purpose, to return all unexpended funds to the state for deposit into the general fund upon project completion, and to follow all other terms of the department’s grant agreement.”

Although financial reporting is not required, the grantee remains responsible to maintain a grant file with all supporting documentation for the required retention period, currently 6 years.

Designated Legislative Grants over \$50,000

Designated Legislative Grants appropriated over \$50,000 are operated on a cost reimbursable basis and grantees submit financial progress reports for the life of the grant.

Restriction on Use

Under the provisions of AS 37.05.321 grant funds may not be used to influence legislative action, which is defined as "promoting, advocating, supporting, modifying, opposing, or delaying or seeking to do the same with respect to any legislative action, but does not include the provision or use of information, statistics, studies, or analyses in written or oral form or format." Grant funds may not be used for the purposes of travel in connection with influencing legislative action.

Grant Notification

Award notification letters are generally mailed to the grantee the last week of June, subject to final approval of the Capital Bill. This letter will outline the information required to prepare the grant agreement which includes a scope of work and a project budget.



Grant Term

Grant Agreements are generally written for a term of five years, usually beginning on July 1 and terminating five years later on June 30. Occasionally appropriations stipulate a different term date, which will be reflected in the grant agreement. Please be aware that reimbursements cannot be made for expenditures prior to the effective start date of the grant agreement.

Signatory Authority

All eligible entities must have a current Signatory Authority form on file with the department and in their grant file. Signatory authority for execution of the grant agreement and subsequent amendments is granted to the chief administrator. For grants appropriated to a municipality, the mayor is the chief administrator unless the municipality operates a managerial form of government; then the city manager/administrator acts as the chief administrator. For named recipients and unincorporated communities, the executive director or highest ranking official will act as chief administrator.

The chief administrator may authorize other staff within the organization to sign grant related documents. Please submit an updated form annually or whenever changes are made. A copy of this form is included in Part VII of this handbook.

Grant Agreement

Upon final approval by the governor, grantees will enter into a grant agreement with the Department of Commerce, Community, and Economic Development. In accepting grant money, the grantee agrees to spend the grant for the purposes specified in the appropriation or allocation. The grantee must establish and maintain a separate accounting structure for the use of each grant. For example, each grant should reflect all transactions specific to that grant

Waiver of Sovereign Immunity

If the grantee is a tribal entity, a resolution waiving sovereign immunity is required in a form provided by the department. The waiver is incorporated into the grant agreement as Appendix G for Tribal entities.

Financial/Progress Reports

Financial/Progress reports are required on a regular basis, either monthly or quarterly. Reporting requirements are stipulated within each grant agreement. A grantee will identify their preferred method of reporting on the Signatory Authority form. The grants administrator assigned to you may require monthly reporting from a grantee if determined necessary. A sample of the financial reporting form, including instructions, is included in Part VII of this handbook and may also be downloaded from our website at <http://commerce.alaska.gov/dnn/dcra/GrantsSection/DLGrants.aspx>.

PART II

THE GRANT AGREEMENT

A grant agreement with the department will include all of the provisions and requirements specific to each grant. When you sign your grant agreement, you are certifying that you fully understand and will comply with these provisions.



Elements of the grant agreement include:

Grant Agreement Cover Page

This page contains pertinent grant information as follows:

- **Grantee** - The grantee listed on the grant cover page is the official grant recipient and fully responsible for this grant.
- **Grant Number** - This number is assigned by the department. Please reference this number on all grant forms, correspondence, and when seeking grant assistance. This number will remain the same throughout the life of the grant.
- **Grant Title** - This is the exact title that was approved by the legislature. It is the official title of the grant project and cannot be changed.
- **Grant Amount** - This is the amount that was appropriated by the legislature for this project.
- **Grant Start Date and Lapse Date** – Only expenses occurring after the grant start date and before the lapse date are eligible for reimbursement.
- **Attachments and Appendices** – The grant agreement includes attachments and appendices necessary to comply with grant requirements. It is important to become familiar with these documents.
- **Signatures** - Grant agreements require two signatures: The chief administrator of the grantee and the signature of the approving officer from DCCED.

Attachment A – Scope of Work

Attachment A includes the following elements:

- **Project Description** – This is a narrative of the project objectives and purpose. The grant administrator utilizes information gathered from the grantee and the Total Project Snapshot (TPS), provided by the legislature and generated from CAPSIS to prepare the project description. Grantees are responsible for reviewing the prepared narrative before signing the grant agreement. Your signature on the grant agreement indicates that you agree with this narrative.
- **Project Budget** - This section includes the line item budget, showing use of grant funds and the total project cost. Questions about the budget should be discussed with your grant administrator.
- **Budget Narrative** – This section stipulates grant funds will be used for purposes stated in the grant agreement.
- **Project Management /Reporting** – This section outlines grantee management responsibilities including signatory authority requirements, separate accounting requirements, and reporting requirements.
- **Forms Packet** - This includes a sample of the financial reporting form. Samples are included at the back of this handbook. An electronic version of this form can be obtained from your grants administrator.



Standard Provisions

Your grant agreement with the department will include Standard Provisions. Some of the provisions are of particular importance and are identified below.

Article 5. Access to Records.

“The Department and duly authorized officials of the State of Alaska shall have full access and the right to examine, excerpt, or transcribe any pertinent documents, papers, records, and books of the Grantee, and of persons or organizations with which the Grantee may contract, involving transactions related to the project and this Grant Agreement.”

It is important that the grantee maintain complete records on the project to provide to the department upon request. All grant files must be retained for at least six years from completion of the project. In addition, your grants administrator may schedule a visit to review project files, see the site, and take photographs for the grant file.

Article 6. Reports.

“The Grantee, at such times and in such forms as the Department may require, shall furnish the Department with such periodic reports as it may request pertaining to the activities undertaken pursuant to this Grant Agreement, including the final close-out report, the costs and obligations incurred in connection therewith, and any other matters covered by this Grant Agreement.”

Upon signature of this grant agreement, the grantee is agreeing to furnish the required reports as requested under this grant.

Article 10. Program Income.

“Program income earned during the award period shall be retained by the Grantee and added to the funds committed to the award and used for the purpose and under the conditions applicable to the use of award funds.”

Article 11. Amendments and Modifications.

“The Grantee or the Department may request an amendment or modification of this Grant Agreement. However, such amendment or modification shall not take effect until approved, in writing, by the Department and the Grantee.”

If the grantee wishes to make changes to the project in any way, it is necessary to request approval in writing from your grants administrator.

Article 13. Obligations Regarding Third Party Relationships.

“None of the Work specified in this Grant Agreement shall be contracted by the Grantee without prior approval of the Department. No permission for subcontracting shall create, between the Department or the State of Alaska and the subcontractor, any contract or any relationship.

The Grantee shall remain fully obligated under the provisions of this Grant Agreement notwithstanding its designation of any third party or parties of the undertaking of all or any part of the project described herein. Any subcontractor that is not the Grantee shall be required by the Grantee to comply with all the provisions of this Grant Agreement.”



Article 19. Termination for Cause.

“If the Grantee fails to comply with the terms of this Grant Agreement, or fails to use the grant for only those purposes set forth...” in the grant agreement, the department may suspend or terminate the grant. If a grantee is having trouble administering a grant, their grants administrator is available to discuss solutions.

Article 28. Governing Law.

“This Grant Agreement is governed by the laws of the State of Alaska. The Grantee shall perform all aspects of this project in compliance with the appropriate laws and regulations. It is the responsibility of the Grantee to ensure that all permits required for the construction and operation of this project by the Federal, State, or Local governments have been obtained.”

Article 30. Equal Employment Opportunity (EEO).

“The Grantee may not discriminate against any employee or applicant for employment because of race, religion, color, national origin, age, physical handicap, sex, marital status, changes in marital status, pregnancy or parenthood...”

The grantee must display EEO posters where all employees and applicants for employment can easily view them. All solicitations and advertisements for employees to work on state-funded projects must state that the grantee is an equal opportunity employer. The EEO provisions must also be included in every contract relating to this grant agreement, including those entered into by any of its contractors, so that those provisions will be binding upon each contractor and subcontractor.

Article 32. Operation and Maintenance.

“Throughout the life of the project, the Grantee shall be responsible for the operation and maintenance of any facility, equipment, or other items acquired under this grant.

RECORD KEEPING & REPORTING REQUIREMENTS

The grantee must establish and maintain separate accounting for the use of grant funds. The use of grant funds in any manner contrary to the terms and conditions of this grant agreement may result in the subsequent revocation of the grant and any balance of funds under the grant.

The grantee shall submit a Financial/Progress Report each month or quarterly as approved during the life of the grant agreement. Report forms are due 30 days after the end of the month or quarter being reported. The original report must be certified by an authorized signer and mailed to the department. **We cannot accept faxed or electronic copies.**

It is necessary to submit a monthly or quarterly report each reporting period, regardless of whether or not any funds have been expended during the period.

The progress report section must be completed on each report submitted. This section should describe activity that supports the expenditures during the period. If no activity has taken place, please provide an explanation.

The grantee must keep records of all expenditures related to the grant project and make these available to your grants administrator upon request. Records should include all invoices and bills along with proof of



payment (copies of checks); copies of payroll records including signed timesheets, payroll checks, and fringe benefit costs.

Do not submit copies of supporting documentation with your Financial/Progress Reports unless requested by your grants administrator.

ALLOWABLE PROGRAM COSTS

Any costs identified in the grant agreement scope of work are generally allowable and can be submitted for reimbursement. Any questions regarding allowable expenditures under the grant should be discussed with your grants administrator prior to purchase. Disallowed expenditures will not be reimbursed with grant funds.

ALLOWABLE ADMINISTRATION COSTS

Allowable administrative costs are those costs necessary to administer the grant project. Administration costs may not exceed 10% of the total award and no more than 5% for equipment purchase. In order to be reimbursed for administrative costs the grantee must request an administrative line item in the proposed budget. The grantee is also required to report administration in the provided budget line item on the Financial/Progress report form.

If a grantee chooses to utilize administrative costs, below are some examples of allowable expenditures. In some circumstances, these may be considered direct project costs. If you have questions, please contact your grants administrator.

Advertising

Advertising for recruitment of personnel, procurement of goods and services, and any other grant specific purposes are allowed.

Audits

Preparation of a state single audit is allowable if the audit is performed in accordance with 2 AAC 45.010 Audit Requirements. Only the prorated cost for auditing this grant program is allowed. See Attachment C, Article 38 of your grant agreement.

Insurance

Insurance costs related to the project are allowable. See Attachment C, Article 26 and Appendix B2 of your grant agreement.

Materials & Supplies

Materials and supplies are allowable if necessary for administration of the grant such as office supplies, freight, and rental or purchase of equipment.

Office Costs

Prorated costs for services such as telephone, fax, postage, internet, and utility costs are allowable.



Professional Services

Administrative services performed under contracts or agreements, including general legal services, accounting services, and audit services are allowable.

Rental Costs

Rental costs for office space and equipment are allowable to the extent that the rates are reasonable.

Staff Salaries & Fringe Benefits

Salaries and benefits for employees involved in administration of the grant are allowed. These costs must be based on Generally Accepted Accounting Principles (GAAP).

Training

The cost of training may be allowable. Please contact your grants administrator for more information.

Travel

Travel and per diem expenses will be allowed in accordance with the grantees written travel policy. Grantees that do not have a written policy for per diem should follow the established policy of the State of Alaska.

Grant funds may be used to pay for:

- Transportation costs by the most direct route and efficient means;
- Ground transportation that is necessary to fulfill the grant project related objectives, such as car rental, taxis, or buses;
- Actual lodging costs; and
- Per Diem (meal and incidental expenses). Alcohol expenses will not be reimbursed.

PAYMENT METHOD

Cost Reimbursable

Designated Legislative Grants are cost reimbursable. You pay for expenditures out of your own funds and then request reimbursement when submitting monthly or quarterly financial/progress reports. Once your grants administrator receives a complete report and approves it for payment, it is forwarded on for payment processing. Upon receipt of the approved financial/progress report, payments are required to be issued to the grantee within 30 days.

Electronic Funds Transfer and Payment Inquiry

Some grantees may qualify for direct deposit of their reimbursement payments if their banking institution participates in the State Electronic Data Interchange (EDI) system. If you are not currently enrolled in the EDI system then it is necessary to complete the Electronic Payment Agreement Form.

Any payments issued by the State the Alaska will be deposited into the established account. This form is available in Part VI of this handbook or online at: <http://fin.admin.state.ak.us/aapvis/index.jsp>.

Once enrolled this website also provides the option to inquire about payments made from the State of Alaska to your established account.



Advances

The department may advance to the grantee an amount not to exceed a projected 30-day cash need or 20% of the grant amount, whichever is less. Before the department will issue an advance the grantee must be current in submission of financial/progress reports and submit a "Request for Advance Payment" form. The request must include (1) written justification for the advance, (2) documentation of costs associated with the advance, and (3) a brief narrative on how the advance will be used. **We cannot accept faxed or electronic copies.**

The Request for Advance Payment form can be found in Part VI of this handbook. Advances must be recovered with the next financial reimbursement request. If the grantee is unable to recover the full advance amount on the next financial report the grantee may be required to return the advance balance. Please contact your grants administrator regarding any requests over 20% of the award.

TECHNICAL ASSISTANCE

On-Site Visits, Monitoring and Technical Assistance

Grantees may receive an on-site visit from their grants administrator sometime during the course of the grant agreement. This visit will be conducted to ensure the grantee is complying with grant stipulations. This review will consist of reviewing the grantee's grant files for back-up documentation, contracts, correspondence, etc., related to the specific grant. The grants administrator will also want to see any projects completed or in progress that have used the grant funds.

Oftentimes a grantee would like a site visit so they can receive technical assistance and help with the administration of their grant(s). DCRA's grants administrators are happy to comply, if they have the time and resources to do so. The grants administrators are always happy to provide assistance via telephone or email as requested.

The overall purpose of a site visit is to work in conjunction with the grantee to ensure success of the project(s). It is a chance for the grantee to 'show off' what has been accomplished with the grant funds and it helps build a solid working relationship between the grantee and the grants administrator.

PART III

SITE CONTROL

Before a grantee can begin a construction project, it is necessary to make sure legal right to build on or use the site is obtained. This legal right is called site control. This right must be formally given in writing; verbal permission is not enough.

Site control requirements depend upon the nature of the project. If the grantee is going to construct a building, it is necessary to obtain a lease or deed showing control of the land. If the grantee is leasing land to construct a building, the period of the lease should be at least for the useful life of the building (generally 20 years). If the grantee needs to build something across someone else's land, it is necessary to obtain an easement or right-of-way for the particular planned use. If the grantee is going to use the land temporarily, such as during construction, it is necessary to get a use permit or license.

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It is important that the boundaries of the property are identified with a legal description to ensure structures are built on the accurate land. It is recommended that the property be surveyed prior to obtaining title to the land by deed or before entering a long-term lease.

In addition to obtaining control of the land, a grantee should ensure there is adequate access to the site. It may be necessary to obtain an easement in order to assure legal access to the property being used. Owning the property is useless if it is not accessible.

It is necessary to accurately describe the land in the lease, deed, or easement documents. This "legal description" is extremely important because it must accurately identify the land being utilized. A recorded survey plat is the preferred method of describing land. The legal description is used to identify the boundaries of the real property, including any restrictions, reservations, rights-of-way, and easements and is written by one of these basic methods (1) the "metes and bounds" system; (2) the US Public Land Survey system; and (3) the "lot and block" survey system.

All site control determinations for DCCED Grants are made through our Division's Land Management and Mapping Section.

To find your local contact regarding public records on land deeds, plats, surveys etc. visit the District Recorder's website at: <http://dnr.alaska.gov/ssd/recoff/distlist.cfm>

The public can access documents through the statewide recording system database at any DNR Recording Office or on the Internet at: <http://dnr.alaska.gov/ssd/recoff/searchRO.cfm>

The address of the main District Recorder's office is:

State Department of Natural Resources, State Recorder's Office
550 West 7th Avenue, Suite 1210
Anchorage, AK 99501-3564
(907) 269-8882

If the project is located within a federal townsite, the BLM Alaska State Office must be contacted. They are responsible for issuing land deeds to Alaskan villages. The trustee manages townsite lands until a deed is issued. Contact the office below to determine if a site is available:

US Department of the Interior
Bureau of Land Management, Alaska State Office
222 W. 7th Avenue, #13
Anchorage, AK 99513-7599
(907) 271-5960

The State Municipal Lands Trustee may need to be contacted if the land to be used is in an unincorporated ANCSA village. The Municipal Lands Trustee holds title in trust for community use and expansion. Additional information about site control may be obtained online from the division's publication "*What is Site Control?*". This publication can be found at:

http://www.commerce.alaska.gov/dnn/Portals/4/pub/WhatisSiteControl_2011.pdf

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INSURANCE

The grantee may not start work on a project until insurance required to protect project workers, the general public, and your own interests has been obtained. A **Certificate of Insurance** may be required prior to release of grant funds.

Insurance can be purchased from a number of different agencies. Listed below are the types of insurance that is required, depending upon the grantee's needs:

- *Workers' Compensation Insurance*
The Alaska Workers' Compensation Act as governed by State law (AS 23.30) requires each employer having one or more employees in Alaska to obtain workers' compensation insurance, unless the employer has been approved as a self insurer. The cost of a workers' compensation policy (the premium) is based upon the employer's payroll, type of business risk (classification assignment), and the employer's loss history.
- *General Liability*
The grantee is responsible for obtaining any necessary liability coverage to protect itself and its workers from claims due to accidents.
- *Vehicle Liability*
State law (AS 21.89) requires that all vehicle owners must maintain at least a minimum of insurance coverage against loss from damages arising out of the ownership or use of a vehicle.
- *Professional Liability Insurance (optional)*
The grantee should consider requiring contractors (including architects, engineers, etc.) to obtain this insurance to cover any negligent acts of the contractor, subcontractor, or anyone directly or indirectly employed by them. This coverage provides extra protection for the grantee.
- *Builder's Risk Insurance (optional)*
The grantee should consider fire, theft, vandalism, and other kinds of insurance coverage, for either the whole project or some part of the project.
- *Hazard Insurance (optional)*
The grantee should consider acquiring insurance coverage for unusual events such as windstorms, flooding, or earthquakes.

LABOR STANDARDS

There are only two ways labor can be performed and paid for under a Designated Legislative Grant. These are **Force Account Labor** or **Contracted Labor**.

Force Account

In a force account project, workers are hired directly by the grantee as public employees. In some instances local governments, political subdivisions, and non-profit groups may use force accounting on projects built



with state funds. The grantee bears the final responsibility for hiring and firing employees, setting wages (the wages must reflect the prevailing wage for that type of work for the area), paying wages, and making appropriate payroll deductions, purchasing materials, and all aspects of construction. Using the force account method is usually less expensive. However, force accounting is not necessarily the best approach for every grantee or for every project. Force account projects require the grantee to have significant administrative abilities.

Two questions to consider before using force accounting on a construction project.

1. Is your organization capable of handling the technical aspects and labor requirement of the project?
2. Does your organization have the commitment to provide the labor force, training programs, and support necessary to successfully complete a force account project?

Carefully consider these two questions before starting a force account project:

One of the major benefits of force accounting is the opportunity to employ and train local residents. A grantee should evaluate the size and talents of the resident labor force to determine if qualified employees are available for hire.

The grantee must keep very detailed financial records if utilizing force account labor on your project. Information must be maintained about the employee, position (job description, hours and wage rate), as well as standard payroll records (approved timesheets for each employee, hours worked, tax and fringe benefit computation, evidence of payment, etc.).

Contracted Labor and Current Prevailing Rate of Pay

Certain grant projects are subject to the provisions of AS Title 36 PUBLIC CONTRACTS. Municipalities, school districts and other political subdivisions are subject to the provisions of AS Title 36 Public Contracts when they contract for the performance of the work on projects exceeding \$25,000. Non-profit organizations that contract for the performance of the work are also subject to AS Title 36 when the value of the project is more than \$25,000 unless the non-profit organization is performing the work on the project.

Please contact the Alaska Department of Labor and Workforce Development if you have any questions about contracted labor and your project. Contracted labor must be paid the prevailing wage rate issued by the Alaska Department of Labor and Workforce Development in Pamphlet 600, *Laborers' & Mechanics' Minimum Rates of Pay*. This pamphlet is published twice yearly, April 1 and September 1 and may be accessed on-line at: <http://www.labor.state.ak.us/lss/pamp600.htm>

If your contract uses contracted labor the contractor will be doing most of the paperwork however, you must obtain copies of the entire contractor's certified payroll.

Volunteers

On occasion, nonprofit Grantees may utilize volunteer labor when the project is related only to the organization's nonprofit activities. "Nonprofit activities" in this context means activities for which the nonprofit organization does not incur a liability for unrelated business income tax under 86 U.S.C. 513 as amended.

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Grantees are encouraged to contact the Alaska Department of Labor & Workforce Development's Wage & Hour Administration for information on the use of volunteer labor on state-funded projects. The contact number for the Wage and Hour Administration is (907) 465-4842 in Juneau; (907) 269-4900 in Anchorage; and (907) 451-2886 in Fairbanks.

Email addresses for the Anchorage, Juneau, and Fairbanks offices are listed here:

Anchorage.lss-wh@alaska.gov

Juneau.lss-wh@alaska.gov

Fairbanks.lss@alaska.gov

FIRE MARSHAL

All construction, repair, remodel, addition or change of occupancy of any building/structure or installation or change of fuel tanks must be approved by the State Fire Marshal's Office before ANY work is started. The State Fire Marshal reviews and approves all construction on public buildings and fuel tanks to make sure that they are not fire hazards.

Plans and specifications regarding the location of the building or structure on the property, area, height, number of stories, occupancy, type of construction, interior finish, exit facilities, electrical systems, mechanical systems, fuel storage tanks and their appurtenances, automatic fire-extinguishing systems, and/or fire alarm systems must be submitted by the owner or owner's representative to the State Fire Marshal for examination and approval.

This review does not address structural considerations or accessibility requirements. Mechanical and electrical review is limited to that which is necessary to confirm compliance with fire and life safety requirements.

A copy of the plan review approval certificate must be posted as required in 13 AAC 55.100(b). It is prohibited to occupy a building for which plans have not been examined and approved.

The following information and guidance is offered regarding the plan review and permitting process:

1. Submit a completed plan review application form accompanied by construction documents to the appropriate State Fire Marshal's Office.
2. The construction plans are reviewed after receipt of the plan review fee. All fees are calculated by the Fire Marshal's Office.
3. During spring/summer preconstruction, plans should be submitted at least one month prior to the anticipated construction start date.

Fire Marshall Regional Offices are listed here:

Anchorage Office

5700 East Tudor Road
Anchorage, AK 99507
(907) 269-5491

Fairbanks Office

1979 Peger Road
Fairbanks, AK 99709
(907) 451-5200

Juneau Office

P.O. Box 111202
Juneau, AK 99811
(907) 465-4331



PERMITS

Almost all public building projects require some permits. A few permits may come from your local government but most come from state or federal agencies.

Generally, two types of permits are required; building and operating. Building permits must be acquired first since construction cannot begin without one. It is suggested you begin obtaining operating permits in time to occupy your building when construction is completed.

Other permits you may need to obtain include:

- Building permit
- Conditional use permit
- Variance
- Excavation permit
- Flood hazard development permit

Grantees are required to obtain all necessary permits required by law for applicable projects.

The Alaska Department of Environmental Conservation (ADEC) regulates all activities in Alaska that might pollute the air, water, or soil. There are dozens of ADEC permits related to constructing and operating public buildings. If you are not sure what ADEC permits you need, you can fill out a questionnaire on their website (www.dec.alaska.gov) or contact the ADEC office closest to you for assistance:

State of Alaska

Department of Environmental Conservation

Northern Regional Office

610 University Avenue
Fairbanks, AK 99709
(907) 451-2120

Southcentral Regional Office

555 Cordova Street
Anchorage, AK 99501
(907) 269-7501

Southeast Regional Office

P.O. Box 111800
Juneau, AK 99811
(907) 465-5270

DIVISION OF COMMUNITY AND REGIONAL AFFAIRS



The following list provides the names, addresses, and telephone numbers for various permitting agencies with the State. This list is not intended to be all-inclusive.

Potential Project Permit Requirements

Type of Permit, Approvals, Etc.	Description	Regulatory Agency
School Construction	Authority of the Department of Education for review of construction documents for educational facilities.	Department of Education & Early Development P.O. Box 110500 Juneau, AK 99811-0050 (907) 465-2800 http://education.alaska.gov
Solid Waste Disposal Permit	Permit needed for disposal of solid waste or hazardous material	Department of Environmental Conservation P.O. Box 111800 Juneau, AK 99811-1800 (907) 465-5285
Water Discharge Permit Plan Review and Approval of Sewerage or Sewage Treatment Works	Permit needed for the disposal of wastewater on land or in waters.	or 555 Cordova Anchorage, AK 99501 (907) 269-7501
Plan Review and Approval of Public Water Systems	Plans for the construction, installation, modification or operation of a public water supply system must be approved prior to construction	or 610 University Avenue Fairbanks, AK 99709 (907) 451-2120 http://dec.alaska.gov
Storage Tank Program Food Safety & Sanitation Program Plan Review and Health Inspections of Public Establishments	Pre-operation inspection is required to ensure compliance with health and sanitation standards for food service establishments, schools, day-care and pre-elementary schools, hotels and motels, swimming pools and bathing areas, and public toilets.	or 610 University Avenue Fairbanks, AK 99709 (907) 451-2120 http://dec.alaska.gov
Anadromous (Salmon Spawning) Fish Protection Permit	Approval for any work in or near anadromous rivers, lakes, or streams.	Department of Fish and Game Division of Habitat P.O. Box 115526 Juneau, AK 99811-5526 (907) 465-4105 (or contact local office in Palmer, Anchorage, Fairbanks, Craig, Petersburg or Soldotna) http://www.adfg.alaska.gov
Critical Habitat Area Permit State Game Refuge Permit	Approval for any work or development in a critical habitat area. Permit needed if proposing work or development within a designated state refuge or game sanctuary.	or 610 University Avenue Fairbanks, AK 99709 (907) 451-2120 http://dec.alaska.gov
Hospital and Health Facility Construction	Authority of the Department of Health & Social Services for licensing and establishing standards for the construction of hospital and health facilities.	Department of Health & Social Services Health Facilities Licensing and Certification 619 E. Ship Creek Avenue, Ste. 232 Anchorage, AK 99501 (907) 334-2483 http://dhss.alaska.gov
Unemployment Insurance	Individuals, companies, and organizations that have one or more workers in covered employment for any part of a day must register with the Department.	Department of Labor & Workforce Development Employment Security Division P.O. Box 115509 Juneau, AK 99811-5509 (907) 465-2712 http://labor.alaska.gov/
Workers' Compensation Insurance	Any employer with one or more employees working within the state must buy a workers' compensation insurance policy and submit proof of insurance to the Department.	Department of Labor & Workforce Development Division of Workers' Compensation P.O. Box 115512 Juneau, AK 99811-5512 (907) 465-2790 http://labor.alaska.gov/

DIVISION OF COMMUNITY AND REGIONAL AFFAIRS



Type of Permit, Approvals, Etc.	Description	Regulatory Agency
Certification of Fitness – Electrical and Plumbing Certification of Pressure Vessels	Certifies the competency of electricians and plumbers. To ensure that boiler and pressure vessels and elevator constructions, installation and operation conform to regulations.	Department of Labor & Workforce Development Mechanical Inspection 3301 Eagle Street, Suite 302 Anchorage, AK 99503 (907) 269-4925 http://labor.alaska.gov/
Clearance regarding Preservation of Prehistoric and Archaeological Resources	Determination of presence/absence of cultural resources on the building site.	Department of Natural Resources Office of History & Archaeology 550 W 7 th Ave., Suite 1310 Anchorage, AK 99501-3565 (907) 269-8721 http://dnr.alaska.gov/parks/oha
Rights-of-Way Easement	Authorization required for rights-of-way easement and construction or improvements on easements established on State lands.	Department Natural Resources Division of Mining, Land & Water 550 W 7 th Ave., Suite 1260 Anchorage, AK 99501-3577 (907) 269-8400 http://dnr.alaska.gov/mlw/
Water Rights Permit Sand and Gravel Extraction	Must obtain permit to use surface or ground water in Alaska To obtain sand and gravel on State lands for use on the project.	
Life/Fire Safety Plan Check for Construction/Occupancy of Building	Approval of building plans is required for fire protection and safety. This applies to commercial, industrial business, institutional or other public buildings containing four or more dwelling units. Construction, repair, remodel, addition or change of occupancy of any building/structure as listed above, or installation or change of fuel tanks must be approved by the State Fire Marshal's office prior to any work being started.	Department of Public Safety Division of Fire & Life Safety 5700 East Tudor Road Anchorage, AK 99507 (907) 269-5491 or P.O. Box 111202 Juneau, AK 99811-1202 (907) 465-4331 or 1979 Peger Road Fairbanks, AK 99709 (907) 451-5200 http://www.dps.alaska.gov/fire/
Handicapped Accessibility	Review and approval of plans for buildings and facilities with respect to handicapped access.	Department of Transportation & Public Facilities Statewide D & E Services P.O. Box 112500 3132 Channel Dr. Juneau, AK 99811-2500 (907) 465-2960 http://dot.state.ak.us
Driveway Permit	Permit required to construct and maintain a driveway or approach road on highway right-of-way.	
Discharge of Dredged or Fill Material into U.S. Waters	Permit required for the discharge of any dredged or fill material in US waters, including wetland. Permit cost is \$100 for commercial use or \$10 for non-commercial use.	Federal Agencies US Army Corps of Engineers US Army Engineer District, AK P.O. Box 6898 Elmendorf AFB, AK 99506-6898 (800) 478-2712 http://www.poa.usace.army.mil
Structures or work in/or Affecting Navigable Waters	Permit required for any work or placement of structures in US waters.	
National Wildlife Refuge Land –Special Use Permit	Permit required for easements, roads, or utilities in Wildlife Refuge Lands.	US Fish & Wildlife Service Division of Realty 1011 East Tudor Road, MS 211 Anchorage, AK 99503 (907) 786-3414 http://alaska.fws.gov/nwr/realty/

DIVISION OF COMMUNITY AND REGIONAL AFFAIRS



Type of Permit, Approvals, Etc.	Description	Regulatory Agency
Oil Storage Facilities – Spill Prevention Control Counter Measures Plans	Approval required for onshore and offshore oil storage facilities. Also contact the Alaska Dept. of Environmental Conservation, Compliance Assistance Office at (800) 510-2332	US Environmental Protection Agency Alaska Operations Office 222 West 7 th Ave. #19 Anchorage, AK 99513-7588 (800) 781-0983 (907) 271-5083 http://epa.gov/region10
Structures Which May Interfere with Airplane Flight Paths	Any construction or alteration of any structure, roadway, overhead wires, and so on, which may interfere with airplane flight paths, must be reported to the Federal Aviation Administration.	US Dept of Transportation Federal Aviation Administration Alaskan Region Airports Division 222 West 7 th Avenue #14 Anchorage, AK 99513 (907) 271-5438 http://www.faa.gov

PROCUREMENT

Procurement is the effective acquisition of goods and services. It is important that the goods and/or services procured are appropriate and they are purchased at the lowest possible price to meet the needs of the grantee in terms of quality and quantity, time and location. Grantees must follow fair and equitable procurement standards in the acquisition of all services, supplies, and materials and keep clear records of any bid process undertaken.

All grantees should have a written procurement policy. Grantees which do not have their own written procedures must follow the State Procurement Code (AS 36.30) (<http://doa.alaska.gov/das/Procurement/doc/pandp.pdf>) or adopt a procurement policy from another legal entity.

If the grantee is a city, borough, school district, the University of Alaska, or a political subdivision they may be eligible to utilize the State of Alaska’s cooperative contracts (AS 36.30.700). This is a way to get a ‘good deal’ on a number of items necessary for purchase.

Listed below is a sample of items available for purchase:

- Computers and peripherals
- Copiers
- Office Supplies
- Fuel
- Software
- Paper

All of the contracts are "non-mandatory" for use by state political subdivisions. If interested, go to this website for more information: <http://polisubs.alaska.gov>

When procuring a contractor it is important to verify that the contractor is not ineligible (i.e. debarred) from participation in state programs. The State of Alaska maintains a list of entities debarred from bidding or working on public construction projects within Alaska. That list can be accessed online at: <http://www.labor.state.ak.us/lss/debarments.htm>



CONTRACTS AND SUBCONTRACTS

If a project requires any type of contract the grantee remains fully obligated under the provisions of the grant agreement. Both the grantee and contractor is required to follow their own procurement standards. The grantee shall ensure that the contractor meets all legal requirements to work in the State of Alaska

- Article 2 – Indemnification
- Article 24 – Ownership of Project/Capital Facilities
- Article 25 – Site Control
- Article 26 - Insurance
- Article 32 – Operation and Maintenance

AUDIT REQUIREMENTS

Grantees must comply with the audit requirements established by 02 AAC 45.010, set forth in Appendix A of the Grant Agreement.

Single Audit

A single audit is the most common type of audit completed for communities that receive state or federal funds. Another name for a single audit is a financial and compliance audit. The auditors examine the financial statements and accounting records of the city, community, or other group, as well as assess their compliance with laws, regulations, policies, and grant agreements. Audits completed to meet state requirements are usually conducted by Certified Public Accountants (CPA).

An entity that expends \$500,000 or more in state financial assistance during the fiscal year is required to have a state single audit completed for that year. "Entity" does not include the University of Alaska or any other state agencies.

State financial assistance includes state grants, contracts, provider agreements, and cooperative agreements. This also includes all forms of state financial assistance provided through an entity to a third party. According to 2 AAC 45.080, "financial assistance" does not include the following: (1) public assistance provided under AS 47; (2) goods or services purchased for the direct administration or operation of state government; (3) moneys advanced to an entity under one or more state loan programs; (4) power cost equalization payments made to an electric cooperative on behalf of its customers; (5) scholarships, loans, or other tuition aid provided to students, but paid to an education institution on their behalf. For a third party, "financial assistance" does not include goods purchased from the third party for direct administration or operation of the entity that received financial assistance.

Performance Audit

In some instances, DCRA's internal auditor will conduct a "performance audit" of the grantee. Performance auditing is an assessment of the activities of an organization to see if the grant resources are being managed with due regard for efficiency, effectiveness, and accountability requirements of grant agreement.

Audit Findings

If the finding(s) are significant or if there are questioned costs, the Department's internal auditor will contact the grantee to discuss the findings and the planned corrective action. Based upon the consultation



with the grantee and the grants administrators, a memo or determination letter will be sent to the grantee indicating the department has determined the grantee's response to the finding was: acceptable or unacceptable. If there are questioned costs, the determination letter will indicate whether the costs are allowable or if a refund is due to the State of Alaska.

Audit Reports

The Division of Finance is the state coordinating agency for Federal and State Single Audits. The Single Audit Coordinator is responsible for ensuring grantees submit required single audits, reviewing the audit reports and distributing them to the appropriate agencies. In most cases, the final audit report must be submitted to the Division of Finance within nine months after the end of the audit period (the entity's fiscal year). Audit questions should be directed to the Single Audit Coordinator at (907) 465-4666.

Submit Audit Reports to:

State of Alaska
Department of Administration
Division of Finance
Attn: Single Audit Coordinator
P.O. Box 110204
Juneau, AK 99811-0204

PART IV

GRANT ADMINISTRATION BASICS

Keeping organized project management files is a vital component of grant administration and cannot be over emphasized. It is important for each grant agreement to have its own file with the title and grant number clearly labeled. Grantees may also want to include on the label the date the grant lapses. It is important to keep files neat, organized, and up-to-date.

At a minimum, all files must contain the grant agreement and financial/progress reports with back-up documentation. Other important documents must be easily obtainable, if not kept in the grant file. A recommendation for quality grant management is to have files which include all the following sections, as applicable:

- A. Grant Agreement section
- B. Documents section
- C. Correspondence section
- D. Contract solicitation
- E. Contracts section
- F. Financial/Progress Reporting section



Listed below are samples of items which might be kept in each grant section or file. The items listed are by no means meant to be exclusive and are provided as a guide only:

A. The Grant Agreement Section

- Grant Agreement
- Amendments
- Closeout letter/Amendment

B. The Documents Section

- Copy of Authorized Signers Form submitted to DCRA
- Total Project Snapshot (TPS)
- Copy of Insurance
- Copy of Electronic Payment Form

C. Correspondence Section

- Letters from your grants administrator
- Letters you send to the grants administrator
- Emails sent or received related to the grant project
- Faxes you sent or received related to the grant project
- Correspondence between any contractors and you
- Telephone contact sheet which documents all phone calls received/placed related to the grant project

D. Contract Solicitation Section, if applicable

- Request for funding and supporting documentation (RFP)
- Bids/price quotes submitted
- Bid award notice/letter
- Notice to proceed
- Permits
- Construction certification of completion

E. Contracts Section, if applicable.

- Signed contracts

F. Financial/Progress Reporting Section

- Copies of Financial/Progress reports sent to DCRA
 - a) Back-up documentation to support the requests for reimbursements.
 - b) Invoices, Payment Request forms, copies of checks
 - c) Travel related forms and receipts
 - d) Copies of deposit slips or proof of electronic payment



PART V

GRANT CLOSEOUT

Grants are usually closed out by mutual agreement after the project has been completed in compliance with the grant agreement and all of the funds are expended, accounted for, and reimbursed. After the grantee has submitted the final Financial/Progress report, the grants administrator will provide notification of official closeout. Please retain your grant files for a minimum of six years from the closeout effective date.

REAPPROPRIATION

The reappropriation process provides grantees with an option to request that Designated Legislative Grants awarded in prior years be redirected to new grant projects. Sources for these capital reappropriations are usually the balance remaining after the original project is completed, balances available from abandoned projects, or due to significant changes in project description or scope. Requests for reappropriation must be submitted in writing to the legislators that represent your community. The request may then be forwarded to the full legislature for consideration during the regular session. If passed, the governor must give final approval. Once approved, the existing grant will be closed and a new grant agreement will be executed with a full five-year term.

LANGUAGE AMENDMENT

A language amendment is an amendment to an existing project title. This allows use of grant funds for additional expenses related to the same project or for a different project. Language amendments also require official approval by the legislature and the governor. The request must be submitted in writing to the legislators that represent your community.

LAPSING GRANTS AND EXTENSIONS

Grants administrators will contact grantees with existing grants that are scheduled to lapse on June 30 of the current year regarding the status of their grant(s). Grantees may request a one-year extension of the grant term. This request must be in writing and explain why an extension is necessary for each project.

To warrant a grant extension, a grantee must:

- be current on financial/progress reports;
- demonstrate substantial and ongoing progress on their project;
- submit a documented plan for continued progress and/or project completion; and
- have a balance that exceeds \$1,000.00.

PART VI

SUMMARY

This handbook is provided to each grantee as a resource and guide. Please note the enclosed information may become out-dated. Your best resource for grant management is your grants administrator. If you have



any questions, it is important for you to contact them. Our goal is for each grantee to have a successful experience completing the project for which funds were awarded.

PART VII

APPENDICES

The following documents are for your reference and are subject to change. The most updated versions can be found on our website at <http://apps.commerce.alaska.gov/dnn/dcra/GrantsSection/DLGrants.aspx> , you may also contact your grants administrator for copies.

Financial/Progress Report Instructions and Samples

Financial/Progress Report Form

Electronic Payment Agreement Form

Signatory Authority Form

Request for Advance Payment Form

W-9 Form (applicable for new grantees and change of address)

**Designated Legislative (DL) Grant Program
Financial/Progress Report Form Instructions**

STATE SHARE GRANT FUNDS (TOP TABLE)

Authorized Budget/Total Grant Award: This is the total grant amount for a particular project awarded by the State. This is the same amount that is specified on the DL Program Grant Agreement cover page as “Amount of State Funds.” Refer to Attachment A of the Grant Agreement for the authorized “Project Budget.”

Authorized Budget/Administration: No more than 5% of the total grant award may be reimbursed for administration expenses for projects involving equipment purchase or repairs. No more than 10% of the total grant award may be reimbursed for administration expenses for all other projects. Although the Authorized Budget for most grants classifies all grant funds under one cost category (Project Funds), Grantees may request reimbursement for eligible administration expenses by reporting them on the Financial/Progress Report.

Grant Expenditures This Period: This amount will be the expenditures for the project that were paid for by the Grantee during this report period.

Total Expenditures to Date: On Report #1, this amount is the total of column *Grant Expenditures This Period*. On all subsequent reports, this amount is the total of column *Grant Expenditures This Period* plus (+) the column *Total Expenditures To Date* from the previous report.

Balance of Grant Funds: This amount is from the column *Authorized Budget* minus (-) the column *Total Expenditures to Date*.

The MIDDLE TABLE was added to the Financial/Progress Report to assist Grantees in tracking any advanced grant funds. All advanced funds must be recovered by the Department before additional funds will be reimbursed from the grant. Advanced funds are considered “recovered” once the Department approves the Financial/Progress Report which explains how advanced funds were expended on the project during that particular report period.

Current Advance Balance (if any): This amount reflects the balance of any unrecovered grant funds issued from the grant as an advance. In this case, “unrecovered grant funds” refers to grant funds advanced in the same or prior report period(s) that have not yet been reported by the Grantee as expended. Refer to Sample Reports #1 and 2 to see how the *Current Advance Balance* reduces on Report #2 based on the *Advance Recovered* on Report #1.

Less Advance Recovered This Report (if any): This amount may vary based on what the *Total Grant Expenditures This Period* is. Refer to the Sample Report #1. The *Current Advance Balance* is \$1,500 but the *Total Grant Expenditures This Period* were only \$1,000. Thus, the amount entered in the column *Less Advance Recovered this Report* was \$1,000 (not \$1,500). On Sample Report #2, the *Advance Balance Remaining* shown on Sample Report #1 of \$500 is entered in the *Current Advance Balance* and *Less Advance Recovered this Report* columns on Sample Report #2.

Net Reimbursement to Grantee: This amount reflects the *Total Grant Expenditures This Period* minus (-) *Less Advance Recovered this Report (if any)*. The *Net Reimbursement to Grantee* will be the amount the Grantee can anticipate to be reimbursed by the Department.

Advance Balance Remaining (if any): This amount reflects the *Current Advance Balance (if any)* minus (-) the *Less Advance Recovered This Report (if any)*.

Total Grant Funds Remaining: This amount is the total after **subtracting (-)** from the Grantee's *Total Grant Award* the *Total Grant Expenditures to Date* and the *Unrecovered Advance Balance (if any)*.

Financial/Progress Report Submission Details:

- ⇒ **Grantee Certification:** The report must be certified by an Authorized Signer based on the current Signatory Authority form on file with the Department. Mail the original signed report to your Grants Administrator's attention; keep a copy of the report in your grant file with supporting documentation for all expenditures.
- ⇒ **Report Period:** The Grantee must submit a Grant Financial/Progress Report each month or quarterly, with the concurrence of the Department, during the life of the Grant Agreement. The monthly report period is the first of the month through the last day of the month. If reporting is quarterly, the report period is the first day of the first month through the last day of the third month of the quarter.

SAMPLE FINANCIAL REPORT

Designated Legislative Grant Financial/Progress Report

Department of Commerce, Community, and Economic Development, Division of Community and Regional Affairs

Grantee: CITY OF X		Grant Number: 13-DC-000	
Project Title: Construct Multi-Purpose Facility			
Report No: 1	Reporting Period: <input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	From: 7/01/12	To: 7/31/12

Cost Category	Authorized Budget	Grant Expenditures This Period	Total Grant Expenditures to Date	Balance of Grant Funds
Project Funds	\$25,000.00	\$1,000.00	\$1,000.00	\$24,000.00
Administration	0	0	0	0
Total This Report	\$25,000.00	\$1,000.00	\$1,000.00	\$24,000.00

Current Advance Balance (if any)	\$1,500.00			
Total Grant Expenditures This Period	\$1,000.00	Total Grant Award		\$25,000.00
LESS Advance Recovered This Report (if any)	\$1,000.00	LESS Total Grant Expenditures to Date		\$1,000.00
NET REIMBURSEMENT TO GRANTEE	\$0	LESS Unrecovered Advance Balance		\$500.00
Advance Balance Remaining (if any)	\$500.00	TOTAL Grant Funds Remaining		\$23,500.00

Progress Report: Describe activity that supports the expenditures during the period. If no activity has taken place please provide an explanation. Identify any problems you have experienced and/or accomplishments this period. Attach additional pages if necessary.

SAMPLE DL FINANCIAL REPORT #1

Grantee Certification: I certify that the above information is true and correct, and that expenditures have been made for the purpose of, and in accordance with, applicable grant agreement terms and conditions.

_____ Date

_____ Name and Title

DCCED STAFF USE:	
Encumbrance No:	
Payment Amount:	
GA Approval:	
DCCED Signature	Date

SAMPLE FINANCIAL REPORT

Designated Legislative Grant Financial/Progress Report

Department of Commerce, Community, and Economic Development, Division of Community and Regional Affairs

Grantee: CITY OF X		Grant Number: 13-DC-000	
Project Title: Construct Multi-Purpose Facility			
Report No: 2	Reporting Period: <input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	From: 8/01/12	To: 8/31/12

Cost Category	Authorized Budget	Grant Expenditures This Period	Total Grant Expenditures to Date	Balance of Grant Funds
Project Funds	\$25,000.00	\$6,500.00	\$7,500.00	\$17,500.00
Administration	0	0	0	0
Total This Report	\$25,000.00	\$6,500.00	\$7,500.00	\$17,500.00

Current Advance Balance (if any)	\$500.00		
Total Grant Expenditures This Period	\$6,500.00	Total Grant Award	\$25,000.00
LESS Advance Recovered This Report (if any)	\$500.00	LESS Total Grant Expenditures to Date	\$7,500.00
NET REIMBURSEMENT TO GRANTEE	\$6,000.00	LESS Unrecovered Advance Balance	\$0
Advance Balance Remaining (if any)	\$0	TOTAL Grant Funds Remaining	\$17,500.00

Progress Report: Describe activity that supports the expenditures during the period. If no activity has taken place please provide an explanation. Identify any problems you have experienced and/or accomplishments this period. Attach additional pages if necessary.

SAMPLE DL FINANCIAL REPORT #2

Grantee Certification: I certify that the above information is true and correct, and that expenditures have been made for the purpose of, and in accordance with, applicable grant agreement terms and conditions.

_____ Date

Authorized Signature

_____ Name and Title

DCCED STAFF USE:

Encumbrance No:

Payment Amount:

GA Approval:

_____ DCCED Signature

_____ Date

Designated Legislative Grant Financial/Progress Report

Department of Commerce, Community, and Economic Development, Division of Community and Regional Affairs

Grantee:	Grant Number:
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Project Title:

Report No:	Reporting Period: <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	From:	To:
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Cost Category	Authorized Budget	Grant Expenditures This Period	Total Grant Expenditures to Date	Balance of Grant Funds
Project Funds				
Administration				
Total This Report				

Current Advance Balance (if any)			
Total Grant Expenditures This Period		Total Grant Award	
LESS Advance Recovered This Report (if any)		LESS Total Grant Expenditures to Date	
NET REIMBURSEMENT TO GRANTEE		LESS Unrecovered Advance Balance	
Advance Balance Remaining (if any)		TOTAL Grant Funds Remaining	

Progress Report: Describe activity that supports the expenditures during the period. If no activity has taken place please provide an explanation. Identify any problems you have experienced and/or accomplishments this period. Attach additional pages if necessary.

Grantee Certification: I certify that the above information is true and correct, and that expenditures have been made for the purpose of, and in accordance with, applicable grant agreement terms and conditions.

_____ Date

_____ Name and Title

DCCED STAFF USE:	
Encumbrance No:	
Payment Amount:	
GA Approval:	
DCCED Signature	Date

STATE OF ALASKA

ELECTRONIC PAYMENT AGREEMENT

Mail completed form to:
 DIV OF FINANCE / DEPT OF ADMINISTRATION
 PO BOX 110204 / JUNEAU AK 99811-0204
 or FAX to: (907) 465-3798

FOR VENDORS DOING BUSINESS WITH THE STATE OF ALASKA

PAYEE INFORMATION

AKSAS VENDOR NUMBER (PVN)		TAXPAYER ID - SSN / EIN <i>Required</i>		<i>ID number assigned to the legal name below and used for tax reporting</i>	
LEGAL NAME <i>Required</i> (Name that Tax ID above is assigned to and is used for tax reporting)					
BUSINESS NAME (DBA - Doing Business As Name. If different from legal name shown above)				ACCEPT CREDIT CARD PAYMENTS <i>Required</i> <input type="radio"/> YES <input type="radio"/> NO	
MAILING ADDRESS <i>Required</i>			CITY	STATE	ZIP CODE + 4
CONTACT NAME		DAYTIME PHONE NUMBER <i>Required</i>		FAX NUMBER	
EMAIL ADDRESS					

BANKING INFORMATION

Per National Automated Clearing House Association (NACHA) Operating Rules, the State of Alaska must send a pre-note zero dollar test transaction to verify the accuracy of the banking information below. Payments will not be sent electronically until the pre-note process is complete, generally ten business days. The State of Alaska will contact you if the pre-note fails.

ARE YOU <input type="radio"/> ADDING, <input type="radio"/> CHANGING, <input type="radio"/> OR CANCELLING THIS AGREEMENT? <i>Required</i>					
FINANCIAL INSTITUTION NAME <i>Required</i>			ACCOUNT NAME (Business / Legal Name on Account) <i>Required</i>		
ABA/ROUTING TRANSIT NUMBER (9-DIGIT RTN) <i>Required</i>			FULL ACCOUNT NUMBER <i>Required</i> <small>Please attach a voided check or other bank verification of account number as applicable</small>		
ACCOUNT TYPE <i>Required</i> <input type="radio"/> CHECKING <input type="radio"/> SAVINGS					
IS THIS ACCOUNT PRIMARILY A PERSONAL OR BUSINESS ACCOUNT? <i>Required</i>					
<input type="radio"/> PERSONAL. Payments are deposited separately with one addendum (remittance) record for each payment. - OR - <input type="radio"/> BUSINESS. Choose ONE of the business account addenda information format options below.					
<input checked="" type="radio"/> Payments deposited separately with one addendum (remittance) record for each payment. <input checked="" type="radio"/> Payments combined into one deposit with multiple addenda (remittance) records for each payment in the deposit (used by large businesses expecting multiple daily payments).					
NACHA Operating Rules requires your banking institution to provide you with addenda (remittance) information that the State includes on each payment. Any banking charge to receive this information is the responsibility of the account holder. For EDI Payment Inquiry and other electronic payment information, visit our website at: http://doa.alaska.gov/dof/epay/					

AGREEMENT AND AUTHORIZATION

I hereby authorize the State of Alaska to satisfy payment obligations due me by making deposits to the account indicated above. I understand that receipt of the electronic fund transfer(s) will fulfill the State's payment obligation and the State will be credited for the full amount on the date the fund transfer is completed. I understand the State will make a reasonable effort to notify me within 24 hours if a reversing entry is made against this account. This authority is to remain in full force through the duration of this agreement. I understand that thirty (30) days written notice is required if I change financial institutions, account numbers or type of account.

In addition, as required by the Federal Office of Foreign Asset Control in support of U.S.C. Title 50, War and National Defense, I attest that the full amount of my direct deposit is not being forwarded to a bank in another country and that if at any point I establish a standing order with my receiving bank to forward the full direct deposit to a bank in another country, I will inform the State of Alaska immediately.

I certify all information regarding this authorization is true and correct. Any intent to falsify information is punishable under AS 11.56.210 as a class A misdemeanor.

If the State discovers that the full amount of a direct deposit has been forwarded to another country or if information on the form has been falsified, this agreement shall be terminated. All correspondence with the State concerning this agreement or any changes to account information should be sent to the address at the top of this form. All terms remain in effect until this agreement is terminated by either party.

PRINTED NAME <i>Required</i>	TITLE
SIGNATURE <i>Required</i>	DATE <i>Required</i>

DESIGNATED LEGISLATIVE GRANT SIGNATORY AUTHORITY FORM

Department of Commerce, Community, and Economic Development, Division of Community and Regional Affairs

Please clearly print, submit ORIGINAL form, and submit an updated form annually or whenever changes are made to the information below.

Grantee Name:	Date:
Regular Election Held (if applicable):	Telephone Number:
Grantee Contact Name:	Fax Number:
Address:	E-mail Address:
City, State, Zip Code:	Federal Tax ID #:

The following Grantee Employees/Officers are authorized to sign Grant Agreements and any Amendments:

Printed Name:	Printed Name:
Title:	Title:
Signature:	Signature:

The following Grantee Employees/Officers are authorized to sign Grant Financial/Progress Reports and Advance Requests:

Printed Name:	Printed Name:
Title:	Title:
Signature:	Signature:

This signatory authority is conveyed by _____, the Chief
(Name)

Administrator of _____, this _____ day of _____, 20____
(Grantee Name)

Please indicate your preferred method of submitting financial/progress reports:

Monthly Reporting

Quarterly Reporting

Signature

Printed Name/Title

REQUEST FOR ADVANCE PAYMENT

Department of Commerce, Community, and Economic Development, Division of Community and Regional Affairs

Original Forms must be submitted – Faxed and Email Copies are not accepted

Instructions:

- (1) Fill in the Grantee, Grant Number, Project Title, Grant Program, Amount Requested, and Date.
- (2) Read the language below (*) from Attachment B of the Grant Agreement.
- (3) Check the boxes to confirm that the advance is justified and that you have read and understood the conditions under which the advance will be approved and recovered by the Department.
- (4) Attach documentation of costs associated with the requested advance (i.e., price quotes or cost estimates, invoices, a spreadsheet outlining projected payroll, etc.)
- (5) Provide a brief narrative explaining the proposed use of the advanced funds.

Grantee:	Grant Number:
Project Title:	Grant Program:
Total Amount of Grant:	Current Balance:
Amount Requested (*see below):	Date:

*According to Attachment B of the Grant Agreement, the Department may advance to the Grantee an amount not to exceed a projected 30-day cash need, or 20% of the grant award, whichever is less. Before the Department will issue an advance, the Grantee must submit this completed form. All advances will be recovered with the next Financial/Progress Report form. Should earned payments during the terms of this Grant Agreement be insufficient to recover the full amount of the advance, the Grantee will repay the unrecovered amount to the Department when requested to do so by the Department, or at termination of the Grant Agreement. Under no circumstances will the Department authorize an advance unless all required reporting is current.

- The Grantee confirms that the advance is necessary due to a lack of cash on hand to administer the grant on a cost-reimbursable basis.
- The Grantee understands the conditions under which the Department will recover the advance.

Explain how the advance will be used. Attach additional pages if necessary.

Grantee Certification: I certify that the above information is true and correct, and that expenditures will be made for the purpose of, and in accordance with, applicable grant agreement terms and conditions.

Signature **Date**

Name and Title

DCCED STAFF USE	
Encumbrance #:	_____
Payment Amount:	_____
GA Approval:	_____
_____	_____
DCCED Signature	Date

State of Alaska

Request for Taxpayer ID# and Information Substitute Form W-9

RETURN COMPLETED FORM TO:

Fax #:	(To be completed by State of Alaska)
Attention:	Phone #
Department:	
Address:	Vendor #:

The Internal Revenue Service requires the State of Alaska to issue 1099 forms when payments to individuals, partnerships or limited liability companies for rents, services, prizes, and awards meet or exceed \$600.00 for the year. An IRS Form 1099 is not required when payments are specifically for merchandise or made to some types of corporations.

- Please provide the requested information below to determine if a Form 1099 is required.
- This information must match the information that you provide to the Internal Revenue Service for Tax Reporting.
- Federal Law requires us to take backup withholding from future payments made if you fail to provide the information requested.

INDIVIDUAL	INDIVIDUAL	INDIVIDUAL
LEGAL NAME: _____		SSN: _____
(NAME TAX ID IS ASSIGNED TO AND USED FOR TAX REPORTING)		
ADDRESS: _____	CITY: _____	ST: _____ ZIP+4: _____
(ADDRESS USED ON LEGAL AND TAX DOCUMENTS)		
REMITTANCE ADDRESS: _____	CITY: _____	ST: _____ ZIP+4: _____
(ADDRESS USED FOR WARRANT REMITTANCE IF DIFFERENT FROM ABOVE)		
PHONE: _____	FAX: _____	EMAIL: _____

BUSINESS	BUSINESS	BUSINESS
BUSINESS TYPE – Check the appropriate box/s:		
<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Corporation – General	
<input type="checkbox"/> Partnership	<input type="checkbox"/> Legal Services Corporation	
<input type="checkbox"/> Limited Liability Company (LLC)	<input type="checkbox"/> Medical Services Corporation	
<input type="checkbox"/> Other: _____	<input type="checkbox"/> Nonprofit Corporation	
LEGAL NAME: _____		
(NAME TAX ID IS ASSIGNED TO AND USED FOR TAX REPORTING)		
BUSINESS NAME (if different from Legal Name): _____		
(DOING BUSINESS AS (DBA) NAME)		
TAX ID USED FOR TAX REPORTING:	SSN _____	or EIN _____
ADDRESS: _____	CITY: _____	ST: _____ ZIP+4: _____
(ADDRESS USED ON LEGAL AND TAX DOCUMENTS)		
REMITTANCE ADDRESS: _____	CITY: _____	ST: _____ ZIP+4: _____
(ADDRESS USED FOR WARRANT REMITTANCE IF DIFFERENT FROM ABOVE)		
CONTACT NAME: _____		
PHONE: _____	FAX: _____	EMAIL: _____
IF CHANGE OF BUSINESS TYPE / OWNERSHIP:	DATE OF CHANGE: _____	
PREVIOUS OWNER / BUSINESS NAME: _____		
PREVIOUS TAX ID: _____		

REQUIRED INTERNAL REVENUE SERVICES STATEMENT

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding. Under penalties of perjury, the person signing this form certifies that:

1. The number shown on this form is the payee's correct taxpayer identification number, and
2. The payee is not subject to backup withholding because: (a) the payee is exempt from backup withholding, or (b) the payee has not been notified by the IRS that the payee is subject to backup withholding as a result of a failure to report interest or dividends, or (c) the IRS has notified the payee they are no longer subject to backup withholding, and
3. The payee is a U.S. person (including a U.S. resident alien).

Printed Name:	Title:
Signature:	Date:

