



Chapter 13: Purchasing and Contracts

Administrative Policy 13-10

Resource Contact: Ecology Grant and Loan Coordinator **Established:** February 14, 1990

References: SAAM Chapters 20, 50, and 85
Administrative Requirements for
Recipients of Ecology Grants and Loans – "The Yellow Book"
Policy 20-10

Revisions Effective: February 9, 2016

Managing Ecology Grant and Loan Records

Purpose: To ensure Ecology staff understand which records related to grants and loans are managed by the environmental programs and which records are managed by the Fiscal Office.

Application: This policy applies when records are received, created, or obtained that pertain to grants or loans requiring payment by Ecology. This applies to all Ecology employees, represented and non-represented. Represented employees shall refer to the Collective Bargaining Agreement provisions that may supersede any portion of this policy.

1. Establishing Definitions.

Financial Manager – The program staff person responsible for the financial and administrative aspects of a grant or loan agreement. This person develops the final agreement, coordinates agreement approval, responds to reimbursement requests (after approved by the Project Manager), coordinates with the Project Manager on amendments, and manages the agreement closeout process.

Project Manager – The program staff person responsible for the project management aspects of a grant or loan agreement. This person develops agreement content (scope, task, deliverables), and negotiates with recipients. This person also monitors progress and deliverables, approves reimbursement requests, and helps the Financial Manager with the closeout process.

2. Fiscal Office and Environmental Programs Jointly Maintain Official Ecology Grant and Loan Records.

The Fiscal Office and environmental programs that issue grants or loans share responsibility to manage these records that are required for federal and/or state audits, and to comply with Title 40 RCW.

The Fiscal Office records provide documentation for all the agreements/amendments and financial transactions related to the grant or loan. Environmental program records document deliverables, eligibility of expenditures, site visit documentation, and any other programmatic requirements.

3. Fiscal Office Maintains Specific Grant and Loan File Contents in the Fiscal Office.

For any grant or loan payable by Ecology, the Fiscal Office manages a file that contains the following:

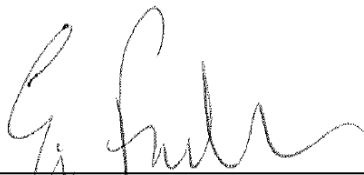
- A. Grant or loan agreements and amendments with original signatures by all parties.
- B. Record of reimbursement requests approved by the program project or financial manager.
- C. Record of payments made, retainage withheld, balance remaining on agreement, and outstanding encumbrance on agreement.
- D. Contractor Participation Request Form (Form D).
- E. Federal Funding Accountability and Transparency Act (FFATA) Data Collection Form, when applicable.
- F. Notification from program to close grant or loan record.

4. Environmental Programs Maintain Grant and Loan Project File Contents in the Environmental Program's Office.

For any grant or loan payable by Ecology, the Project Manager and Financial Manager manage the following records according to Policy 20-10 and the appropriate file plan:

- A. Deliverables (reports, statistical data, etc.) required by Ecology's grant, loan, or amendment.
- B. Records, invoices, supporting documentation, site visit documentation, reports, or documents that verify production of the goods or services required.
- C. Audit findings of grantee or loan recipient.
- D. Correspondence and other relevant project documents required by the environmental program.
- E. System for Award Management (SAM) suspension and debarment verification on federally funded and matching agreements.

Approved:



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