2019-2020 Local Source Water Protection Grant
Application and Information Packet

Application Deadline: 5:00 PM, June 1, 2019.
West Virginia Department of Health and Human Resources
Bureau for Public Health, Office of Environmental Health Services
2019-2020 Local Source Water Protection Grant

Application and Information Packet
Application Deadline: June 1, 2019 by 5:00 PM

FUNDING AVAILABILITY
The West Virginia Department of Health and Human Resources (WVDHHR), Bureau for Public Health (BPH), Office of Environmental Health Services (OEHS) is pleased to announce the Local Source Water Protection (SWP) Grant Program for Surface and Surface Water Influence Groundwater Water Systems. This grant program is authorized by WV State Code §16-13C-2(b), which allows the creation of the drinking water treatment revolving fund to direct the financial management of funds to water systems. Further, West Virginia State Code §16-1-9d and West Virginia Legislative Rule §64-3-15 Public Water Systems provides for continuation of the Wellhead and Source Water Grant Fund.

The OEHS is responsible for establishing and maintaining the state SWP Program. The SWP program is designed to be community-based, given that local stakeholders are in the best position to decide how to protect their community’s water supply. This allows a great deal of flexibility in designing and implementing local SWP programs. The Local Source Water Protection Grants provide funding to selected community public water systems, aiding in the development of their programs and protecting existing or planned surface water sources or surface water influenced groundwater sources.

Funds will be awarded to applicants proposing projects that directly protect sources of public drinking water (see Project Types and Recommendations). Awards to selected applicants proposing eligible projects may not exceed $50,000 each.

Applicants should read this packet carefully. This packet provides:

- Information concerning eligible applicants, submission requirements, example grant activities, and the grantee selection process.
- Instructions for completing the grant application (Attachment A) and supporting documents.
- Guidelines for complying with invoicing, reporting, and auditing rules (Attachment B).
- Guidelines for complying with federal Disadvantage Business Enterprise requirements (Attachment C).
ELIGIBLE APPLICANTS

Eligible applicants for SWP Grants are community water systems (CWSs), a group of adjacent CWSs, specifically using surface water influenced groundwater sources, or a not-for-profit contractor working on behalf of a CWS. A CWS is defined by West Virginia Legislative Rule for Public Water Systems (§64-3-3.4) as “a public water system which serves at least fifteen (15) service connections used by year-round residents or regularly serves at least twenty-five (25) year-round residents.”

Individuals, private firms, unincorporated citizen groups, or county, state, and federal government units that are not contracted by a CWS using surface water or surface water influenced groundwater are NOT ELIGIBLE for grants under this program. However, interested parties may enter into working arrangements with an eligible applicant.

Priority will be given to proposals from CWS’s who have not received a Source Water Protection grant award during the 2018-2019 Local Source Water Protection Grant period.

APPLICATION GUIDELINES

Completed applications must be received at OEHS by 5:00 pm June 1, 2019. Applications can be hand-delivered or mailed to:
Source Water Assessment and Protection Program
Office of Environmental Health Services
Environmental Engineering Division
350 Capitol Street, Room 313
Charleston, West Virginia 25301-3713

Attachment A provides detailed instructions for completing the grant application. The following submission requirements must be met for an application to be considered for funding.

**SUBMISSION REQUIREMENTS**

- Applicants must submit one printed (1) original and three (3) copies, unbound for reproduction purposes. NO FAXES OR E-MAILS WILL BE ACCEPTED.
- Applicants must also use the GrantsApp electronic submittal process. This is an electronic format submittal option.
- Project must address active or planned sources for public water systems. Planned source must have at least submitted a preliminary permit application.
- Projects must address and provide for improved protection of a CWS source or improved response in the event a CWS is unable to use a primary source.
- Project work plans must be for proposed projects to be completed within the grant period. Work completed outside of the grant period cannot be funded or reimbursed. (See Non-Allowable Costs for additional funding restrictions).
- Applicants must agree to abide by Disadvantaged Business Enterprises (DBE) requirements to follow good faith efforts to solicit services as described in Attachment C.
GRANT ACTIVITIES
The goal of the grant program is to enable CWS to plan or conduct activities that will protect their water system. The following are eligible activities. Activities may be performed individually or in conjunction with others. A number of activities listed may not apply to every water system. Applicants should base their proposal on their water system’s specific needs and threats. Activities are in no particular order and there is no guarantee that an application proposing one or more of these activities will automatically be funded.

<table>
<thead>
<tr>
<th>Source Water Protection Plan</th>
<th>ACTIVITIES ELIGIBLE FOR GRANT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparing and updating a source water protection plan.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Potential Sources of Significant Contaminant (PSSCs)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Refine or augment PSSC inventory by performing the following activities: search records to identify present and historical PSSCs and land uses that have a potential to impact the source water, conduct general surveys to identify PSSCs and land uses that have a potential to impact the source water; map existing and potential sources of contamination within source water protection area(s); report the investigation results to OEHS; develop a plan to inspect and update inventory regularly.</td>
<td>Address specific PSSC’s, by performing any or all of the following: conduct an investigation of facilities that have a potential to impact the source water; interview facility owners or operators; request spill prevention and groundwater protection plans; inventory and locate abandoned oil and gas well(s), request inspection reports; request material safety data sheets; work with facilities or local emergency planning representatives to access data provided on TIER II reports; prepare to respond to accidental spills from facilities.</td>
</tr>
<tr>
<td>Design and develop an implementation strategy to prevent non-point source pollution in the source water protection area, such as a house and farm hazardous waste collection program including herbicides, pesticides, paint products, auto and farm implement products, and cleaning agents.</td>
<td>Develop and implement additional best management practices that reduce the risk of source water contamination.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Management Strategies</th>
<th>Further develop and implement management strategies identified in the system’s approved source water protection plan.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partner with municipality or county government to incorporate the source water protection plan into a comprehensive environmentally-sensitive land use and development planning program.</td>
<td>Develop waste reduction strategies targeted for the source water protection area.</td>
</tr>
<tr>
<td>Revise or adopt ordinances specifically designed to protect sources of drinking water through measures such as overlay zones and design/performance standards to manage development.</td>
<td></td>
</tr>
<tr>
<td>ACTIVITIES ELIGIBLE FOR GRANT</td>
<td></td>
</tr>
<tr>
<td>------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Establish or participate in programs for transferring development rights to land outside of the protection area and creating conservation easements.</td>
<td></td>
</tr>
<tr>
<td>Participate with associated Clean Water Act projects like: water quality standards (WQS) for drinking water use, monitor/assess WQS attainment for drinking water use, integrated watershed planning/implementation, control nonpoint sources and control point sources with permits, enforcement and special initiatives and continuing planning process.</td>
<td></td>
</tr>
<tr>
<td>Land purchase and conservation easements. (state funding only can be used).</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contingency Plan &amp; Emergency Response Protocol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enhance or augment existing public water system and/or local agency Emergency Response Plans to address potential incidents that may impact drinking water quality, including written standard operating procedures and mutual aid agreements.</td>
</tr>
<tr>
<td>Plan and/or establish an early-warning monitoring system, which may include design of sentinel wells, monitoring equipment (with accompanying maintenance agreement), system to store and transfer data continuously, and software to aid in interpreting data.</td>
</tr>
<tr>
<td>Enhance the contingency plan for providing alternative water supplies in the event of contamination of a drinking water source.</td>
</tr>
<tr>
<td>Update communication plan and consider conducting a table top exercise and providing training to communication team and staff.</td>
</tr>
<tr>
<td>Identify strategies and prepare a plan to reduce water loss.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Public Awareness</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop, produce, and circulate public participation and/or educational materials that promote awareness and encourage local support of source water protection efforts, these materials may include: flyers, videos, newsletters, workshops, school curriculum, etc.</td>
</tr>
<tr>
<td>Develop, prepare, and produce media announcements, such as through websites, social media, news releases, newspaper articles and radio announcements.</td>
</tr>
<tr>
<td>Conduct educational programs that target identified existing or potential contaminant sources; or link specific pollution issues to local source water concerns.</td>
</tr>
<tr>
<td>Erect signs that identify the source water protection area or promote the concept of protection, such as storm drain stenciling, construction and placement of road signs.</td>
</tr>
<tr>
<td>ACTIVITIES ELIGIBLE FOR GRANT</td>
</tr>
<tr>
<td>--------------------------------------------------</td>
</tr>
<tr>
<td><strong>Security Projects</strong></td>
</tr>
<tr>
<td>Install physical security measures to protect a raw water intake or a pumping facility for raw water, directly. Projects pertaining to treatment or distribution are not eligible.</td>
</tr>
<tr>
<td>Examples of physical security measures include: fences around intakes (may include additional area and structures within reason), gates for well and intake access roads, alarms, signs, cameras, locks and lights for sources.</td>
</tr>
<tr>
<td>To best demonstrate the purpose, need, and cost effectiveness of the project, PROVIDE A SITE PLAN SHOWING SURFACE INTAKE AND SECURITY FEATURES.</td>
</tr>
<tr>
<td><strong>Other</strong></td>
</tr>
<tr>
<td>Perform other activities related to source water protection not listed above. To check the eligibility of activities not listed or for guidance, please contact program personnel: at (304) 558-2981, <a href="mailto:EEDSourceWaterProtection@wv.gov">EEDSourceWaterProtection@wv.gov</a></td>
</tr>
</tbody>
</table>

**Non-Allowable Costs**

These costs are not allowed under any circumstances:

- Any pre-award expenses incurred by awarded grantee.
- Costs associated with lobbying.
- Construction, including that of water facilities (ex. treatment plant, storage tank, water line).
- Security measures for any portion of the facility not directly concerning the source water intake(s) or immediate area of the intake(s).
- Development or compliance testing associated with new drinking water sources.
- Any activities related to permitting/regulatory requirements for community water system sources, such as monitoring, with the exception of developing or updating a source water protection plan.
- Entertainment.
- Interest payments.
- Food (except that associated with approved travel).
- Meeting and conference registration fees.
- Indirect Costs unless the grantee has an approved indirect rate or uses a de minimis indirect cost rate.
- Equipment warranties beyond grant period.
SELECTION PROCESS

Those applications meeting all submission requirements will be reviewed and prioritized based on need and type of projects. An evaluation will be performed by a committee responsible for scoring each application, in accordance with the criteria provided below. Applicants will be selected to enter the Subrecipient grant agreement process in order of their ranking.

As authorized under WV State Code (§16-1-9d) and West Virginia Legislative Rule (§64-3-15 Public Water Systems), OEHS will prioritize those public water systems where there is the highest probability of contamination of the water source based on the source water assessment report or the source water protection plans. Priority will also be extended to publicly-owned public water systems over privately-owned public water systems.

Also, priority will be given to proposals from CWS’s who have not received a Source Water Protection grant award during the 2018-2019 Local Source Water Protection Grant period.

If selected, applicants will receive a notification letter, which will contain an additional form necessary to complete the award process. Notification letters should not be confused with a notice to proceed. Grantees must enter into a formal Subrecipient Grant Agreement with the State of West Virginia before the grant period will begin.

EVALUATION CRITERIA

Applications will be scored based on the following seven categories. Scores will be based on a 100 point system. The following provides a description of each category and specific criteria that will be considered and the maximum value for each category. One grant activity may qualify for points in multiple categories.

1. Contamination Probability
   Is contamination of the source probable? OEHS will evaluate the probability that an applicant’s source water may become contaminated. The evaluation will be based on information provided by the applicant to demonstrate specific source vulnerability, from historical source water assessments, and from existing source water protection plans.

2. Public Ownership
   Is the water system publicly-owned? According to state code, publicly owned water systems are to be prioritized over privately-owned water systems. Privately-owned water systems are eligible applicants, but will not receive points for this evaluation category.

3. Justified Activities
   Are the proposed activities well justified? Applicants should consider the following criteria when planning grant activities and preparing their application:
   a. Does the project initiate, continue, or expand some component of a local SWP program?
   b. Does the project fulfill any recommended activities identified in the Source Water Protection Plan?
   c. Does the project indicate a clear path towards implementation?
   d. Does the project address high risk potential source of significant contamination sources (PSSCs) or critical area in the Source Water Plan Report?
4. Accomplishing Programmatic Goals
   How well does the proposed activities meet specific OEHS programmatic goals? Applicants should consider the following criteria when planning grant activities and preparing their application:
   a. Does the proposed project include a task to revise/update the Source Water Protection Plan?
   b. Does the proposed project include activities to update and report PSSC inventories of the protection areas?
   c. Does the proposed project include investigations of facilities or critical areas to increase the understanding of possible chemical contaminants to better prevent or prepare for a contamination event?
   d. Does the proposed project include any activity that would increase a system’s ability to respond to an emergency event that poses a threat to public health and safety, including but not limited to expanding communication plans or networks, updating emergency response plans, assessing generator needs, installing early warning monitoring systems, and identifying procedures to sample for spills.

5. Engaging and Informing Stakeholders
   Do the proposed activities engage or inform one or more local stakeholder? Stakeholders include local government, local health department, local emergency planners, affected customers, or general public. Engaging stakeholders may be accomplished through planning and implementing the grant activities as a team with stakeholders. Informing stakeholders may be through public outreach and education measures.

6. Quality of Application
   Participating in a Subrecipient grant award program requires a capacity to properly document statement of work and budget, manage finances, and accurately report on grant activities. Failing to complete the proper paperwork to result in an award or report on activities will compromise the grant program, as well as the grantee. The quality of the application is expected to demonstrate an applicant’s ability to successfully participate in the grant program.
   a. How is the overall quality of the application? (complete, clear, well-reasoned, demonstrating an understanding of SWP concepts and methods)
   b. Does the Statement of Work and Budget Worksheet follow the provided format?
   c. Are there provisions for long-term maintenance of any equipment (ex. monitoring equipment in an early warning system) after grant period has ended?
   d. Is the project cost effective?
   e. If proposing a security project, does the site plan adequately depict surface intake location and security measures?

7. Previous Awards:
   Priority will be given to proposals from CWS’s who have not received a Source Water Protection grant award during the 2018-2019 Local Source Water Protection Grant period.
<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>VALUE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contamination Probability</td>
<td>20 points</td>
</tr>
<tr>
<td>Public Ownership</td>
<td>10 points</td>
</tr>
<tr>
<td>Justified Activities</td>
<td>20 points</td>
</tr>
<tr>
<td>Accomplishing Programmatic Goals</td>
<td>20 points</td>
</tr>
<tr>
<td>Engaging and Informing Stakeholders</td>
<td>10 points</td>
</tr>
<tr>
<td>Quality of Application</td>
<td>10 points</td>
</tr>
<tr>
<td>Priority will be given to proposals from CWS’s who have not received a Source Water Protection grant award during the 2018-2019 Local Source Water Protection Grant period.</td>
<td>10 points</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100 points</td>
</tr>
</tbody>
</table>
INSTRUCTIONS FOR APPLICATION AND SUPPORTING DOCUMENTS

A) Complete the 2019-2020 Local Source Water Protection Grant for Surface Water Systems Application Form

B) Create a Statement of Work on a separate page(s). Answer the following guidance questions in developing the Statement of Work (SOW).

1. Purpose of Project – Why is the project important?
   a. How will the project initiate, continue, or expand on the local SWP Program? Describe specific source vulnerability to contamination? Who will benefit from the project?

2. Project Goal(s)?
   a. What goal(s) is the project attempting to accomplish with respect to SWP? Goals are outcome statements that define what an organization is trying to accomplish, both programmatically and organizationally. Goals are usually a collection of related programs and a reflection of major actions of the organization. The examples below of project goals are review examples only, please note your project’s goals might be very different from these.

   i. The goal of this project is to update the existing Source Water Protection plan.

   ii. The goal of this program is to prevent degradation of source waters to provide safe water in sufficient quantity to users. The most efficient way to accomplish this goal is to encourage and oversee source water protection at the local level by completing a Preliminary Engineering Report for an alternate intake to identify an additional source if the primary source becomes unusable.

   iii. The goal of this program is to prevent degradation of source waters to provide safe water in sufficient quantity to users. The most efficient way to accomplish this goal is to encourage and oversee source water protection at the local level, allowing for flexibility in designing and implementing local source water protection efforts including monitoring and/or security equipment to reduce threats tailored to each individual water supply system.

   iv. The goal of this project will be focused on protecting the main Spring, the main source of water used by the grantee. The protection area for these sources of water is a sensitive karst geology, composed of limestone. Water sinking into the ground around these areas, will encounter a system of conduits and caves that lie within these rock layers, with the discharges coming out at both main Springs.
3. Performance Objectives?

a. What specific performance objective(s) will be addressed by the project? List performance objectives and describe what is expected to be accomplished during the period of the project.

b. Each Performance Objective should be one or two sentences with an over-arching actionable description of what the grantee will achieve during the project period. The examples below of performance objectives are review examples only, please note your project’s performance objectives might be very different from these.

i. Grantee will address SWP by adding early warning local source water monitoring equipment and/or security equipment that may be located within the grantees’ water treatment plant, at the intake area for the local source water, upstream from the intake area, or some combination thereof.

ii. Grantee will select and locate equipment suited to their specific needs and threats to their local water supply.

iii. Grantee elects to conduct investigations to identify additional specific threats or sources of contamination upstream of their intakes to aid in their selection of this monitoring equipment and the location for it to be installed.

iv. Grantee will select and locate a consultant suited to their specific needs and threats to their local water supply that will complete a Preliminary Engineering Report to provide flexibility for an alternate intake that could be constructed and used if the grantees' existing source water becomes unusable.

v. Grantee will install an early warning local source water monitoring system, will alert the grantee instantaneously of any changes to their raw water chemistry. This will allow the grantee access to provide an immediate remedial action appropriate to the situation, which in some cases, could mean notifying the public to take special precautionary measures for health and safety purposes.

vi. Grantee will help to facilitate a rapid response by using detection, event characterization, and communication to gather the information necessary to help the grantee make sound decisions. When a contamination event occurs, time is of the essence to protect local source water supply and safeguard consumer health.

vii. Grantee will address SWP by adding security measures around the intake and establish upstream monitoring of the source water to measure any changes in its basic quality.

viii. Grantee intends to monitor their local source water by collecting various water samples to establish a baseline of water quality within the Happy Creek, which is located near the grantees’ water intake during this grant period. Samples will include: monthly, as well as, up to three (3) additional samples collected during wet weather periods. Parameters will be selected to identify the most likely impacts to their source water.

ix. Grantee will recruit and train local volunteers within area served, to help with the collection of these samples and participate in other local source water protection activities.

x. Grantee will have a web-site developed, to convey information to the public from the water sampling effort and this platform will also be used to provide educational and outreach information, as well as, advisories and orders regarding local source water.

xi. Grantee will perform dye tracing studies within this source water area to identify specific areas not previously determined to be contributive. The dye tracing studies will also play a major part in identifying additional areas that
may contribute to this source water and potentially be affected by timbering and pipeline construction.

xii. Grantee will use the results of these studies within a hydrogeological study. As a result, protection efforts and protection areas will be revised if needed, to further protect this source water and the public’s health within area served.

xiii. Grantee will use this study to clearly identify critical areas to focus on both currently and in the future to help protect its citizens.

4. Project Activities?

a. What activities are you going to complete to meet the goals of the project? (List and describe). Activities should not repeat the objective(s), but should instead provide the sequence of steps necessary to achieve the objective(s). The activities do not need to be overly detailed, but should be used as “milestone” type activities that demonstrate the major action steps the grantee will achieve to meet the objective. The examples below of project activities are review examples only, please note your project’s activities might be very different from these.

   i. Grantee will obtain an early warning monitoring system that will alert the water system manager instantaneously of any changes to the raw water chemistry in area served; in turn, this water system manager can respond with immediate remedial action appropriate to the situation, which in some cases could mean notifying the public to take special measures for health and safety purposes.

   ii. Grantee will install the early warning local source water monitoring system to facilitate rapid response. This will be done by using detection, event characterization, and communication to gather the information necessary to make sound decisions.

   iii. Grantee will interface this monitoring equipment with their existing Supervisory Control and Data Acquisition (SCADA) system.

   iv. Grantee will retain a consultant to complete a Preliminary Engineering Report for an alternate source that could be built and used in the event the grantees’ existing source becomes unusable.

   v. Grantee will update their SWP.

   vi. Grantee will recruit and train volunteers to collect local source water samples and conduct other local source water protection activities.

   vii. Grantee will collect baseline samples within timeframe.

   viii. Grantee will develop website.

   ix. Grantee will conduct subsurface dye tracing studies around Main Springs.

   x. Analyze the results and compile a hydrogeologic report and mapping.

   xi. Grantee will interpret data to determine what specific potential sources of significant contamination are present.

   xii. Grantee will take identifying measures to incorporate a reduction of the likelihood of future contamination of area.

5. Project Performance Measures

a. What are the end results of the completed work (e.g. workshop, source water plan, raised public awareness, emergency response plan, secure drinking water, etc.)?

b. Performance Measures/Outcomes should list out measurable products and/or outcomes of the project and should relate clearly to the objective(s) and activities. The examples below of project activities are review examples only, please note your project’s performance measures might be very different from these.

   i. Verify PER was completed.

   ii. SWP plan has been updated.
iii. Verify that monitoring equipment installation takes place.
iv. Verify that monitoring equipment interface with existing SCADA system has occurred and is working.
v. Verify that monitoring equipment installation takes place.
vi. Verify that monitoring equipment interface with existing SCADA system has occurred and is working.
vii. Verification of volunteer recruitment and training has taken place.
viii. Verify collection of baseline local source water quality samples have been implemented.
ix. Verify that website has been developed to convey local source water information to the public.
x. Verify completion of dye tracing studies.
xi. Verify reduction of threat from contamination sources within the recharge areas.

6. Additional Information
   a. Are there special skills or knowledge requirements to complete the project?
   b. If the project involves equipment, how will equipment address the threat? What are the provisions for long-term maintenance of the equipment?
   c. If the project involves security, have you included a site plan showing the source/intake, vulnerability, and proposed security measures.

C) Budget- Provide a detailed budget using the budget worksheet format provided in Attachment B. For assistance completing the budget worksheet or an electronic copy of the worksheet, contact program personnel: at (304) 558-2981, EEDSourceWaterProtection@wv.gov

D) As appendices, you may attach documentation which may include:
   1. Letter showing local support from landowners, county commissioners, local officials, etc.
   2. Resumes detailing qualification of personnel, particularly if special skills or knowledge is required.
   3. Other documents that substantiate the need or benefits of the proposed work.
   4. Provide site plan for security activities.
West Virginia Department of Health and Human Resources
Office of Environmental Health Services
2019-2020 Local Source Water Protection Grant

Application Form

Project Title: _____________________________________________________________

Applicant Organization: __________________________________________________

Contact Person: __________________________________________________________

Address: ___________________________________________________________________

___________________________________________________________________________

Telephone: (day) ________________________ (evening) _________________________
(fax) ___________________ (E-mail) ___________________________________________

Water System(s) with PWS ID for which source(s) are to be protected:
_________________________________________________________________________

_________________________________________________________________________

Grant Amount Requested: $ ____________________________________________

Total Project Cost: $______________________________________________________

WV Oasis#: _____________________________________________________________

DUNS#: _________________________________________________________________

Please provide a brief description of your project (no more than one or two paragraphs).
________________________________________________________________________

________________________________________________________________________

Please attach: Statement of Work (make sure you responded to the guidance questions in
developing the Statement of Work), Budget Worksheet (Attachment B), and any supporting
documentation (ex. letter of support, resumes, maps, photos, designs, and/or graphics as
appropriate).

Applicant’s failure to provide complete and accurate information may be considered grounds for
disqualification. The OEHS reserves the right to ask applicant for additional information to clarify their
proposals. The OEHS reserves the right to accept or reject any or all proposals, in whole or in part, if to
do so is felt to be in the best interest of the State.
INSTRUCTIONS TO COMPLETE THE BUDGET WORKSHEET

Budget Worksheets

The West Virginia Department of Health and Human Resources (DHHR) requires that a detailed line item budget (budget) be prepared and approved for all grants and related agreements negotiated with the DHHR. The budget is the responsibility of the Grantee and shall be prepared in accordance with the procedures prescribed in these instructions as well as all applicable Federal and State financial standards, including applicable OMB Cost Principles. **Applicants should use the provided budget worksheet format to aid in the awarding process for selected applicants.**

Budget Narrative

In addition to the budget worksheets, all **DHHR negotiated grant agreements** must contain a detailed budget narrative explaining the need/use for each line item in the budget. The budget narrative submitted with the agreement, must match the dollar amounts provided on the budget worksheets and include the calculations supporting the budgeted amount.

General Instructions

The Grantee must provide the relevant information for each line item and enter the total cost for the corresponding row onto the worksheet. The Total Cost column should represent only the DHHR grant funded portion (amount) of the applicable line item. Except for formulas or hourly wages, all amounts should be rounded to the nearest dollar. The worksheets will automatically calculate the totals for each cost category, which should be verified by the Grantee.

If the Grantee needs more space than is provided on the worksheets, they may include an addendum (prepared in the same format) and simply enter the total cost into the applicable cost category on the worksheet.

I. Direct Cost Categories

Federal cost principles define direct costs as those that can be identified specifically with a particular final cost objective, i.e., a particular award, project, service, or other direct activity of the organization. When preparing the budget, the Grantee should allocate all direct costs into one of the following seven (7) direct cost categories.

A. **Personnel**

Personnel costs are defined as salaries and wages paid to an employee of the Grantee and directly charged in whole or in part to the DHHR grant.

**Position Column:** For each employee’s salary that is fully or partially charged to the grant, list the employee’s name and/or job title.

**Salary/Rate Column:** For each position listed in the personnel category, provide either the employee’s full annual salary or hourly wage. This column shows either the full annual salary,
(example: $26,000) of the employee, or the hourly wage (example: $12.50/hr.) of the employee. If an hourly rate is used the Salary/Rate column (example: $12.50/hr.), then enter the number of hours spent on the grant in the percent of time on grant column (example: 1040).

**Percent of time on grant Column:** For each position listed in the personnel category provide either the percentage of time to be devoted to the program or projected hours to be spent on the program. An employee may not allocate more than 100% of their time, regardless of hours worked.

**Narrative:** Attach a position description outlining the responsibilities for each employee listed in the personnel budget category. If not included in the position description, provide a narrative detailing their relationship to the program.

B. **Fringe Benefits**

Fringe benefits are defined as expenses directly associated with employment and applicable to salaries and wages. Fringe benefits are to be specifically applicable to the employees listed in the personnel budget category and budgeted only for the percentage of time devoted to the program.

**Component Column:** List each component of fringe benefits budgeted to the grant award. Allowable fringe benefits include contributions to pension plans, health insurance, FICA, unemployment insurance, and worker’s compensation.

**Base Column:** Provide the base salary amount to which fringe benefits rates are applied. (This amount may be less than the budgeted personnel costs when part time employees are included as part of that category.)

**Rate Column:** Show the percentage rate for each fringe benefit, when applicable.

- FICA costs cannot exceed 7.65 percent of total salaries.
- The premium for state unemployment insurance is based on the first $12,000 of each positions salary times the organizations contribution rate as determined by the WV Bureau for Employment Programs. For more information on unemployment insurance please visit: [http://wvbep.org/bep/uc/hdbkemp.htm#expring](http://wvbep.org/bep/uc/hdbkemp.htm#expring).
- For health insurance and retirement benefits, “carrier rate” may be used.

**Narrative:** Provided that all components of fringe benefits are listed individually in the corresponding worksheets, the Grantee is not required to submit a narrative for the fringe benefit category.

C. **Equipment**

Equipment is defined as an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the Grantee’s capitalization level or $5,000. An item that does not meet the capitalization level or that is “expensed” by the organization shall be budgeted in either the “Supplies” or “Other” categories as appropriate.

**Item Column:** List each item of equipment to be purchased with grant funds.

**Item Cost Column:** Provide the full cost of each item of equipment that is to be purchased.
DHHR % Column: If the item of equipment is to be only purchased in part with DHHR funds list the percentage of DHHR participation in the final cost.

Narrative: The Grantee shall consult the DHHR regarding the purchase, prior approval, accounting for and administration of equipment. For all approved purchases the narrative shall:

- List each piece of equipment to be purchased and provide description of how it will be used in the program.
- Explain why the equipment is necessary for successful completion of the project.

Note: General use equipment (i.e., vehicles, computers, faxes, etc.) must be used 100% for the proposed program if charged entirely to the grant.

D. Supplies

Supplies include any materials costing below the lesser of the Grantee’s capitalization level or $5,000 per unit and that are expended or consumed during the course of the program.

Item Column: List each general classification of material and supplies (e.g., office supplies, postage, training materials) to be purchased with grant funds.

Number Column: Provide the number of each item type to be purchased. Nominal objects and general office supplies need not be broken down into separate items for budgeting but may be broken down into monthly or quarterly estimates. (e.g., office supplies at $150 month for 12 months = $1,800)

Rate Column: For each item listed under supplies, list a corresponding rate or cost.

Narrative: If total material and supply costs exceed $5,000 or 5% of the award, whichever is greater, provide a brief narrative explaining/justifying the costs associated with each individual item type (e.g., office supplies, postage, and training materials). At a minimum, that narrative should:

- Explain the type of supplies to be purchased, or the nature of the expense.
- Provide a breakdown of supplies by quantity and cost per unit if known.
- Indicate basis for estimate of supplies (i.e., historical information).

When total costs do not meet or exceed the threshold provided, the Grantee is not required to submit a narrative for the supplies category.

E. Contractual Costs

Contractual costs include expenditures incurred for obtaining the services of contractors, sub grantees and/or consultants. (Grantees must contact the DHHR for prior approval and specific instructions regarding the sub granting of DHHR awards.)

Name: Provide the name of the contractor or contract/sub grantee organization. Treat each contract or sub grant as a separate item.
Service: State the service(s) to be provided.

Rate: Provide the basis for the contractual costs (i.e. the total hours and hourly rate or the estimated price for the project or service.)

Narrative: List all contractual costs to be paid for with DHHR grant funds including a breakdown by contractors/consultants/sub grantees name (if known), hourly or daily fee, estimated time to be spent on the program, and an estimated total cost for each service.

- Describe the products or services to be obtained and indicate the applicability or necessity of each to the program.
- Provide a separate budget for each sub grant.

F. Construction

Construction consists of costs to support the initial building, large scale modernization or permanent improvement of a facility. No construction costs should be budgeted without prior authorization from the applicable Spending Unit. (Specific guidance and instructions will be provided to the Grantee when necessary.)

G. Other

The “other” category includes items that are directly charged, yet not included in one of the above cost categories, including travel. Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by Grantee employees who are in travel status on official business of the organization.

Item: List “other” items (e.g., telephone, rent, utilities, or insurance and bonding) by major type. For travel, provide the purpose or reason for the travel expense. (e.g., mileage, training, conference)

Rate: Provide a rate/basis for the computation of each expense. Such costs may be budgeted on an actual cost basis, on a per diem or mileage basis.

Note: Consultant and contractor travel costs should be included in the “Contractual Costs” section.

Narrative: At a minimum, the narrative should:

- Provide a brief description of “other” item, its purpose, and an explanation of how it is necessary for or related to the program.
- Itemize all travel expenses by purpose (e.g., staff training, field interviews, conferences, etc.) and the basis of computation (e.g., X-people to X-day training at $X airfare, $X lodging, $X per-diem).

II. Indirect Cost Category

Indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. For payment of indirect costs by the DHHR, the Grantee must comply with one of the following three criteria:
• If the Grantee is a direct recipient of Federal Grants, they may have an “Indirect Cost Negotiation Agreement” from their cognizant Federal agency;

• The Grantee may have an approved “Indirect Cost Negotiation Agreement” from another state or local government agency that has agreed to review and approve the Grantee’s indirect cost proposal; or

• The Grantee may have a written statement from an independent certified public accounting firm attesting that the indirect cost proposal complies with applicable Federal OMB Cost Principles and provides the basis of the calculated rate.

H. Indirect Costs

Base: Identify the distribution base for calculating the indirect cost rate.

Rate: List the applicable indirect cost rate.

Amount: Provide the dollar amount of indirect costs charged to the award. (For Grantees that charge less than their applicable rate, this should represent the actual amount charged.)

Narrative: If indirect costs are budgeted, provide a short narrative that indicates which one of the three types of DHHR indirect costs criteria have been met.

III. Other Program Funds

I. Cost Sharing or Matching Funds: Requirements for cost sharing and matching are unique to each program and are found in the laws, regulations and provisions specific to those relevant programs and agreements. If the Grantee receives an award subject to cost sharing or matching requirements they shall provide the total amount of those funds in the cost sharing or matching section of the budget worksheets. In situations where the Grantee provides funding that is not a requirement of the grant award, that information may be entered into the “Other Grantee Supplied Funds” section of the worksheets.

Narrative: Provide all relevant details related to the source (cash or in-kind) and applicability of cost sharing or matching funds.

J. Other Grantee Supplied Funds: Other Grantee supplied funds are considered supplemental (not required by authorizing grant legislation) funds provided by the Grantee to operate the program. The reporting of other Grantee supplied funds is not a requirement of the grant award and should only be provided at the discretion of the Grantee.

Narrative: The Grantee may provide any information deemed relevant to the review and approval of the Budget.

K. Program Income: Federal administrative requirements define program income as gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the grant award. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents
and copyrights, and interest on loans made with award funds. (Program income does not include the interest that is earned on grant funds prior to their disbursement by the Grantee. Those funds should be administered in accordance with applicable cash management requirements)

If the Grantee anticipates earning any program income resulting from DHHR grant funded activities, the Grantee must notify the applicable Spending unit of such income and include the estimated/projected amounts in the appropriate section of the budget worksheets. For more details and instructions regarding the budgeting and administration of program income, the Grantee should contact their DHHR Spending Unit.

**Narrative:** Provide all relevant details related to the source and applicability of program income.

**IV. Budget Summary**

Once the line item budget has been completed:

1) Verify that the totals for each budget line item (A-H) are equal to the corresponding amounts contained in the Budget Summary form.

2) Verify both the **Total Direct Costs** and **Total Indirect Costs**.

3) Verify the **Total Grant Award**.

4) If applicable, verify both the amounts entered and the total for Grantee Supplied Funds.

5) If applicable, verify the projected program income.

6) An authorized Grantee representative shall sign and date the Budget Summary form.

7) Attach all addendums, required justifications and narratives for submission to the DHHR.

**QUESTIONS:**

For questions regarding the grant program or assistance with completing the application contact:

program personnel: at (304) 558-2981, **EEDSourceWaterProtection@wv.gov**
General Information

1. Grantee Name:  

2. Preparers Name and Title:  

3. Date of Preparation:  

4. Period Covered:  

Boxes 5-8 are to be completed by DHHR Personnel

5. Grant Agreement Number:  

6. Change Order Number:  

7. Original Grant Amount:  

8. Revised Grant Amount:  

Complete the following worksheets based on information and procedures provided in the *Instructions for Preparing the WVDHHR Detailed Line Item Budget*.

A. Personnel:

<table>
<thead>
<tr>
<th>Position</th>
<th>Salary/Rate</th>
<th>Percent of Time on Grant</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

PERSONNEL TOTAL
### B. Fringe Benefits:

<table>
<thead>
<tr>
<th>Component</th>
<th>Base</th>
<th>Rate</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**FRINGE BENEFIT TOTAL**

### C. Equipment:

<table>
<thead>
<tr>
<th>Item</th>
<th>Item Cost</th>
<th>DHHR %</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**EQUIPMENT TOTAL**

### D. Supplies:

<table>
<thead>
<tr>
<th>Item</th>
<th>Number</th>
<th>Rate</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## E. Contractual Costs:

<table>
<thead>
<tr>
<th>Name</th>
<th>Service</th>
<th>Rate</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**CONTRACTUAL COSTS TOTAL**

## F. Construction:

<table>
<thead>
<tr>
<th>Item</th>
<th>Rate</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**CONSTRUCTION TOTAL**
### G. Other:

<table>
<thead>
<tr>
<th>Item</th>
<th>Rate</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**OTHER TOTAL**

### H. Indirect Costs: Formula:

<table>
<thead>
<tr>
<th>Base</th>
<th>Rate</th>
<th>Indirect Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**INDIRECT COSTS TOTAL**
# BUDGET SUMMARY

When you have completed the budget worksheets, verify the totals transferred for each category to the spaces below.

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Personnel</td>
<td></td>
</tr>
<tr>
<td>B. Fringe Benefits</td>
<td></td>
</tr>
<tr>
<td>C. Equipment</td>
<td></td>
</tr>
<tr>
<td>D. Supplies</td>
<td></td>
</tr>
<tr>
<td>E. Contractual Costs</td>
<td></td>
</tr>
<tr>
<td>F. Construction</td>
<td></td>
</tr>
<tr>
<td>G. Other</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Total Direct Costs:</strong></td>
</tr>
<tr>
<td>H. Indirect Costs</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Total Indirect Costs:</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Total Grant Award</strong></td>
</tr>
</tbody>
</table>

The following sections are for informational purposes only.

<table>
<thead>
<tr>
<th>Grantee Supplied Funds</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Cost Sharing or Matching</td>
<td></td>
</tr>
<tr>
<td>J. Other Grantee Supplied Funds (Not a requirement of the Grant award)</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Total Grantee Funds</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Program Income</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>K. Program Income (Projected)</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Total Program Income</strong></td>
</tr>
</tbody>
</table>

Grantee's Signature: ____________________________ Date: ____________

DHHR Approval Signature: ____________________________ Date: ____________
DBE REQUIREMENTS

According to federal rule 40 CFR Part 33, grant recipients must follow the requirements described below when procuring goods and services with federal funding, including loans and grants.

WHAT IS A DBE?

DBE’s or Disadvantaged Business Enterprises are minority-owned, women-owned and small business enterprises.

As defined by the US Environmental Protection Agency (EPA), a minority-owned business enterprise (MBE) is a business concern that is:

1. At least 51 percent owned by one or more minority individuals, or in the case of a publicly owned business, at least 51 percent of the stock is owned by one or more minority individuals; and
2. Whose daily business operations are managed and directed by one or more of the minority owners.

Likewise, a woman-owned business enterprise (WBE) is a business concern that is,

1. At least 51 percent owned by one or more women, or in the case of a publicly owned business, at least 51 percent of the stock is owned by one or more minority individuals; and
2. Whose daily business operations are managed and directed by one or more of the women owners.

There is not a universal definition for small business enterprises. The Small Business Act states that a small business concern is "one that is independently owned and operated and which is not dominant in its field of operation." The law also states that in determining what constitutes a small business, the definition will vary from industry to industry to reflect industry differences accurately. The US Small Business Administration establishes and revises numerical definitions for all for profit industries, and this numerical definition is called a “size standard.” It is almost always stated either as the number of employees or average annual receipts of a business concern. For more information on small business or size standards visit: http://www.sba.gov/services/contractingopportunities/sizestandardstopics/size/index.html

WHAT IS THE REQUIREMENT?

The EPA, from which grant monies are acquired for the Wellhead and Source Water Protection Grant Programs, requires that recipients of financial assistance through grants, cooperative agreements and loans award a fair share of contracts/ procurements to DBE’s. For purposes of the policy, subrecipients of financial assistance, such as subgrantees, are included.

HOW DO YOU MAKE A GOOD FAITH EFFORT?

Recipients shall ensure, to the fullest extent possible, that good faith efforts are made to utilize small businesses, including those in rural areas, minority-owned firms, and women-owned business enterprises. To accomplish this goal, contractors must demonstrate compliance with the following six (6) good faith efforts:

a. Ensure that DBEs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, State and Local Government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.

b. Make information available on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.

c. Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, State and local Government recipients, this will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.

d. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.

e. Use the services and assistance of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.

f. If the prime contractor awards subcontracts, require the prime contractor to take the steps in paragraphs (a) through (e) of this section.
MEETING OUR FAIR SHARE OBJECTIVE

In addition to adhering to the good faith efforts, you should contact DBEs by mail **15 days prior** to advertising your bid or proposal solicitation. Your correspondence should at least relay possible means of advertisement (i.e. which newspapers) and a range of dates they may expect to find the advertisement. You may provide them with contact information if they wish to be notified prior to the advertisement.

DOCUMENTING EFFORTS TO COMPLY WITH DBE REQUIREMENT

The following instructions and DBE Requirement Documentation form are designed to guide your good faith efforts to comply. In order to properly document your efforts you may need to attach: DBE list, notification letters, solicitation letters, DBE bids, and selection criteria.

- Only applicants soliciting services or products are required to follow a process to identify DBE’s. If you are not soliciting for any service or product, mark the first option on the DBE Requirement Documentation form, sign and submit your form with your grant statement of work and/or budget.

- Applicants may contact one or more databases to determine if **CERTIFIED** DBEs are available to perform proposed activities. Those listed below are sources of DBE information. Contact the database most likely to list DBEs that relate to your grant activities needs.

  1. For lists of DBEs, such as engineering and planning consultants or construction contractors, search the WV Department of Transportation website: [www.wvdot.com](http://www.wvdot.com). Select EEO/DBE under “Doing Business” (right hand side). Scroll down to the bottom of the page. Select “DBE listing-Contractor” or “DBE listing-Consultant”. Only those businesses that would normally provide services to the WVDOT will be certified and listed. Services provided to the WVDOT may be similar to your grant activities needs.

  2. An additional database is kept by the United States Small Business Association (SBA). You may contact WV, phone (304)623-5631 with your request. Or you may also search the SBA for certified disadvantaged businesses at: [http://www.sba.gov/idc/groups/public/documents/wv_clarksburg/wv_8aportfolio.pdf](http://www.sba.gov/idc/groups/public/documents/wv_clarksburg/wv_8aportfolio.pdf)

- Attach list of available DBEs and contact information, resulting from the database searches.

- Document the DBE notification (if applicable) and bid solicitation activities. Attach notification and solicitation letters, if utilized.

- Attach proposal or bid summary provided by DBEs.

- Document whether or not you will contract with a DBE and provide explanation for why or why not. You may need to attach selection criteria.

- Provide additional information which documents assurances that steps were taken to comply with the six (6) good faith efforts.
DBE Requirements Documentation

Grantee Organization: ____________________________________________

Project Title: __________________________________________________

Check ALL activities that apply:

☐ Will not solicit any contractor or supplier for services or products.

☐ Have read the provided DBE Requirements, including the EPA’s Good Faith Effort Steps.

☐ Contacted at least one database provider to search for DBE. One such provider is:
   ☐ United States Small Business Association (US SBA). Melissa Loader, Phone (304)623-5631
     ext. 238 WV Department of Transportation website: www.wvdot.com
   ☐ Please provide information if using a different database: ________________________________

☐ Contacted DBEs to solicit services or to notify them 15 days prior to legal advertisement for
   bid or proposals. ATTACH DBE LIST, including contact information, phone call reports,
   and/or letters produced during solicitation.

☐ Did not contact DBE, because:
   ☐ None were available to provide services.
   ☐ Other: _____________________________________________________________

☐ Received proposals/bids for services from DBEs. ATTACH PROPOSALS
   AND BIDS
☐ Solicited services from DBEs, but received no proposals or bids.

Plan to contract with DBE to provide service.
Do NOT plan to contract with DBE to provide service, because:
Not the low bid
Determined DBE does not qualify to complete work
Other:
   (May attach list of selection criteria to better explain.)

Use this space to describe any other measures taken to meet DBE Requirements.

__________________________________________

Signature

____________________________

Date
Did you remember?

The checklist below is for applicant use. Applicants may include additional items with applications that are not listed below. Please see INSTRUCTIONS FOR APPLICATION for complete details.

Complete Local Source Water Protection Grant Application Form.

Sign the DBE Requirement Agreement.

Create a Statement of Work.

Prepare a budget using the provided format.

Attach letters of support.

Attach resumes for professionals.

Attach other documents that substantiate need or benefit of proposed activities.

APPLICATIONS ARE TO BE RECEIVED NO LATER THAN 5:00 PM, June 1, 2019