QUARTERLY PROGRESS REPORT & INVOICE

INSTRUCTIONS MANUAL

TABLE OF CONTENTS |

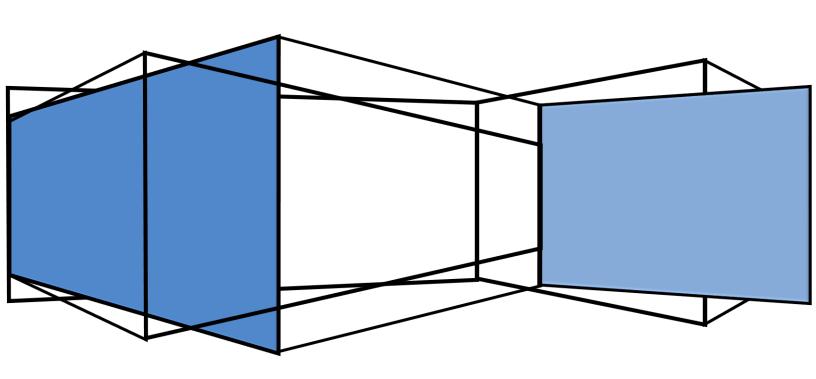# QUARTERLY PROGRESS REPORT & INVOICE INSTRUCTIONS MANUAL |

PROJECT MANAGERS: Review the Quarterly Progress Report & Invoice Instructions Manual thoroughly prior to the preparation and submission of your initial quarterly progress report and invoice. The timely submission of a complete and correct quarterly report and invoice is important for all funded projects. A late Progress Report and Invoice submission by any project or a late submission of any required corrections to the documentation for one or more projects may significantly delay the approval and reimbursement process for all projects.

Progress Reports and Invoices are _not_ submitted to the funding agency, the California Department of Water Resources (DWR) individually by project. All project Progress Reports are organized in numerical order by project number and submitted as one comprehensive Progress Report. The remaining required documents are organized in numerical order by project number and submitted as the supporting documentation to the Master Invoice, which is a single invoice prepared and signed by the Los Angeles County Flood Control District (LACFCD), as the Grantee. The Master Invoice summarizes the total expenses by Budget Category per individual project and the total expenses for all projects.

Each project will need to submit a quarterly Progress Report and Invoice until all tasks are 100% complete and all required deliverables under each Task, as listed in the project's Exhibit A – Work Plan, are submitted and approved by DWR.

The following steps will help you access, prepare, and submit the required documentation for each quarterly Progress Report and Invoice in accordance the Grant Agreement report and invoice requirements.

Steps 1 and 2 need to be followed before the preparation of the first Progress Report and Invoice and thereafter, when there's a change in the project representative responsible for submitting the Progress Report and Invoice documents.

STEP 1 – SET UP MS ACCOUNT TO USE SHAREPOINT

- o If you don't have a MS Account, print the **Microsoft Live Account Creation Tutorial** and follow the instructions to set up a Microsoft Live Account.
- o Make sure to use your work e-mail to facilitate the verification and association to the funded project.
- o Repeat this step when a new representative without a Microsoft Live Account is designated as the person responsible for submitting the quarterly Progress Report and Invoice.

STEP 2 – PROVIDE E-MAIL

- o Once the Microsoft Live Account set up process has been completed, send the _full name, title, telephone number, & e-mail used for the new account_ via e-mail to the assigned LACFCD representative.

The assigned LACFCD representative for this grant: Amanda Guzman-Perez, Grants Manager. Send e-mail to: aguzmanperez@dpw.lacounty.gov.

- o The MS Account information will be given to IT to grant access to be project folder where report and invoice documents will be uploaded.
- o Repeat this step when a new local project sponsor representative has been assigned to submit the quarterly Progress Report and Invoice. The authorized representative identified under Notification in the MOU will need to send the e-mail notification to the assigned LACFCD representative.

STEP 3 – ACCESS WEBSITE

- o The County IT Division will send you an e-mail invite to grant you access to SharePoint.
- o To find the grant related information, access the LA Water Plan Grants website at https://pw.lacounty.gov/wmd/irwmp/Prop1Round1.aspx.
- o Click on your Project Name hyperlink to find the grant related information.
- o Once you are ready to submit the Progress Report & Invoice, you will access the same Project Name hyperlink and click on the Report & Invoice Submissions hyperlink to upload the documents onto the SharePoint folders.

STEP 4 – DOWNLOAD FORMS

- o To begin the preparation of the Progress Report and Invoice, download the **FORMS** - Excel document. Some of the templates include additional instructions added as *Comments* in the column header cells. Scroll over the column headers cells to view the additional instructions.

  The **FORMS** document includes the following templates and samples:

  - o Progress Report
  - o Personnel Hours Summary
  - o Backup Documentation Summary
  - o Cash Projections
  - o Cover Letter *SAMPLE*
  - o Personnel Hours Summary - *SAMPLE*
  - o Backup Documentation Summary – *SAMPLE*
  - o Cash Projections - *SAMPLE*

  Except for the Cover Letter, each template includes the information required by DWR. Any modifications to the information will deem the submission of the Progress Report and Invoice as incomplete and will require resubmission.

STEP 5 – PREPARATION OF QUARTERLY PROGRESS REPORT AND INVOICE DOCUMENTATION

- o The quarterly Progress Report & Invoice documentation needs to be organized and submitted using the listed formats (PDF/Excel) below:

- Cover Letter – PDF (Portrait - Letter size)
- Personnel Hours Summary – PDF (Portrait - Letter size)
- Progress Report – PDF (Landscape – Tabloid size)
- Deliverables *(scan using same format as original and submit as an individual PDF)*
- Backup Documentation Summary – PDF (Landscape – Tabloid size)
- Backup Documentation *(Invoices should be organized in chronological order by budget category & date; they should be in the same order as listed in the Backup Documentation Summary)* – Single PDF
- FORMS – Excel

The **FORMS** document submitted in Excel format should reflect the same information included in the PDFs. The Excel document will be used to facilitate any necessary corrections to the PDFs, except for the Cover Letter, which will require resubmission.

REQUIRED DOCUMENT NAMING CONVENTION

To make sure each required document submitted is easily identified and to facilitate the assembly of the comprehensive Progress Report and Invoice, you will need to adhere to the Document Naming Convention below:

- Project # [Add your project number] – PRI 1 Cover Letter
- Project # [Add your project number] – PRI1 Personnel Hours Summary
- Project # [Add your project number] – PRI1 Progress Report
- Project # [Add your project number] – PRI1 Task [Add Task Number as listed in Exhibit A – Work Plan] [Add exact *Deliverable* name as listed in the project's Exhibit A – Work Plan]
- Project # [Add your project number] – PRI1 Backup Documentation Summary
- Project # [Add your project number] – PRI1 Backup Documentation
- Project # [Add your project number] – PRI1 Cash Projections
- Project # [Add your project number] – PRI1 FORMS

Each submission will require the PRI and number reference followed by the document title, except for deliverables. *PRI* stands for "Progress Report and Invoice" and the number reference represents the progress report and invoice number corresponding to the invoicing/reporting period. The **DUE DATES** table on Page 10 provides the corresponding numbers for each invoicing/reporting period. Make sure you use the correct number for each submission.

Deliverables: The Document Naming Convention is slightly different for the required Deliverables under each Task listed in the project's Exhibit A – Work Plan. The Deliverables will be identified by *project number*, *PRI number*, the Exhibit A – Work Plan *Task*, and *Deliverable Name* (use exact name listed in the project's Exhibit A – Work Plan). This naming convention will help confirm that each Task deliverable was submitted prior to the project close out. Make sure to track each deliverable submission.

EXAMPLE: This example shows the proper Document Naming Convention for Project 50's first report, including the submission of a deliverable under Task 4.

- ***Project 50 – PRI 1 Cover Letter***
- ***Project 50 – PRI 1 Personnel Hours Summary***

- o ***Project 50 – PRI 1 Project Report***
- o ***Project 50 – PRI 1 Task 4 Feasibility Studies***
- o ***Project 50 – PRI 1 Backup Documentation Summary***
- o ***Project 50 – PRI 1 Back Up Documentation***
- o ***Project 50 – PRI 1 Cash Projections***
- o ***Project 50 – PRI 1 FORMS***

COVER LETTER

The primary purpose of the Cover Letter is to have the authorized certify that all the information submitted as part of the Progress Report and Invoice documentation is true and correct. A Cover Letter – Sample is included with the FORMS document. Make sure to include the subject line information and the certification statement (paragraph that is highlighted in yellow) included in the Sample.

Adhere to the requirements listed below in the preparation of the Cover Letter and submit the final signed document as a PDF. Wet signature or digital signature from the authorized signatory is acceptable.

Requirements:
- o Must be submitted on the organization's letterhead.
- o Must include subject line project information as included in the Sample.
- o Must include certification language provided in the Sample.
- o Must include the signature of a verifiable authorized signatory for the local project sponsor and project.
- o Upon request, must submit verification of the formal approval granting the signatory's authorization to sign and bind on behalf of the local project sponsor and project.

PERSONNEL HOURS SUMMARY

The Personnel Hours Summary provides the information for all the local project sponsor's employees that worked on the implementation of the Tasks listed on the project's Exhibit A – Work Plan during the invoicing/reporting period. Complete the Summary per the instructions below:

- o Date: Add the date when the Summary was prepared.
- o Invoicing Period: Use the drop-down menu to select the appropriate invoicing/reporting period.
- o Budget Category: The personnel hours need to be attributed to work completed the correct budget category based on the Tasks outlined in the project's Exhibit A – Work Plan. Personnel hours can only be added to a Budget Category that includes cost share and/or grant allocation as summarized in the project's Exhibit B – Budget.
- o Employee: Add the full name (first name, middle initial, and last name) of the employee, as it appears on personnel/payroll records.
- o Classification: Add the job classification, as it appears on personnel/payroll records.
- o Work Performed: Add a brief description of the work performed by the employee during the invoicing/reporting period. The work performed should be consistent with Tasks outlined in the project's Exhibit A – Work Plan.

- Hours: Add the number of hours worked on the project's Tasks as specified under "Work Performed".
- Hourly Rate: Add the hourly rate paid to the employee during the specified invoicing/reporting period. If an employee received a raise during the reporting period, add the starting hourly rate and ending hourly rate paid during the invoicing/reporting period as a range (E.g. $70-$75). If an employee received a promotion including an increase in the hourly rate, add the employee as a new entry with all the information pertaining to the new classification and hourly rate.
- Total (for single employee): The total should self-populate if the cell formula is not altered. If an hourly rate range is included, include the actual total cost as the Total and add a table footnote to indicate that the Total column represents the actual total costs as verified by personnel/payroll records. This footnote will be extremely important to avoid unnecessary corrections to verify the Total cost per employee.
- Total (for all employees under Budget Category): The total should self-populate if the cell formula has not been altered.

Timesheets or other documentation to support the reported personnel expenses do not need to be submitted as part of the Personnel Hours Summary. However, each local project sponsor is required to maintain the personnel/payroll records that support the expenses. In the event of an audit, the information included in the Personnel Hours Summary Table should match the information in the personnel/payroll records on file.

PROGRESS REPORT

The Progress Report provides a status and the completion of the deliverables for each Task included in the project's Exhibit A – Work Plan. Complete the Progress Report information based on the Comments added to the column header cells and the instructions below.

- Progress Report Number and Reporting Period: Use the drop-down menu to select the appropriate Progress Report based on the invoicing/reporting period.
- Percent: Determine how the percentage complete will be calculated and use the same process for each Progress Report & Invoice. The starting percentage for each Task needs to be consistent with the project's work plan submitted as part of the proposal process. A Task cannot be reported at 100% if submission of any of the Task Deliverables remain outstanding. Percent can be reported at same percentage, only if no work was performed for the task and no costs were incurred during the invoicing/reporting period. Percent cannot be reduced in any subsequent Progress Reports.
- Work Accomplished During This Report Period: Provide a brief description of the work performed during the invoicing/reporting period based on the project's Exhibit A – Work Plan. The information provided should include milestones, deliverables completed, and meetings held or attended.
- Work Progress Per Schedule: Identify if the Task is "ahead of schedule", "on-schedule", or "behind schedule" based on the Start Date and End Date of the project's Exhibit C – Schedule. If a Task is behind schedule, add an explanation for the delay.
- Work Anticipated for the Next Reporting Period: Provide brief description of the work that will be completed in the next reporting period based on the project's Exhibit A – Work Plan. If you will be completing work reported under "Work Progress Per Schedule" column in the next reporting period, make sure to include this information.

- Photos: Include photo documentation, as required in the project's Exhibit A – Work Plan. If no photos are included for the Task, leave the corresponding Photos cell blank. For photos submitted, make sure to Include a caption for each photo to identify the project work underway. For construction photos, also include if photo is for "pre-construction", "during construction", or "post-construction" with each caption.

CASH PROJECTIONS TABLE

The Cash Projections Table provides the project's estimated expenses for the six (6) months following the end of the invoicing/reporting period. Follow the instruction below to complete the Table.

- Invoicing Period: Use the drop-down menu to select the appropriate invoicing/reporting period.
- Month: Add the corresponding six months in the cells to the right.
- Amount: Include the estimated expenses under each corresponding month.
- Total: Total should self-populate.

The amounts provided in the table do not need to be exact but should be the best estimates available.

BACKUP DOCUMENTATION SUMMARY TABLE

The Backup Documentation Summary table lists the invoices for costs incurred during the invoicing/ reporting period under each Budget Category. Invoices included the Backup Documentation Summary should be for eligible project costs, as outlined in the Grant Agreement Section 7 – Eligible Project Costs (Pages 2 & 3). In the event ineligible costs are included, DWR will make the necessary invoice adjustment(s) to exclude the ineligible costs (see Grant Agreement Section 8 – Method of Payment).

Review this information and instructions before completing the Backup Documentation Summary:

- Grant Agreement Section 7 & 8: Review both Sections prior to the preparation of the invoice documentation to assess the eligibility of the costs to be included.
- Exclude Ineligible Costs: If an invoice includes any ineligible costs as part of the total invoice amount, the ineligible cost portion will need to be deducted from the total and add a text box notation to provide the revised total.
- Cost Share: Do not include expenses incurred prior to January 1, 2015. Eligible project costs incurred after January 1, 2015 may be included as part of the project's cost share, if applicable to project's Exhibit B - Budget.
- Project Name Reference: Each invoice should include the project name as part of the invoice information.
- Eligible Project Costs: Costs billed, including for vendor/contractor expenses should be for work related to the completion of the activities, Tasks, and deliverables outlined in the project's Exhibit A – Work Plan and Exhibit B – Budget.
- Backup Documentation (Invoices): Organize all invoices by Budget Category first and then organize the Budget Category invoices by date before adding the invoice information onto the Backup Documentation Summary.

Follow the instructions below to complete the Backup Documentation Summary:

- o Invoice #: Add the appropriate invoice number based on the correspondence invoicing/ reporting period.
- o Date of Invoice: Add date the table was prepared.
- o Invoicing Period: Use the drop-down menu to select the appropriate invoicing/reporting period.
- o Invoice Description: Add the name of the vendor/contractor. For Personnel costs, add local project sponsor name.
- o Notes: Provide a brief description of the services rendered by the vendor/contractor in relation to the project's Exhibit A – Work Plan and identified in the invoice. For Personnel costs, add "see Personnel Hours Summary" as the description.
- o Invoice #: Add the invoice number included on the actual invoice.
- o Invoice Date: Add the invoice date included on the actual invoice.
- o Invoice Amount: Add the invoice amount as included on the actual invoice. If any ineligible project costs were deducted from the invoice total, make sure to include the revised amount. See *Backup Documentation Notations* for further instructions.
- o Invoice Packet Page #: Once you have organized the invoices by Budget and then by date, use the page number from the Backup Documentation as the Invoice Packet Page 3 for the invoice.

BACKUP DOCUMENTATION (INVOICES) NOTATIONS

To make sure the information on the Backup Documentation Summary matches the information on the actual invoices, follow the Notations requirements below:

Requirements:
- o Each Invoice should a reference the Project Name. If the name is not included, you can add a text box to include the Project Name on the invoice.
- o Circle the invoice date, invoice amount, and invoice number on each invoice.
- o Add a text box notation next to invoice total to indicate which Budget Category the expense pertains to and identify the dollar amount portion of the total that corresponds to the Budget Category.

  Example: The example includes the invoice total and the corresponding amount applicable to Budget Category D.

  Total: $6,000.00 | **Budget Category D Portion = $6,000.00** |

- o If the invoice total includes ineligible costs, such as ineligible mileage/travel expenses, the ineligible travel costs will need to be deducted from the total and a text box notation identifying the proper amount needs to be added.
- o Circle the ineligible project cost to verify the excluded amount.
- o Remember to add the revised total invoice amount to the Backup Documentation Summary.

Example: This example includes the exclusion of $100.00 for mileage/travel expenses.

Total: $6,000.00

Budget Category D Portion = $6,000 - $100 mileage/travel = $5,900.00

- o Invoice Order: Make sure the invoices are organized in the same chronological order by Budget Category and then by date. All the invoices can be submitted as a single PDF

STEP 6 – SUBMISSION

- o To submit your Progress Report & Invoice access the website at:
  https://pw.lacounty.gov/wmd/irwmp/Prop1Round1.aspx.
- o Click on your Project Name hyperlink to find the grant related information.
- o Click on the Report & Invoice Submissions hyperlink.
- o Upload the documents onto the SharePoint folder corresponding to the invoicing/reporting period.

PROGRESS REPORT & INVOICE REVIEW AND FOLLOW UP

The assigned LACFCD representative will review each project's Progress Report & Invoice based on the order of submission. All feedback and requests for corrections to the PDF's will be sent to the Project Manager for review and approval. Written approval must be given by the Project Manager prior to inclusion of the corrected document into the initial Progress Report and Invoice documentation. The Progress Report and Invoice cannot be submitted to DWR until all corrections have been made and approved for each project. The timely processing and submission of all necessary corrections by each project is very important to minimize the timeframe needed to obtain the reimbursement for all projects from DWR.

The comprehensive Progress Report, Master Invoice, and Backup Documentation will be submitted to DWR within one month from the submission dates listed on the **DUE DATES** table. Once DWR has approved the comprehensive Progress Report & Master Invoice, the reimbursement is expected to be processed within 60 days. LACFCD will process payment to each local project sponsor approximately 30 days following receipt of reimbursement from DWR.

DUE DATES

Per Section 5 – Basic Conditions of the Grant Agreement, the Grantee (Los Angeles County Flood Control District) shall submit quarterly Progress Reports which must accompany an invoice and all invoice backup documentation ($0 Invoices are acceptable). The quarterly Progress Report shall be submitted within 60 days following the end of the calendar quarter (May 30, August 29, November 29, and March 1) and all other deliverables as required by Paragraph 14, "Submission of Reports" and Exhibit A, "Work Plan". To comply with this requirement, each local project sponsors must submit their progress report, invoices, and all required documentation by the due dates listed below.

PROGRESS REPORT & INVOICE #	PERIOD		DUE DATE
	TO*	FROM	
1	Thursday, January 1, 2015	Thursday, September 30, 2021	Sunday, October 31, 2021
2	Friday, October 1, 2021	Friday, December 31, 2021	Monday, January 31, 2022
3	Saturday, January 1, 2022	Thursday, March 31, 2022	Saturday, April 30, 2022
4	Friday, April 1, 2022	Thursday, June 30, 2022	Sunday, July 31, 2022
5	Friday, July 1, 2022	Friday, September 30, 2022	Monday, October 31, 2022
6	Saturday, October 1, 2022	Saturday, December 31, 2022	Tuesday, January 31, 2023
7	Sunday, January 1, 2023	Friday, March 31, 2023	Sunday, April 30, 2023
8	Saturday, April 1, 2023	Friday, June 30, 2023	Monday, July 31, 2023
9	Saturday, July 1, 2023	Saturday, September 30, 2023	Tuesday, October 31, 2023
10	Sunday, October 1, 2023	Sunday, December 31, 2023	Wednesday, January 31, 2024
11	Monday, January 1, 2024	Sunday, March 31, 2024	Tuesday, April 30, 2024

* The first report will include the project work completed prior to the final grant award date of September 23, 2020.   The reporting start date of January 1, 2015 was used to coincide with date project costs may be eligible as part of required cost share. Project costs incurred prior to January 1, 2015 cannot be considered as part of cost share.