

# Task 1: Project Administration

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# TASK 1: PROJECT ADMINISTRATION

## Introduction

The administrative responsibilities and activities described in this task reflect the contract management and program development functions that are integral to the Texas Clean Rivers Program (CRP). The Texas Commission on Environmental Quality (TCEQ) encourages each Planning Agency to hold administrative costs to no more than 10 percent of the total contract budget. This request is made in support of the legislative intent of HB 1190 and its companion, SB 597, which amended Section 26.0135(h) filed in February 1997. Administrative costs are expenditures charged under Task 1 as described in the contract work plan.

## Contract Initiation and Development

### Work Plan Development

The CRP work plan follows the format provided in Exhibit 1G “Work Plan Shell.” There are seven tasks outlining the work that will be conducted under the contract. Each task in the work plan contains the following sections: objectives, description of work that will be done under the task, and deliverables and their due dates.

*Objectives* - Define the purpose and intent of each task. Objectives are provided in the work plan shell. The Planning Agency should add other objectives to address basin priorities.

*Task Description* - Provide a detailed description of the work that will be done to accomplish the task objective(s) and complete the task’s deliverables. Describe the level of effort needed to meet task objectives and basin priorities.

*Deliverables and Due Dates* - List the deliverables for each task in ascending order of due date. A list of the basic deliverables is provided in the work plan shell. The Planning Agency may add other deliverables as needed to accomplish the task and address basin priorities. The due dates included in the shell are set at times that ensure deliverables are received when they are needed to accomplish key objectives; however, certain due dates are negotiable during the work plan development process. Wherever possible, all deliverables need to have specific due dates to help track status.

### Supporting Documentation

The following items are supporting documentation that will be used to evaluate the work plan and prepare the contract. All but the last of these items are required to be submitted with the draft work plan. If necessary, this documentation may need to be revised and re-submitted with the final work plan. A spreadsheet containing all the pertinent Supporting Documentation will be provided to the CRP Planning Agencies for use in developing budgets.

<b>Budget by Category</b>	Use the budget categories shown in the table below to create the contract budget (see Exhibit 1A for each Planning Agency's CRP allocation for the contract period)
<b>Budget by Task</b>	For each task, list the estimated amount that will be expended for each fiscal year.
<b>Personnel Eligibility List (PEL)</b>	List all employees whose salaries will be wholly or partially funded by the CRP (see Exhibit 1E). Add any special notes to ensure PEL information can be reconciled against payroll and personnel records (e.g. salaries estimated based on X, or salaries include projected pay increases).
<b>Fringe Rate Methodology</b>	List all the types of expenses that will be included to calculate the rate and show how those expenses are calculated (see Exhibit 1E). Provide date(s) when the fringe rate will be adjusted each year, if applicable.
<b>Allocated Costs Documentation</b>	For those Planning Agencies that have developed rates for the use of equipment, supplies, office space, telephone, printing or computer services, etc., explain the method by which these expenses will be charged
<b>Equipment Inventory</b>	List all the equipment that you plan to purchase within the biennium, as well as previously purchased equipment. Any additional purchases must have prior written approval from the TCEQ CRP Project Manager.
<b>Sub-recipients/Vendors</b>	List all the tasks and/or sub-tasks (deliverables and lab support) that may be completed by a sub-recipient or a vendor and the approximate cost for each.
<b>Indirect Cost Rate Proposal</b>	Describe the method for calculating reimbursement for indirect costs accompanied by required documentation (see Exhibit 1B for options).
<b>Certification of Procurement Process</b>	A written certification that the Planning Agency's procurement procedures conform to and reflect applicable state and local laws. Use the form provided in Exhibit 1G.
<b>Training and Conferences</b>	List any non-CRP training events or conferences that are planned or expected in support of each task. Any conferences or training events not provided on this list must be approved by the TCEQ CRP Project Manager prior to incurring costs for such events.
<b>List of Deliverables</b>	Provide a list of deliverables for the biennium in due date order and provide in electronic format (preferably spreadsheet). This list should only be provided after the Work Plan is finalized to reduce confusion due to changes between versions of the Work Plan.

### ***Budget Preparation***

The cost reimbursement budget is the financial expression of the project as approved during the award process. This budget is included in the contract and will be subject to fiscal monitoring. It is the Planning Agency's best estimate of the costs to successfully complete the contract deliverables *at the time the contract is executed*. It is necessary to



submit budget and expense information for *planning purposes*, as shown in the example below.

<b>Budget Category</b>	<b>Total Allocation</b>
Personnel/Salaries	\$106,800
Fringe Benefits (25%)	\$26,700
Travel	\$9,000
Supplies	\$6,000
Equipment	\$21,000
Contractual	\$57,000
Other	\$64,000
<b>Total Direct Costs</b>	<b>\$290,500</b>
Indirect Costs (0%)	\$0
<b>TOTAL COSTS</b>	<b>\$290,500</b>

The proposed budget, and supporting documentation justifying each line item cost, is reviewed, revised, and agreed to by both parties as part of the contract negotiations. For example, if the \$21,000 equipment cost is to purchase two pieces of equipment, a description of the equipment and estimated cost, identified by task, must be specified. When developing the proposed budget, the Planning Agency must follow the latest Uniform Grant Management Standards (UGMS) (<https://www.comptroller.texas.gov/purchasing/docs/ugms.pdf>) issued by the Governor's Office of Budget and Planning to determine allowable costs.

Items included in the "Equipment" category are typically \$5000 or greater. Items of lesser cost, such as a computer, should be included in the "Supplies" category. As stated in Exhibit 1B, certain items that are less than \$5000 are considered "controlled assets" and will need to be tracked on the Equipment Inventory.

***Time Frame for Submission of Work Plan and Supporting Documentation***

To ensure contracts are implemented at the beginning of the State Fiscal Year, a time frame for submission, review, and approval is outlined below for the second fiscal year of the biennium.

December 15	Work plan and supporting documentation due to TCEQ CRP Project Manager
January 15	TCEQ CRP Project Manager's comments sent to Planning Agency
January 15-February 1	Planning Agency addresses comments
February 1	Planning Agency submits final work plan, list of deliverables, and revised supporting documentations (if necessary)

## Deliverables and Due Dates

### Review of Deliverables by TCEQ

The TCEQ CRP Project Manager requires *30 days to review* deliverables received from a Planning Agency and either approve them as is or request revisions. If a deliverable is submitted late and the TCEQ CRP Project Manager does not have 30 days to review it before the associated reimbursement request is received, then the reimbursement request may be rejected and reconsidered 30 days after the delinquent deliverable is received. If the deliverable is incomplete or requires revision, then the reimbursement request may be rejected until the deliverable is approved. Few deliverables are exceptions to this process.

If a *revised due date for a deliverable* has been approved by the TCEQ CRP Project Manager in advance of the due date, then the deliverable is not considered late on the original due date, and the processing of reimbursements will not be delayed.

All deliverables must follow CRP guidelines and format, as stated in this guidance, and must be of acceptable quality before the deliverable is considered complete and reimbursement requests will be processed. The Planning Agency must address all comments provided by the TCEQ staff before submitting the revised deliverable to the TCEQ CRP Project Manager.

### Requesting Extension of a Due Date

When a deliverable cannot be completed and submitted to the TCEQ on or before the due date, it is the Planning Agency's responsibility to inform the TCEQ CRP Project Manager as soon as possible. At least one week before a deliverable is due, the Planning Agency must submit a letter or e-mail stating: the reason for delaying a deliverable, the anticipated completion date, justification for extending the due date, and any other pertinent information. The TCEQ CRP Project Manager will approve or disapprove this request. The deliverable will be considered late if the request is not approved by the TCEQ CRP Project Manager. If the TCEQ CRP Project Manager approves the extension, an email stating approval and referencing the change will be transmitted to the Planning Agency to confirm the approval. The TCEQ CRP Project Manager will include the documentation in the contract file. The progress report for the period must summarize the status of the delayed deliverable(s), indicate the date TCEQ provided approval of the extension, and specify the anticipated/actual submittal date.

### Progress Reports

Progress reports (see example in Exhibit 1D) serve as an important form of documentation of task activities and as a deliverable-tracking system. The progress report summarizes the Planning Agency's activities for each task, tracks monitoring activities, problems, delays, and outlines the status of each task's deliverables. The progress report is due on or before the 15<sup>th</sup> day of the month following the end of each quarter. The last progress report for the biennium is due on August 31<sup>st</sup> because the contract cannot include deliverables outside the contract period. The progress report and attached documentation of activities conducted during the quarter are considered deliverables for the quarter they represent, and activities related to each expense should be represented on the progress report.

## **Format and Contents**

The progress report contains three sections: Deliverable Status, Description of Activities, and Monitoring Activities.

The *Deliverable Status* form lists all deliverables (in order by date due) and provides specific information on submittal dates and circumstances regarding the status of each deliverable. If a due date is revised, the Planning Agency must keep the original due date in the Date Due column and indicate the new due date in the Comments column, along with the date the TCEQ CRP Project Manager approved the revision.

The *Description of Activities* form enables the Planning Agency to provide a detailed narrative of activities conducted under each task for each quarter. This information is important to provide a description of the types of activities and level of effort conducted under each task for a specific quarter. Even if there is no deliverable directly associated with an activity, the work or activity needs to be described in the most appropriate Task so that expenses related to those activities can be approved.

The *Monitoring Activities* form details the number of sites visited and types of samples taken during the quarter. If a sampling event did not take place as scheduled, the reason why and the anticipated make-up date (if applicable) should be provided. Descriptions of these occurrences and a discussion of any special studies (or other monitoring activities) can be provided on the *Description of Activities* form.

## **Conference Calls**

Conference calls are an important method of communication for the CRP. It is important for each Planning Agency to have a representative present for each call. If a Planning Agency is unable to participate in a conference call, they should notify the TCEQ CRP Project Manager that they will not attend. The Planning Agency will then be responsible for contacting the TCEQ CRP Project Manager for the missed information.

## **Training Events and Conferences**

The TCEQ may offer training courses throughout the contract period. Planning Agencies are encouraged to take advantage of these courses. It is advisable to consider at least two training events per year with the TCEQ when developing budgets and work plans.

To a limited extent, in-kind program participants may participate in TCEQ training events, however, pre-approval must be obtained from the TCEQ CRP Project Manager beforehand. Because of factors such as limited space, cost, etc., pre-approval is necessary to ensure the training is efficient and effective. When factors are not limiting, in-kind participants are encouraged to participate in TCEQ sponsored training, although their expenses (e.g., travel, time, meals) cannot be reimbursed using CRP funds.

Charges associated with training and/or conferences other than those hosted by the CRP are allowable if the event provides a benefit to the program. Such training events and/or conferences must be requested with the Work Plan, or otherwise be pre-approved by the TCEQ CRP Project Manager. If a training event is not pre-approved prior to incurring costs associated with the event, costs may not be reimbursed.

## Reimbursement Procedures

The TCEQ reimbursement schedule is based on the state fiscal year (September 1-August 31). Reimbursement of expenses will be made on a quarterly basis. It is the responsibility of the Planning Agency to ensure that the TCEQ representatives named in your contract and [WQPDInv@tceq.texas.gov](mailto:WQPDInv@tceq.texas.gov) receive accurately completed reimbursement requests and required supporting documentation. When forms or documentation are incomplete, incorrect, illegible, or if deliverables have not been received by the due date, reimbursement request processing may be suspended.

**The set of tables in Exhibit 1B describes each budget category and the documentation required for processing a reimbursement request. These tables are a very useful resource when preparing to submit a reimbursement request to the TCEQ.**

### Due Dates

#### *Quarterly Reimbursement*

The Planning Agency's reimbursement request is due to the TCEQ within 30 days after the close of each quarter. The timely receipt of accurate reimbursement requests is a performance measure used in the annual performance evaluation.

#### *Final Payment*

The final reimbursement request is due at the TCEQ no later than 45 days following the termination date of the contract. The TCEQ has the authority to refuse payment for any costs incurred within the term of the contract which are not submitted within 45 days after the termination date of the contract.

As a condition for final payment, the Planning Agency will execute and deliver to the TCEQ a written release of all claims against the TCEQ arising under this contract.

### Reimbursement Request and Review

The TCEQ authorized representatives check the expenses on each reimbursement request against the Progress Report to determine the applicability and allowability of costs. It is recommended that the Planning Agency establish an internal system to review its reimbursement request prior to submission. If all required forms and documentation are received on time and are correct, the TCEQ authorized representatives will process the reimbursement request using the guidelines of the Prompt Payment Act. However, because payment guidelines in the Prompt Payment Act do not apply to outgoing grants, the timelines for finalizing review and payment of reimbursement requests may not exactly follow the Prompt Payment Act guidelines.

The following items are required before a reimbursement request can be processed:

- all required financial reimbursement forms are submitted, and the forms are legible, signed and dated, and completed correctly;
- expenses for activities correlate with the reported activities in the Progress Report;
- all expenses are described and allowable, with supporting documentation (Exhibit 1B);





- there is no deficit balance for any cost category that shows zero budgeted funds;
- all water quality monitoring activities, including special studies, are conducted under an approved Quality Assurance Project Plan (QAPP);
- all deliverables are submitted to the TCEQ that were due within, and up to, this expense reimbursement period and have been approved by the TCEQ CRP Project Manager;
- documentation indicating approval by the TCEQ CRP Project Manager to delay a deliverable due date (e.g., copy of email, fax, or letter responding to Planning Agency's request);
- final reimbursement request is accompanied by a release of claims letter to the TCEQ.

### ***Documentation Required for Allowable Cost Categories***

The Planning Agency will maintain documentation to show the work performed is a justifiable CRP activity, and that the expense was paid by the Planning Agency (see Exhibit 1B). The Planning Agency will make available for review, during fiscal compliance monitoring and upon request by the TCEQ staff, the financial information and data used by the Planning Agency or its designee (including independent financial auditors) in the preparation or support of any cost submission or cost (direct and indirect) including, but not limited to receipts and invoices.

### ***Allowable/Unallowable Costs***

The TCEQ uses UGMS to review the proposed budget and reimbursement requests to ensure only allowable costs are charged to the CRP. UGMS "Attachment A - The General Principles for Determining Allowable Costs" states that,

The application of these principles is based on the fundamental premises that: (1) Governmental units are responsible for the efficient and effective administration of federal and state awards through the application of sound management practices (pg. 9).

In order to be allowable under federal or state awards, costs must, be necessary and reasonable for proper and efficient performance and administration of Federal or state awards (pg. 13).

A reasonable cost is further defined as a cost that, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost (pg. 13).

It is the responsibility of the Planning Agency to be familiar and in compliance with UGMS. The Planning Agency should contact their TCEQ CRP Project Manager regarding questions of allowability and/or allocability. A more complete description of allowable and unallowable costs is contained in UGMS on the Internet at <https://www.comptroller.texas.gov/purchasing/docs/ugms.pdf>.





*Direct* costs are all costs which can be directly related to performance of the contract activities.

*Indirect* costs are those that have been incurred for common or joint purposes which cannot be readily identified to a particular contract without a disproportionate effort. See Exhibit 1B, Indirect Costs, for further description of requirements for applying indirect costs to the budget.

A related, but separate concept is the *allocation of shared costs*. These costs are typically assigned to the use of equipment or space and is charged based on the amount of use (e.g., number of sampling trips, number of copies, number of square feet of office space). These costs are typically listed in the "Other" category on the Financial Status Report.

The TCEQ will only reimburse the Planning Agency for allowable costs considered reasonable and necessary to carry out the grant contract activities. Water quality monitoring activity costs are allowable only if they are conducted under a CRP approved QAPP. **An allowable cost may not be a reimbursable cost if there is no line item cost approved in the budget or described in the contract.**

#### **Unallowable and Non-reimbursable Costs:**

If an unallowable cost is submitted, that cost is deducted from the requested reimbursement amount before the request is processed. The following is a list of some, but not all, unallowable and non-reimbursable costs which will not be reimbursed by the TCEQ. This is not an all-inclusive list.

- Contingencies (contribution to reserve) - excludes contributions to self-insurance fund, pension plan reserves, post-retirement health and benefit
- Contributions/Donations - includes cash, property, and services, by governmental units to others, regardless of the recipient
- Defense/prosecution of civil or criminal proceedings (exceptions)
- Insurance deductibles, including those for motor vehicles
- Entertainment
- Food that is not reimbursed as a part of travel expenses
- Volunteer lodging or transportation expenses
- Fines, Penalties, or Interest
- Fund raising and investment management (exceptions)
- Indirect or direct costs unsupported by required documentation
- Lobbying expenses
- Gratuities/Tips
- Travel costs that exceed the State of Texas reimbursement rates and guidelines
- Use costs associated with equipment purchased with program or agency funds (e.g. mileage costs for a vehicle purchased with program funds, use costs for sondes purchased by the TCEQ).



### **Reimbursable Costs**

All allowable, approved line item costs incurred during the time period indicated on the Financial Status Report (FSR) (TCEQ Form 20248) are costs that the Planning Agency either:

- *paid* prior to claiming reimbursement from the TCEQ—"CASH METHOD"  
Examples: supplies purchased at an office supply store with a check or monthly salaries paid on the last day of the time period
- or
- *incurred* by the last day of the time period and paid no later than 45 days after the end of the time period—"ACCRUAL METHOD"  
Examples: supplies purchased and charged to the Planning Agency credit card on the last day of the time period (Planning Agency pays credit card bill in full on the 25th of each month).

Or monthly salaries paid on the first day of the month after the end of the period.

### **Questioned or Disallowed Costs**

Any reported cost may be questioned by the TCEQ CRP Project Manager in order to determine whether it is allowable. A questioned cost will be referred to the Planning Agency's CRP Project Manager for clarification and may be disallowed if sufficient justification is not provided. A disallowed cost is one that is not allowable according to UGMS, not specified in an executed contract, and/or cost for which there is no approved budget line item. A quarterly reimbursement request, desk review, or an on-site fiscal monitoring visit may result in either questioned or disallowed costs.

The Planning Agency may accept or dispute any questioned or disallowed cost. If the Planning Agency accepts the disallowance, they must inform the TCEQ CRP Project Manager of this acceptance. Non-response within 30 days of notification by the TCEQ will indicate acceptance of the disallowance (including questioned cost). If the Planning Agency elects to dispute the disallowance, the Planning Agency must submit additional written justification/documentation to the TCEQ CRP Project Manager within 30 days of notification. If upon further review, the TCEQ allows the cost, the TCEQ CRP Project Manager informs the Planning Agency of the procedure to obtain reimbursement.

If the disallowed and/or questioned cost is disallowed after the additional submitted documentation is reviewed, the TCEQ CRP Project Manager informs the Planning Agency in writing of the disallowance. The Planning Agency may submit a written request to the TCEQ Water Quality Planning Division (WQPD) Monitoring and Assessment (M&A) Section Manager to review the decision. The M&A Section Manager will review the documentation within 30 days and either allow or disallow the disputed cost. The Planning Agency may request a review of the M&A Section Manager's decision by the TCEQ WQPD Director. If the WQPD Director concurs with the disallowance, the Planning Agency may appeal the decision to the TCEQ Office of Water (OW) Deputy Director. If the OW Deputy Director concurs, the Planning Agency may request a review by the TCEQ Executive Director, who is the final arbiter

## Contract Management

### Contract Changes

The Planning Agency may request a modification to the existing contract by submitting a written request to the TCEQ CRP Project Manager. The request must include the proposed modification and its purpose in the appropriate format, and if affected by the modification, a revised budget and/or a scope of work for the affected task(s). Note that contract modifications can only be made prior to the contract expiration date.

Generally, a *major change* will require an amendment to the contract and may include one or more of the following:

- an increase or decrease in the TCEQ obligation amount,
- an extension or shortening of the term of the contract,
- a significant change in the scope of work.

An amendment will include a description of the proposed modification(s) and must be reviewed by the TCEQ CRP Project Manager, the Program Manager, and TCEQ contract staff, and approved by authorized representatives from the TCEQ and the Planning Agency.

After receiving the written amendment request, the TCEQ CRP Project Manager will draft an amendment describing all changes. After review and approval by the appropriate TCEQ staff, a copy of the amendment documentation will be sent to the Planning Agency for review and approval. After the Planning Agency has signed the amendment, it should be mailed back to the TCEQ CRP Contract Manager for TCEQ signature. A final signed copy will be returned to the Planning Agency for their records.

A *minor change* will require the written agreement of the both the TCEQ's and the Planning Agency's authorized representatives. A copy of the agreement approving the minor change will be sent to the Planning Agency for its records. An extension of a deliverable due date, if approved by the TCEQ CRP Project Manager, is an example of a minor change.

### **Budget Revisions**

It is the Planning Agency's responsibility to regularly compare actual costs to budgeted costs and inform the TCEQ CRP Project Manager of potential budget revisions. Budget line item revisions often occur as a project progresses due to changing conditions, more accurate estimates of work, additional supplies required, and so on. Moving funds between budget categories will require sign-off from the TCEQ and the Planning Agency's authorized representative. A [Budget Revision Request Form](#) must be completed and submitted to the TCEQ CRP Project Manager. No budget change is effective until it is signed by the TCEQ's designated representatives. Budget revisions should be submitted as needed, but not more frequently than quarterly. Depending on the amount of the budget revision being requested, a contract amendment may be required.

### **Procurement of Sub-recipients or Vendors**

The use of sources other than the CRP Planning Agency to complete portions, or all, of the CRP contract involves a number of steps to define how procurement, subcontract provisions, payment and oversight will be handled. These steps are complex and there are many instances where errors can be introduced into the process. Proper planning

will reduce or eliminate the risk of error. Effective contract management is dependent on the interaction of the following elements:

- Plan—Identify contracting objectives and contracting strategy.
- Procurement—Fairly and objectively select the most qualified contractors.
- Rate/Price Establishment—Establish process that are cost effective and aligned with the cost of providing the goods and services.
- Contract Formation—Ensure the Contract contains provisions that hold the contractor accountable for producing desired results.
- Contract Oversight—Monitor and enforce the terms of the Contract.

The State of Texas Procurement and Contract Management Guide generally describes the steps and elements and provides practical suggestions and best practices for contracting. Some of this text was borrowed for this portion of the CRP guidance and excerpts are included for quick reference in Exhibit 1C.

### ***Procurement Procedures***

There is no single “right” way to contract. Various types of purchases and contracts may require different practices, processes and strategies for successful implementation. The planning agency should use its own procurement procedures which reflect applicable state and local laws and regulations. The procurement procedures must be available for review during on-site visits and may be audited or requested at any time by the TCEQ.

### ***Procurement Deliverable to the TCEQ***

The Planning Agency’s procurement procedures and solicitation documents for subcontracts are not deliverables to the TCEQ, however, the TCEQ CRP Project Manager needs some subcontract information to adequately administer a contract and review invoices. The TCEQ CRP Project Manager may request a Planning Agency to submit technical specifications on proposed procurements, *so it is important to communicate with them in advance about any subcontract plans*. In addition, the following information will be sent to the TCEQ CRP Project Manager upon execution of subcontracts:

- procurement method used (e.g. IFB, RFP - with or without prices, RFQ),
- list of tasks to be performed by sub-recipient.

The TCEQ may request additional procurement or subcontract documentation to be submitted during a desk review (see Exhibit 1C for subcontract administration file guidelines).

### ***Procurement Methods***

The procurement method chosen will be a major factor affecting time and steps in the planning process for developing subcontracts. The table in Exhibit 1C is an excerpt from Chapter 3 of the State of Texas Procurement and Contract Management Guide and is provided to assist in selection of the appropriate procurement type. After the procurement method is determined, the solicitation document is prepared. [The State of Texas Procurement and Contract Management Guide](#) provides information about preparing solicitations.

### ***Evaluation Criteria***

The solicitation document (e.g. IFB, RFP, RFQ) must advise the respondents how subcontract proposals will be evaluated. The evaluation criteria must reflect the essential qualities or performance requirements necessary to achieve the objectives of the subcontract. The criteria should allow the proposals to be fairly evaluated. The State of Texas Procurement and Contract Management Guide provides a sample evaluation criterion. The Planning Agency must maintain documentation for each procurement showing the best subcontractors were fairly and objectively selected.

### ***Subcontract Provisions***

There are many provisions that are necessary for any subcontract. Certain considerations should be addressed before proceeding with a contract or agreement. For instance, when acquiring data management, website development, or mapping services, clauses regarding intellectual property, data, and publicity are absolutely necessary. The subcontract should also include payment and oversight provisions. A list of suggested provisions is provided below. These provisions must be evaluated individually for any subcontract to determine their applicability. The State of Texas Procurement and Contract Management Guide explains general rules regarding contract formation and essential clauses, and the Appendices provide sample contract terms, but these resources do not replace the advice of an attorney nor do they replace any statutory requirements of the CRP Partner agency. ALWAYS CONSULT AN ATTORNEY FOR LEGAL ADVICE CONCERNING CONTRACTS.



Suggested subcontract provisions:

Agreement Term	Total Obligation Amount
Laws and Rules	Costs and Payments
Quality Assurance and Project Planning	Safety and Protection
Intellectual Property	Title to and Management of Equipment
Data and Publicity	Records Access and Audit
Lobbying Activities	Insurance, Liability, and Indemnification
Performance Evaluation	Procurement, Subcontracts, and Subgrants

### ***Payment Type***

The payment type must be sufficient to ensure the Planning Agency pays fair and reasonable prices for services. Payments should be structured to fairly compensate the contractor and encourage timely and complete performance of work. Payments should be approximately equal to the value of the completed work and should be in accordance with the contract rate schedule. A description of the different payment types is provided in Exhibit 1C.

The circumstances of the procurement may impact the payment type that may be used. Specifically, a cost analysis must be performed for professional, consulting, and architectural or engineering services contracts, sole source procurements, and when adequate price competition is lacking, such as intergovernmental contracts with universities or local governments. Invoices for these subcontracts must show actual costs similar to those as listed on the TCEQ Financial Status Report, including profit for private entities. Profit, if applicable, must be listed as a fixed amount at the beginning of the contract and not a multiplier based on another cost.

### ***Oversight of Sub-Recipients and Vendors***

The Planning Agency is responsible for assuring the subcontractor's compliance with performance and fiscal requirements outlined in applicable laws, regulations, and the subcontract itself. The oversight of subcontractors must be sufficient to ensure public funds are spent effectively and efficiently for quality services. The State of Texas Procurement and Contract Management Guide covers four general administration and oversight processes, including: planning, monitoring performance, payment approval and change management. See Exhibit 1C for guidelines to establish a master contract administration file to document these processes.

### ***Subcontractor Evaluations***

Planning Agencies will be required to submit to the TCEQ performance evaluations of subcontractors performing work under CRP. [The Contractor Evaluation form](#) will be completed and submitted with each contract year's 4<sup>th</sup> quarter progress reports to document performance of subcontractors.

### **Historically Underutilized Business**

The TCEQ encourages the use of historically underutilized business (HUB) participation in procurement and contracting processes and recommends the Planning Agency make a *good faith effort* (GFE) to assist HUBs in receiving contract awards issued by the State. A good faith effort demonstrates that equal opportunity is provided to underutilized minority and women-owned business enterprises in procurement and vendor purchases. Although it is recommended that Planning Agencies make an effort to acquire services, supplies, and equipment through a certified HUB vendor, there are no reporting or tracking requirements for state-funded outgoing grant contracts.

## **Contract Monitoring**

Fiscal monitoring includes a review of financial information to determine fiscal integrity and compliance with fiscal, state, and contractual requirements. It ensures state funds are spent properly and accurately accounted for, deliverables are received on schedule, contractor performance is evaluated, deficiencies are corrected, and invoices are adequately supported by reasonable assurance that the Agency got what it expected and paid appropriately. A risk-based approach dictates that not every transaction requires 100 percent scrutiny. By performing desk reviews and on-site fiscal monitoring visits, the TCEQ can allow contractors to provide limited back-up documentation with its reimbursement requests and maintain the documentation for periodic review during desk reviews and/or site visits.

## **Performance Self Evaluation**

As recommended by the State Auditor's Office, Planning Agencies will be evaluated by their TCEQ CRP Project Managers annually, using [the Contractor Evaluation form](#). This form will be utilized by TCEQ staff in establishing a risk-based methodology for prioritizing and tailoring desk and on-site fiscal reviews. The Planning Agency will use the form to do a self-evaluation and send a copy to its TCEQ CRP Project Manager. The TCEQ CRP Project Manager will then do his or her evaluation. A copy of the completed evaluation will be sent to the Planning Agency, which may send its written comments on the evaluation to their TCEQ CRP Project Manager. The Planning Agency may request a meeting with their TCEQ CRP Project Manager to discuss the evaluation.

## **Risk Assessments**

The TCEQ performs a risk assessment of contractors to establish monitoring work schedule priorities for each fiscal year. The CRP Planning Agencies may be monitored annually by either a desk review or a site visit, based upon the risk assessment.

## **Desk Reviews**

Annual submission documentation is reviewed in-house by a TCEQ fiscal monitor. Planning Agencies will be notified 30 days before the invoice due date when they must provide the additional supporting documentation listed in the tables in Exhibit 1B. The TCEQ notice of the desk review will specify the documentation each Planning Agency must provide. It is important to read the notice as some desk reviews may not require all of the information listed in Exhibit 1B. Planning Agencies scheduled for a site visit will not be required to have a desk review that year.



## **Site Visits**

Based upon the risk assessment, some Planning Agencies will be scheduled for a contract fiscal monitoring site visit. An on-site visit involves a thorough review of records for one or more quarters to verify accuracy of reporting and adequacy of fiscal management processes.

## **TCEQ Compliance Audits**

The TCEQ internal audit group may elect to conduct an audit of financial and program records of individual Planning Agencies throughout the contract period.

## **Annual Independent Audit**

All Planning Agencies that receive a combined total greater than \$500,000 from the federal government and Texas state government agencies are required to have an annual independent audit conducted pursuant to applicable state law, regulations, and policies (UGMS, State of Texas Single Audit Circular). The Texas Water Code (Section 49.195) requires River Authorities and water districts to submit an annual independent financial audit to the TCEQ's Water Utilities Division for review.



# **Exhibit 1A**

## **FY 2020-2021 Budget Allocations**

## FY 2020-2021 Budget Allocations

<b>Planning Agency</b>	<b>FY 2020</b>	<b>FY 2021</b>	<b>Total Allocation</b>
BRA (12)	\$398,159	\$398,159	\$796,318
GBRA (17 & 18)	\$135,378	\$135,378	\$270,756
HGAC (9, 10, 11, 13)	\$965,615	\$965,615	\$1,931,230
IBWC (23)	\$267,252	\$267,252	\$534,504
LNRA (16)	\$99,298	\$99,298	\$198,596
LCRA (14 & 15)	\$381,797	\$381,797	\$763,594
ANRA & LNVA (6 & 7)	\$329,766	\$329,766	\$659,532
NETMWD (4)	\$99,298	\$99,298	\$198,596
NRA (20, 21, & 22)	\$258,906	\$258,906	\$517,812
RRA (1 & 2)	\$311,118	\$311,118	\$622,236
SARA (19)	\$197,770	\$197,770	\$395,540
SRA (5)	\$313,074	\$313,074	\$626,148
SRBA (3)	\$99,297	\$99,297	\$198,594
TRA (8)	\$393,272	\$393,272	\$786,544
<b>TOTALS</b>	<b>\$4,250,000</b>	<b>\$4,250,000</b>	<b>\$8,500,000</b>

# **Exhibit 1B**

## **Budget Categories and Documentation Required to Process Reimbursement Requests**

**Table 1: Budget Categories and Documentation Required to Process Reimbursement Requests**

Budget Category and Description	References	Documentation for Reimbursement Request	Documentation for Site Visit or Desk Review
<p><b><u>PERSONNEL/SALARY:</u></b> Compensation of employees for the time devoted to the performance of CRP tasks.</p>	<p>UGMS Part II, Att B, (11)(h)</p>	<p>Personnel/Salary Supplemental form listing:</p> <ul style="list-style-type: none"> <li>• employee name;</li> <li>• title/position;</li> <li>• CRP salary for the period; and</li> <li>• task number(s) worked. <ul style="list-style-type: none"> <li>▪ <u>No time sheets are required unless requested by TCEQ</u></li> <li>▪ Submit Personnel Eligibility Lists (PEL) annually with the 1<sup>st</sup> quarter invoices or with the quarter's invoice when employment status changes occur (e.g., hire date for new employees and date last employed on project for employees no longer working on project.)</li> </ul> </li> </ul> <p>PEL should include special notes to ensure PEL information can be reconciled against payroll and personnel records (e.g. salaries are estimated based on X, or salaries include projected pay increases).</p>	<p><u>Time Sheets</u> must:</p> <ul style="list-style-type: none"> <li>• reflect an <u>after-the-fact distribution</u> of actual activity;</li> <li>• account for <u>total activity</u> for which the employee is compensated;</li> <li>• be prepared <u>at least monthly</u> and must <u>coincide with</u> one or more <u>pay periods</u>;</li> <li>• be <u>signed</u> by the employee and supervisory official having firsthand knowledge of the worked performed;</li> <li>• Reports from <u>electronic</u> timekeeping systems must meet the above standards.</li> <li>• Charges for salaries should match <u>payroll documentation</u>.</li> </ul> <p><u>Personnel files and policies</u> must be available for on-site or desk reviews.</p>
<p><b><u>FRINGE BENEFITS:</u></b> Costs of leave, insurance, social security and Medicare contributions, pensions, unemployment benefit plans, etc.</p>	<p>UGMS Part II, Att B, (11)(d); Att C, E(3)(d); and Att E, F(1)</p> <p>CRP Contract Authorized Expense Budget</p>	<p>Show <u>calculation on Personnel/Salary</u> Section of Supplemental form using the <u>most recent approved rate</u>, or specify if benefits are adjusted to actual. No additional documentation is required with the reimbursement request.</p>	<p><u>Itemize employee benefits</u> with percentages and/or cost for each employee listed on the PEL. Benefits must be granted according to <u>established written policies</u> which should available for on- site or desk reviews.</p>

Budget Category and Description	References	Documentation for Reimbursement Request	Documentation for Site Visit or Desk Review
<p><b>TRAVEL:</b> Costs (within the rates allowed by the State) of transportation, lodging, meals, and related expenses for employees (on the PEL) traveling on CRP business.</p>	<p>UGMS <a href="#">Part II</a>, Att B, (43)</p> <p><a href="#">State of Texas Travel Allowance Guide</a></p>	<p>Travel Supplemental form listing:</p> <ul style="list-style-type: none"> <li>Name of Traveler</li> <li>Date(s) of travel</li> <li>Destination and purpose of travel, including titles of workshops, training, or meetings</li> <li>Mode of transportation (personal car, agency vehicle, rental car, airplane, etc.)</li> <li>Costs for meals, lodging, and transportation (including mileage) <ul style="list-style-type: none"> <li>Receipts are not required unless requested</li> <li>Travel expenses for volunteers will not be reimbursed</li> </ul> </li> </ul> <p>Task(s) to which each activity applies</p>	<p>Copies of <u>receipts</u> for hotel accommodations, public transportation, airfare, rental cars, and meals (when available), etc. A signed and approved travel reimbursement invoice may be provided if all of the required information is recorded.</p> <p><u>Mileage logs</u> for agency vehicles used for CRP travel should be available for on-site or desk reviews. Mileage logs should clearly indicate the mileage and locations of travel for CRP activities and be verifiable via an online mapping tool (e.g. MapQuest).</p> <p><u>Travel policies</u> should be available for on-site or desk reviews.</p>
<p><b>Supplies:</b> Costs for materials necessary to carry out the program. This includes equipment with a purchase price (including freight) of less than \$5,000.</p> <p>Examples:</p> <p>Chemical/Gases, Fuels /Lubricants, Computer Software/Supplies, Office Supplies, Medical Supplies, Cameras, Computers, Furniture.</p> <p>The CRP has designated certain supplies purchases to be controlled assets which need to be added to the Planning Agency's Equipment Inventory, such as:</p> <p>Computers-, Digital Projectors/Cameras, GPS</p>	<p>UGMS Part II, Att B, (30) and Part III, Subpart C, (33) and (36)(d)</p> <p><a href="#">State of Texas Purchase Policies and Procedures Guide</a></p>	<p>Supplies Supplemental form listing materials and supplies purchased for the program.</p> <ul style="list-style-type: none"> <li>Provide sufficient description of the item(s) to enable TCEQ to determine the applicability of the cost.</li> <li><u>No receipts are required</u> to be submitted unless the TCEQ requests records to verify allowability.</li> <li>Update Equipment Inventory when item has a serial number and an effective life of more than one year.</li> </ul> <p><b>Food and drinks are not</b></p>	<ul style="list-style-type: none"> <li>Copies of <u>purchase orders</u> or vendor-submitted invoices marked received, approved for payment, with date received, category and funding source charged to, date of payment, or <u>copy of check</u>.</li> <li>Written justification and <u>calculation worksheets</u> must be available for costs <u>allocated</u> between two or more funding sources.</li> </ul> <p><u>Procurement records and procedures</u> must be available for on-site and desk reviews.</p>



Budget Category and Description	References	Documentation for Reimbursement Request	Documentation for Site Visit or Desk Review
Receivers. Laboratory Equipment, Monitoring equipment (Multiprobes, flow meters, etc)		considered supplies and must be submitted as "Travel" expenditures.	
<p><b>Other:</b> Direct cost items not identified and explained in the above categories.</p> <p>Examples: rent, laboratory expenses, utilities, telephone, data processing services, printing and reproduction, postage and shipping, contract clerical or other personnel, contract CPA or bookkeeping services, janitorial services, exterminating services, security services, insurance and bonds, equipment repairs or services, books, periodicals, memberships.</p>	<p>UGMS <a href="#">Part II</a>, Att B <a href="#">and</a> Att C</p> <p><a href="#">State of Texas Purchase Policies and Procedures Guide</a></p>	<p>Other Supplemental form listing:</p> <ul style="list-style-type: none"> <li>Description of item</li> <li>Itemization should be sufficient to allow TCEQ to determine the allowability of costs (e.g., 3 months rent @ \$/mo.; or cost per # of bacteria analyses.)</li> </ul> <p><u>No receipts are required</u> to be submitted unless the TCEQ requests records to verify allowability.</p>	<p>Copies of <u>purchase orders</u> or vendor-submitted <u>invoices</u> marked received, approved for payment, with date received, category and funding source charged to, date of payment, or <u>copy of check</u>.</p> <p>Written justification and <u>calculation worksheets</u> must be available for costs <u>allocated</u> between two or more funding sources. <u>Procurement records and procedures</u> must be available for on-site and desk reviews.</p>
<p><b>Equipment:</b> Tangible, nonexpendable property having a useful life of more than one year and an acquisition cost of \$5,000 or more.</p>	<p>UGMS <a href="#">Part II</a>, Att B, (16), (20) &amp; <a href="#">Part III</a>, Subpart C, (3), (32) and(36)</p> <p><a href="#">State of Texas Purchase Policies and Procedures Guide</a></p>	<p>Equipment Supplemental form listing:</p> <ul style="list-style-type: none"> <li>Description of equipment</li> <li>Serial #</li> <li>Unit cost / Total cost</li> <li><u>Receipts are required</u> for costs itemized in this category. In lieu of a receipt, a purchase order, an invoice (marked paid), a canceled check, or other evidence of payment must be submitted.</li> <li>Submit an updated <u>Equipment Inventory</u> for all additions/changes.</li> </ul> <p><b>NOTE:</b> TCEQ may disallow the cost of equipment purchased without prior approval. Contact the TCEQ for <u>disposition</u></p>	<p><u>Subcontracts</u> or <u>purchase orders</u>, and vendor-submitted invoices marked received, approved for payment, with date received, category and funding source charged to, date of payment, or <u>copy of check</u>.</p> <p><u>Procurement records</u>, including <u>solicitations</u> and <u>selection</u> documentation, and <u>procurement procedures</u> must be available for on-site and desk reviews.</p> <p>The Planning Agency is responsible for ensuring its subcontractors maintain and submit all reimbursement documentation required for financial monitoring and/or audit.</p>





Budget Category and Description	References	Documentation for Reimbursement Request	Documentation for Site Visit or Desk Review
		<p><u>instructions</u> when equipment needs to be replaced or is no longer needed for the program.</p>	<p>Subcontractors' documentation must be available for on-site and desk reviews, and upon request by the TCEQ staff. The Planning Agency must monitor its subcontractors to ensure they meet the requirements of the contract.</p>
<p><b><u>Contractual:</u></b> Costs include those services or consulting that are provided by a firm or individual, not employed by the Planning Agency, and are not covered under the "Other" category.</p>	<p>UGMS <u>Part II</u>, Att A, Section B (22)</p> <p><a href="#">State of Texas Procurement and Contract Management Guide</a></p>	<p>Contractual Supplemental forms listing all subcontractor costs either incurred or paid during the period, including:</p> <ul style="list-style-type: none"> <li>• contractor name;</li> <li>• description of activities performed;</li> <li>• date(s) performed;</li> <li>• cost; and</li> <li>• related tasks.</li> </ul> <p>If costs are documented by more than one invoice for a contractor (e.g. monthly), list them separately. The TCEQ CRP Project Manager may request additional supporting documentation, including documentation of procurement, to verify allowability of costs.</p>	<p><u>Subcontracts</u> or <u>purchase orders</u>, and vendor-submitted invoices marked received, approved for payment, with date received, category and funding source charged to, date of payment, or <u>copy of check</u>.</p> <p><u>Procurement records</u>, including <u>solicitations</u> and <u>selection</u> documentation, and <u>procurement procedures</u> must be available for on-site and desk reviews.</p> <p>The Planning Agency is responsible for ensuring its subcontractors maintain and submit all reimbursement documentation required for financial monitoring and/or audit. Subcontractors' documentation must be available for on-site and desk reviews, and upon request by the TCEQ staff. The Planning Agency must monitor its subcontractors to ensure they meet the requirements of the contract.</p>
<p><b><u>Indirect Costs:</u></b> Costs incurred for a common or joint purpose benefitting more than one cost</p>	<p>UGMS <u>Part II</u>, Att A, Sections F, G, H and Att E</p>	<p>Financial Status Report (TCEQ-20248) specifying the authorized rate and including a total cost not exceeding the rate</p>	<p><u>Option 1: Approved rate agreement</u> - a rate that has been determined by a state coordinating agency or may be</p>



Budget Category and Description	References	Documentation for Reimbursement Request	Documentation for Site Visit or Desk Review
objective and not readily assignable to specific cost objectives without disproportionate effort.	Contract budget	authorized in the contract.	negotiated and agreed on by the Parties. <i>Option 2:</i> <u>10%</u> of direct salaries (excluding fringe). No supporting documentation is required. <i>Option 3:</i> No indirect costs, direct bill all costs

# **Exhibit 1C**

## **Excerpts from State of Texas Procurement and Contract Management Guide**

**Table 2: Excerpts from State of Texas Procurement and Contract Management Guide**

Procurement Method	Use When	Advantages	Disadvantages
<p><b>Competitive Bids</b> (Invitation for Bids)</p>	<p>Products and services are standardized or uniform.</p>	<p>Award process is simpler.</p> <p>In determining best value, price, and whether the goods or services meet specifications are the most important considerations.</p>	<p>Defined specifications may be difficult to develop.</p> <p>Does not encourage innovative solutions.</p> <p>Negotiations are not allowed if there is more than one responsive bidder.</p>
<p><b>Competitive Proposals</b> (Request for Proposals, Request for Offer)</p>	<p>When negotiations are desired.</p> <p>Vendor is expected to provide innovative ideas or solutions.</p>	<p>Allows for customized proposals suggesting different approaches to the same business need.</p> <p>Allows for negotiations.</p> <p>Considerations in addition to price are used to determine</p>	<p>Lead time for procurement is much greater.</p> <p>Evaluations tend to be more complex.</p>
<p><b>Request for Qualifications</b> [This method is usually required by statute (e.g. Professional Services)]</p>	<p>Selection is made solely on the skills and qualifications of the vendor.</p> <p>Price is not a factor until after a vendor is selected.</p>	<p>Emphasizes the competency and experience of the vendors.</p>	<p>Vendor is selected before price is negotiated.</p> <p>Two step process.</p>

Procurement Method	Use When	Advantages	Disadvantages
<b>Cost Reimbursement</b> (payment to vendor of direct and indirect costs actually incurred)	Project scope cannot be precisely defined and costs cannot be accurately determined.	Allows forward movement when the scope of work details are uncertain.  Purchaser obtains full cost information from vendor.	Purchaser bears burden of costs overrun (e.g. market fluctuations)  Vendor does not have an incentive to control costs.  Administrative burden of validating all costs.
<b>Fixed Price</b> (payment to vendor is total price for well-defined product or service)	Requirements are precisely defined.	Vendor assumes most of the risk because vendor will be paid the same regardless of actual cost.	Vendor is motivated to look for "out of scope" items.
<b>Time and Materials</b> (payment to vendor of a pre-determined amount per unit)	Project scope cannot be precisely defined.  Off-the-shelf products or standard services are required but quantity is uncertain.	Payment based on quantity of work actually completed.  Large quantities may lead to volume price discounts.	Requires significant monitoring effort by purchaser.  Payment not linked to vendor's achievement of a goal.

## The Contract Administration File

Keeping one complete master contract administration file is critical. The file will provide a basis for settling claims and disputes should they arise in administrative or court actions. The TCEQ may request review of these items during contract fiscal monitoring desk reviews or site visits. Throughout the life of the contract, the contract administration file should contain such things as:

- A copy of the current contract and all modifications;
- A copy of all specifications, drawings or manuals incorporated into the contract by reference;
- A reference list or a list of prior contracts with this specific vendor (if they offer valuable historical data);
- The solicitation document, the contractor's response, evaluation determination, and the notice of award document;

- A list of contractor submittal requirements;
- A list of government furnished property or services;
- A list of all information furnished to the contractor;
- A copy of the pre-award conference summary, if conducted;
- A schedule of compliance review, internal correspondence, if applicable;
- A copy of all general correspondence related to the contract;
- The originals of all contractor data or report submittals;
- A copy of all routine reports required by the contract such as sales reports, pricing schedules, approval requests, and inspection reports;
- A copy of all notices to proceed, to stop work, to correct deficiencies, or change orders;
- A copy of all letters of approval pertaining to such matters as materials, the contractor's quality control program, prospective employees, and work schedules;
- The records/minutes of all meetings, both internal and external. Include sign-in sheets and/or agendas;
- A copy of all contractor invoices, information relative to discount provisions for prompt payment, letters pertaining to contract deductions or fee adjustments;
- A copy of all backup documentation for contractor payment or progress payment; and copies of any audits.



# **Exhibit 1D**

## **Progress Report Format**



## Deliverable Status Template

Instructions: list deliverables in order of due date and include information in the comments about the status of the deliverable and whether/when extensions were requested.

**Table 3: Deliverable Status Report, FY 12 Quarter 1 , September 1, 2011 through November 30, 2011**

Task	Task Description	Date Due	Date Submitted	Comments
2A	Basin-wide QAPP Receipt and Commitment Letters	10/15/11	10/15/11	Three of three QAPP participants signed letters and these were
2B	Specified sections of the Basin-wide QAPP posted to the Web	10/31/11	10/31/11	Copy of updated webpages sent via email to TCEQ.
5A	Preparation Meeting for Basin Summary Report	11/01/11	10/20/11	Meeting held at TCEQ offices in Austin.
6A	Questionnaire for Steering Committee Mtg.	11/15/11	11/15/11	Copy of questionnaire was submitted to the TCEQ via email for review and comment prior to sending to steering committee
6A	Contact Steering Committee members to promote/confirm participation and review	11/30/11	11/15/11	Will follow-up on those that do not respond within 30 days.
6B	Develop Web site as outlined in the Web Site	11/30/11	11/30/11	Provided copies of web pages to TCEQ for review and comment.
1A	Progress Report	12/15/11	12/15/11	Submitted in spreadsheet by email attachment. Hard copy sent via
3A	Monitoring Status Report	12/15/11	12/15/11	See the Progress Report.
6C	Maintain web site and provide summary of updates and/or copies of	with PRpt	12/15/11	Summary of updates provided to TCEQ, attached to Progress Report.
6I	Public Participation & Outreach Activities	with PRpt	12/15/11	No activity this quarter.
6J	Volunteer Monitoring Activities	with PRpt	12/15/11	Supported volunteer group.

## Description of Activities Template

Instructions: describe CRP activities conducted for each Task in the current quarter. This information will be used to explain and justify expenses incurred each quarter.

**Table 4: Description of Activities, FY 10 Quarter 2, December 1, 2009 through February 28, 2010**

TASK	DESCRIPTION OF ACTIVITIES
<b>1.0 Administration</b>	<p>Quarterly progress report submitted to TCEQ on 12/15/09.</p> <p>Letter agreement for Texas Stream Team training and coordination executed on 10/8/09. A copy is attached to this progress report.</p>
<b>2.0 Quality Assurance and Project Planning</b>	<p>FY 2010-2011 basin-wide QAPP and work plan has been posted on the website.</p> <p><b>NELAC Assistance:</b> Contacts with Dr. Shepherd have been executed for both labs. Work for 1st lab this quarter includes document reviews, audit planning, and on-site visits. Work for 2nd lab this quarter includes internal audit follow-up and LOD/LOQ questions. Copies of the contracts are attached.</p>
<b>3.0 Water Quality Monitoring</b>	<p>All planned monitoring was completed for the quarter. See Monitoring Report for details of monitoring activities for the quarter.</p> <p>Jane and John conducted river surveyor flow and morphology sampling from Sylvan Avenue to South Loop 12 in Dallas on 9/1/09 and in Irving on 9/2/09. Bill and Ted conducted flow and morphology sampling at Beltline in Grand Prairie on 9/9/09.</p> <p>Jane and John attended the TCEQ Data Management Training via video conference at the Fort Worth offices on 9/15-16/09.</p> <p>Jane and John attended the annual SWQM conference at Canyon of the Eagles on 10/26-29/09.</p>
<b>4.0 Data Manage</b>	<p>Aug. 09 data sent on 09/20/09. Sep. 09 data sent 10/21/09. Oct. 09 data sent 11/20/09.</p>
<b>5.0 Data Analysis and Reporting</b>	<p>Jane and John attended the Basin Summary Report preparation meeting on 10/26/09 in Austin.</p> <p>Data and trend analysis for this report has begun. At this time there are no plans to utilize outside services to complete the report.</p>



TASK	DESCRIPTION OF ACTIVITIES
<p><b>6.0 Public Outreach and Participation</b></p>	<p><b>Website Updates:</b></p> <ul style="list-style-type: none"> <li>- A review of the website was conducted using the website requirements outlined in the CRP Guidance. All requirements are met.</li> <li>- Basin-wide QAPP posted to website on 10/31/09.</li> <li>- FY2010-2011 work plan posed to website on 12/15/09.</li> <li>- No other changes to website conducted this quarter. RA is in the process of upgrading the website software. More substantial changes may be made to the CRP website upon completion of the upgrade. RA has also begun to explore social media/networking sites. CRP staff has acquired sites and created pages for review by management. The pages are not viewable to the public at this time as they are pending approval by upper management.</li> <li>- Link to CRP CMS and TCEQ water quality data will be created on website after upgrades.</li> </ul> <p><b>Outreach Activities:</b></p> <p>A new letter agreement with Texas Stream Team has been executed to continue his services in FY 2010-2011. A copy of the letter is attached. Jane presented at Gator Fest in Anahuac on 9/11/09 and 9/12/09. Educational materials provided at the event by CRP are attached.</p> <p>Ellen conducted a K-5 teacher orientation to Major Rivers curriculum on 10/21/2009 for three schools in Kyle. Table of Contents are attached.</p>
<p><b>7.0 Special Studies</b></p>	<p><b>Wasteload Allocation:</b> There is no CRP funding associated with this project in the FY 2010-2011 contract. However, work with the compact members and engineers is ongoing. Status updates and reports will be included with the quarterly progress report as they become available.</p> <p><b>EnviroData and RA CRP Data Management and Integration System:</b> Work on this project is ongoing. Currently, work is being done to format the output from the LIMS system into a format that is compatible with EnviroData. EnviroData is mapping the fields to a compatible import format.</p>



## Monitoring Activities Report Template

Instructions: provide a list of sampling activities planned and completed for each quarter with explanations for when sampling could not be completed.

**Table 5: Monitoring Activities Report, Q1, September 1-November 30**

Segment	Long Description	Station Id	Submitting Entity	Collecting Entity	Monitoring Type	Comments	24HR	Aquatic Habitat	Benthics	Nekton	Metals	Organics Water	Conventional	Bacteria	Inst. Flow	Field	1st Quarter	2nd Quarter
																	(Sept - Nov)	(Dec - Feb)
0604	NECHES RIVER AT US 69	10585	AN	AN	RT								4	4	4	4	10/17	2/5
0604A	CEDAR CREEK AT FM 2497	10478	AN	AN	RT								4	4	4	4	9/27	1/3
0604A	CEDAR CREEK AT CR 1336	13528	AN	AN	RT								4	4	4	4	9/27	1/3
0604B	HURRICANE CREEK AT SH 324	13529	AN	AN	RT								4	4	4	4	9/27	1/3
0604B	HURRICANE CREEK AT LOOP 287	10487	AN	AN	RT								4	4	4	4	9/27	1/3
0604B	HURRICANE CREEK BELOW KIWANIS PARK	21433	AN	AN	RT								4	4	4		9/27	1/3
0604C	JACK CREEK AT FM 2497	10492	AN	AN	RT								4	4	4	4	9/27	1/3
0604C	JACK CREEK AT SH 94	10493	AN	AN	RT								4	4	4	4	10/16	1/30
0604C	JACK CREEK AT FM 3150	10494	AN	AN	RT								4	4	4	4	10/16	1/30
0604D	PINEY CREEK AT FM 358	16096	AN	AN	RT								4	4	4	4	10/16	1/30
0604M	CEDAR AT LOOP 287	10479	AN	AN	RT								4	4	4	4	9/27	1/3



## Data Submittal Progress Report Template

Instructions: provide a summary of the status of data submittal progress detailing the extent to which data collected through November 30 have been submitted to TCEQ. Include entries for each collecting entity and/or sub-participant in the QAPP.

**Table 6: Data Submittal Progress Report**

Submitting Entity	Collecting Entity	Date of last data submittal to TCEQ:	Data submitted to TCEQ through this date:	What data collected prior to 11/30 are outstanding?	Comments
IB	MC	12/15/18	10/1/18	Quarterly routine data collected in November 2018	Delay in receipt of field data. Plan to submit to TCEQ by 3/15.
IB	LA	3/1/19	11/15/2018	None	
IB	RN	2/27/19	12/15/2018	None	

# **Exhibit 1E**

## **Personnel Eligibility List & Fringe Benefits Methodology**



### Personnel Eligibility List

Instructions: the Planning Agency will provide a list of personnel who will be designated to work on, and are eligible to charge to, the contract. This form can be recreated using your own software, but these fields are required at a minimum. Please add any special notes to ensure Personnel Eligibility List (PEL) information can be reconciled against payroll and personnel records (e.g. salaries estimated based on X, or salaries include projected pay increases). Cost estimates for fringe benefits may be added to this report in separate columns, if desired, and the benefits need to be identified.

The PEL is a contract management tool which should be updated and submitted annually with the 1<sup>st</sup> quarter invoice. It is not necessary to resubmit the PEL for each salary change. ALL employment changes require a new PEL to be submitted with the applicable quarter's invoice.

**Table 7: Personnel Eligibility List**

Staff Name or "Vacant"	Position or Title	Date Added to PEL	Date Removed from PEL	% Time to Contract	Total CRP Salary
<b>Total Annual Cost (Personnel - Salaries)</b>					<b>\$</b>



### Fringe Benefits Methodology

Instructions: This form provides a format that can be modified to show how fringe benefits are budgeted and invoiced. You may provide rate computations in your own format or by adding columns to the PEL, in lieu of this form. Please indicate whether fringe benefits are invoiced as specifically identified to each employee or using established rates updated annually.

**Table 8: Fringe Benefits Methodology**

<b>Fringe Benefits (Based on Salaries Paid)</b>	<b>Cost Per Month</b>	<b>Annual Cost (A)</b>	<b>% Time to Contract (B)</b>	<b>Contract Annual Cost (A x B)</b>
Retirement Matching (Specify)				
FICA Matching				
Social Security %				
Medicare %				
Insurance				
Medical				
Dental				
Vision				
Life				
Workers Compensation				
Unemployment Benefits				
FUTA				
SUTA				
Other Benefits (Specify)				
<b>Total Annual Cost (Fringe Benefits)</b>				<b>\$</b>



# **Exhibit 1F**

## **Equipment Inventory Format**



## Equipment Inventory Format

Instructions: provide a list of equipment and trackable durable supplies purchased fully or partially with program funds. If purchased partially with program funds the proportion

**Table 9: Equipment Inventory Format**

Contract No.	Item Description	Serial No.	Item Amount	Date Purchased	Location	Working Condition	Comments
582-0-8141_	600 MHz Computer w/ CR-RW, 30 Gig HD, 19" Monitor	3493322	\$1450	05/01/00	Main Office Rm 201	Good	Use as CRP GIS computer and as River Authority's data storage unit
582-2-8141_	Hydrolab	853-4762	\$8000	07/02/00	Upper Basin Field Office	Needs new membrane	For CRP use in lake monitoring
582-4-8141_	Automatic Sampler	001399	\$2500	08/21/00	Main Office Storage Room	Missing messenger	For CRP use
582-6-8141_	Flow Meter	388-SJ99	\$6500	11/14/00	Main Office Field Equipment	Good	For CRP use
582-6-4442_	GPS Unit	G7754-01	\$5000	10/15/01	Main Office Storage Room	Good	For CRP use and River Authority's use

# Exhibit 1G

## Procurement System Certification



## Procurement System Certification

Instructions: the applicant must complete and submit a copy of this form prior to the procurement of subcontracts or vendors. If the applicant has certified its procurement process to TCEQ within the past 2 years and the system has not been substantially revised, complete Part A in Section II, then sign and date the form. If the system has not been certified within the past 2 years, complete Part B, then sign and date the form and send to the appropriate TCEQ CRP Project Manager at: TEXAS COMMISSION ON ENVIRONMENTAL QUALITY, CLEAN RIVERS PROGRAM, MC 234, P.O. BOX 13087, AUSTIN, TX 78711-3087.

**Table 10: Procurement System Certification**

APPLICANT'S NAME (Organization)		
APPLICANT'S ADDRESS		
SECTION I – INSTRUCTIONS		
The applicant must submit this certification prior to the procurement of sub-recipients or vendors. This document is a certification that the applicant will use procurement procedures which reflect applicable state and local laws and regulations as outlined in the Uniform Grant Management Standards (UGMS).		
SECTION II - CERTIFICATIONS		
A. I affirm that the applicant has within the past 2 years certified to TCEQ that its procurement system complies with applicable state and local laws and regulations as outlined in UGMS. The date of the last Procurement System Certification was:		MONTH/YEAR
B. I, as an authorized representative of the applicant, CERTIFY that the applicant's Procurement System meets all applicable state and local laws and regulations as outlined in the Uniform Grant Management Standards (UGMS).		
List the title and date of all applicable procurement system policy and/or procedure documents. These documents must be made available to the TCEQ upon request.		
PRINTED NAME & TITLE:	SIGNATURE:	DATE:



# Exhibit 1H

## Workplan Shell



## TASK 1: PROJECT ADMINISTRATION

**Objective:** To manage all administrative functions required to support the Clean Rivers Program (CRP) contract, including:

- informative and timely Progress Reports;
- participation in conference calls;
- participation at CRP meetings;
- timely and accurate reimbursement forms with adequate documentation;
- efficient cost control to ensure expenses are allowable and applicable;
- responsibility for procurement and oversight of subcontractors;
- participation in fiscal monitoring reviews;
- timely and accurate deliverables that meet the intent of the FY2020-2021 CRP Guidance;
- adherence to TCEQ contract provisions;
- detailed and reasonable Work Plan development;
- financial reporting and budget monitoring; and
- training to ensure personnel are properly prepared to conduct work.

**Task Description:** *Provide a narrative description of the work that will be performed to accomplish this task. Where applicable, describe how individual deliverables will be completed and the level of effort needed to meet task objectives. Following is a suggested task description that can be modified to include the specific activities of the Performing Party for inclusion in the Work Plan.*

The Performing Party will complete the following subtasks:

**Progress Reports** - Progress Reports will contain a level of detail sufficient to document the activities which occurred during the appropriate quarter and provide detailed supporting documentation and justification for reimbursement requests. Progress Reports will contain a general description of activities, a detailed tracking of deliverables, and the amount of water quality monitoring which occurred during the quarter. The Progress Report will be in the format provided in Exhibit 1D of the FY2020-2021 CRP Guidance.

**Reimbursement Requests** - A Financial Status Report, Supplemental Forms, and a current Personnel Eligibility List (PEL) will be submitted along with appropriate additional documentation (e.g. subcontractor invoices) on a quarterly basis. An updated Equipment Inventory List will be submitted with the Reimbursement request when changes occur during the quarter. Budget Revision Requests will be made in advance of making changes to the budget.

**Contractor and Subcontractor Evaluations** - An annual self-evaluation and evaluations of subcontractors will be submitted at the end of each fiscal year.

**Procurement Procedures Documentation** - Documentation of the procurement process used to solicit, evaluate, pay, and oversee subcontractors, as specified in the FY2020-2021 CRP Guidance, will be developed. This documentation will be maintained in-house and will be made available for review by TCEQ staff upon request. For each subcontract made in association with this Contract, the Performing Party will provide a memo describing the procurement method used and a summary of



the work to be performed to the TCEQ CRP Project Manager. In addition, a Procurement System Certification will be submitted with the supporting documentation required with the FY 2022-2023 Work Plan, in accordance with the FY2022-2023 CRP Guidance.

**Conference Calls** – The Performing Party will participate in all scheduled conference calls unless other arrangements are made with the TCEQ Project Manager.

**Conferences and Training Events** – The Performing Party will participate in meetings and training events as scheduled by CRP. All non-CRP conferences and training events need to be pre-approved by the TCEQ prior to incurring costs associated with such events. *List all/any non-CRP training events or conferences that are planned.*

**Documentation for Desk Review or On-Site Visit** - Detailed supporting documentation, in addition to the quarterly reimbursement documentation, will be made available upon request. The additional supporting documentation will include those items outlined in Exhibit 1B of the FY2020-2021 CRP Guidance. In the case of an on-site visit, the appropriate Performing Party personnel will be available during the visit.

**FY 2022-2023 Work Plan and Supporting Documentation** - The Work Plan and supporting documentation will be prepared and submitted as specified in the FY2022-2023 CRP Guidance. Supporting documentation will include (as applicable): budget by category, budget by task, PEL, fringe rate methodology, indirect rate methodology, allocated costs documentation, equipment purchase request list, equipment inventory, a list of sub-contracted tasks, a list of known training events/conferences, and a signed Procurement System Certification. The Work Plan will include the tasks and deliverables outlined in the FY 2022-2023 Guidance and will be negotiated with the TCEQ CRP Project Manager. A list of all deliverables in due date order will be submitted with the final Work Plan.

Deliverables and Due Dates:

**September 1, 2019 through August 31, 2020**

- A. Progress Reports - December 15, 2019; March 15 and June 15, 2020
- B. Annual Self-Evaluation and, if applicable, Subcontractor Evaluations - August 31, 2020
- C. Procurement Procedures Documentation Memo- within 30 days after the subcontract is executed
- D. Additional Supporting Documentation for Desk Review or Site Visit - upon request

**September 1, 2020 through August 31, 2021**

- A. Progress Reports - September 15 and December 15, 2020; March 15, June 15, and August 31, 2021
- B. Proposed FY 2022 - 2023 Work Plan and Supporting Documentation – December 15, 2020
- C. Final FY 2022 - 2023 Work Plan and Supporting Documentation – February 1, 2021
- D. Annual Self Evaluation and, if applicable, Subcontractor Evaluations - August 31, 2021
- E. Procurement Procedures Documentation Memo - within 30 days after the subcontract is executed
- F. Additional Supporting Documentation for Desk Review or Site Visit - upon request



## TASK 2: QUALITY ASSURANCE

Objective: To conduct data collection activities in accordance with an integrated system of quality management activities involving planning, assessment, implementation, training, and quality improvement. This task addresses objectives and processes for:

- Quality Assurance Project Plan (QAPP) development and implementation;
- laboratory quality assurance;
- data review, verification, and validation;
- oversight of project(s); and
- special studies project planning.

**Task Description:** *Provide a narrative description of the work that will be performed to accomplish this task. Where applicable, describe how individual deliverables will be completed and the level of effort needed to meet task objectives. Following is a suggested task description that can be modified to include the specific activities of the Performing Party.*

All work funded by this contract that involves the acquisition of environmental data generated from direct measurement activities, collected from other sources, or compiled from computerized databases and information systems will be planned in consultation with the TCEQ and documented in a fully approved TCEQ QAPP before data collection can be implemented.

The Planning Agency will complete the following subtasks described below:

**NELAP Accreditation** - *Costs associated with the National Environmental Laboratory Accreditation Program (NELAP) as they relate to the CRP (e.g., Proficiency Test samples, NELAP consultants, accreditation) may be charged directly or indirectly to the program, but must be fully explained and justified in the Work Plan and include deliverables.* Laboratory data will be produced by laboratories (and subcontract laboratories) whose quality assurance program is consistent with the NELAC Institute (TNI) standards.

**Basin-wide QAPP** - The Basin-wide QAPP will be submitted to the TCEQ in the TCEQ-approved shell format. Only those sites covered by the QAPP and parameters satisfying the requirements of Texas Water Code (TWC) Chapter 5, Subchapter R (TWC §5.801 et seq) and Title 30 Texas Administrative Code (TAC) Chapter 25, Subchapters A and B will be included in the document. The Performing Party will address all TCEQ comments and submit the revised QAPP to the TCEQ within 30 days after receiving comments from the TCEQ.

The Performing Party will secure written documentation (signature in the QAPP or Adherence Letter) from participants under the QAPP stating their awareness of and commitment to adhere to the requirements contained in the QAPP and any appendices and amendments. This documentation will be maintained as part of the Performing Party's quality assurance records. Copies of all Adherence Letters must be forwarded to the TCEQ no later than 45 days following TCEQ's approval of the QAPP,





but prior to the monitoring event. (Note: Adherence Letters are not required for entities who sign the QAPP). The Performing Party will distribute the QAPP to all participants (including the laboratory). Documentation of distribution and acknowledgement of receipt will be maintained by the Performing Party and be available for review during a TCEQ monitoring systems audit.

Sections of the Basin-wide QAPP will be posted to the Performing Party's CRP webpage. These sections include the monitoring program or project objectives, measurement performance specifications (i.e., Table A7 of the QAPP), appendices, and the monitoring schedule and maps of sampling sites. In lieu of the monitoring schedule and maps, a link to the coordinated monitoring schedule (CMS) website may be provided, with a disclaimer that states the CMS includes stations monitored by other entities.

**QAPP Amendment to Appendix B** - The monitoring schedule in Appendix B of the Basin-wide QAPP will be updated for the second year of the contract biennium after the annual coordinated monitoring meeting. This special type of QAPP amendment will be submitted using the TCEQ-approved shell format. Only the sites covered by the Performing Party's QAPP will be included in Appendix B of the QAPP.

**Planning for Special Studies or Permit Support Monitoring** - In consultation with TCEQ staff, and in consideration of the elements of the QAPP, special studies and monitoring projects to support permits will be systematically planned. The Performing Party Project Manager will coordinate with the TCEQ to establish the planning team, schedule the meeting (90 days prior to the planned sampling date), distribute meeting materials in advance of the meeting, facilitate the meeting, and prepare meeting minutes. The Performing Party will submit planning materials for the meeting to all participants no later than one week prior to the meeting. Meeting materials will include, as appropriate, a problem definition, as currently understood, a description of the budget, personnel and schedule issues, maps, information on past or on-going studies, historical water quality data, Integrated Report findings, wastewater discharge information, known or expected sources of contamination, existing monitoring sites, land use information, etc. Planning meeting summary notes will be provided to participants within two weeks of the meeting. The information developed during the planning meeting will be incorporated into a QAPP appendix.

**QAPP Appendices** - Special studies and permit support monitoring projects that have different objectives than those described in the Basin-wide QAPP will be incorporated into the QAPP as appendices after they are thoroughly planned in consultation with the TCEQ. The QAPP appendices will be written in the TCEQ prescribed format and reference sections of the Basin-wide QAPP as appropriate, and otherwise address information unique to the project. Unique aspects of special projects include the problem definition, the task description, measurement performance specifications, sample design rationale, sampling methods requirements, etc. QAPP appendices will be sent to the TCEQ through the TCEQ CRP Project Manager. QAPP appendices for Special Studies or Permit Support Monitoring will be submitted to the TCEQ no later than 30 days after the planning meeting using the TCEQ-approved shell format. The Performing Party will address TCEQ comments, modify the document, and submit the final QAPP appendix to the TCEQ CRP Project Manager within 30 days of receipt of TCEQ comments.

**QAPP Amendments and Revisions to Appendices** - Changes in parameters, sampling or analytical procedures, project organization, and other items of an existing project necessitates an amendment to the QAPP and/or Revisions to Appendices. Amendments and Revisions to Appendices



will be submitted electronically to the TCEQ CRP Project Manager on an "as needed" basis in the TCEQ-approved shell format for agency review. Upon approval, QAPP Amendments and Revisions to Appendices will be distributed to all personnel on the distribution list maintained by the Performing Party. Documentation of distribution and acknowledgement of receipt will be maintained by the Performing Party and be available for review during a TCEQ monitoring systems audit.

**Project Oversight** - The Performing Party will participate in monitoring systems audits and laboratory inspections by the TCEQ.

The Performing Party will conduct oversight of sub-participants (including contractors and in-kind participants) who conduct field monitoring under their basin QAPP. The assessment will be performed once during the contract cycle in the case of on-going projects, or once during a project's lifetime in the case of short-lived special studies. *(Two basic types of on-site assessment are acceptable: readiness reviews and monitoring systems audits. The Performing Party should elaborate as to the type of assessment that will be performed on every program or project in the QAPP. Note: The on-site assessment requirement does not apply if all work is performed by the Performing Party.)*

Following the on-site assessment, the Performing Party will provide the audited organization with an audit report within 30 days. If no findings are made, the report will make this clear. Findings made during the audit will be documented in the audit report. Audit reports will contain references to written specifications, as defined in the QAPP or in a standard operating procedure (SOP). The audited organization will be asked to respond in writing to the report within 30 days. A copy of the audit report and the response will be submitted as a deliverable to the TCEQ CRP Project Manager with the Progress Report no later than the quarter following the one in which the audit was conducted.

**Corrective Action Reports** - Issues that may affect data quality and availability will be tracked, addressed, and reported to the TCEQ using the definitions and corrective action strategy laid out in the FY2020-2021 CRP Guidance. The Performing Party must address deviations associated with sampling activities, chain-of-custody, analytical method requirements, quality control, and data management.

Deliverables and Due Dates:

**September 1, 2019 through August 31, 2020**

- A. Basin-wide QAPP Receipt Acknowledgement and Adherence Letters (if applicable) - October 15, 2019
- B. Specified sections of the Basin-wide QAPP posted to the web page - October 31, 2019
- C. Draft QAPP Appendix B Amendment for FY 2021 monitoring - June 15, 2020
- D. Final QAPP Appendix B Amendment for FY 2021 monitoring – August 15, 2020
- E. Planning meetings for Special Studies or Permit Support Monitoring (if applicable) - 90 days prior to the planned sampling date
- F. Planning meeting summary notes for Special Studies or Permit Support Monitoring (if applicable) – no later than two weeks after the planning meeting
- G. Draft QAPP Appendices for Special Studies or Permit Support Monitoring (if applicable) – no later than 30 days after the planning meeting

- H. Final QAPP Appendices for Special Studies or Permit Support Monitoring (if applicable) – no later than 30 days after the receipt of TCEQ comments
- I. QAPP Amendments and Revisions to Appendices (if applicable) - as needed
- J. QAPP Appendix and Amendment Receipt Acknowledgement and Adherence Letters (if applicable) - no later than 45 days after TCEQ approval of the QAPP, but prior to the monitoring event
- K. Participate in TCEQ monitoring systems audit(s) and response to comments (if applicable) - date planned in consultation with TCEQ
- L. Conduct on-site oversight assessment of sub-participants, once during each project or once during contract cycle (if applicable) – to be scheduled
- M. On-site project oversight report and response (if applicable) - with the Progress Report no later than the quarter following the one in which the audit was conducted
- N. Corrective action status report (if applicable) - with Progress Report

**September 1, 2020 through August 31, 2021**

- A. Draft FY 2022-2023 Basin-wide QAPP - June 15, 2021
- B. Final FY 2022-2023 QAPP - August 15, 2021
- C. Planning meetings for Special Studies or Permit Support Monitoring (if applicable) - 90 days prior to the planned sampling date
- D. Planning meeting summary notes for Special Studies or Permit Support Monitoring (if applicable) - no later than two weeks after the planning meeting
- E. Draft QAPP Appendices for Special Studies or Permit Support Monitoring (if applicable) – no later than 30 days after the planning meeting
- F. Final QAPP Appendices for Special Studies or Permit Support Monitoring (if applicable) – no later than 30 days after the receipt of TCEQ comments
- G. QAPP Amendments and Revisions to Appendices (if applicable) - as needed
- H. QAPP Appendix and Amendment Receipt Acknowledgement and Adherence Letters (if applicable) - no later than 45 days after TCEQ approval of the QAPP, but prior to the monitoring event
- I. Participate in TCEQ monitoring systems audit(s) and response to comments (if applicable) - date planned in consultation with TCEQ
- J. Conduct on-site oversight assessment of sub-participants, once during each project or once during contract cycle (if applicable) - August 1, 2021
- K. On-site project oversight report and response (if applicable) - August 31, 2021
- L. Corrective action status report (if applicable) - with Progress Report

### TASK 3: WATER QUALITY MONITORING

**Objectives:** Water quality monitoring will focus on the characterization of a variety of locations and conditions. This will include a combination of the following:

- planning and coordinating basin-wide monitoring;
- routine, regularly-scheduled monitoring to collect long-term information and support statewide assessment of water quality; and
- systematic, regularly-scheduled short-term monitoring to screen water bodies for issues.

**Task Description:** *Provide a narrative description of the work that will be performed to accomplish this task. Where applicable, describe how individual deliverables will be completed and the level of effort needed to meet task objectives. Following is a suggested task description that can be modified to include the specific activities of the Performing Party.*

The Performing Party will complete the following subtasks:

**Monitoring Description -** *List the minimum number of sites that will be sampled each year. Indicate the sampling frequency and the types of parameter groups that will be collected (e.g., In FY 2020, 45 sites monthly for field, flow, conventional parameters, and bacteria; 12 sites annually for metals; 6 sites for biological/habitat twice per year during the index period of March 15 and October 15, with one event falling between July 1 and September 30 In FY 2021, the Performing Party will monitor at a similar level of effort as in FY 2020. The actual number of sites, location, frequency, and parameters collected for FY 2021 will be based on priorities identified at the Basin Steering Committee and Coordinated Monitoring meetings and included in the amended Appendix B schedule of the QAPP.)*

All monitoring will be completed in accordance with the Performing Party QAPP, the TCEQ Surface Water Quality Monitoring Procedures, Volume 1: Physical and Chemical Monitoring Methods (RG-415) and the TCEQ Surface Water Quality Monitoring Procedures, Volume 2: Methods for Collecting and Analyzing Biological Assemblage and Habitat Data (RG-416).

**Coordinated Monitoring Meeting** - The Performing Party will hold an annual coordinated monitoring meeting as described in the FY2020-2021 CRP Guidance. Qualified monitoring organizations will be invited to attend the working meeting in which monitoring needs and purposes will be discussed segment by segment and station by station. Information from participants and stakeholders will be used to select stations and parameters that will enhance overall water quality monitoring coverage, eliminate duplication of effort, and address basin priorities. A summary of the changes to the monitoring schedule will be provided to the participants within two weeks of the meeting. Changes to the monitoring schedule will be entered into the statewide Coordinated Monitoring Schedule (<http://cms.lcra.org>) and communicated to meeting attendees. Changes to monitoring schedules that occur during the year will be entered into the Coordinated Monitoring Schedule and communicated to meeting attendees.



**Progress Report** - Each Progress Report will include all types of monitoring and indicate the number of sampling events and the types of monitoring conducted in the quarter.

Deliverables and Dues Dates:

**September 1, 2019 through August 31, 2020**

- A. Conduct water quality monitoring, summarize activities, and submit with Progress Report - December 15, 2019; March 15 and June 15, 2020
- B. Coordinated Monitoring Meeting - between March 15 and April 30, 2020
- C. Coordinated Monitoring Meeting Summary of Changes - within 2 weeks of the meeting
- D. Email notification that Coordinated Monitoring Schedule updates are complete - May 31, 2020

**September 1, 2020 through August 31, 2021**

- A. Conduct water quality monitoring, summarize activities, and submit with Progress Report - September 15 and December 15, 2020; March 15 and June 15 and August 31, 2021
- B. Coordinated Monitoring Meeting - between March 15 and April 30, 2021
- C. Coordinated Monitoring Meeting Summary of Changes – within 2 weeks of the meeting
- D. Email notification that Coordinated Monitoring Schedule updates are complete - May 31, 2021

## **TASK 4: DATA MANAGEMENT**

**Objectives:** To manage a quality-assured water quality monitoring database and submit data to the TCEQ in the required format for inclusion in the Surface Water Quality Monitoring Information System (SWQMIS) database.

**Task Description:** Surface water quality monitoring data files, including biological, special studies, and targeted monitoring data, as applicable, will be transferred to the TCEQ in the correct format using the TCEQ file structure. Binary Large Object (BLOB) files will be provided with biological data as outlined in the FY 2020-2021 CRP Guidance.

The Performing Party will complete the following subtasks:

The Performing Party will review each data set using the Data Review Checklist and the SWQMIS Data Loader. A Data Summary (including information on data completeness) and the SWQMIS Validator Report will be submitted with each data set. The Data Summary will contain basic identifying information about the data set, information regarding inconsistencies and errors identified during data verification and validation steps, and/or problems with data collection efforts.

The Performing Party will provide a summary of the status of data submittal progress in the second year of the biennium. The progress report will document the extent to which data collected through November 30, 2020 have been submitted to the TCEQ. The report should summarize the status of data submittals for all data providers described in the Performing Party's basin-wide QAPP.

Data correction requests and station location requests will be submitted via SWQMIS, as needed.

Water quality data approved by the TCEQ will be posted on the Performing Party's Web page at least two times per year, or a link may be provided to the TCEQ Surface Water Quality Web Reporting Tool at <http://www80.tceq.texas.gov/SwqmisPublic/public/default.htm>.

Deliverables and Due Dates:

### **September 1, 2019 through August 31, 2020**

- A. Surface water quality monitoring data files, SWQMIS Validator Report, and Data Summary - December 1, 2019; March 1 and August 1, 2020
- B. Surface water quality monitoring data updates to web page or link to TCEQ's water quality data – February 1 and August 1, 2020
- C. BLOB files - coordinate due date(s) with TCEQ CRP Project Manager

### **September 1, 2020 through August 31, 2021**

- A. Surface water quality monitoring data files SWQMIS Validator Report, and Data Summary - December 1, 2020; March 1 and August 1, 2021

November 30, 2018



- B. Surface water quality monitoring data updates posted to web page, or link to TCEQ's water quality data - February 1 and August 1, 2021
- C. Data submittal progress report – March 1, 2021
- D. BLOB files - coordinate due date(s) with TCEQ CRP Project Manager



## TASK 5: DATA ANALYSIS AND REPORTING

**Objectives:** Conduct data analysis and develop reports that provide information to describe water quality and identify priority water quality issues for further investigation or action.

This work will:

- correlate watershed characteristics with water quality conditions;
- highlight areas where water quality appears to be improving or declining;
- support and/or validate the findings of the Texas Integrated Report of Surface Water Quality;
- support planning of monitoring efforts;
- identify areas where nonpoint source management efforts may be applied; and
- provide information for stakeholders to discuss at Steering Committee meetings.

**Task Description:** *Provide a narrative description of the work that will be performed to accomplish this task. Where applicable, describe how individual deliverables will be completed and the level of effort needed to meet task objectives. Following is a suggested task description that can be modified to include the specific activities of the Performing Party for inclusion in the Work Plan.*

The Planning Agency will complete the following subtasks described below:

**Basin Highlights Report** - The Performing Party may vary the content of the Basin Highlights Report to reduce repetition of information that does not change on an annual basis. The Basin Highlights Report will follow one of the versions described below as detailed in the FY 2020-2021 CRP Guidance.

### *The Standard Report*

- an overview of basin water quality monitoring describing each organization's participation
- the top water quality issues in the basin for stakeholder prioritization and monitoring decisions
- a description of water quality conditions for each segment/water body
- a summary of findings from special studies
- maps showing the location of sampling sites and water quality issues
- summary of Steering Committee and other public outreach activities
- instructions on how to get involved in Steering Committee meetings, volunteer monitoring, and other opportunities for participation
- information on the CRP content featured on the Performing Party's web page

### *Watershed Characterization*

- descriptions of segments with the areas of impairment or interest described
- stream / reservoir hydrology
- impairment/area of interest description
- land use and natural characteristics



- potential causes of each impairment
- potential stakeholders
- recommendations for improving water quality
- maps including water bodies and relevant spatial conditions
- ongoing projects
- images of water bodies and watershed areas being characterized
- major watershed events (present and future)

#### *Program Update*

- an update on major basin activities, changes and events
- an update of basin water quality monitoring activities
- an update on the top water quality concerns and issues in the basin
- a summary of findings from special studies
- maps showing the location of sampling sites and major water quality issues
- an update on public outreach and educational activities
- links to additional resources

Electronic copies of the draft report and five copies of the final report will be provided to the TCEQ. The TCEQ will provide comments on the draft report and final approval will rest with the TCEQ. The reports will be made available to Steering Committee Members and all basin stakeholders and will be posted on the Performing Party's web page.

**Basin Summary Report** - The Basin Summary Report will follow the outline described in the FY 2020-2021 CRP Guidance. The report will include a comprehensive review of water quality for the entire basin, including:

- a description of the water quality conditions and issues;
- trend analysis of water quality by station and parameter;
- maps showing watershed characteristics, sampling stations, and water quality issues;
- a discussion of the watershed characteristics and their potential influence on water quality; and
- recommendations for water quality management strategies to correct identified water quality problems and pollution sources.

A meeting between the Performing Party and the TCEQ CRP staff will be arranged prior to the commencement of substantial work on the report. The Performing Party will be prepared to discuss site selection for trend analysis, report content and layout, methodology for data review, and address other questions or suggestions for the report.

A pre-draft or watershed summary will be provided to the TCEQ CRP Project Manager and must be approved prior to completing the first draft. The Basin Summary Report will be presented to the Steering Committee for review and comment. Resolution of comments will be coordinated with the public and the TCEQ, if necessary. The Performing Party will provide an electronic copy of the draft report to the TCEQ and TCEQ will provide comments; final approval of the report will rest with the TCEQ. Five copies of the final report will be provided to the TCEQ. The reports will be made available to Steering Committee members and all basin stakeholders and will be posted on the Performing Party's web page. The final Basin



Summary Report will be provided to the Texas Parks and Wildlife Department, Texas State Soil and Water Conservation Board, the governor, the lieutenant governor, and the speaker of the House of Representatives not later than the 90th day after the date the report is submitted to the TCEQ.

Deliverables and Due Dates:

**September 1, 2019 through August 31, 2020**

- A. Preparation meeting for Basin Summary Report – by November 15, 2019
- B. Pre-Draft Watershed Summary – December 15, 2019
- C. Draft Basin Highlights Report - February 15, 2020
- D. Draft Basin Summary Report - March 15, 2020
- E. Final Basin Highlights Report – May 15, 2020
- F. Final Basin Summary Report – May 31, 2020
- G. Post Report to web page - June 30, 2020

**September 1, 2020 through August 31, 2021**

- A. Preparation meeting for Basin Summary Report – by November 15, 2020
- B. Pre-Draft Watershed Summary – December 15, 2020
- C. Draft Basin Highlights Report - February 15, 2021
- D. Draft Basin Summary Report - March 15, 2021
- E. Final Basin Highlights Report – May 15, 2021
- F. Final Basin Summary Report – May 31, 2021
- G. Post Report to web page – June 30, 2021

## TASK 6: STAKEHOLDER PARTICIPATION AND PUBLIC OUTREACH

**Objectives:** Enhance and support participation of stakeholders in the development of water quality objectives and priorities for the basin, and CRP as a whole. Engage in education and outreach activities to enhance stakeholder knowledge and involvement.

The Steering Committee serves as the focus of public input and assists with:

- creation of specific, achievable water quality objectives and basin priorities;
- review and development of work plans and allocation of resources;
- review, development and approval of major reports;
- establishment of monitoring priorities and development of monitoring plans; and
- identification of priority problem areas and possible actions to address these problems and pollutant sources.

Stakeholders should be engaged through outreach and education activities that support the CRP goals. This can be accomplished by:

- providing several forums for citizens to contribute their ideas and concerns;
- participating in outreach and education activities to increase public awareness about water quality issues in the basin;
- communicating information on water quality issues so that priorities may be set considering local, regional, state, and federal needs; and
- providing opportunities for volunteer citizen monitoring of basin water bodies.

**Task Description:** *Provide a narrative description of the work that will be performed to accomplish this task. Where applicable, describe how individual deliverables will be completed and the level of effort needed to meet task objectives. Following is a suggested task description that can be modified to include the specific activities of the Performing Party for inclusion in the Work Plan.*

The Planning Agency will complete the following subtasks described below:

**Steering Committee and Meetings** - To sufficiently address the different interests, concerns and priorities of each watershed, the Performing Party will work to ensure that its Steering Committee includes stakeholder volunteers from across the basin that represent the groups identified in the FY 2020-2021 CRP Guidance. If specified groups are not represented, efforts will be made to recruit representatives before the next scheduled meeting. To engage new members and increase participation, the Performing Party will take every opportunity to promote the CRP and involvement in the Steering Committee.

To meet the goals and coordination requirements of the FY2020-2021 CRP Guidance, the Performing Party will conduct (*number*) Steering Committee meetings during the month(s)



of (*months*). Additional sub-committees or other public meetings may also be convened to help complete the requirements.

The Performing Party will contact stakeholders at least 45 days in advance of meeting date(s) to encourage participation. A questionnaire, which will be sent to all interested stakeholders, will provide a list of proposed agenda topics, request confirmation of continued interest/participation in the Steering Committee, and request input on additional topics and potential stakeholders. Along with the priority agenda topics identified in the CRP Guidance, Steering Committee meetings will include additional topics of significant interest to stakeholders. A final meeting announcement and agenda will be made available at least 15 days prior to the meeting.

After each Steering Committee meeting, the Performing Party will ensure all stakeholder input, comments, decisions, and any other meeting decisions are addressed, where applicable. For all Steering Committee meetings, copies of meeting materials will be provided with the next Progress Report, and include: a copy of the meeting agenda, presentations, meeting minutes, and a list of attendees. Steering Committee meeting minutes will also be posted to the Performing Party's website and the posting of the meeting minutes will be documented in the Progress Report following the meeting.

**Education and Outreach** - For any public participation, outreach, or volunteer monitoring activities, a copy of the activities summary, materials produced or distributed by the Performing Party, and a list of participants will be included in the subsequent Progress Report.

The Performing Party will develop, maintain, update, and report on their web page as specified in the FY 2020-2021 CRP Guidance. The web page will be reviewed on a quarterly basis to ensure that information and announcements remain current and relevant. The Performing Party will also include summaries of revisions to the web page in the corresponding quarterly Progress Report.

Deliverables and Due Dates:

**September 1, 2019 through August 31, 2020**

- A. Document that web page meets outlined requirements – December 15, 2019
- B. Summarize web page updates and submit with quarterly Progress Report - December 15, 2019; March 15 and June 15, 2020
- C. Contact Steering Committee members with questionnaire, draft agenda topics and to confirm participation – a minimum of 45 days prior to Steering Committee meeting date
- D. Final announcements and agenda for Steering Committee meetings – a minimum of 15 days in advance of meeting
- E. Steering Committee meeting - number and dates as negotiated with TCEQ Project Manager
- F. Steering Committee meeting materials - with Progress Report following meeting



- G. Steering Committee meeting minutes posted to the web page – indicate in Progress Report following meeting
- H. Materials from education and outreach activities included with quarterly Progress Report - December 15, 2019; March 15 and June 15, 2020

**September 1, 2020 through August 31, 2021**

- A. Summarize web page updates and submit with quarterly Progress Report– September 15 and December 15, 2020; March 15, June 15, and August 31, 2021
- B. Contact Steering Committee members with questionnaire, draft agenda topics and to confirm participation – *a minimum of 45 days prior to Steering Committee meeting date*
- C. Final announcements and agenda for Steering Committee meetings – *a minimum of 15 days in advance of meeting*
- D. Steering Committee meeting - number and dates as negotiated with CRP Project Manager
- E. Steering Committee meeting materials - *with Progress Report following meeting*
- F. Steering Committee meeting minutes posted to the web page - *indicate in Progress Report following meeting*
- G. Materials from education and outreach activities included with quarterly Progress Report - September 15 and December 15, 2020; March 15, June 15, and August 31, 2021

## TASK 7: SPECIAL PROJECTS

**Objectives:** *Special projects may be developed to address watershed-specific concerns that may influence water quality as identified by the Performing Party and Steering Committee as priority issues for the basin. If more than one project is planned, each one should be defined as a sub-task (Task 7.1, Task 7.2, etc.) with separate plans, deliverables, and budgets. The Performing Party should work closely with their CRP Project Manager since most of these projects will require meetings to discuss and scope out project plans. Objectives for this task will depend on the project to be addressed. Any projects with water quality monitoring activities defined in a QAPP will be addressed as a Special Project in Task 3.*

**Task Description:** *Provide a narrative description of the work that will be performed to accomplish this task. Where applicable, describe how individual deliverables will be completed and the level of effort needed to meet task objectives.*

The Planning Agency will complete the following subtasks described below:

Deliverables and Due Dates:

**September 1, 2019 through August 31, 2020**

Add Project-specific deliverables

**September 1, 2020 through August 31, 2021**

Add Project-specific deliverables