

Subrecipient Guide

Abandoned Mine Land & Abandoned Mine Drainage Grant Program

Bureau of Abandoned Mine Reclamation
Grant Program Monitoring Section





Pennsylvania
Department of
Environmental Protection

TOPICS COVERED

- **2026 Guidance Updates**
- **Grant Agreement Overview**
- **Grant Budget**
- **Application for Reimbursement**
- **Procurement**
- **Reporting**
- **Risk Assessments**
- **Consent for Right of Entry**
- **Common Issues & Errors...along the way!**



Pennsylvania
Department of
Environmental Protection

Quick Reminders!

The AML/AMD Grant Program
is not related to
Growing Greener or the 319 Grant Program!

Always include our resource account
ra-epamgrantprogram@pa.gov on all
correspondence related to your grant or
project!

2026 PROGRAM GUIDANCE UPDATES



- 2 application rounds
 - April 13 – June 5 (updated dates from Guidance)
 - October 5 – November 30
- Must achieve AML or AMD improvements
- Initial Project Consultation (IPC) – now 45 days prior to round opening!
- Risk Assessment for all applicants
- Cost/benefit analysis for AML projects



Pennsylvania
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DISCLAIMER

Any reference to the Code of Federal Regulations is taken directly from the Code and is DEP-BAMR's attempt to assist you in understanding your role as a subrecipient of a federal award. It is not legal advice. Legal advice should be sought, when necessary, to better understand federal regulations and how they apply to your organization.



Pennsylvania
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GRANT AGREEMENT OVERVIEW



GRANT AGREEMENT OVERVIEW

DEP Form Contract 7C-FA-43.1
Contract #: «contractNo»

[PROJECT NUMBER]
[PROJECT NAME]

ABANDONED MINE LAND & ABANDONED MINE DRAINAGE GRANT PROGRAM AGREEMENT

This Abandoned Mine Land & Abandoned Mine Drainage ("AML-AMD") Grant Program Agreement is between the Commonwealth of Pennsylvania ("Commonwealth"), acting through the Department of Environmental Protection, with its principal offices located at 400 Market Street, Harrisburg, PA 17101 ("Department") and «GranteeActuals» ("Grantee").

The Department is the executive Commonwealth agency responsible for, among other things, protecting the people of the Commonwealth from unsanitary conditions and other environmental nuisances. Pursuant to the Surface Mining Conservation and Reclamation Act (52 P.S. § 1396 18(j)), and the Land and Water Conservation and Reclamation Act (32 P.S. §§5101 et seq.), the Department is responsible for awarding grants to the United States government for approved abandoned mine land reclamation and abandoned mine drainage abatement ("Program").

The Grantee has submitted a grant application for the [PROJECT NAME & PROJECT NUMBER] ("Project") and the Department has approved the Grantee's application.

The parties, intending to be legally bound, agree and intend as follows:

1. **Grant Award.** Subject to the terms and conditions of this agreement and the availability of Program funds, the Department hereby awards to Grantee an amount not to exceed «ContractAmtWithCents» in Program funds to support the Project. The Grantee shall utilize the Program funds solely to carry out the Project in accordance with the Scope of Work and Budget set forth in Attachment A of this agreement.

2. **Grant Term.** The term of this agreement will commence on the date of the last Commonwealth signature ("Effective Date") and will expire three years from the later of: (a) the Period of Performance end date (as defined below); or (b) the date of final payment ("Expiration Date"), unless sooner terminated in accordance with Section 6 of Attachment C. This agreement is not binding on the Commonwealth or the Department until all required Commonwealth signatures have been obtained and the Department sends a copy of the fully executed agreement to the Grantee.

3. **Period of Performance.** The Period of Performance ("PoP") for this agreement is «BeginDateActuals» to «EndDateActuals». The Grantee shall utilize Program funds received pursuant to this agreement solely to pay for any expenses and costs incurred by the Grantee for the Project during the PoP to carry out the activities described in Attachment A.

4. **Attachments.** The parties shall comply with the terms, conditions, and requirements set forth in the following attachments to this agreement:

- a) Attachment B – Commonwealth Standard Terms and Conditions for Grants;
- b) Attachment C – Department of Environmental Protection General Grant Conditions;

DEP Form Contract 7C-FA-43.1
Contract #: «contractNo»

[PROJECT NUMBER]
[PROJECT NAME]

- c) Attachment D – Special Conditions; and
- d) Attachment E – Federal Requirements

5. **Integration and Merger.** When fully executed by the parties, this agreement will be the final and complete agreement between the parties containing all the terms and conditions agreed on by the parties. All representations, understandings, promises, and agreements pertaining to the subject matter of this agreement made prior to or at the time this agreement is executed are superseded by this agreement, unless specifically accepted by any other term or provision of this agreement. There are no conditions precedent to the performance of this agreement, except as expressly set forth in this agreement.

6. **Electronic Signatures.** This agreement may be signed electronically in accordance with the Pennsylvania Electronic Transactions Act, Act 69 of 1999, 73 P.S. § 2260.301 et seq. The parties agree that the full force and effect of this agreement shall be the same as if the parties had signed this agreement on paper and the full force and effect of this agreement shall be the same as if the parties had signed this agreement on paper.

APPENDIX

«Appcode1»
«Appcode2»
«Appcode3»
«Appcode4»
«Appcode5»
«Appcode6»
«Appcode7»
«Appcode8»

«DollarAmtWithCents1»
«DollarAmtWithCents2»
«DollarAmtWithCents3»
«DollarAmtWithCents4»
«DollarAmtWithCents5»
«DollarAmtWithCents6»
«DollarAmtWithCents7»
«DollarAmtWithCents8»

SIGNATURE PAGE FOLLOWS.

DEP Form Contract 7C-FA-43.1
Contract #: «contractNo»

[PROJECT NUMBER]
[PROJECT NAME]

The parties, through their authorized representatives, have signed this agreement on the dates indicated below.

«GranteeActuals»

<< To be signed electronically >>

SAP Vendor #: «VendorNo»

COMMONWEALTH OF PENNSYLVANIA,
DEPARTMENT OF ENVIRONMENTAL PROTECTION

<< To be signed electronically >>

Nathan A. Houts, Deputy Secretary for Active
Business Operations

APPROVED AS TO LEGALITY AND FORM:

<< To be signed electronically >>

Office of Chief Counsel
Department of Environmental Protection

FORM PRE-APPROVED # 7C-FA-43.1
Office of General Counsel

FORM PRE-APPROVED # 7C-FA-43.1
Office of Attorney General

APPROVED: «ContractAmtWithCents»

<< To be signed electronically >>

Comptroller Operations

The first three pages of the agreement outline the main points of the agreement and all attachments.



GRANT AGREEMENT OVERVIEW

- Grantee Name
- Project Name/Number
- Grant Award Amount
- Grant Term
- Period of Performance
- Attachments

ABANDONED MINE LAND & ABANDONED MINE DRAINAGE GRANT PROGRAM AGREEMENT

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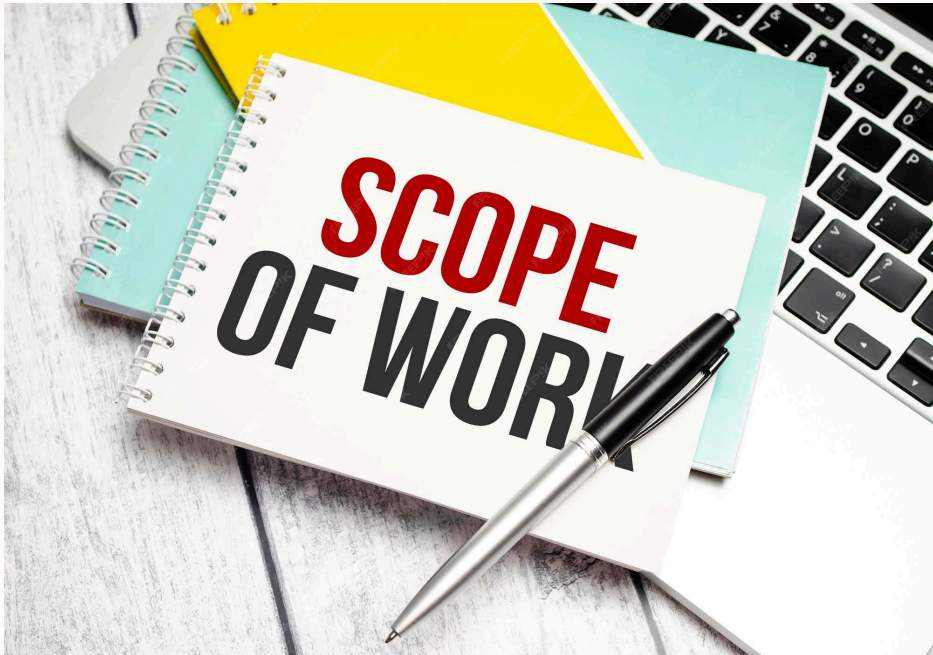
GRANT AGREEMENT ATTACHMENTS

- Attachment A – Scope of Work & Budget
- Attachment B – Commonwealth Standard Terms & Conditions
- Attachment C – General Grant Conditions
- Attachment D – Special Conditions
- Attachment E – Federal Requirements



ATTACHMENT A

SCOPE OF WORK & BUDGET



- High-level, brief scope references the scope of the project included in the application
- Budget is drafted from the submitted Budget Worksheet

ATTACHMENT B

STANDARD TERMS & CONDITIONS

- Nondiscrimination/Sexual Harassment
- Subrecipient Integrity
- Contractor Responsibility
- Americans with Disabilities Act
- Applicable Law & Forum
- Right-to-Know Law
- Offset
- ACH Payments
- Workers Protection & Investment



ATTACHMENT C

GENERAL GRANT CONDITIONS



General conditions required of all grants awarded by DEP

- Subcontracts
- Termination
- Extension of Time
- Conflict of Interest
- Payments
- Retention of Records

ATTACHMENT D

SPECIAL CONDITIONS

Specific to grants under the AML/AMD Grant Program

- Kickoff meeting requirement (scheduled by BAMR)
- Subrecipient notification of unusual circumstances resulting in a change in scope/delay in project progress
- AFR details
- Retainage of 10% for final report/payment
- Performance (work progress) reports
- Annual financial report requirement
- Final report details
- Insurance recommendation



ATTACHMENT E

FEDERAL REQUIREMENTS



- The following Federal Requirements **do not apply**:
 - References to EPA/40 CFR 31, 33 & 35 (Subpart O)
 - Specifically, MBE/WBE requirement
- The following Federal Requirements **apply**:
 - Davis Bacon (*construction, including drilling*)
 - Buy America, Build America (BABA)
- Audit thresholds - \$1,000,000.00
- **Subrecipient must maintain a current registration in sam.gov (federal subrecipient website)**



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GRANT BUDGET OVERVIEW

GRANT BUDGET TOPICS



- Budget Worksheet
- Budget Categories
- Budget Tracking
- Budget Revisions (Informal)
- Common Issues & Errors
- Q&A



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AML/AMD GRANT PROGRAM BUDGET WORKSHEET

EXCEL TEMPLATE

REFLECTS ALL
BUDGET LINE ITEMS
OF THE AWARD IN
ONE PLACE

MUST REFLECT EXACT
COSTS & HOURLY
RATES WHERE
APPROPRIATE



BUDGET WORKSHEET CATEGORIES

Budget Worksheet Category Tabs

Instructions

Construction

Construction-AMLER Only

Contractual

Materials & Supplies

Salaries & Benefits

Other

Indirect

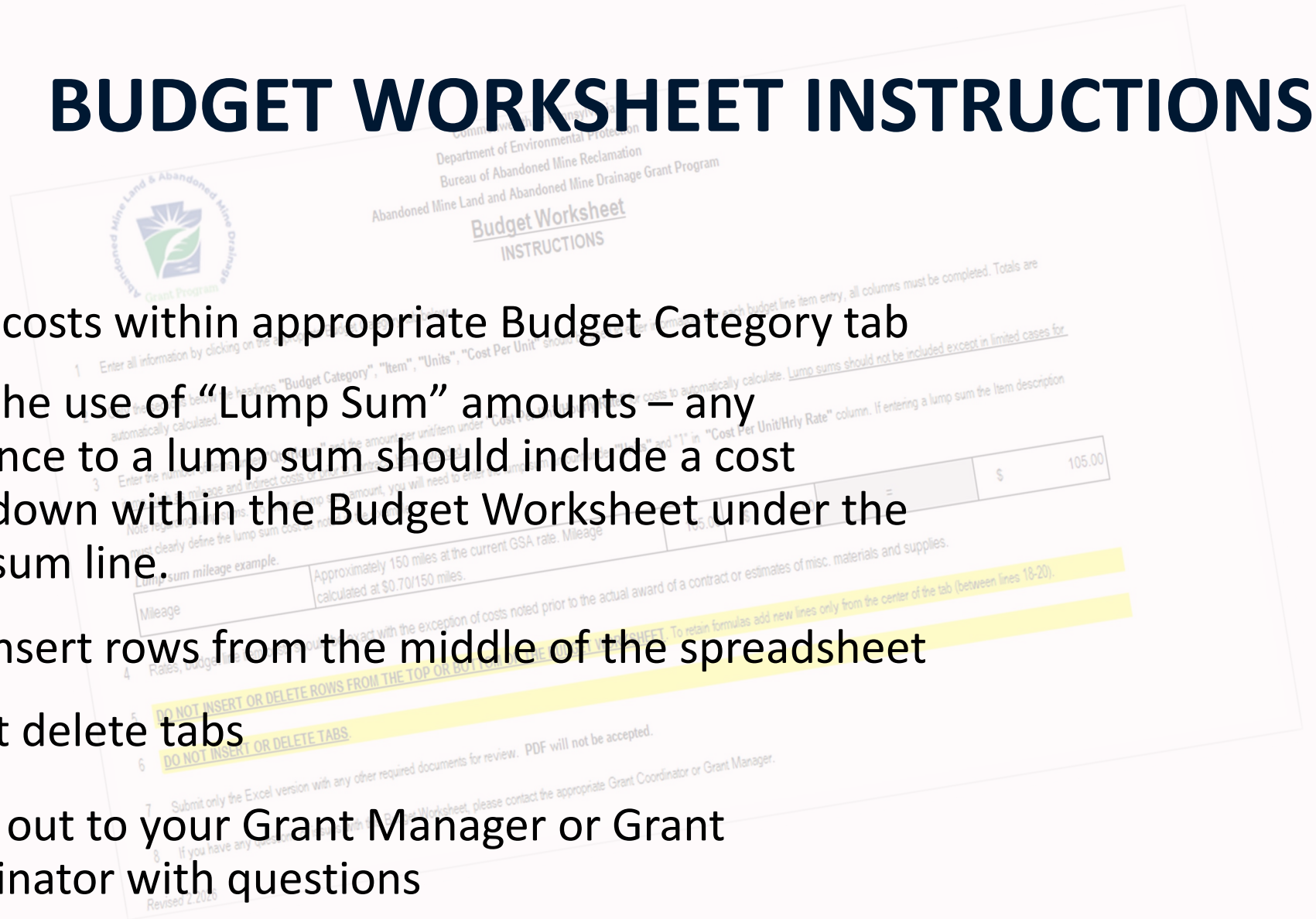
Grand Total

- Read instructions first
- Apply costs to the appropriate budget category tab



BUDGET WORKSHEET INSTRUCTIONS

- Insert costs within appropriate Budget Category tab
- Limit the use of “Lump Sum” amounts – any reference to a lump sum should include a cost breakdown within the Budget Worksheet under the lump sum line.
- Only insert rows from the middle of the spreadsheet
- Do not delete tabs
- Reach out to your Grant Manager or Grant Coordinator with questions





BUDGET WORKSHEET CONSTRUCTION COSTS



- Must include the overall contract amount with cost details.

EXAMPLE

Description	Qty/Hours	Cost Per Unit/ Hourly Rate		Total
Contract 1: Cost not to exceed/Costs outlined below. Any changes would be handled through Change Order.	1,678,900.00	\$ 1.00	=	\$ 1,678,900.00
Hauling (Approx 300 @ \$575.00 ea.)			=	\$ -
2A Stone (Approx 300 ton @ \$95.00/ton)			=	\$ -
2B Stone (Approx 300 ton @ 65.00/ton)			=	\$ -
Mobilization - \$150,000			=	\$ -
Demobilization - \$150,000			=	\$ -
Etc...			=	\$ -
			=	\$ -

BUDGET WORKSHEET

CONTRACTUAL COSTS

Include ALL charges being incurred by the consultant

Construction costs should be included here **IF** the consultant procured the contractor and is overseeing the construction of the reclamation project.

Hourly rates are required. Holds consultants accountable and assists in reducing fraud

Description	Units/Hours	Cost Per Unit/ Hourly Rate	=	Total
Contract 1: Cost not to exceed/Costs outlined below. Any changes would be handled through Change Order.	350000.00	\$ 1.00	=	\$ 350,000.00
Sr. Engineer (Rate not to exceed \$275.00/hr for approximately 150 hours.)			=	\$ -
Sr. Geologist (Rate not to exceed \$275.00/hr for approximately 150 hours.)			=	\$ -
Survey Crew (3-person crew) (Rate not to exceed \$350/hr for approximately 150 hours.)			=	\$ -
Environmental Scientist (Rate not to exceed \$175/hr for approximately 150 hours.)			=	\$ -
Administrative Support (Rate not to exceed \$95/hr for approx. 100 hours.)			=	\$ -
Etc.			=	\$ -
			=	\$ -
			=	\$ -

EXAMPLE

BUDGET WORKSHEET

SUBRECIPIENT SALARIES & BENEFITS

Subrecipient's direct salaries & benefits only

Employee Name, Position Title, Description of Work, and Hourly Rate are required.

The subrecipient has the option to use “rate not to exceed language” in their Budget Worksheet as outlined in the example on the following slide.



BUDGET WORKSHEET

SALARIES & BENEFITS

Example Part 1

SALARIES & BENEFITS (Grantee's direct employees and their salaries & benefits only. Must include name, title, number of hours worked, and appropriate hourly rate. No Lump Sums.)		
Name	Title	Description of work
Rachel Carson	Director	Oversees all grant management operations. Rate not to exceed \$175.50/hr for approximately 25 hours.
Jim Smith	Grant Manager	Manages all the administrative aspects of the grant. Rate not to exceed \$75.50/hour for approximately 30 hours.

Example Part 2

Hours	Hourly Rate	Total
		= \$ -
4,387.50	\$ 1.00	= \$ 4,387.50
2,265.00	\$ 1.00	= \$ 2,265.00
		= \$ -



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BUDGET WORKSHEET

MATERIALS & SUPPLIES

- Subrecipient direct purchase
- < \$15,000 per item (including all item components)
- Do not include indirect materials & supplies such as:

Electricity

Pens/Pencils

Office Paper

Internet



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BUDGET WORKSHEET

OTHER COSTS

Only direct Subrecipient expenses, such as:

- Mileage
- Lab Charges
- Audit Expenses
- Contractor or Consultant costs should not be included here



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BUDGET WORKSHEET INDIRECT COST CALCULATOR

Built right into the
Budget Worksheet

**DOES THE
MATH FOR
YOU!**

<u>INDIRECT COST CALCULATOR</u>	
Budget Category Totals	
Construction	\$0.00
Construction - AMLER Only	\$0.00
Contractual	\$0.00
Materials & Supplies	\$0.00
Salaries & Benefits	\$0.00
Other	\$0.00
Total Project Cost	\$0.00
Exclusions <i>(Subrecipient should list any exclusions here.)</i>	
Total Exclusions	\$0.00
Allowable Direct Costs	\$0.00
Indirect Rate/De Minimis <i>(use percent sign after the number entered)</i>	15.00%*
Total Indirect	\$0.00**
Modified Total Project Cost <i>(if claiming indirect costs)</i>	\$0.00



USING THE INDIRECT COST CALC.

Costs are automatically tallied from previous Budget Category tabs of the worksheet

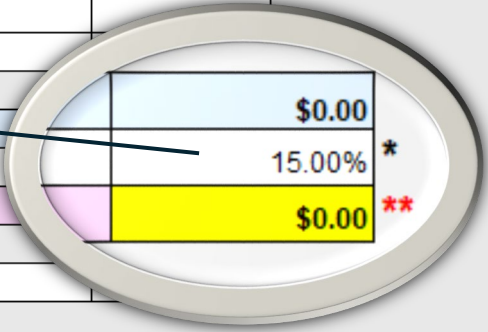
Subrecipient enters any exclusions from the Allowable Direct Costs

Update Indirect Rate

- Set to 15% De Minimis
- Use % symbol

INDIRECT COST CALCULATOR

Budget Category Totals	
Construction	\$0.00
Construction - AMLER Only	\$0.00
Contractual	\$0.00
Materials & Supplies	\$0.00
Salaries & Benefits	\$0.00
Other	\$0.00
Total Project Cost	\$0.00
Exclusions <i>(Subrecipient should list any exclusions here.)</i>	
Total Exclusions	
Allowable Direct Costs	
Indirect Rate/De Minimis <i>(use percent sign after the number entered)</i>	15.00% *
Total Indirect	\$0.00 **
Modified Total Project Cost <i>(if claiming indirect costs)</i>	



USING THE INDIRECT COST CALC.

INDIRECT BUDGET

INDIRECT COSTS				
Item	Description	Units	Cost Per Unit	Total
(See Indirect Cost Rate Below)	Costs incurred by the grantee which cannot be directly applied to the grant project.		1.00	= \$ -
			SUBTOTAL (Indirect)	\$ -

When on the Indirect Costs tab of the Budget Worksheet, note the Total Indirect in the yellow field of the Indirect Cost Calculator and enter, as a unit, the amount of Indirect Costs you will be applying to the grant project, in the Indirect Costs Budget above. This will calculate the Indirect Costs into the Total Grant Budget tab.

INDIRECT COST CALCULATOR

Total Exclusions	\$0.00
Allowable Direct Costs	15.00% *
Indirect Rate/De Minimis (use percent sign after the number entered)	
Total Indirect	\$0.00 **
Modified Total Project Cost (if claiming indirect costs)	

NOTE: The amount of claimed indirect should not exceed the Total Indirect as figured in the Indirect Cost Calculator



BUDGET WORKSHEET Grand Total

BUDGET OVERVIEW

BUDGET CATEGORY	Budget Category TOTALS
1. Construction	\$0.00
2. Contractual Services	\$0.00
3. Materials and Supplies	\$0.00
4. Salaries and Benefits	\$0.00
5. Other	\$0.00
6. Indirect Costs	\$0.00
TOTAL (Grant Project Costs)	\$0.00

Totals automatically!

TOTAL must equal grant award

To ensure formulas work correctly:

- Do not delete tabs
- Only add lines from middle of existing lines



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BUDGET WORKSHEET

**When to
submit a
Budget
Worksheet...**

- **At Time of Application**
- **Grant Award**
- **Budget Revisions (Informal)**
- **Award Increase (Formal Amendment)**



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BUDGET WORKSHEET

Common Issues and Errors

- Costs not in the appropriate budget categories
- Grand Total is less or more than the Grant Award Total



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BUDGET TRACKING



BUDGET TRACKING

- **Required for Annual Reporting**
- **Must track**
 - Overall Project Costs
 - Budget Category Totals
- **Budget Tracking Template Available**
 - Excel-based
 - Request via e-mail to Resource Account





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BUDGET CATEGORY REVISION REQUESTS

BUDGET CATEGORY REVISION

What is a Budget Category Revision?

- An increase or decrease between budget categories
- No increase in grant award/overall total



When to request a Budget Category Revision?

- Contractor/consultant award
- Over budget within a budget category
- With formal Grant Amendment



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BUDGET CATEGORY REVISION



Abandoned Mine Land and Abandoned Mine Drainage Grant Program BUDGET CATEGORY REVISION REQUEST FORM

Grantee: _____
Grantee Contact Name: _____ Email Address: _____
SAP Vendor #: _____ Telephone Number: _____
Project Name: _____
Project Number: _____ Grant Agreement No: _____

Justification for budget category revision:

CATEGORIES	CURRENT BUDGET	AMOUNT TO BE REALLOCATED	REVISED BUDGET
Construction			\$ 0.00
Contractual Services			\$ 0.00
Materials & Supplies			\$ 0.00
Salaries & Benefits			\$ 0.00
Other			\$ 0.00
Indirect Costs			\$ 0.00



BUDGET CATEGORY REVISION

Budget in Grant Agreement or most current revision. Not balance.
List all amounts, not just the one changing

Amount being moved between categories

The new Budget Category amount

CATEGORIES	CURRENT BUDGET	AMOUNT TO BE REALLOCATED	REVISED BUDGET
Construction			\$ 0.00
Contractual Services			\$ 0.00
Materials & Supplies			\$ 0.00
Salaries & Benefits			\$ 0.00
Other			\$ 0.00
Indirect Costs			\$ 0.00
TOTALS	\$ 0.00	\$ 0.00	\$ 0.00

Must equal Grant Award
(after amendments if applicable)

Must be \$0.00



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BUDGET REVISIONS

TEST YOUR
Knowledge





BUDGET REV. KNOWLEDGE CHECK

SCENARIO 1:

Consultant's hourly rates changed but numbers can be adjusted so there's no change required to the "Consultant Budget Category"

OPTIONS:

1. Submit a revised Budget Worksheet & Budget Category Revision
2. Nothing due



Submit a revised Budget Worksheet



BUDGET REV. KNOWLEDGE CHECK

SCENARIO 2:

We need to amend our entire budget because of a change in allowable indirect costs

OPTIONS:



1. Submit a revised Budget Worksheet & Budget Category Revision

2. Nothing due

3. Submit a revised Budget Worksheet



BUDGET REV. KNOWLEDGE CHECK

SCENARIO 3:

Our employees received a raise, and we need to increase our costs under Salaries and Benefits by reducing our Other costs

OPTIONS:



1. Submit a revised Budget Worksheet & Budget Category Revision
2. Nothing due
3. Submit a revised Budget Worksheet



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BUDGET REVISIONS

Common Issues and Errors

- Budget Worksheet not updated/included
- Grant Budget needs to be used/not balance



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APPLICATION FOR REIMBURSEMENT (AFR)



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APPLICATION FOR REIMBURSEMENT (AFR)



- Quick Overview
- AFR Package Explained
- Common Issues & Errors
- Q&A

APPLICATION FOR REIMBURSEMENT



Required for
reimbursement



Use current forms – available
online



Once per month/every 30
days



Follow instructions



SUPPORTING
DOCUMENTS

Must include backup documentation

*NOTE: Copies of Davis Bacon wage reports must be
submitted to Grant Manager but are NOT attached to an
AFR*

AFR PACKAGE

Application for Reimbursement
(the “coversheet”)

Supplemental Sheet
(reimbursement breakdown)

Work Progress Report



Department of Environmental Protection
Bureau of Abandoned Mine Reclamation
Abandoned Mine Land and Abandoned Mine Drainage Grant Program

APPLICATION FOR REIMBURSEMENT

Reimbursement Date: _____
Reimbursement No.: _____

This section completed by Grantee.

Project Name and Number: _____
Document No.: _____ Vendor No.: _____
Payable To (Grantee): _____
Point of Contact (POC): _____ Phone No.: _____
POC's Email Address: _____
Partner Bank Type (e.g. BN01, BN02, etc.): _____
Reimbursement Period (MM/DD/YR): _____ to _____

TOTAL: \$ _____

All related backup to this request must be submitted with the report is true, complete, and accurate to the best of your knowledge and understanding in the terms of the award. I understand that providing false information is a criminal, civil, or administrative penalty.

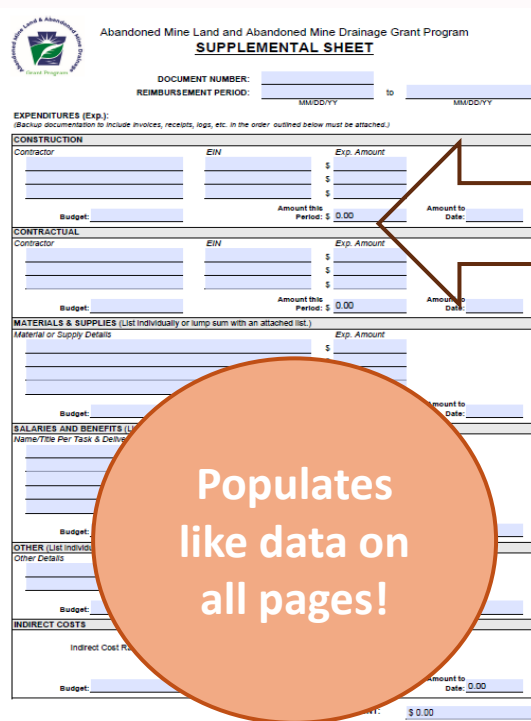
GRANTEE SIGNATURE: _____ Date: _____

Note: This request must be submitted with the report.

BAMR Grant Coordinator
Approved by: _____
Title: Grant Coordinator
Date Approved: _____

BAMR Administrative Review
Admin: _____
Date Submitted: _____

One fillable
PDF
package!



Abandoned Mine Land and Abandoned Mine Drainage Grant Program

SUPPLEMENTAL SHEET

DOCUMENT NUMBER: _____
REIMBURSEMENT PERIOD: _____ to _____

EXPENDITURES (Exp.):
(Backup documentation to include invoices, receipts, logs, etc. in the order outlined below must be attached.)

CONSTRUCTION

Contractor	EIN	Exp. Amount
_____	_____	\$ _____
_____	_____	\$ _____
Budget: _____	Amount this Period: \$ 0.00	Amount to Date: _____

CONTRACTUAL

Contractor	EIN	Exp. Amount
_____	_____	\$ _____
_____	_____	\$ _____
Budget: _____	Amount this Period: \$ 0.00	Amount to Date: _____

MATERIALS & SUPPLIES (List individually or lump sum with an attached list.)

Material or Supply Details	Exp. Amount
_____	\$ _____
_____	\$ _____
Budget: _____	Amount to Date: _____

SALARIES AND BENEFITS (List Name/Title Per Task & Deliverables)

Name/Title	Per Task & Deliverables	Exp. Amount
_____	_____	\$ _____
_____	_____	\$ _____
Budget: _____	Amount to Date: _____	_____

OTHER LINE ITEMS/OTHER DETAILS

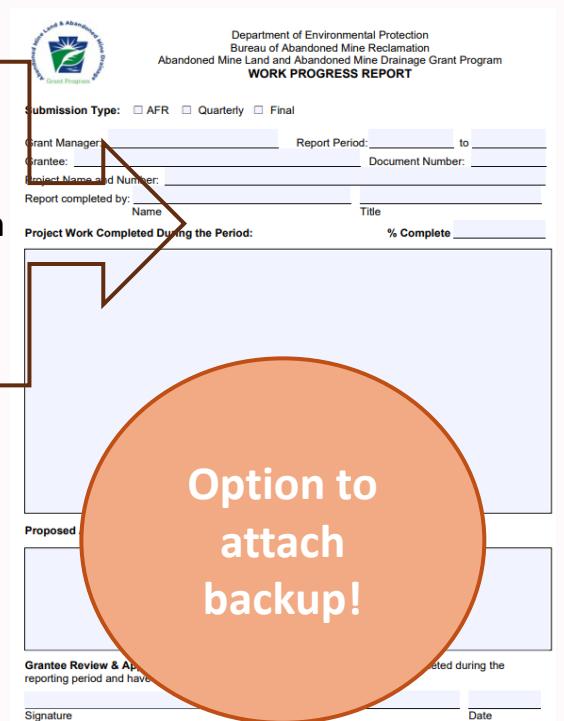
Other Details	Exp. Amount
_____	\$ _____
Budget: _____	Amount to Date: _____

INDIRECT COSTS

Indirect Cost Rate	Exp. Amount
_____	\$ _____
Budget: _____	Amount to Date: _____

Populates
like data on
all pages!

Supporting
documentation
fits here



Department of Environmental Protection
Bureau of Abandoned Mine Reclamation
Abandoned Mine Land and Abandoned Mine Drainage Grant Program

WORK PROGRESS REPORT

Submission Type: AFR Quarterly Final

Grant Manager: _____ Report Period: _____ to _____
Grantee: _____ Document Number: _____
Project Name and Number: _____
Report completed by: _____ Name _____ Title _____

Project Work Completed During the Period: _____ % Complete _____

Proposed _____

Grantee Review & Approval: _____
reporting period and have _____
Signature _____ Date _____

Option to
attach
backup!



AFR INSTRUCTIONS



Department of Environmental Protection
Bureau of Abandoned Mine Reclamation
Abandoned Mine Land and Abandoned Mine Drainage Grant Program
**APPLICATION FOR REIMBURSEMENT
INSTRUCTIONS**

A complete Application for Reimbursement (AFR) for the entire reimbursement period includes:

- Application for Reimbursement (coversheet)
- Application for Reimbursement – Supplemental Sheet
- Backup Documentation (invoices, receipts, timesheets, etc.)
- Work Progress Report

From the time the grantee submits the AFR until payment from the Commonwealth is received is approximately six to eight weeks assuming the AFR was properly completed. If edits or corrections are required, a longer timeframe for payment should be anticipated.

The grantee should refer to the **Grant Agreement** (specifically the Project Scope of Work & Budget – Attachment A or Attachment D) and the **Budget Worksheet** when completing the AFR. Include actual, not estimated, costs incurred. The Grantee name and address must match the grant agreement and SAP vendor information.

Application for Reimbursement - Coversheet

- **Reimbursement No.** – Last 4 of Grant No. and the submission number (1234-01 = 1st submission of grant C990001234)
- **Project Name** – Found in the header on the first page of the Grant Agreement.
- **Document No.** – Found on the first page of the Grant Agreement.
- **Vendor No.** – Number assigned at the time of Commonwealth vendor registration. For questions, refer to the PA Supplier Portal (<https://pasupplierportal.state.pa.us/rj/portal/anonymous>).
- **Payable to (Grantee)** – Found on the first page of the Grant Agreement.
- **Point of Contact** – The name of the Grantee's point of contact.
- **Phone Number** – The Grantee's telephone number.
- **Point of Contact email address** – The e-mail address of the Grantee's Point of Contact.
- **Partner Bank Type** – Nickname for Commonwealth banking information (Example: BN01, BN02, etc.) as assigned when registered for ACH payments as a Commonwealth vendor. For questions, refer to the PA Supplier Portal (<https://pasupplierportal.state.pa.us/rj/portal/anonymous>).
- **Reimbursement Period** – Grantee decides on the reimbursement period. The reimbursement must fall within the Grant Agreement's period of performance. Please indicate the Month, Day and Year work was performed.
- **Total Grant Expenditures for this Period** – The total amount of reimbursement requested from the grant for the period identified.
- **Total Amount of Reimbursement** – The total costs incurred for the reimbursement period.
- **Signature/Title/Date** – The signature of the Grantee's authorized representative. An AFR will not be processed without the proper declaration from the grantee.

All instructions
for the entire
AFR package in
one, two-page
document


Supplemental Sheet

- **Construction** – The contractor must be identified in the Budget Worksheet or previously approved by DEP. Include the contractor's FEIN.
- **Contractual Services** – The consultant must be identified in the Budget Worksheet or previously approved by DEP. Include the consultant's FEIN.
- **Materials/Supplies** – Reimbursement of any single item cannot exceed \$10,000. Each item must be listed individually on the Supplement Sheet or listed as a lump sum with a coversheet listing each individual cost.
- **Salaries/Benefits** – Costs associated with the grantee's staff time on the project. Contracted salaries are not an eligible expense and must be identified in the Construction or Contractual Services categories, as appropriate.
- **Other** – Costs which cannot be adequately assigned to any of the previous budget categories for things such as mileage, costs associated with audits, etc. Each item must be listed individually on the Supplement Sheet or listed as a lump sum with a coversheet listing each individual cost.
- **Indirect Costs** – De minimus rate or approved negotiated indirect cost rate agreement (NICRA) of allowable direct costs. Cost derived by totaling the grantee's direct expenses under **Materials & Supplies**, **Salaries & Benefits**, and **Other** cost categories and up to the first \$50,000 of **Contractual Services**.
- **Total Grant Expenditures** – The total sum of the budget category subtotals.

When completing the Supplemental Sheet, if a budget category is overspent, a Budget Category Revision Request Form should be submitted to ra-epamgrantprogram@pa.gov to transfer funds from one category to another prior to the submission of the AFR.

Backup Documentation

Each line item listed on the Supplement Sheet or separate line-item summary must include backup documentation. Backup documentation includes receipts, stamped paid invoices, timesheets, wage reports, etc. The documentation must clearly define the cost and be directly related to the Project Scope & Budget. Backup documentation is not required for indirect costs.

Backup documentation may be uploaded directly to the AFR package on Page 3. Click on the "Click Here to Add Backup Documentation" button to open the "Attachments" screen in Adobe. You'll select the "Add a new attachment" icon  to upload the backup documentation.

Uploaded documents should be in PDF form.

Work Progress Report

A Work Progress Report must be included with each AFR submission. If an AFR is not submitted at least once per quarter of the grant's period of performance, a separate Work Progress Report must be submitted to the Grant Manager to ensure reporting requirements are met.

The Work Progress Report must be complete for the AFR to be accepted.

Submission

A complete AFR package must be submitted to ra-epamgrantprogram@pa.gov and the assigned Grant Manager.



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AFR “COVERSHEET”

- **Reimbursement No.**
= Last 4 of Grant No. & Submission No. (Example 2577-03)
- **Document No.**
= Grant Number (C99000XXXX)
- ★ **Partner Bank Type**
= Bank Type assigned at COPA registration. Log into the PA Supplier Portal (www.pasupplierportal.state.pa.us) or contact PA Supplier Service Center at 877.435.7363 for help.
- ★ **Must be signed** – Use text field to “sign” name. Do not use sign function, it limits form field functionality.



Department of Environmental Protection
Bureau of Abandoned Mine Reclamation
Abandoned Mine Land and Abandoned Mine Drainage Grant Program

APPLICATION FOR REIMBURSEMENT

Reimbursement Date: _____
Reimbursement No.: _____

This section completed by Grantee.

Project Name and Number: _____

Document No.: _____ Vendor No.: _____

Payable To (Grantee): _____

Point of Contact (POC): _____ Phone No.: _____

POC's Email Address: _____

★ Partner Bank Type (e.g. BN01, BN02, etc.): _____

Reimbursement Period (MM/DD/YR): _____ to _____

TOTAL AMOUNT OF REIMBURSEMENT: \$ _____

All related backup to this request is stored in ESA and the project file for audit purposes.

GRANTEE SIGNATURE: By signing and submitting this report, I certify to the best of my knowledge the report is true, complete, and accurate and the information contained herein is for the purposes and objectives set forth in the terms of the award. I understand any false information or the omission of any material fact may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims or otherwise. 18 Pa. C.S §4904.

★ _____ Signature _____ Title _____ Date _____

Note: This request will not be processed for payment without a supplemental sheet, backup documentation, and a work progress report.

This section for Department use only.

<u>BAMR Grant Coordinator</u> Approved by: _____ Title: <u>Grant Coordinator</u> Date Approved: _____	<u>BAMR Grant Manager</u> Recommended Payment: \$ _____ Recommended by: _____ Date Recommended: _____ <small>Grant Manager Name</small>
<u>BAMR Administrative Review</u> Admin: _____ Date Submitted: _____	<u>Grants Center</u> Management Tech: _____ Date Entered: _____



Pennsylvania
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SUPPLEMENTAL SHEET

- The “guts” of the AFR submission
- Must include ALL expenditure details
- Broken down by backup invoices, timesheets, etc.



Abandoned Mine Land and Abandoned Mine Drainage Grant Program

SUPPLEMENTAL SHEET

DOCUMENT NUMBER: _____
REIMBURSEMENT PERIOD: _____ to _____
MM/DD/YY MM/DD/YY

EXPENDITURES (Exp.):
(Backup documentation to include invoices, receipts, logs, etc. in the order outlined below must be attached.)

CONSTRUCTION			
Contractor	EIN	Exp. Amount	
_____	_____	\$ _____	
_____	_____	\$ _____	
_____	_____	\$ _____	
Budget: _____		Amount this Period: \$ 0.00	Amount to Date: _____
CONTRACTUAL			
Contractor	EIN	Exp. Amount	
_____	_____	\$ _____	
_____	_____	\$ _____	
_____	_____	\$ _____	
Budget: _____		Amount this Period: \$ 0.00	Amount to Date: _____
MATERIALS & SUPPLIES (List individually or lump sum with an attached list.)			
Material or Supply Details	Exp. Amount		
_____	\$ _____		
_____	\$ _____		
_____	\$ _____		
Budget: _____	Amount this Period: \$ 0.00		Amount to Date: _____
SALARIES AND BENEFITS (List individually or lump sum with an attached list.)			
Name/Title Per Task & Deliverables	Hours x	Rate =	Exp. Amount
_____	_____	_____	\$ 0.00
_____	_____	_____	\$ 0.00
_____	_____	_____	\$ 0.00
_____	_____	_____	\$ 0.00
Budget: _____		Amount this Period: \$ 0.00	Amount to Date: _____
OTHER (List individually or lump sum with an attached list.)			
Other Details	Exp. Amount		
_____	\$ _____		
_____	\$ _____		
Budget: _____	Amount this Period: \$ 0.00		Amount to Date: _____
INDIRECT COSTS			
Allowable Modified Total Direct Cost This Period: \$ _____			
Indirect Cost Rate: _____ %	x	_____ %	
Total Allowable Indirect Costs This Period: \$ _____			
Budget: _____	Amount this Period: \$ 0.00		Amount to Date: 0.00
TOTAL REIMBURSEMENT AMOUNT:			\$ 0.00



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Environmental Protection

SUPPLEMENTAL SHEET



Abandoned Mine Land and Abandoned Mine Drainage Grant Program

SUPPLEMENTAL SHEET

DOCUMENT NUMBER:

REIMBURSEMENT PERIOD:

to

MM/DD/YY

MM/DD/YY

- **Document #** = Grant No. and will auto-fill when using the fillable AFR Package
- The **Reimbursement Period** must correspond to the period services were received or material was procured. Invoice dates for services may fall outside of the Reimbursement Period.
- Attached backup documentation must fall within this Reimbursement Period

SUPPLEMENTAL SHEET

Contractor & Contractual Costs

- Reserved for costs associated with agreements between the Subrecipient & a 3rd party
- **Contractor FEIN** – required for Commonwealth Contractor Responsibility Program (CRP) checks
- List each invoice separately or lump sum with a coversheet if more than three invoices

EXPENDITURES (Exp.):

(Backup documentation to include invoices, receipts, logs, etc. in the order outlined below must be attached.)

CONSTRUCTION		
Contractor	EIN	Exp. Amount
		\$
		\$
		\$
Budget:		Amount this Period: \$ 0.00
CONTRACTUAL		
Contractor	EIN	Exp. Amount
		\$
		\$
		\$
Budget:		Amount this Period: \$ 0.00



SUPPLEMENTAL SHEET

Lump Sum Example

- Reference the Budget Category
- Break out each backup invoice separately

Attachment A

Contractual Services Details

For Invoice #5

<u>CheckNumber</u>	<u>CheckDate</u>	<u>VendorName</u>	<u>FEIN Number</u>	<u>Amount</u>
E9291	10/11/24	PACE ANALYTICAL SERVICES, LLC 1515140 Osceola Mills AMD 1515140 Osceola Mills AMD 1515140 Osceola Mills AMD 1515140 Osceola Mills AMD	[REDACTED]	\$772.50 \$772.50 \$772.50 \$772.50
E9375	11/22/24	PACE ANALYTICAL SERVICES, LLC 1515140 Osceola Mills AMD 1515140 Osceola Mills AMD 1515140 Osceola Mills AMD	[REDACTED]	\$661.50 \$1,020.00 \$111.00
E9399	12/04/24	PACE ANALYTICAL SERVICES, LLC 1515140 Osceola Mills AMD	[REDACTED]	\$772.50
E9437	12/20/24	PACE ANALYTICAL SERVICES, LLC 1515140 Osceola Mills AMD 1515140 Osceola Mills AMD	[REDACTED]	\$772.50 \$772.50
Total Lab Services				\$7,200.00

Credit: Susquehanna River Basin Commission

SUPPLEMENTAL SHEET

Materials & Supplies

- Subrecipient's direct costs

Salaries & Benefits

- Subrecipient's direct costs

Other

- Subrecipient's direct costs

Do not include contractor/consultant costs here

MATERIALS & SUPPLIES (List individually or lump sum with an attached list.)			
<i>Material or Supply Details</i>	<i>Exp. Amount</i>		
	\$		
	\$		
	\$		
	\$		
Budget: <input type="text"/>	Amount this Period: \$	<input type="text" value="0.00"/>	Amount to Date: <input type="text"/>
SALARIES AND BENEFITS (List individually or lump sum with an attached list.)			
<i>Name/Title Per Task & Deliverables</i>	<i>Hours x</i>	<i>Rate =</i>	<i>Exp. Amount</i>
			\$ 0.00
			\$ 0.00
			\$ 0.00
			\$ 0.00
			\$ 0.00
Budget: <input type="text"/>	Amount this Period: \$	<input type="text" value="0.00"/>	Amount to Date: <input type="text"/>
OTHER (List individually or lump sum with an attached list.)			
<i>Other Details</i>	<i>Exp. Amount</i>		
	\$		
	\$		
Budget: <input type="text"/>	Amount this Period: \$	<input type="text" value="0.00"/>	Amount to Date: <input type="text"/>

SUPPLEMENTAL SHEET

Indirect Costs

Indirect Cost Rates

- 10% de minimis prior to 10/1/2024
- 15% de minimis on or after 10/1/2024
- Negotiated rate (NICRA)

Enter the
appropriate
Indirect %

Does not auto-
populate.
Correct math is
essential here!

INDIRECT COSTS		
Allowable Modified Total Direct Cost This Period: \$	<input type="text"/>	
Indirect Cost Rate: <input type="text"/> %	x	<input type="text"/> %
Total Allowable Indirect Costs This Period: \$	<input type="text"/>	
Budget: <input type="text"/>	Amount this Period: \$	Amount to Date: <input type="text"/>
	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>



SUPPLEMENTAL SHEET

Current Category Budget – original budget or after revision/amendment

Total amount to be reimbursed with this AFR submission.
**Appropriate backup must be included to match this amount!*

Total amount of all AFR submissions to include the current AFR submission.


MATERIALS & SUPPLIES (List individually or lump sum with an attached list.)			
Material or Supply Details	Exp. Amount		
	\$		
	\$		
	\$		
	\$		
Budget:		Amount this Period: \$	0.00
			Amount to Date:

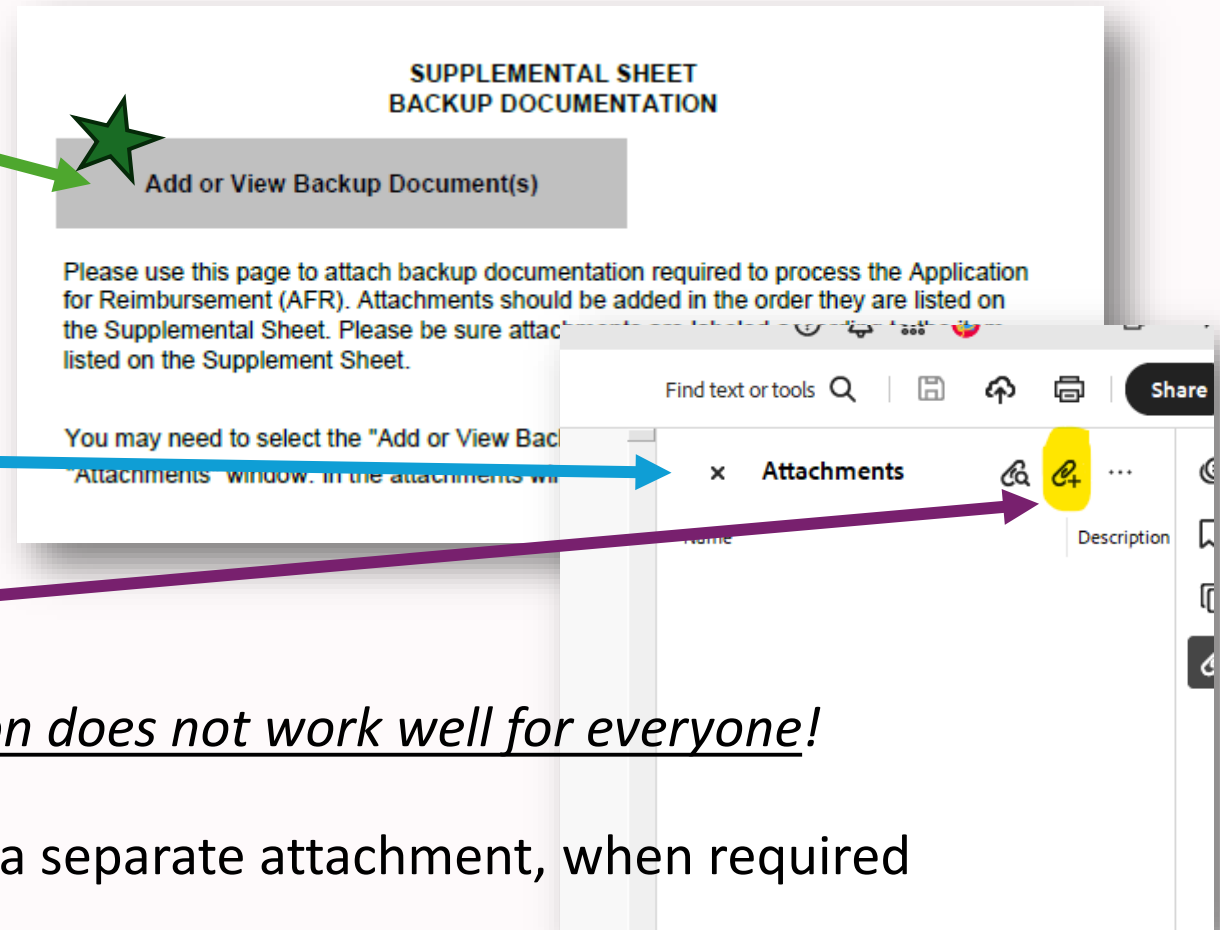
SALARIES AND BENEFITS (List individually or lump sum with an attached list.)			
Name/Title Per Task & Deliverables	Hours x	Rate =	Exp. Amount
			\$ 0.00
			\$ 0.00
			\$ 0.00
			\$ 0.00
			\$ 0.00
Budget:		Amount this Period: \$	0.00
			Amount to Date:

OTHER (List individually or lump sum with an attached list.)	
Other Details	Exp. Amount
	\$
	\$
Budget:	Amount this Period: \$
	0.00
	Amount to Date:

SUPPLEMENTAL SHEET BACKUP DOCUMENTATION

Supporting Documentation

- Click the “Add or View Backup Documents” button (*may need to click twice*) to open the “Attachments” menu
- “Attachments” menu opens usually on the right or left of the PDF file
- Select the  to upload your attachments



The “Add or View Backup Documents” function does not work well for everyone!

Backup documentation may be submitted as a separate attachment, when required



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WORK PROGRESS REPORT

- Select appropriate submission type
 - *Only select "Quarterly" if regular AFRs are not submitted*
- Include details of the work completed during the AFR period
- Include a % Complete
- Must include Proposed Activity for next quarter/period
- May be completed by consultant, etc. but must be signed by the Subrecipient



Department of Environmental Protection
Bureau of Abandoned Mine Reclamation
Abandoned Mine Land and Abandoned Mine Drainage Grant Program
WORK PROGRESS REPORT

Submission Type: AFR Quarterly Final

Grant Manager: _____ Report Period: _____ to _____

Grantee: _____ Document Number: _____

Project Name and Number: _____

Report completed by: _____
Name Title

Project Work Completed During the Period: % Complete _____

Proposed Activity for Next Quarter:

Grantee Review & Approval: As the grantee, I have knowledge of the work completed during the reporting period and have reviewed and approved this Work Progress Report.

Signature Title Date



Pennsylvania
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APPLICATION FOR REIMBURSEMENT

Upon submission of an AFR, the Grant Manager will contact you to discuss the submission and/or perform a site visit



APPLICATION FOR REIMBURSEMENT

Common Issues and Errors

- Appropriate supporting documents not supplied
- Incorrect math
- Performance periods not aligning to completed work
- Work performed outside the scope of work
- Incorrect mileage rate applied
 - Current 2026: \$0.725/mile – Updates January 1 of each year (<https://www.gsa.gov/travel/plan-a-trip/transportation-airfare-rates-pov-rates/private-owned-vehicle-pov-mileage-reimbursement?topnav=travel>)
- Budget categories over budget, requires a revision before reimbursement



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REPORTING REQUIREMENTS



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REPORTING



Quarterly



Annual



Final



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QUARTERLY WORK PROGRESS REPORT

- Accountability!
- Adherence to federal reporting requirement – once annually but no more frequently than quarterly (*2 CFR 200.329 (c) (1)*)
 - Due quarterly due to oversight related audit finding
 - Due within 30 days after quarter end – based on grant’s period of performance

Submitting AFRs at least quarterly? Quarterly reporting is then accomplished and no separate quarterly report required.



Department of Environmental Protection
Bureau of Abandoned Mine Reclamation
Abandoned Mine Land and Abandoned Mine Drainage Grant Program
WORK PROGRESS REPORT

Submission Type: AFR Quarterly Final

Grant Manager: _____ Report Period: _____ to _____

Grantee: _____ Document Number: _____

Project Name and Number: _____

Report completed by: _____
Name Title

Project Work Completed During the Period: _____ % Complete _____

--

ANNUAL FINANCIAL REPORT

- Excel-based
- Due 90 days after annual Period of Performance
 - Period of Performance is found on Page 1 of the executed Grant Agreement

Example

Grant Period of Performance **1/1/2025 – 12/31/2028**

1st Annual Period Ends – 12/31/2025

Annual Report Due – 3/31/2025



Report Period:	<input type="text"/>	
Grantee Name:	<input type="text"/>	
Grant Number:	<input type="text"/>	
Project Name:	<input type="text"/>	
Project Number:	<input type="text"/>	
TOTAL GRANT AWARD	<input type="text"/>	(Enter \$0.00 if not applicable)
PRIOR REPORTING PERIOD SPENT	<input type="text"/>	
BALANCE AT START OF REPORTING	<input type="text"/>	
CURRENT PERIOD SPENT	<input type="text"/>	
TOTAL SPENT	\$ <input type="text"/>	<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">Grant Fund Distribution</p> <div style="display: flex; justify-content: space-around;"> <div style="text-align: center;"> ■ TOTAL SPENT </div> <div style="text-align: center;"> ■ REMAINING BALANCE </div> </div> </div>
REMAINING BALANCE	\$ <input type="text"/>	
Project Financial Summary:		
<div style="border: 1px solid black; width: 100%; height: 100%;"></div>		
By signing this Annual Financial Report, I certify that all expenditures are for allowable activities and the report is true, complete, and accurate.		
<input type="text"/>	<input type="text"/>	<input type="text"/>
Signature	Title	Date



ANNUAL FINANCIAL REPORT

Total Grant Award

Amount Reported on Prior Year Report
1st Annual Report = \$0.00

“REMAINING BALANCE”
of prior year report

REMAINING BALANCE	\$	-
-------------------	----	---

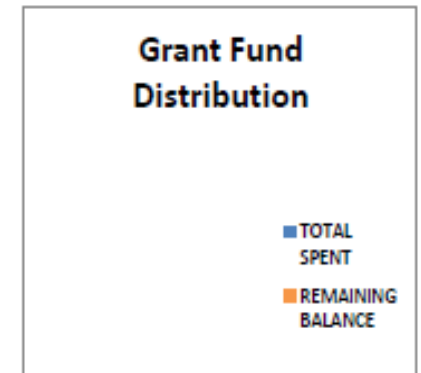
1st Annual Report = Total Grant Award

Total grant expenditures for the annual reporting period

TOTAL GRANT AWARD	
PRIOR REPORTING PERIOD SPENT	
BALANCE AT START OF REPORTING	
CURRENT PERIOD SPENT	

(Enter \$0.00 if not applicable)

TOTAL SPENT	\$	-
REMAINING BALANCE	\$	-



Auto-sums “Total Spent” and “Remaining Balance”



ANNUAL FINANCIAL REPORT

Project Financial Summary:

- Required:
 - Brief but detailed financial summary
 - Subrecipient signature – use text field to “type” signature

By signing this Annual Financial Report, I certify that all expenditures are for allowable activities and the report is true, complete, and accurate.

<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	----------------------

Signature

Title

Date



Pennsylvania
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REPORTING

Common Issues and Errors

- Reports not submitted on time or at all
- Project summary included on the Annual Financial Report instead of financial/budgetary summary



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PROCUREMENT REQUIREMENTS



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PROCUREMENT

Code of Federal Regulations

Title 2, Subtitle A, Chapter 2, Part 200, Subpart D, Procurement Standards
(2 CFR 200.318-327)

<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR45ddd4419ad436d?toc=1>



PROCUREMENT

2 CFR 200.318 (a)

- Subrecipient must have documented procurement procedures

§ 200.318 General procurement standards.

- (a) *Documented procurement procedures.* The recipient or subrecipient must maintain and use documented procedures for procurement transactions under a Federal award or subaward, including for acquisition of property or services. These documented procurement procedures must be consistent with State, local, and tribal laws and regulations and the standards identified in §§ 200.317 through 200.327.



PROCUREMENT

2 CFR 200.318 (b)

- Subrecipient must oversee contractors/consultants

(b) *Oversight of contractors.* Recipients and subrecipients must maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders. See also § 200.501(h).



PROCUREMENT

2 CFR 200.318 (i)

- **Subrecipient** must maintain procurement records
 - Justification of procurement method used
 - Contract Type
 - Contractor Selection/Rejection
 - Basis for Contract Price

(i) *Procurement records.* The recipient or subrecipient must maintain records sufficient to detail the history of each procurement transaction. These records must include the rationale for the procurement method, contract type selection, contractor selection or rejection, and the basis for the contract price.



PROCUREMENT

2 CFR 200.319

- Subrecipient must provide full and open competition of all procurement transactions

§ 200.319 Competition.

- (a) All procurement transactions under the Federal award must be conducted in a manner that provides full and open competition and is consistent with the standards of this section and § 200.320.



PROCUREMENT

2 CFR 200.320

- **Subrecipient** must maintain and use documented procurement procedures consistent with the procurement methods

§ 200.320 Procurement methods.

There are three types of procurement methods described in this section: informal procurement methods (for micro-purchases and simplified acquisitions); formal procurement methods (through sealed bids or proposals); and noncompetitive procurement methods. For any of these methods, **the recipient or subrecipient must maintain and use documented procurement procedures**, consistent with the standards of this section and §§ 200.317, 200.318, and 200.319.



PROCUREMENT

2 CFR 200.321

- **Subrecipient** must ensure small business, minority businesses, women's business enterprises, veteran-owned businesses, and labor surplus area firms are considered

§ 200.321 Contracting with small businesses, minority businesses, women's business enterprises, veteran-owned businesses, and labor surplus area firms.

- (a) When possible, the recipient or subrecipient should ensure that small businesses, minority businesses, women's business enterprises, veteran-owned businesses, and labor surplus area firms (See U.S. Department of Labor's list) are considered as set forth below.



PROCUREMENT

2 CFR 200.322

- **Subrecipient** should, to the greatest extent practical and consistent with law, make preference for the procurement, acquisition, or use of goods, products, or materials produced in the United States

§ 200.322 Domestic preferences for procurements.

- (a) The recipient or **subrecipient should**, to the greatest extent practicable and consistent with law, **provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States** (including but not limited to iron, aluminum, steel, cement, and other manufactured products). The requirements of this section must be included in all subawards, contracts, and purchase orders under Federal awards.
- **Subrecipient** receiving an IIJA award must apply Buy America preferences (2 CFR Part 184)

- (c) Federal agencies providing Federal financial assistance for infrastructure projects must implement the Buy America preferences set forth in [2 CFR part 184](#).



PROCUREMENT

2 CFR 200.323 – Procurement of recovered materials

- **Subrecipient** should, to the greatest extent practical and consistent with law, purchase, acquire or use products and services that can be reused, refurbished, or recycled

(b) The recipient or subrecipient should, to the greatest extent practicable and consistent with law, purchase, acquire, or use products and services that can be reused, refurbished, or recycled; contain recycled content, are biobased, or are energy and water efficient; and are sustainable. This may include purchasing compostable items and other products and services that reduce the use of single-use plastic products. See Executive Order 14057, section 101, Policy.



PROCUREMENT

2 CFR 200.324 – Contract cost and price

- **Subrecipient** must perform a cost or price analysis for all procurement, including contract modifications, when over the simplified acquisition threshold

§ 200.324 Contract cost and price.

- (a) The recipient or **subrecipient must perform a cost or price analysis for every procurement transaction, including contract modifications, in excess of the simplified acquisition threshold.** The method and degree of analysis conducted depend on the facts surrounding the particular procurement transaction. For example, the recipient or subrecipient should consider potential workforce impacts in their analysis if the procurement transaction will displace public sector employees. However, as a starting point, the recipient or subrecipient must make independent estimates before receiving bids or proposals.



PROCUREMENT

2 CFR 200.325 – Federal or pass-through entity review

- **Subrecipient** must provide procurement documents (such as RFPs, IFBs or cost estimates) to the pass-through entity for pre-procurement review

(b) When requested, the recipient or **subrecipient must provide procurement documents** (such as requests for proposals, invitations for bids, or independent cost estimates) **to the** Federal agency or **pass-through entity for pre-procurement review**. The Federal agency or pass-through entity may conduct a pre-procurement review when:



PROCUREMENT

2 CFR 200.327 – Contract provisions

- **Subrecipient** contracts must contain the applicable provisions described in Appendix II of 2 CFR 200

§ 200.327 Contract provisions.

The recipient's or subrecipient's contracts must contain the applicable provisions described in [Appendix II of this part](#).

APPENDIX II

<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/appendix-Appendix%20II%20to%20Part%20200>



PROCUREMENT QUICK OVERVIEW

Subrecipient's Procurement Requirements Overview

- **Subrecipient** must have documented procurement procedures
- **Subrecipient** must oversee contractors/consultants
- **Subrecipient** must maintain procurement records
- **Subrecipient** must provide full and open competition of all procurement transactions
- **Subrecipient** must maintain and use documented procurement procedures consistent with the procurement methods

PROCUREMENT QUICK OVERVIEW

Subrecipient's Procurement Requirements Overview

- **Subrecipient** must ensure the following are considered:
 - Small Businesses
 - Minority Businesses
 - Veteran-owned Businesses
 - Women's Business Enterprises
 - Labor Surplus Area Firms
- **Subrecipient** should purchase US made materials and supplies and purchase recycled or recyclable items whenever possible
- **Subrecipient** must perform a cost or price analysis when a procurement is over the simplified acquisition threshold
- **Subrecipient** contracts must contain the applicable provisions described in Appendix II of 2 CFR 200



Pennsylvania
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PROCUREMENT

Common Issues and Errors

- Not adhering to procurement methods
- Lack of oversight over consultant/contractor
- Not have a written procurement procedure



Pennsylvania
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PROCUREMENT METHODS



Pennsylvania
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Environmental Protection

INFORMAL PROCUREMENT METHODS



PROCUREMENT

2 CFR 200.320 (a) – Informal Procurement Methods

- Informal procurement methods were established to:
 - Expedite procurement transactions
 - Minimize administrative burdens
 - Reduce costs
- Informal procurement may be used when:
 - Value of procurement does not exceed the **simplified acquisition threshold** as defined in **2 CFR 200.1**
 - Thresholds defined in the Federal Acquisition Regulation (FAR) at **48 CFR Part 2, Subpart 2.1**

Simplified acquisition threshold means the dollar amount below which a recipient or subrecipient may purchase property or services using small purchase methods (see § 200.320). Recipients and subrecipients adopt small purchase methods at or below the simplified acquisition threshold set forth at 48 CFR part 2, subpart 2.1. FAR at 48 CFR part 2, subpart 2.1 is used by recipients and subrecipients as the simplified acquisition threshold for procurement activities. Recipients and subrecipients should also determine if local government purchasing laws apply. This threshold must never exceed the dollar value established in the FAR.



PROCUREMENT

48 CFR Part 2, Subpart 2.1 – Simplified Acquisition Threshold

Simplified acquisition threshold means \$350,000, except for—

- (1) Acquisitions of supplies or services that, as determined by the head of the agency, are to be used to support a contingency operation; to facilitate defense against or recovery from cyber, nuclear, biological, chemical, or radiological attack; to support a request from the Secretary of State or the Administrator of the United States Agency for International Development to facilitate provision of international disaster assistance pursuant to 22 U.S.C. 2292 *et seq.*; or to support response to an emergency or major disaster (42 U.S.C. 5122), (41 U.S.C. 1903), the term means—
 - (i) \$1 million for any contract to be awarded and performed, or purchase to be made, inside the United States; and
 - (ii) \$2 million for any contract to be awarded and performed, or purchase to be made, outside the United States; and
- (2) Acquisitions of supplies or services that, as determined by the head of the agency, are to be used to support a humanitarian or peacekeeping operation (10 U.S.C. 3015), the term means \$650,000 for any contract to be awarded and performed, or purchase to be made, outside the United States.



PROCUREMENT

2 CFR 200.320 (a) – Informal Procurement Methods

- Two Informal Procurement Methods

1. MICRO-PURCHASE (2 CFR 200.320 (a) (1))

- Qualifies if not over the micro-purchase threshold
- May be awarded without soliciting competitive price/rate quotes. Appropriate documentation must be retained
- Purchasing (credit) cards may be used for the purchase

(1) *Micro-purchases* –

- (i) *Distribution*. The aggregate amount of the procurement transaction does not exceed the micro-purchase threshold defined in § 200.1. To the extent practicable, the recipient or subrecipient should distribute micro-purchases equitably among qualified suppliers.
- (ii) *Micro-purchase awards*. Micro-purchases may be awarded without soliciting competitive price or rate quotations if the recipient or subrecipient considers the price reasonable based on research, experience, purchase history, or other information; and maintains documents to support its conclusion. Purchase cards may be used as a method of payment for micro-purchases.
- (iii) *Micro-purchase thresholds*. The recipient or subrecipient is responsible for determining and documenting an appropriate micro-purchase threshold based on internal controls, an evaluation of risk, and its documented procurement procedures. The micro-purchase threshold used by the recipient or subrecipient must be authorized or not prohibited under State, local, or tribal laws or regulations. The recipient or subrecipient may establish a threshold higher than the Federal threshold established in the Federal Acquisition Regulations (FAR) in accordance with paragraphs (a)(1)(iv) and (v) of this section.



PROCUREMENT

2 CFR 200.320 (a) (1) – Micro-purchases

- Micro-purchase threshold definition per 2 CFR 200.1 – Definitions

(1) *Micro-purchases* –

(i) *Distribution* The aggregate amount does not exceed the micro-purchase threshold defined in § 200.1.

(ii) The recipient or subrecipient should distribute micro-purchases at a reasonable price and maintain documents to support its conclusion. Purchase cards may be used as a

Micro-purchase threshold means the dollar amount at or below which a recipient may purchase property, or services using micro-purchase under Federal awards is not to exceed as provided in § 200.320, the micro-purchase threshold at 48 CFR part 2, subpart 2.1, unless administered under Federal awards is not to exceed by the recipient or subrecipient at subpart 2.1, unless a higher threshold is requested by the recipient and approved by the cognizant agency for indirect costs.



PROCUREMENT

48 CFR Part 2, Subpart 2.1 - Definitions

- **Up from \$10,000 effective 10.1.2025**
- May be used for procurements not exceeding \$15,000
- Must adhere to your written procurement procedures

Micro-purchase threshold means \$15,000, except it means—

- (1) For acquisitions of construction subject to [40 U.S.C. chapter 31](#), subchapter IV, Wage Rate Requirements (Construction), \$2,000;
- (2) For acquisitions of services subject to [41 U.S.C. chapter 67](#), Service Contract Labor Standards, \$2,500;
- (3) For acquisitions of supplies or services that, as determined by the head of the agency, are to be used to support a contingency operation; to facilitate defense against or recovery from cyber, nuclear, biological, chemical or radiological attack; to support a request from the Secretary of State or the Administrator of the United States Agency for International Development to facilitate provision of international disaster assistance pursuant to [22 U.S.C. 2292 et seq.](#); or to support response to an emergency or major disaster ([42 U.S.C. 5122](#)), as described in 13.201(g)(1), except for construction subject to [40 U.S.C. chapter 31](#), subchapter IV, Wage Rate Requirements (Construction) ([41 U.S.C. 1903](#))—
 - (i) \$25,000 in the case of any contract to be awarded and performed, or purchase to be made, inside the United States; and
 - (ii) \$40,000 in the case of any contract to be awarded and performed, or purchase to be made, outside the United States; and
- (4) For acquisitions of supplies or services from institutions of higher education ([20 U.S.C. 1001\(a\)](#)) or related or affiliated nonprofit entities, or from nonprofit research organizations or independent research institutes—
 - (i) \$15,000; or
 - (ii) A higher threshold, as determined appropriate by the head of the agency and consistent with clean audit findings under [31 U.S.C. chapter 75](#), Requirements for Single Audits; an internal institutional risk assessment; or State law.



PROCUREMENT

2 CFR 200.320 (a) – Informal Procurement Methods

2. SIMPLIFIED ACQUISITION

- Used when a procurement transaction exceeds the micro-purchase threshold
- Requires soliciting competitive price/rate quotes from an adequate number of qualified sources
 - Recommendation three quotes
- Threshold over \$15,000 to \$350,000

(2) *Simplified acquisitions –*

- (i) *Simplified acquisition procedures.* The aggregate dollar amount of the procurement transaction is higher than the micro-purchase threshold but does not exceed the simplified acquisition threshold. If simplified acquisition procedures are used, price or rate quotations must be obtained from an adequate number of qualified sources. Unless specified by the Federal agency, the recipient or subrecipient may exercise judgment in determining what number is adequate.
- (ii) *Simplified acquisition thresholds.* The recipient or subrecipient is responsible for determining an appropriate simplified acquisition threshold based on internal controls, an evaluation of risk, and its documented procurement procedures, which may be lower than, but must not exceed, the threshold established in the FAR.



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FORMAL PROCUREMENT METHOD



PROCUREMENT

2 CFR 200.320 (b) – Formal Procurement Methods

- Required when the value of the procurement exceeds the *simplified acquisition threshold*

(b) *Formal procurement methods.* Formal procurement methods are required when the value of the procurement transaction under a Federal award exceeds the simplified acquisition threshold of the recipient or subrecipient. Formal procurement methods are competitive and require public notice. The following formal methods of procurement are used for procurement transactions above the simplified acquisition threshold determined by the recipient or subrecipient in accordance with paragraph (a)(2)(ii) of this section:

- Procurement over \$350,000



PROCUREMENT

2 CFR 200.320 (b) (1) – Sealed Bids

- Publicly solicited
- Awarded to the responsible bidder
- *Preferred for procuring construction services*
- Feasibility of sealed bids
 - Complete & adequate specification
 - Two or more responsible bidders
 - Results in a firm, fixed-priced contract
- Requirements of sealed bids:
 - Solicited from an adequate number of qualified sources
 - IFB includes specific information, including any required specification, for appropriate bidder response
 - Bids must be opened as outlined in the IFB
 - Local gov't must include public opening
 - Firm, fixed-price contract awarded in writing to the lowest responsive bid/responsible bidder
 - Subrecipient must document and provide a justification for each rejected bid



PROCUREMENT

2 CFR 200.320 (b) (2) – Proposals

- To be used when sealed bids are not appropriate
- Results in a firm, fixed-price or cost-reimbursement contract
- Requirements:
 - Requires public notice
 - Solicited from multiple qualified entities
 - Whenever possible, submitted proposals must be considered
 - Subrecipient must have written procedures for conducting technical evals and making selections
 - Contracts must be awarded to the offeror whose proposal is most advantageous to the subrecipient



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NONCOMPETITIVE PROCUREMENT



PROCUREMENT

2 CFR 200.320 (c) – Noncompetitive Procurement

- Noncompetitive procurement may be used when any of the following circumstance applies:
 - (1) The aggregate amount of the procurement does not exceed the micro-purchase threshold
 - (2) The procurement transaction can only be fulfilled by a single source
 - (3) The public emergency for the requirement will not permit a delay resulting from providing public notice
 - (4) The subrecipient requests in writing to use a noncompetitive procurement method and the federal or pass-through entity provides written approval
 - (5) After soliciting several sources, competition is determined inadequate; or



PROCUREMENT

2 CFR 200.320 (c) – Noncompetitive Procurement

- (1) The aggregate amount of the procurement does not exceed the micro-purchase threshold
 - (2) The procurement transaction can only be fulfilled by a single source
 - (3) The public emergency for the requirement will not permit a delay resulting from providing public notice
 - (5) After soliciting several sources, competition is determined inadequate; or
- If authorizations **1, 2, 3, or 5** can be justified, submit a formal notification letter to the Department informing the Department of the intent to use noncompetitive procurement. Send the letter to:
 - Grant Manager
 - Grant Coordinator, and
 - Resource Account



PROCUREMENT

Noncompetitive Procurement – Subrecipient Request to Pass-Through Agency (DEP)

- *(4) The subrecipient requests in writing to use a noncompetitive procurement method and the federal or pass-through entity provides written approval*
 - Submit a formal letter justifying the use of noncompetitive procurement. Include the following:
 - Grant No.
 - Project Name
 - Project Number
 - Reference to 2 CFR 200.320 (c) (4)
 - Detailed justification for requesting noncompetitive procurement
 - Retain the Department's response/approval letter for your records



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Department of
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DIRECT & INDIRECT COSTS



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DIRECT & INDIRECT COSTS





DIRECT COSTS

2 CFR 200.413 – Direct Costs

§ 200.413 Direct costs.

(a) *General.* Direct costs are those costs that can be identified specifically with a particular final cost objective, such as a Federal award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Costs incurred for the same purpose in like circumstances must be treated consistently as direct or indirect costs. See § 200.405.

- Or, the subrecipient's expenses to administer the federal subaward (grant) and achieve the subaward's objectives



INDIRECT COSTS

2 CFR 200.414 – Indirect costs. (b) Diversity of nonprofit organizations

(b) *Diversity of nonprofit organizations.* It is not always possible to specify the types of costs that may be classified as indirect costs for nonprofit organizations due to the diversity of their accounting practices. The association of a cost with a Federal award is the determining factor in distinguishing direct from indirect costs. However, typical examples of indirect cost for many nonprofit organizations may include depreciation on buildings and equipment, the costs of operating and maintaining facilities, and general administration and general expenses, such as the salaries and expenses of executive officers, personnel administration, and accounting.

- Costs incurred by the Subrecipient while administering the federal award which cannot be directly applied to the project



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MODIFIED TOTAL DIRECT COSTS (MTDC)

- The allowable direct costs used to determine Indirect Costs (or rates)

**Modified
Total
Direct
Costs**



Direct Costs Allowable In Determining MTDC

- **Construction** – direct construction costs of the grant award
- **Contractual** – contractual services expenses directly associated with the award objectives
- **Materials & Supplies** – direct costs incurred by the Subrecipient for materials and supplies directly associated with the federal award to achieve the award objectives.
- **Salaries & Benefits** – the Subrecipient’s direct salaries & benefits
- **Other** – costs directly associated with the award which cannot be defined in another budget category

NOTE: Reimbursed indirect costs must not exceed the amount of indirect expenses incurred by the subrecipient.



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Indirect Redetermination

In 2026, an indirect redetermination was made by DEP's Legal Counsel. All budget categories under the AML/AMD Grant Program now may be used when determining a subrecipient's allowable indirect costs when using the indirect de minimis cost rate at the time of award. Subrecipient's with a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency must adhere to their NICRA.

If you need to redetermine your allowable indirect costs under an existing award, please contact your Grant Manager or Grant Coordinator for more details.



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PERIOD OF PERFORMANCE (TIME) EXTENSION




TIME EXTENSION

- All awards include a three-year period of performance (PoP)
- An extension is required when a Subrecipient cannot complete the work within the awarded PoP
 - **Every effort must be made to complete the project within the PoP**
 - **Only for circumstances outside of Subrecipient's control**
 - **Cannot be used for poor time management/lack of effort to complete project**
- Discuss the need for a PoP extension with the Grant Manager & Coordinator
- Submit PoP Extension Request form at least three months prior to current PoP End Date

TIME EXTENSION

- Cannot be more than a one-year extension
- Should only be for the time required – if three months, request three months, etc.

Complete the form & enter the proposed PoP End Date



Department of Environmental Protection
Bureau of Abandoned Mine Reclamation
Abandoned Mine Land and Abandoned Mine Drainage Grant Program
PERIOD OF PERFORMANCE EXTENSION REQUEST FORM

Grantee: _____

Grantee Address: _____

Grantee Contact Name: _____ Email Address: _____

SAP Vendor #: _____ Telephone Number: _____

Project Name: _____

Project Number: _____ Grant Agreement No: _____

Current Period of Performance

START DATE: _____ END DATE: _____

Proposed Period of Performance

END DATE: _____

TIME EXTENSION

- Outline why the work cannot be completed within the awarded PoP
- Must be signed
- Submit to Grant Manager and include Grant Coordinator & Resource Account

Justification for Period of Performance Extension:

Grantee's Authorized Representative Signature:

Date:

Please note, this request should be submitted to your Grant Manager for approval. For further information and conditions related to time extension requests, please refer to your grant agreement.

This section for Department use only.



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(FORMAL) AMENDMENT




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(FORMAL) AMENDMENT

- Add additional funding to grant award
- Formally amend the scope of work
- Discuss need with Grant Manager/Coordinator
- Grant Manager will forward Amendment Request
- Complete & return Amendment Request

(FORMAL) AMENDMENT

- Select appropriate amendment type – more than one as required
- Enter a solid justification. Use an additional piece of paper or include a formal cover letter to expand when appropriate

 Abandoned Mine Lands and Abandoned Mine Drainage
Grant Program
GRANT AMENDMENT REQUEST FORM

Grantee: _____

Grantee Contact Name: _____ Email Address: _____

SAP Vendor #: _____ Telephone Number: _____

Project Name: _____

Project Number: _____ Grant Agreement No: _____

Is this amendment for? Budget Increase Scope of Work Change Other _____

Justification for amendment:



(FORMAL) AMENDMENT

- For an award increase, amend the budget starting with the current grant budget, after all budget revisions (if applicable)
- Must be signed – use fillable text box to “type” signature

Complete the following for a budget increase:

CATEGORIES	CURRENT BUDGET	INCREASE	REVISED BUDGET
Construction			
Contractual Services			
Materials & Supplies			
Salaries & Benefits			
Other			
Indirect Costs			
TOTALS			

Grantee's Authorized Representative Signature:

_____ Date: _____



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LETTER OF MUTUAL CONSENT



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LETTER OF MUTUAL CONSENT



- Correcting Project Name or Number
- Informal amendment to scope of work
- Letter from Grant Coordinator
- Subrecipient must acknowledge the informal grant modification & sign & return the letter
- Will become an official part of the grant file



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RISK ASSESSMENTS



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Current Subrecipients

RISK ASSESSMENTS

Assessment matrix includes:

- Reporting Timeliness
- Compliance with Program Guidelines and 2 CFR 200
- Adherence to Project Scope/Budget
- Financial Management & Internal Controls
- Communication & Responsiveness
- Organization Capacity
- Prior Audit Results
- Construction/Contractual Oversight



AML/AMD Grant Program
Annual Grantee Risk Matrix

Grantee: _____

Document No: _____

Date: _____

Risk Indicator	Low Risk (1)	Moderate Risk (2)	High Risk (3)	Score
Timeliness of Required Reports	Reports during the performance year were submitted on or before the due date.	Reports during the performance period were submitted no more than 15 days after the due date.	One or more reports during the performance report were more than more than 15 days past due.	
Compliance with 2 CFR200 Requirements	Fully compliant during the performance year.	Minor compliance issues during the performance year.	Significant or repeated non-compliance during the performance year.	
Adherence to the Project Scope/Budget	On schedule and within the Project Scope & Budget during the performance year.	Minor project work delays and/or 1-2 budget revisions during the reporting period. Deviations during the performance period were beyond the grantee's control.	Major deviations to the project scope/budget could have been avoided. Failure to follow through on the scope or poor budgeting during the performance year resulted in the need for additional funds to complete the project.	
Financial Management and Internal Controls	Grantee displayed strong financial management and internal controls during the performance year.	Some weaknesses were noted during the performance year.	Audit findings or weak financial management and/or internal controls were noted during the performance year.	
Communication & Responsiveness	Grantee has been proactive and responsive during the performance year.	The grantee has displayed a delayed or slowed response time during the performance year.	The grantee has been non-responsive or has displayed significant deficiencies in response times during the performance year.	
Organizational Capacity	Adequate staff/expertise displayed during the performance year.	Capacity stretched/new staff/slight lack of experience displayed during the performance year.	Severely understaffed, drastic organization changes or displayed a significant lack of expertise during the performance year.	
			TOTAL	

Scoring Guidelines:

Total Score Range 6-8: Low Risk

Routine monitoring required. Eligible for extensions or additional funding as justified.

Total Score Range 9-14: Moderate Risk

Increased oversight recommended. Conditionally approve extensions and increased funding requests.

Total Score Range 15+: High Risk

High level of monitoring required. Subject to suspension, denial of extension or increase in funds. May require corrective action plan.



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RISK ASSESSMENTS

New Applicants

The new applicant risk assessment matrix includes:

- Prior AML or AMD experience
- Timeliness in requesting an IPC
- Understanding and knowledge of the Program
- Prior audit results (as applicable)
- Reported organizational/grant capacity
- Willingness to comply with federal & state regulations



AML/AMD Grant Program
Applicant Risk Matrix

Applicant: _____

Application No.: _____

Date: _____

Risk Indicator	Low Risk (1)	Moderate Risk (2)	High Risk (3)	Score
Prior AML/AMD Grant Program Experience	Experienced <i>(successfully applied for & completed grants under the AML/AMD Grant Program)</i>	No Experience <i>(successfully completed grants under other DEP Programs)</i>	No Experience	
Timeliness of Requesting IPC	Request submitted 2-3 months prior to deadline	Request submitted 2-6 weeks prior to the deadline	Request submitted <2 weeks prior to the deadline.	
Applicant Understands the Requirements and Goals of the AML/AMD Grant Program	Well versed in the requirements and goals the AML/AMD Grant Program.	Limited knowledge of the AML/AMD Grant Program but noted compliance to Program Guidance	No awareness of the AML/AMD Grant Program or the Program Goals or Requirements.	
Prior Audit Results (as applicable)	No audit or no findings in prior year's audit.	Findings but resolved via CAP (Corrective Action Plan).	Findings and unresolved/no CAP.	
Expressed Willingness to Collaborate with Program Staff	Took a proactive approach to collaborating with BAMP. Has listened and adhered to BAMP staff's suggestions.	Willingness to collaborate with limited push back to suggestions regarding the project/application.	Unwilling to collaborate. Ill-timed responses, unwilling to heed suggestions from BAMP staff, etc.	
Organizational Capacity & The AML/AMD Grant Program	Adequate staff expertise; 0-1 Open Grants Under the AML/AMD Grant Program	Capacity Stretched; 1-3 Open Under the AML/AMD Grant Program	Understaffed; 4+ Open Grants Under the AML/AMD Grant Program.	
Applicant Expressed Compliance w/ 2 CFR 200	Yes	Yes <i>(with limited knowledge or procedures in place to implement compliance)</i>	No	
TOTAL				

Scoring Guidelines:

Total Score Range 7-10: Low Risk

Award.

Total Score Range 11-17: Moderate Risk

Consider low risk applicants for award prior to awarding funds to moderate risk applicants. Moderate risk applicants may only be awarded 80% of their requested application amount. Should they adhere to all Program Guidelines and 2 CFR 200 for the first performance year, they would be eligible for an amendment to increase their grant amount to the actual, allowable project amount at the time of application. Applicant would require additional monitoring for the first performance year should they be awarded funds under

Total Score Range 18-21: High Risk

Do not award.



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REAL PROPERTY



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REAL PROPERTY

- No significant updates. Still pending federal guidance
- Should only apply to **AMLER** costs expended for non-routine reclamation or the installation of bridges, trails, signage, etc.
- May/will require a Notice of Federal Interest (NOFI)/lien to be recorded in the courthouse
- Will require annual reporting
- As guidance is received, it will be passed on



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INITIAL PROJECT CONSULTATION (IPC)



INITIAL PROJECT CONSULTATION (IPC)

- Initiates communication between DEP-BAMR & applicant
- **Required** for application eligibility
 1. Complete the online request form (*Form closed until May*)
<https://forms.office.com/g/8xewBHV2Tp>
 2. Request must be submitted **45 days** prior to the grant round opening
 3. Complete IPC Information Packet (fillable PDF) and return
 4. Respond to Coordinator's request to schedule IPC



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IPC PACKAGE

Cover Page

- Provide applicant details
- Project location
- Projected project cost
- Project focus



Department of Environmental Protection
Bureau of Abandoned Mine Reclamation
Abandoned Mine Land & Abandoned Mine Drainage (AML/AMD) Grant Program



Initial Project Consultation Info Package

Organization:

Contact Name: Title/Position:

E-mail: Phone:

Mailing Address:

Organization Type: Non-Profit Conservation District Government Entity Other

UEI #:

SAP Vendor #:

Project Location: *Please include street address or nearest street address and the project site coordinates.*

County/ies: Municipality/ies:

Projected Project Costs:

Which coal district does the project fall in? Bituminous Anthracite

What is the primary focus of the project?
 AML Reclamation
 AMD Treatment or Abatement
 AMD Operations & Maintenance
 Economic Revitalization/Development

If your response to the question above is "Economic Revitalization/Development", does any portion of the project work include AML reclamation or AMD treatment or abatement?

N/A YES NO



IPC PACKAGE

Project Narrative

- AML Feature Type & No. – more than four features, include in narrative
- Project narrative
- Project type
- Project goals/future site plans

Initial Project Consultation Package Project Narrative

Problem Area (PA) Number(s):	<input type="text"/>		
Feature Type:	Feature #:	Feature Type:	Feature #:
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Feature Type:	Feature #:	Feature Type:	Feature #:
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Priority 1 & 2 Feature Type definitions can be found at <https://www.osmre.gov/programs/e-amls-priority-1-and-2-problem-types> and Priority 3 Feature definitions here <https://www.osmre.gov/programs/e-amls-priority-3-problem-type>.

Proposed Project Narrative: The narrative must include details of the scope of the project, the benefits and goals of the project, and if the property owner is interested in the project. Include additional PA Nos. and Features here. Use a separate sheet if additional room is required.

What category best defines your overall project scope?

- AMD Operation & Maintenance of a Current Facility** - Operation and maintenance of a current AMD active or passive treatment system.
- Development** - A focus on tasks such as site data collection, identifying property owners, and preparing a conceptual design for new AML or AMD projects.
- Development/Design Engineering** - A focus on procuring a design engineer, obtaining property owner consent for right of entry, final/sealed design drawings, permitting and other related tasks for new AML or AMD projects.
- Construction** - Physical reclamation (construction) of an AML or AMD site or the construction of a new AMD active or passive treatment system, post development & design.

Project Goals/Future Site Plans:



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IPC PACKAGE

Location Map

- Option to attach to PDF or submit as a separate attachment in reply
- Must include the entire project and immediate adjacent areas





IPC PACKAGE

Applicant Risk & Compliance Details

- Experience under the AML/AMD Grant Program
- Current capacity
- Federal regulation compliance status
- Understanding of Program Guidance and federal regulations

Initial Project Consultation Package Applicant Risk and Compliance Details

Is your organization a first time applicant under the AML/AMD Grant Program? YES NO

If no, does your organization currently have a grant under the AML/AMD Grant Program YES NO

If yes, how many grants does your organization currently have under the AML/AMD Grant Program?

How many grants, outside of the AML/AMD Grant Program, is your organization currently working on?

If your organization is collectively working on one or more grants, describe your means of ensuring a successful work product/project based on the organization's current capacity. Include details of how many staff are available to work on grants, how many hours are devoted to each grant per person, availability to increase capacity as grant oversight increases, etc.

Describe your organization's understanding of the AML/AMD Grant Program and the Program Guidance.

Has your organization had a single audit performed in the past three (3) years for expending federal funds over the threshold noted in 2 CFR 200? If yes, when and what were the results? YES NO

Is the organization able and willing to collaborate with DEP/BAMR staff to ensure a successful project & application?

YES NO

What is the organization's vision on collaboration with DEP/BAMR?

If awarded a grant through the AML/AMD Grant Program, the organization will enter into an agreement as a subrecipient of a federal award. Subrecipients must adhere to Chapter 2 of the Code of Federal Regulations, Part 200 (2 CFR 200). Are you able and willing to comply with 2 CFR 200 as required under the AML/AMD Grant Program? YES NO

If yes, please describe your understanding of 2 CFR 200 and the policies and procedures your organization has in place to ensure compliance with items such as performance and financial reporting, procurement, audits, etc.



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Consent for Right of Entry (CROE)




CONSENT FOR RIGHT OF ENTRY

- Consent for right of entry (CROE) or property owner consent is required on all design and construction (reclamation) projects
- Subrecipient is responsible to acquire all CROEs for subaward projects
- Three form options are available online:
 - Business/Government Entity
 - Individual
 - Lessee



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CONSENT FOR RIGHT OF ENTRY

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Rev. 09/2024

OFFICE OF ACTIVE AND ABANDONED MINE OPERATIONS
BUREAU OF ABANDONED MINE RECLAMATION

Project Name: _____

Project No.: _____

County(ies): _____

Municipality(ies): _____

- Project Name and No. must match exactly what is in the grant award



CONSENT FOR RIGHT OF ENTRY

CONSENT FOR RIGHT OF ENTRY – INDIVIDUAL(S)

I/We, _____ (Owner), as owners
of record of the following described property: _____
recorded by instrument _____ in deed records of _____ County,
Pennsylvania (Property), do hereby grant to the Commonwealth of Pennsylvania, Department of Environmental
Protection (Department), and the agents, employees, servants, grantees, subrecipients, trustees, contractors and
subcontractors retained by the Department, the right, privilege and consent to enter upon the Property with all
necessary and convenient materials and equipment to perform reclamation work to restore, abate, control or
prevent the adverse effects of coal mining practices, and to protect the public health, safety and general welfare
of the citizens of the Commonwealth of Pennsylvania.

- Details within the CROE must be identical to what is recorded in the courthouse
- Only fillable areas should be amended accordingly. Do not change any other details of the CROE



CONSENT FOR RIGHT OF ENTRY

CONSENT FOR RIGHT OF ENTRY – INDIVIDUAL(S)

- Prior to obtaining signature, complete CROE and request BAMR realty review through your Grant Manager to ensure forms are correct. Once signed they cannot be edited
- Subrecipients nor their consultants should contact BAMR's realty staff directly



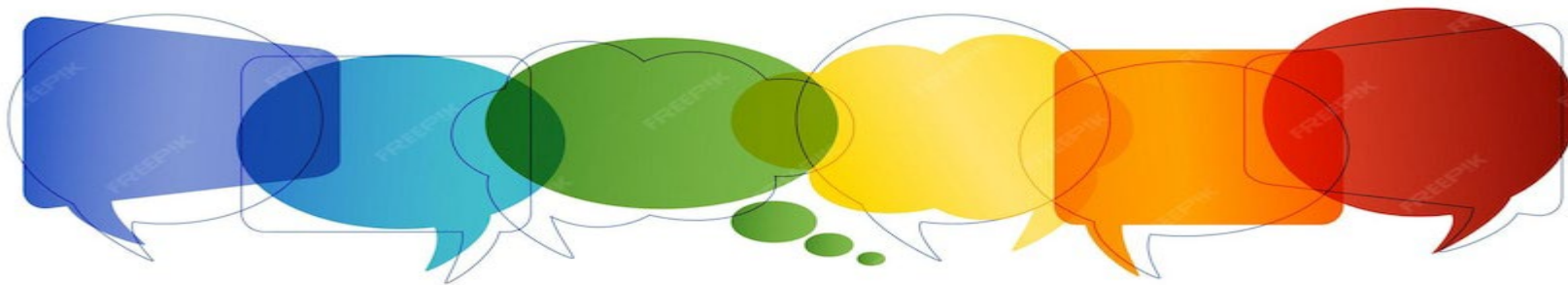
Pennsylvania
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ADDITIONAL NEED TO KNOW INFORMATION

COMMUNICATION

“The single biggest problem in communication is the illusion that it has taken place” – George Bernard Shaw

Success in the AML/AMD Grant Program depends on constant and timely communication!



communication



COMMUNICATION

- Upon grant award, your primary POC with BAMR is the Grant Coordinator
- Upon grant execution (agreement in hand), your primary POC with BAMR is the Grant Manager
- Please do not communicate or reply directly to DEP's Grants Center. Communicate with BAMR
- Immediately communicate the following to the Grant Manager:
 - Changes in project develop or design
 - Significant change orders
 - Unexpected delays in completing the project
 - Concerns regarding subcontractors/consultants
 - Milestone achievements
- Keep in mind, communication is a large component to the subrecipient risk assessment



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RESPONSIBLE PARTY

A subrecipient is the responsible party for the subaward. The subrecipient must...

- Ensure subcontractors and consultants are appropriately documenting and reporting costs associated with the project
- Serve as the direct contact with DEP-BAMR
- Be aware of their requirements under federal and state regulations



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RECORDS RETENTION

- All federal award records must be retained for three years (2 CFR 200.334)
- Records to be retained include but are not limited to:
 - Financial records
 - Supporting documentation
 - Statistical records



Pennsylvania
Department of
Environmental Protection

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The Department of Environmental Protection's mission is to protect Pennsylvania's air, land and water resources and to provide for the health and safety of its residents and visitors, consistent with the rights and duties established under the Environmental Rights Amendment (Article 1, Section 27 of the Pennsylvania Constitution).