

City of Seattle  
Office of the City Auditor

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December 14, 2009

Acting Director Ray Hoffman  
Seattle Public Utilities  
City of Seattle  
Seattle, Washington 98104

Attached is our report, **Compliance Audit of the Aquatic Habitat Matching Grant Program**. Our audit objective was to assess whether the design and implementation of the Aquatic Habitat Matching Grant program, which was established by City Council Resolution 30719 in the fall of 2004, was consistent with the goals and requirements of this resolution. To accomplish this, we examined the program's administration and a sample of individual grants. The questions we asked were:

- Is the program designed to protect and improve the aquatic habitat along creeks by supporting projects that mitigate the impact of stormwater runoff through the City's drainage system?
- Does the program create and fund partnerships between the City and community?
- Does the program contribute to regional species recovery and watershed protection and restoration?

We incorporated responses into this report from Seattle Public Utilities and the Department of Parks and Recreation. We appreciate the cooperation we received from both departments. If you have any questions or comments about this report, please call me at (206) 233-1095.

Sincerely,

A handwritten signature in black ink that reads "David G. Jones". The signature is written in a cursive style with a large "D" and "J".

David G. Jones  
Acting City Auditor

Enclosure

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# Office of City Auditor

## Compliance Audit of the Aquatic Habitat Matching Grant Program

**December 14, 2009**

**Auditor in Charge: Rodney Shutt, Audit Intern**

City of Seattle  
Office of City Auditor

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## Executive Summary

The purpose of the Aquatic Habitat Matching Grant (AHMG) program is to provide a matching funding source to individuals, non-profit and community organizations, and businesses that wish to implement projects to restore aquatic and riparian habitats that have been impacted by the City's stormwater drainage system. The AHMG program was established by Seattle City Council Resolution 30719 in the fall of 2004 as part of Mayor Nickels' Restore Our Waters initiative. The resolution charged Seattle Public Utilities (SPU) with responsibility for grant administration, established the program's basic requirements, and stated that the program's goals were to protect and improve aquatic habitat from direct impacts of stormwater runoff, create and fund partnerships between the City of Seattle (City) and the community, and contribute to regional species recovery and watershed restoration.

We reviewed the AHMG program to determine whether the City Council's goals and requirements, as expressed in the enabling resolution, were being met. The program is governed by the Program Guidelines document, while the separate grants are governed by their individual memoranda of agreements (MOAs), which are all based on a standardized MOA template.

We determined that the Program Guidelines and MOA template are designed to meet City Council goals set forth in Resolution 30719 and that the program complies with the resolution's 14 requirements. Furthermore, we compared SPU practices with 50 best practices for environmental grant administration and found that, as the following table shows, SPU generally follows these best practices. We concluded that some of the best practices would not be cost effective for SPU to implement, and an SPU official indicated that SPU plans to implement some of these best practices in the future.

<b>AHMG Compliance with Resolution 30719 Requirements and Grant Management Best Practices</b>					
	In Full Compliance	In Partial Compliance	Not In Compliance	Not Applicable	Unable to Determine
Resolution Requirements (14)	14	0	0	0	0
Grant Management Best Practices (50)	33	2	3	5	7

In addition to reviewing overall program implementation, we evaluated a sample of three grants used to fund restoration work on Wolfe Creek in the Kiwanis Ravine, near Discovery Park. We found that the grantee for all three grants, Heron Habitat Helpers, met the goals set out in their applications and Scopes of Work, and has fully complied with all grant-reporting requirements.

If all AHMG program grants are planned, vetted, and administered in the manner in which the Kiwanis Ravine series of grants have been, this program will meet the goals and requirements set forth by the City Council.

In addition, to strengthen the program, we offer SPU the following recommendations:

- Tighten MOA and program guidelines language to better reflect resolution requirements;
- Compile a policies and procedures manual;
- Approach the City Council about amending the valuation of volunteer time;
- Develop contingency plans for grantee bankruptcy;
- Perform on site spot checks to verify accurate grant reporting; and
- Consider adding staff resources to assist with grant administration.

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## **Purpose**

The Aquatic Habitat Matching Grant (AHMG) program, initiated by Seattle City Council Resolution 30719 as a component of Mayor Nickels' 2004 Restore Our Waters initiative, seeks to reduce storm water flows, restore aquatic habitat, and engage the public in watershed restoration. We sought to determine if the AHMG program's design and implementation were consistent with the 2004 City Council resolution. In addition to reviewing the program's administration, we examined a sample of grants that were used to fund three phases of work in the Kiwanis Ravine.

During this audit, we strived to ascertain if the program itself and the sample of individual grants met resolution goals and requirements. We asked the following questions to determine if the goals and requirements had been met:

- Is the AHMG program designed to protect and improve the aquatic habitat along creeks by supporting projects that mitigate the impact of stormwater runoff through the City's drainage system?
- Does the AHMG program create and fund partnerships between the City and community?
- Does the AHMG program contribute to regional species recovery and watershed protection and restoration?

## **Background**

### **Aquatic Habitat Matching Grant (AHMG) Program**

In late 2004, Mayor Nickels proposed the Restore Our Waters Initiative. As part of this initiative, in coordination with Seattle Public Utilities' (SPU) 2004 Comprehensive Drainage Plan, the City Council passed Resolution 30719, which established the AHMG program. The grant program requires a community or private match on a one for one basis of either cash donations or in kind work or supplies, and/or a non-city grant. City matching funds are provided from the Drainage and Wastewater Fund.

The resolution called for the formation of a review board that would develop grant application and approval guidelines. The seven members of the review board, which is a subcommittee of the Restore Our Waters Stakeholder Group, consist of community members and City employees. The three community board members are nominated by the Mayor and confirmed by the City Council and serve terms of three years. The four City members represent SPU, the Department of Parks and Recreation (Parks), and the Department of Planning and Development (DPD). This program is administered by SPU's Drainage and Wastewater Quality Division, in coordination with Parks for projects on City park land.

The purpose of the AHMG program is to provide a matching funding source to individuals, non-profit and community organizations and businesses that wish to implement projects to restore aquatic and riparian habitats that have been impacted by the City's stormwater drainage system. As long as projects are located within city limits, they can be on private or public property. Projects can either be adjoining the City's drainage system or part of a waterway directly impacted by the City's drainage system. The

project must also demonstrate a public benefit. The program accepts grant applications once a year and awards are usually made within four to six months of application. However, the awarding of new grants has been suspended for 2009 and 2010 due to budget constraints. No more than three phases of work on a project can be funded with an AHMG and for the years 2005 through 2008, SPU received 27 qualified grant applications. To date, 19 grants have been awarded to fund 14 projects, totaling \$827,613.50.

These grants have funded restoration work at sites throughout the city. Projects range widely in scope and cost. The smallest project was the removal of Japanese Knotweed in Carkeek Park, for which \$2,590 was granted. The largest project is the Madrona Park Creek Daylighting and Restoration project. Located at the mouth of Madrona Creek on Lake Washington in central Seattle, this project was awarded \$151,000 in 2005 and \$80,000 in 2007. The AHMG program has also funded work in North Seattle including Thornton Creek and two tributaries, Victory and Little Brook Creeks, and projects in West Seattle including Longfellow Creek, Puget Ridge Creek and Lower Fauntleroy Creek.

### **The Kiwanis Ravine Grant (Phases I, II and III)**

Kiwanis Ravine, which extends generally southward from near the Chittenden (Ballard) Locks to roughly 35<sup>th</sup> Avenue West and West Government Way, constitutes the majority of the riparian environment for Wolfe Creek. The creek has two forks in the southern half flowing into a primary channel in the northern half. Notably, the ravine supports the largest breeding colony of Great Blue Herons in the city. The ravine's steep slopes have been colonized by invasive plant species, which are displacing native species. The creek runs into a culvert that passes under the Gilman Avenue West right of way before emptying into the West Point Treatment Plant.

In the 1950's, a Seattle Kiwanis Club donated the northern half of the Kiwanis Ravine to the City of Seattle, while the southern half was acquired by the City in the 1980's. The City adopted a Green Space Policy in 1993 aimed at preserving natural habitat, mitigating noise and air pollution and reducing the need for man-made stormwater drainage systems. The policy targeted Kiwanis Ravine as key green space. To streamline management of the park, in June 2006, the City Council enacted Ordinance 122136, which transferred surface jurisdiction from the Seattle Department of Transportation to the Department of Parks and Recreation for some of the street and alley right of ways that cross or border the ravine.<sup>1</sup> Later in 2006, the City purchased property at the confluence of the east and west forks of Wolfe Creek; this increased the acreage of the park and provided a staging point for restoration work.

In 2001, Heron Habitat Helpers (HHH) was formed as a committee of the Friends of Discovery Park with the mission to help Seattle enjoy, learn about, and protect its Great Blue Herons in Kiwanis Ravine. HHH is a member of the Associated Recreation Council and is Seattle Parks and Recreation's official "Adopt-A-Park" sponsor of Kiwanis Ravine. In 2001 and 2002, HHH received grants from the Neighborhood Matching Fund to prepare a restoration plan for the ravine. In 2003, HHH published, and Parks approved, the Kiwanis Ravine Management and Monitoring Plan/Report, which has become the basis for the restoration work that is ongoing in the ravine and has been partially funded by the AHMG program.

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<sup>1</sup> [http://www.seattle.gov/parks/park\\_detail.asp?ID=4429#about](http://www.seattle.gov/parks/park_detail.asp?ID=4429#about)

When the plan/report was published, the park was heavily infested with invasive plant species, such as Himalayan Blackberry and English Ivy, with coverage ranging from nil in some areas to 100% in others. Additionally, a number of the street ends at the ravine's edge have become illegal dumping areas. The report/plan calls for the cleanup of the illegal dump sites, the removal and composting of invasive plant species, and the replanting of native species. Specific criteria were established to determine the success of the restoration for years one through five.

The plan/report called for both explicit support and complementary policies on habitat restoration from Seattle city government, including clarification of administrative authority and responsibility. Additionally, it called for establishing partnerships between the lead City agency (Parks), the local sponsor (HHH) and the community. Finally, the plan/report advocated taking a pragmatic approach to completing the work; it acknowledged that funding and labor issues would have to be resolved to do the restoration and then follow up with monitoring and maintenance.

The AHMG program funded three project phases. All AHMG funded restoration phases have occurred in the ravine's southern half. The first phase, a 2005 grant for \$37,350, concentrated on a contiguous area on the east bank of the West Fork of Wolfe Creek. The second phase, a 2006 grant for \$70,000, was spread over non-contiguous areas of the ravine, which included both the east and west forks of the creek and was less concentrated at the stream bank. The third phase of the grant, \$75,000 awarded in 2007, funded work in a contiguous area centered along the West Fort Street right of way (see Appendix A – Kiwanis Phases Map).

Each of these project phases has its own timeline, which includes application, approval, restoration, and monitoring and maintenance. The application, award determination, and agreement development stages of the granting processes, which apply to all grants awarded, generally require about seven to ten months to complete, although due to program change issues, the 2007 round took approximately 15 months. For the Kiwanis Ravine project, each phase of restoration took between four and six months. After restoration is completed and approved, the grant agreements with SPU and Seattle Parks and Recreation require HHH to perform three years of monitoring and maintenance. At this time, all three phases of the grant are in the monitoring and maintenance stage. Parks conducts regular inspections of the ongoing maintenance and passes their findings to SPU, who also receives periodic reports from the grantee.

## **Scope and Methodology**

This audit examines the AHMG program at two levels: first, the program level, which covers the program's administration, the application process and on-going grant management; and second, the grant level, which looks at the performance of a sample of individual grants.

To assess the program's administration, application process, and on-going grant management at the program level, we:

- Reviewed each year's Program Guidelines and draft standard MOA to determine if the City's Council's goals as set forth in City Council Resolution 30719 were being implemented;
- Examined the Program Guidelines and draft standard MOA to determine if all the requirements of Resolution 30719 were met; and

- Assessed whether SPU was following best environmental grant administration practices as established by the U. S. Environmental Protection Agency.

To assess the program's performance at the grant level, we:

- Chose a case-study approach of examining a "typical" grant. We identified and examined three grants which funded three phases of one project. The series of grants funded work on both private and public land and the funding period spanned several grant cycles.
- Examined how well each grant application met the goals, eligibility criteria, exclusions, and rating criteria established in the Program Guidelines; and
- Determined if the grants complied with the terms of their individual MOAs and Scopes of Work.

To assess the Aquatic Habitat Matching Grant Program's performance at the program and grant levels, we:

- Interviewed SPU officials responsible for the grant administration and conducted extensive reviews of program and grant project files;
- Performed extensive analysis comparing and assessing whether goals and requirements were met (see Appendices B, D, and E); and
- Performed analysis comparing and assessing the program's implementation of best practices (see Appendix C).

We conducted our audit fieldwork from May 15, 2009 to September 15, 2009.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

## **Conclusions**

We concluded that if all AHMG program grants are planned, vetted, and administered in the manner in which the three grants for the Kiwanis Ravine Project were completed, the Aquatic Habitat Matching Grant program should meet the City Council's goals as expressed in Resolution 30719 to:

- Provide opportunities to protect and improve the aquatic habitat along creeks by providing for projects that mitigate the impact of stormwater runoff through the City's drainage system;
- Create and fund partnerships between the City and community; and
- Contribute to regional species recovery and watershed protection and restoration.

## **Program Level**

We did not examine the administration of every grant this program funds; rather we selected a sample of grants to evaluate. The sample grants we examined indicated that SPU's policies and procedures are being followed. Complete program and grant files are being maintained (electronic and physical), regular reporting is done on schedule, with any variation quickly investigated and resolved. Invoices and match

statements are processed in a timely manner and management controls are in place to ensure efficient, accurate transactions. We concluded that SPU's AHMG program should meet the goals of restoring habitat, reducing stormwater flows during peak events, and fostering community involvement if policies and procedures are implemented as written.

The program's administration is divided into the application process, which is largely governed by the Program Guidelines, and the administration of existing grants, which is governed by the individual MOAs signed by each grantee. Each MOA contains a Scope of Work that specifies in detail every action that the grantee is required to perform. Grantees are required to submit regular reports indicating their level of completion for each item in their Scope of Work.

The Program Guidelines were initially well designed (the language in the 2005 Guidelines was tightly tied to the language in the resolution) and SPU reviews them annually. Reflecting the quality of their initial design, the Program Guidelines have changed little since inception. Changes that have occurred were drawn from lessons learned and an assessment of whether or not program elements add value (see Appendix B – Program Guidelines Matrix).

We found that the grant program as implemented by SPU complies with Resolution 30719's 14 requirements. For instance, the Resolution requires that the grant be used only to fund capital projects that provide direct public benefit to aquatic habitat that has been impacted by the City's drainage system operation; SPU is diligent in ensuring this grant only funds projects that meet this requirement. Another example is the Resolution's requirement that the criteria to be used in rating the applications will include scientific merits of the project, aquatic environment benefits, community involvement benefits, project feasibility and cost effectiveness, application quality, and adherence to Program Guidelines and objectives including consistency with the goals of the City's Comprehensive Drainage Plan; again, SPU is diligent in vetting the applicants based on these criteria. In 2005, SPU did not fully comply with the requirement that award determination take 4 months; this was due to technical review issues related to program initiation (see Appendix D – Resolution Requirements Matrix).

Seattle Public Utilities' Drainage and Wastewater Division is largely following the EPA's Best Practices for Grant Administration. A few examples are:

- Best practices call for grants to be awarded competitively based on merit, this is the basis for awarding the Aquatic Habitat Matching Grant (AHMG);
- Best practices call for an assessment of the grantees' ability to account for grant funds, this is part of the AHMG application review process; and
- Best practices indicate that opportunities for streamlining the grant management process should be identified, adaptive management has been practiced from the grant's inception, and improvements are being made every year.

An example of the adaptive management best practice is the application process, which has seen numerous changes over the four years in which new grants were being awarded. In 2005, a significant number of applications received did not fully meet the Program Guidelines. In response to this, in 2006 and 2007 a "pre-application" period was implemented in which abbreviated applications were pre-

screened for suitability. This procedure was abandoned in 2008 when SPU determined that better education about the requirements of the grant was a better use of resources.

Of the 50 best practices identified by our office, SPU fully complies with 33 practices, partially complies with two, and does not comply with three. We were unable to determine compliance with seven practices, and five did not apply. SPU has stated that the seven practices we were unable to determine compliance with will be included in SPU's upcoming five-year report on the program's performance. In most instances, SPU's partial or non-compliance can be attributed to the small scale of the AHMG program and individual grants, and lack of cost effectiveness in implementing the best practice. For instance, the best practices that call for formal audits to identify at risk grantees and address outstanding grant issues would not be a cost effective use of resources, considering the size of the grants funded by this program (see Appendix C – Best Practices Matrix).

## **Grant Level**

The grantee, Heron Habitat Helpers, has gone through three application processes, and with each application has done a better job of expressing the goals established in the Program Guidelines. They are accomplishing the goals set out in the grant applications and performing tasks specified in the statement of work. Part of our evaluation was an examination of the relative scoring of these grants against their competitors by the Review Board. This series of grants was scored either in first or second place for each year (see Appendix B – Program Guidelines Matrix).

The grantee is complying with the terms of their grants. Specifically, in addition to having completed the restoration work on all three phases of the project, the grantee has, and is continuing to submit all required reporting on a timely basis. All three project phases are currently within their maintenance and monitoring period. Phase I's maintenance and monitoring will continue through January 15, 2010; Phase II, through January 15, 2011; and Phase III, through January 15, 2012. The only item, other than ongoing maintenance and monitoring, which had not been completed by the time we completed field work, was a final inspection of the restoration work of phase three of the project. This was to have been completed in early January of this year. However, due to the severe weather the inspection did not occur. This item was reported as complete in the 2009 third quarter maintenance and monitoring report (see Appendix E – MOA Compliance Matrix).

## **Recommendations**

### **Contract Language-MOA and Program Guidelines**

We found two instances in which grant contract language could be strengthened to enhance compliance with City Council Resolution 30719:

- The introductory statement in the standardized MOA includes the phrase "... or will be affected by the City's drainage system." This is a significant expansion of the City Council's requirement that the grant only fund projects that have already been impacted by the City's drainage system.

The published Program Guidelines do not include this expanded verbiage. We recommend removing this phrase from the MOA template.

- The resolution's requirement that the "match elements must be expended during the proposed project's implementation" is not included in either the MOA or Program Guidelines. We recommend adding this language to the MOA template.

While the agreements for the individual grants we examined were very thorough, we found that the MOA template does not define terms, such as "fiscal sponsor" and "grantee," roles and responsibilities, and reporting requirements. We understand that every grant is unique and that not every contingency can be accounted for in a draft document. Because inclusion of these items might help less, well-organized grantees understand and fulfill their requirements, we recommend changing the MOA template to include these items.

### **Policy and Procedures Manual**

While the Program Guidelines and memorandum of agreement provide basic information for SPU and the grantees, they do not address SPU's internal grant administration policies and procedures. Were the current administrator to depart, the knowledge of how the program operates day to day would be lost. The compilation of an official policies and procedures manual would provide a repository for institutional knowledge of how the program operates and provide a reference for future staff. We recommend that SPU compile such a manual.

### **Valuation of Volunteer Match**

Resolution 30719, adopted in 2004, sets the assigned value of volunteer time at \$15/hour. In 2009 dollars, this amount has inflated to \$17.15, thus eroding the purchasing power of this match element. If the program continues, the effect of this fixed rate will be to further reduce the real value placed on volunteer time and erode the grantees ability to use this as a match component. SPU is not granted authority to index this rate. If the program is continued, SPU should approach the City Council to change or index the rate.

### **Grant Administration**

There are two areas where grant administration could be strengthened. Currently, no procedure exists for dealing with a grantee or fiscal sponsor facing dissolution before the terms of the grant are completed. A plan to deal with this sort of contingency should be established. Also, onsite random spot checks to confirm the accuracy of reports should be instituted.

### **Program Staffing**

During the period when new grants were being awarded, the program utilized a 0.7 FTE. Currently, due to the suspension of new grant awards, the program's administrative workload is gradually decreasing. While the current 0.2 FTE is adequate to maintain the attention to detail that the program has achieved, it means certain activities that would enhance the program cannot occur. For instance, our recommendations to compile a policies and procedures manual and conduct random onsite spot checks could be

accomplished with added staff time. Additionally, added staff time will be essential if SPU begins awarding new grants or a new program is initiated. We recommend that SPU consider increasing administrative staff time to manage the program.

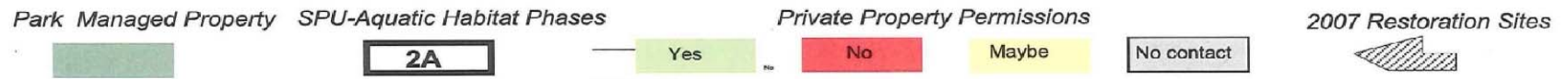
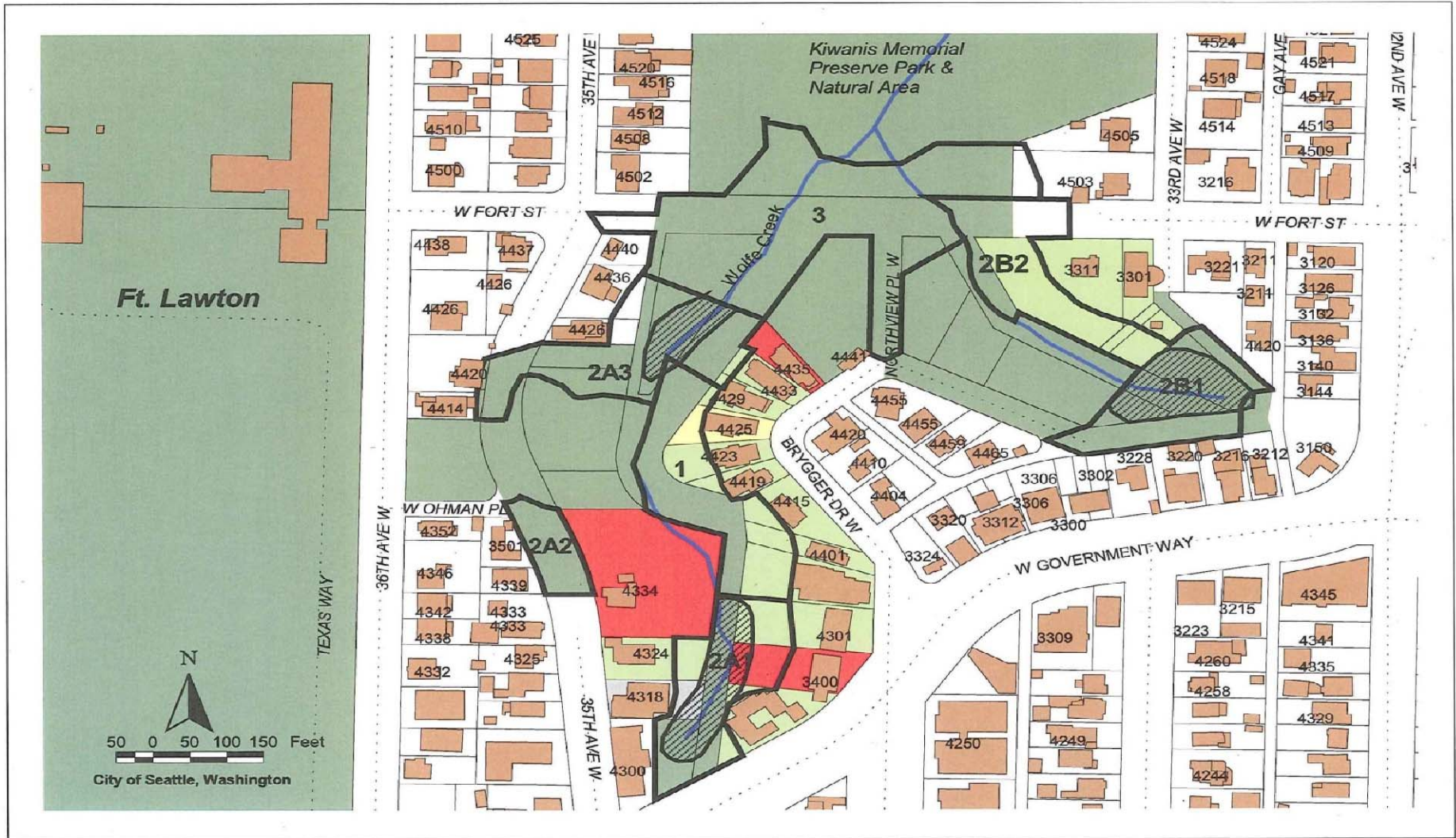
## **Summation**

The AHMG program's design largely meets the goals and requirements set out in City Council Resolution 30719. SPU's grant administration of the Kiwanis Ravine project complies with the established practices and procedures. If SPU administers all AHMG grant awards in the same manner as the Kiwanis Ravine project, they should be confident of meeting the performance goals and compliance requirements set by the City Council.

The case of the Kiwanis Ravine grants is a model for how the AHMG program can be implemented. The applications explained how the proposed projects would meet the goals of the program. In addition, grantees have fulfilled all grant requirements and provided documentation to SPU on a timely basis.

If the entire AHMG program is planned, executed, and administered in the manner in which the Kiwanis Ravine grants have been, this program will fully meet the goals and comply with the requirements set out by the City Council.

**City of Seattle-Kiwanis Ravine -Aquatic Habitat Phases with Permissions to Work in Private Backyards**



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Appendix B-1: Program Guidelines Individual Grant Compliance

Kiwanis Ravine AHMG Phase I (2005 Grant)

Score: **GREEN** – In Compliance, **YELLOW** – In Partial Compliance, **RED** – Not In Compliance, **BLUE** – Unable to Determine

Item	Goal/Objective as stated in the 2005 Program Guidelines	How Kiwanis Phase I meets these Goals/Objectives	Score
1	Protect and/or improve aquatic habitat along creek, marine, and lake receiving waters from the direct impacts of stormwater runoff through the City of Seattle's drainage system operation.	The applicant proposes to improve the aquatic habitat along the West Branch of Wolf Creek.	<b>GREEN</b>
2	Create and fund partnerships between the City and the community to implement aquatic habitat improvement, preservation, and restoration.	The project has a very strong community involvement component.	<b>GREEN</b>
3	Contribute to regional species recovery and watershed protection and restoration.	The project is designed to complement the Wolf Creek daylighting project and improve the riparian environment as well as improve the Heron nesting habitat in Kiwanis Ravine.	<b>GREEN</b>
4	Prioritize and protect existing habitat from direct impacts of stormwater runoff through the City's drainage system and work to improve habitat conditions that have been directly affected by the City's drainage system.	This project improves habitat that has been affected by storm water runoff from impervious surfaces (roof tops and street ends).	<b>GREEN</b>
5	Correct existing high-priority water quality and/or sediment quality problems associated with City stormwater discharges.	This project will improve stormwater discharges by reducing the fine grained sediments discharged from Wolf Creek during high flow events.	<b>GREEN</b>
6	Foster awareness and stewardship of water quality and aquatic ecosystems, as they relate to stormwater.	The project has a very strong community involvement and education component.	<b>GREEN</b>
Item	Eligibility Criteria as stated in the 2005 Program Guidelines	How Kiwanis Phase I Complies with this Criteria	Score
7	Located w/in the City of Seattle limits.	This is within the city limits.	<b>GREEN</b>
8	Be located in or adjacent to a creek, pipe, or ditch that is part of the City's drainage system or in a part of a waterway (creek, river, lake, Ship Canal, marine near shore) that has been directly affected by the City's drainage system.	This is located along Wolf Creek which is part of and has been highly impacted by the city's drainage system.	<b>GREEN</b>
9	Provide a direct public benefit to aquatic habitat that has been directly affected by the City of Seattle's drainage system operation.	Most of project is on public property. Removal of sources of invasive species. Restore ecosystem function.	<b>GREEN</b>
10	Match the City's resources at least 100% with community or private resources. The match may include: cash, volunteer labor, donated land or easements, donated supplies or equipment, donated professional services, or other non-City funds. Neighborhood Matching Fund grants or other City resources will not be considered or included as a match to the Aquatic Habitat Matching Grants.	Matching funds documented.	<b>GREEN</b>
11	Projects must demonstrate how impacts from stormwater runoff through the drainage system will be improved or prevented in the future.	Correction of high sedimentary storm water runoffs by stabilization of loose soil and additional plantings will improve water quality.	<b>GREEN</b>

<b>Item</b>	<b>Exclusions as stated in the 2005 Program Guidelines</b>	<b>Applicability of Exclusions to Kiwanis Phase I</b>	<b>Score</b>
12	A project that does not improve or prevent a direct impact in the City's drainage system or due to the City's drainage system.	This project improves or prevents a direct impact of or to the city's drainage system.	<b>GREEN</b>
13	Duplicate an existing private or public program.	This project does not duplicate an existing private or public program.	<b>GREEN</b>
14	Fund actions required as a permit condition for development or otherwise required by law.	This project does not fund actions required as a permit condition for development or otherwise required by law.	<b>GREEN</b>
15	Support ongoing and usual services of an organization.	This project does not support ongoing and usual services of an organization.	<b>GREEN</b>
16	Fund more than three phases or components of the same project.	This is the first phase of this project.	<b>GREEN</b>
17	Pay for food, beverages, and/or catering services. However, if these items are donated to the project or paid with other resources, they can be counted as match.	This grant does not pay for food, beverages, and/or catering services.	<b>GREEN</b>
18	A project that provides no public benefit. If an applicant is proposing to make improvements to property not owned by the City, the application must clearly articulate and provide concrete examples in the application the benefit the public will receive in consideration for its award of Aquatic Habitat Matching Grant Program funds.	Only 13% of the habitat being restored is on private property, and that work supports work being done on public property, which offers improved habitat and water quality in Wolf Creek as a public benefit.	<b>GREEN</b>
19	If the project involves use of, or changes to, property not owned by the applicant, the applicant must get written permission from the owner, e.g., Seattle Parks and Recreation, Seattle Department of Transportation, Seattle School District, or private property owner.	Written permission was obtained from property owners.	<b>GREEN</b>
<b>Item</b>	<b>Rating Criteria as stated in the 2005 Program Guidelines</b>	<b>Kiwanis Phase I Rank v. other 2005 applicants (% of possible and Review Board Ranking)</b>	<b>Score</b>
20	Overall rating - see break down below.	93% Rank - 2nd	<b>GREEN</b>
21	Application Quality - Includes project abstract, background, project goals, activities (scope of work), project support, and budget. (25 points)	87% Rank - 3rd	<b>GREEN</b>
22	Adherence to program guidelines and objectives including consistency with the goals of the City's Comprehensive Drainage Plan. (10 points)	84% Rank - 3rd	<b>GREEN</b>
23	Scientific merits and aquatic environment benefits. (25 points)	80% Rank - 3rd	<b>GREEN</b>
24	Community Involvement Benefits. (10 points)	94% Rank - 1st	<b>GREEN</b>
25	Stewardship, Maintenance, and Monitoring. (10 points)	90% Rank - 1st	<b>GREEN</b>
26	Project feasibility and cost-effectiveness. (20 points)	88% Rank - 3rd	<b>GREEN</b>

Item	Rating Criteria as stated in the 2005 Program Guidelines - continued	Kiwanis Phase I Rank v. other 2005 applicants (% of possible and Review Board Ranking) - continued	Score
27	Extra points. (up to 10) <ul style="list-style-type: none"> <li>• Projects that leverage existing City projects or community efforts.</li> <li>• Projects that are very likely to result in increases in fish and wildlife abundance and/or diversity.</li> <li>• Projects that implement the Salmon Conservation Plans in Water Resource Inventory Areas (WRIA) 8 or 9 (Cedar-Lake Washington and Green-Duwamish watersheds).</li> <li>• Projects that help reduce pollutants in impaired water bodies as listed by the Washington State Dept of Ecology under Section 303 d of the Clean Water Act</li> <li>• Projects on private property that include obtaining a conservation easement.</li> <li>• Projects located in prime habitat areas (ex. South Lake Washington shoreline, East Ship Canal).</li> <li>• Other public benefits.</li> </ul>	71% Rank - 2nd	<b>GREEN</b>

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Appendix B-2: Program Guidelines Individual Grant Compliance  
 Kiwanis Ravine AHMG Phase II (2006 Grant)

Score: **GREEN** – In Compliance, **YELLOW** – In Partial Compliance, **RED** – Not In Compliance, **BLUE** – Unable to Determine

Item	Goal/Objective as stated in 2006 Program Guidelines	How Kiwanis Phase II meets these Goals/Objectives	Score
1	Protect and/or improve aquatic habitat along creek, marine, and lake receiving waters from the direct impacts of stormwater runoff through the City of Seattle's drainage system operation.	Stabilization of unstable slopes by anchoring with logs and other materials, thereby reducing sedimentation and improving water quality.	<b>GREEN</b>
2	Create and fund partnerships between the City and the community to implement aquatic habitat improvement, preservation, and restoration.	Inform, educate, and involve the community in supporting grantee's work to protect riparian areas, creek and storm water quality, wildlife and wildlife habitat in the Ravine and its ecosystem.	<b>GREEN</b>
3	Contribute to regional species recovery and watershed protection and restoration.	The project is designed to complement the Wolf Creek daylighting project and improve the riparian environment as well as improve the Heron nesting habitat in Kiwanis Ravine.	<b>GREEN</b>
4	Prioritize and protect existing habitat from direct impacts of stormwater runoff through the City's drainage system and work to improve habitat conditions that have been directly affected by the City's drainage system.	Removal of invasive vegetation from riparian areas and ravine slopes, and replanting areas with native vegetation in accordance with the KMP thereby improving degraded conditions caused by previous City drainage policies.	<b>GREEN</b>
5	Correct existing high-priority water quality and/or sediment quality problems associated with City stormwater discharges.	Retention of woody debris and large logs already existing in Wolfe Creek to correct water velocity and create small waterfalls, shallow pooling; thereby reducing scouring during storm water surges.	<b>GREEN</b>
6	Foster awareness and stewardship of water quality and aquatic ecosystems, as they relate to stormwater.	Inform, educate, and involve the community in supporting grantee's work to protect riparian areas, creek and storm water quality, wildlife and wildlife habitat in the Ravine and its ecosystem.	<b>GREEN</b>
Item	Eligibility Criteria as stated in 2006 Program Guidelines	How Kiwanis Phase II Complies with this Criteria	Score
7	Located w/in the City of Seattle limits.	This project is entirely within the city limits.	<b>GREEN</b>
8	Be located in or adjacent to a creek, pipe, or ditch that is part of the City's drainage system or in a part of a waterway (creek, river, lake, Ship Canal, marine nearshore) that has been directly affected by the City's drainage system.	This is located along Wolf Creek which is part of and has been highly impacted by the city's drainage system.	<b>GREEN</b>
9	Provide a direct public benefit to aquatic habitat that has been directly affected by the City of Seattle's drainage system operation.	Benefit the public will receive from the portion of the project to be implemented on private property: <ul style="list-style-type: none"> <li>• Removal of ivy from trees, reducing risk of tree falls;</li> <li>• Removal of seed and other sources of invasive species;</li> <li>• Develop interest in protecting habitat; and</li> <li>• Restore ecosystem function by removing non-native plant species and increase natural biodiversity.</li> </ul>	<b>GREEN</b>

<b>Item</b>	<b>Eligibility Criteria as stated in 2006 Program Guidelines - continued</b>	<b>How Kiwanis Phase II Complies with this Criteria - continued</b>	<b>Score</b>
10	Match the City's resources at least 100% with community or private resources. The match may include: cash, volunteer labor, donated land or easements, donated supplies or equipment, donated professional services, or other non-City funds. Neighborhood Matching Fund grants or other City resources will not be considered or included as a match to the Aquatic Habitat Matching Grants.	Matching funds documented.	<b>GREEN</b>
11	Projects must demonstrate how impacts from stormwater runoff through the drainage system will be improved or prevented in the future.	Correction of high sedimentary storm water runoffs by stabilization of loose soil and additional plantings will improve water quality.	<b>GREEN</b>
<b>Item</b>	<b>Exclusions as stated in 2006 Program Guidelines</b>	<b>Applicability of Exclusions to Kiwanis Phase II</b>	<b>Score</b>
12	A project that does not improve or prevent a direct impact in the City's drainage system or due to the City's drainage system.	This project improves or prevents a direct impact of or to the city's drainage system.	<b>GREEN</b>
13	Duplicate an existing private or public program.	This project does not duplicate an existing private or public program.	<b>GREEN</b>
14	Fund actions required as a permit condition for development or otherwise required by law.	This project does not fund actions required as a permit condition for development or otherwise required by law.	<b>GREEN</b>
15	Support ongoing and usual services of an organization.	This project does not support ongoing and usual services of an organization.	<b>GREEN</b>
16	Fund more than three phases or components of the same project.	This is the Second phase of this project.	<b>GREEN</b>
17	Pay for food, beverages, and/or catering services. However, if these items are donated to the project or paid with other resources, they can be counted as match.	This grant does not pay for food, beverages, and/or catering services.	<b>GREEN</b>
18	A project that provides no public benefit. If an applicant is proposing to make improvements to property not owned by the City, the application must clearly articulate and provide concrete examples in the application the benefit the public will receive in consideration for its award of Aquatic Habitat Matching Grant Program funds.	See item 9 above.	<b>GREEN</b>
19	If the project involves use of, or changes to, property not owned by the applicant, the applicant must get written permission from the owner, e.g., Seattle Parks and Recreation, Seattle Department of Transportation, Seattle School District, or private property owner.	Written permission has been obtained.	<b>GREEN</b>
<b>Item</b>	<b>Rating Criteria as stated in 2006 Program Guidelines</b>	<b>Kiwanis Phase II Rank v. other 2006 applicants (% of possible and Review Board Ranking)</b>	<b>Score</b>
20	Overall rating - see break down below.	86% - Rank 1	<b>GREEN</b>
21	Application Quality - Includes project abstract, background, project goals, activities (scope of work), project support, and budget. (25 points)	85% - Rank 1	<b>GREEN</b>

Item	Rating Criteria as stated in 2006 Program Guidelines - continued	K-I Ratings (% of possible and Review Board Ranking) - continued	Score
22	Adherence to program guidelines and objectives including consistency with the goals of the City's Comprehensive Drainage Plan. (10 points)	92% - Rank 1	<b>GREEN</b>
23	Scientific merits and aquatic environment benefits. (25 points)	79% - Rank 1	<b>GREEN</b>
24	Community Involvement Benefits. (10 points)	93% - Rank 1	<b>GREEN</b>
25	Stewardship, Maintenance, and Monitoring. (10 points)	83% - Rank 1	<b>GREEN</b>
26	Project feasibility and cost-effectiveness. (20 points)	64% - Rank 3	<b>GREEN</b>
27	Extra points. (up to 10) <ul style="list-style-type: none"> <li>• Projects that leverage existing City projects or community efforts.</li> <li>• Projects that are very likely to result in increases in fish and wildlife abundance and/or diversity.</li> <li>• Projects that implement the Salmon Conservation Plans in Water Resource Inventory Areas (WRIA) 8 or 9 (Cedar-Lake Washington and Green-Duwamish watersheds).</li> <li>• Projects that help reduce pollutants in impaired waterbodies as listed by the Washington State Dept of Ecology under Section 303 d of the Clean Water Act (see list)</li> <li>• Projects on private property that include obtaining a conservation easement.</li> <li>• Projects located in prime habitat areas (ex. South Lake Washington shoreline, East Ship Canal).</li> <li>• Other public benefits.</li> </ul>	52% - Rank 1	<b>GREEN</b>

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Appendix B-3: Program Guidelines Individual Grant Compliance

Kiwanis Ravine AHMG Phase III (2007 Grant)

Score: **GREEN** – In Compliance, **YELLOW** – In Partial Compliance, **RED** – Not In Compliance, **BLUE** – Unable to Determine

Item	Goal/Objective as stated in 2007 Program Guidelines	How Kiwanis Phase III meets these Goals/Objectives	Score
1	Protect and/or improve aquatic habitat along creek, marine, and lake receiving waters from the direct impacts of stormwater runoff through the City of Seattle's drainage system operation.	This project would restore selected areas on the West and East Forks of Wolfe Creek by removing garbage and invasive species, stabilizing the slopes, replanting native species and restoring the stream banks.	<b>GREEN</b>
2	Create and fund partnerships between the City and the community to implement aquatic habitat improvement, preservation, and restoration.	Foster awareness and stewardship of water quality and aquatic ecosystems in the ravine. Promote volunteer involvement in management of water quality, wildlife and habitat protection and enhancement.	<b>GREEN</b>
3	Contribute to regional species recovery and watershed protection and restoration.	Protect habitats used by sensitive species from degradation and enhance native wildlife populations including the existing Great Blue Heron (GBF1) nesting colony.	<b>GREEN</b>
4	Prioritize and protect existing habitat from direct impacts of stormwater runoff through the City's drainage system and work to improve habitat conditions that have been directly affected by the City's drainage system.	Correct existing high priority sediment quality problems associated with City storm water discharges by removal of invasive species that cover Wolfe Creek's streambanks and replanting with native species.	<b>GREEN</b>
5	Correct existing high-priority water quality and/or sediment quality problems associated with City stormwater discharges.	Stabilization of unstable slopes by anchoring with logs and native plants with deep roots, thereby reducing erosion and resulting sedimentation -- and improving water quality over time.	<b>GREEN</b>
6	Foster awareness and stewardship of water quality and aquatic ecosystems, as they relate to stormwater.	Inform, educate, involve and build a growing community of supporters for (1), grantee's work to protect riparian areas, creek and storm water quality, wildlife and wildlife habitat in the Ravine and its ecosystem and (2) better environmental quality across Seattle.	<b>GREEN</b>
Item	Eligibility Criteria as stated in 2007 Program Guidelines	How Kiwanis Phase III Complies with this Criteria	Score
7	Located w/in the City of Seattle limits.	This project is located within the City limits.	<b>GREEN</b>
8	Be located in or adjacent to a creek, pipe, or ditch that is part of the City's drainage system or in a part of a waterway (creek, river, lake, Ship Canal, marine nearshore) that has been directly affected by the City's drainage system.	This project is located in the riparian zone of Wolf Creek.	<b>GREEN</b>
9	Provide a direct public benefit to aquatic habitat that has been directly affected by the City of Seattle's drainage system operation.	Phase 3 of the Aquatic Habitat Grant series in Kiwanis Ravine will be conducted primarily on public land.	<b>GREEN</b>

<b>Item</b>	<b>Eligibility Criteria as stated in 2007 Program Guidelines – continued</b>	<b>How Kiwanis Phase III Complies with this Criteria – continued</b>	<b>Score</b>
10	Match the City's resources at least 100% with community or private resources. The match may include: cash, volunteer labor, donated land or easements, donated supplies or equipment, donated professional services, or other non-City funds. Neighborhood Matching Fund grants or other City resources will not be considered or included as a match to the Aquatic Habitat Matching Grants.	Matching funds are documented.	<b>GREEN</b>
11	Projects must demonstrate how impacts from stormwater runoff through the drainage system will be improved or prevented in the future.	The proposed project will help stabilize the channel and adjacent stream banks, which will reduce erosion and deposition of sediments in the sewer. This project is a first step towards creek daylighting, which in the future can provide estuarine salmon habitat in Salmon Bay -- where little exists now — and reduces surface water flows to the West Point Treatment Plant.	<b>GREEN</b>
<b>Item</b>	<b>Exclusions as stated in 2007 Program Guidelines</b>	<b>Applicability of Exclusions to Kiwanis Phase III</b>	<b>Score</b>
12	A project that does not improve or prevent a direct impact in the City's drainage system or due to the City's drainage system.	This project improves or prevents a direct impact of or to the city's drainage system.	<b>GREEN</b>
13	Duplicate an existing private or public program.	This project does not duplicate an existing private or public program.	<b>GREEN</b>
14	Fund actions required as a permit condition for development or otherwise required by law.	None of the work being funded by this grant is required as a permit condition or otherwise required by law.	<b>GREEN</b>
15	Support ongoing and usual services of an organization.	This project is not part of the ongoing and usual services of an organization.	<b>GREEN</b>
16	Fund more than three phases or components of the same project.	This is the third phase of the project.	<b>GREEN</b>
17	Pay for food, beverages, and/or catering services. However, if these items are donated to the project or paid with other resources, they can be counted as match.	This grant will not pay for food, beverages, or catering services.	<b>GREEN</b>
18	A project that provides no public benefit. If an applicant is proposing to make improvements to property not owned by the City, the application must clearly articulate and provide concrete examples in the application the benefit the public will receive in consideration for its award of Aquatic Habitat Matching Grant Program funds.	See #9 above.	<b>GREEN</b>
19	If the project involves use of, or changes to, property not owned by the applicant, the applicant must get written permission from the owner, e.g., Seattle Parks and Recreation, Seattle Department of Transportation, Seattle School District, or private property owner.	Written permission has been obtained.	<b>GREEN</b>
<b>Item</b>	<b>Rating Criteria as stated in 2007 Program Guidelines</b>	<b>Kiwanis Phase III Application Scoring (% of Possible – Overall Rank*)</b>	<b>Score</b>
20	Overall rating - see break down below.	82% - Rank 1	<b>GREEN</b>

Item	Rating Criteria as stated in 2007 Program Guidelines – continued	Kiwanis Phase III Application Scoring (% of Possible – Overall Rank*) – continued	Score
21	Application Quality (5 points) well organized and thought through.	97%	GREEN
22	Adherence to program guidelines and objectives including consistency with the goals of the City's Comprehensive Drainage Plan. (10 points)	87%	GREEN
23	Scientific merits and aquatic environment benefits. (25 points)	83%	GREEN
24	Project scope of work. (15 points)	86%	GREEN
25	Community Involvement Benefits. (10 points)	90%	GREEN
26	Stewardship, Maintenance, and Monitoring. (15 points)	81%	GREEN
27	Project feasibility and cost-effectiveness. (20 points)	87%	GREEN
28	Extra points. (up to 10) <ul style="list-style-type: none"> <li>• Projects that leverage existing City projects or community efforts.</li> <li>• Projects that are very likely to result in increases in fish and wildlife abundance and/or diversity.</li> <li>• Projects that implement the Salmon Conservation Plans in Water Resource Inventory Areas (WRIA) 8 or 9 (Cedar-Lake Washington and Green-Duwamish watersheds).</li> <li>• Projects that help reduce pollutants in impaired waterbodies as listed by the Washington State Dept of Ecology under Section 303 d of the Clean Water Act (see list)</li> <li>• Projects on private property that include obtaining a conservation easement.</li> <li>• Projects located in prime habitat areas (ex. South Lake Washington shoreline, East Ship Canal).</li> <li>• Other public benefits.</li> </ul>	42%	GREEN

\* Scoring methodology changed and individual criteria rank not readily available.

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Appendix C-1: Program Compliance with Established Best Practices From

The Domestic Working Group Grant Accountability Project's [Guide to Opportunities for Improving Grant Accountability](#)

Score: **GREEN** – In Compliance, **YELLOW** – In Partial Compliance, **RED** – Not In Compliance, **BLUE** – Unable to Determine

Item	Best Practice	AHMG Practice	Score
<b>Area of Concern: Policies and Procedures</b>			
1	Develop & publish a procedures manual for staff and grantees.	Program Guidelines developed 2005, annually updated prior to next grant round	<b>GREEN</b>
2	Prepare policies for reviewing and selecting grants.	Annually prior to each grant round – timeline, directions to reviewers, criteria for ranking and scoring	<b>GREEN</b>
3	Merit review of applicants/competitive application.	See above, this is the basis of awarding grants.	<b>GREEN</b>
<b>Area of Concern: Information Systems</b>			
4	Develop information systems to streamline administration of grants.	Use tracking spreadsheets. Otherwise too small a program for formal IT system	<b>GREEN</b>
5	Develop capability to allow grantee to electronically deliver applications, ongoing documentation, and reports to grantor.	Grantees may submit electronically or by mail (documents with signatures may be submitted PDF but also in hard copy)	<b>GREEN</b>
<b>Area of Concern: Grant Management Training</b>			
6	Provide team based training to all levels of staff in the entire grant process.	See item 2. Program is small – one staff, 7 member Review Board, a few technical reviewers	<b>GREEN</b>
7	Provide training to grantees on application and reporting requirements and procedures.	One-on-one assistance provided as needed for applications, plus directions on website. Reporting requirements/procedures transmitted during memorandum of agreement negotiations.	<b>GREEN</b>
<b>Area of Concern: Coordinate Programs</b>			
8	Develop procedures to avoid duplication in awarding grants or to prohibit grantees from using other grants for the same costs.	Small grant program – other grants often used as match so they are complementary and supplementary.	<b>GREEN</b>
9	Require applicants to disclose similar grants applied for or received.	Yes, this is part of the application process.	<b>GREEN</b>
<b>Area of Concern: Link Activities With Goals</b>			
10	Use logic models to link activities with results.	Not specifically. But application and guidelines call for closely linked goals, objectives and outcomes.	<b>GREEN</b>
11	Use both output and outcome measures to evaluate performance.	Yes, this is part of the reporting requirements.	<b>GREEN</b>
12	Link metrics to program/agency goals.	Yes, metrics are determined by program goals.	<b>GREEN</b>
<b>Area of Concern: Assess applicant ability to account for funds</b>			
13	Require a uniform pre-award evaluation of applicant capabilities.	Yes, this is part of the application review process.	<b>GREEN</b>

Item	Best Practice	AHMG Practice	Score
<b>Area of Concern: Assess applicant ability to account for funds</b>			
14	Collect information on applicant capability as needed.	Yes, this is part of the application review process.	GREEN
15	Conduct pre-award “audits” to identify grantees with limited administrative capabilities.	No, but questions asked during site visit – currently, no new grants are being awarded.	YELLOW
16	Use scoring system to evaluate technical capability.	Yes, this is part of the application review process.	GREEN
<b>Area of Concern: Competing grants facilitate accountability</b>			
17	Develop specific criteria for evaluating all applicants.	Yes, the criteria are spelled out in the Program Guidelines.	GREEN
18	Require funding announcements to include ranking criteria.	Yes, ranking criteria is available with funding announcements.	GREEN
19	Assemble merit review panel to select grantees.	Yes, review board performs this function.	GREEN
<b>Area of Concern: Provide accountability using work plans</b>			
20	Look for viable and efficient work plans.	Yes, a significant component of the ranking criteria is based on this.	GREEN
21	Require applicants to submit detailed narrative as evidence of proper work planning.	Yes, this is part of the application process.	GREEN
22	Require grant applications to include project objectives and impacts.	Yes, this is a required part of the application.	GREEN
<b>Area of Concern: Include clear terms and conditions in grant award documents</b>			
23	Emphasize need to comply with grant award requirements.	Yes, this is clearly spelled out in the MOA.	GREEN
24	Incorporate statement on funding source.	Yes, the Program Guidelines states the funding source is the Drainage and Wastewater Fund.	GREEN
25	Standardize grant terms and conditions.	Yes, these are spelled out in the Program Guidelines.	GREEN
<b>Area of Concern: Monitor financial status of grants</b>			
26	Use an electronic system to monitor grant funds.	No, other than an excel spreadsheet – Dedicated systems not cost effective.	GREEN
27	Perform on site reviews of financial systems.	Not generally done, grantees are usually too small to have dedicated financial systems.	RED
<b>Area of Concern: Performance monitoring</b>			
28	Use electronic systems to track deliverables.	No, other than an excel spreadsheet – Dedicated systems not cost effective.	GREEN

Item	Best Practice	AHMG Practice	Score
<b>Area of Concern: Performance monitoring</b>			
29	Monitor achievement of outputs and outcomes.	Through quarterly reports and occasional site visits.	GREEN
30	Use multi-disciplinary teams to assess performance.	Yes, the grant review board performs this function.	GREEN
<b>Area of Concern: Using audits</b>			
31	Use audits to identify at-risk grantees.	Nothing formal. Questions asked during site visits and during MOA negotiations.	RED
32	Use audit resolution process to address outstanding grant issues.	No. Program small (18 projects). Problems identified and resolved on case by case basis by program manager.	RED
33	Summarize audit results for management.	N/A – Formal system wide internal audits are not performed.	N/A
<b>Area of Concern: Monitoring sub-recipients</b>			
34	Develop guidance to assist sub-recipients.	N/A – Funds are not distributed to sub-recipients.	N/A
35	Publish materials detailing sub-recipients responsibilities.	N/A – Funds are not distributed to sub-recipients.	N/A
36	Coordinate agency efforts to monitor performance.	N/A – Funds are not distributed to sub-recipients.	N/A
<b>Area of Concern: Provide evidence of program success</b>			
37	Use surveys to determine program results.	Quarterly and final reports required of each grantee. Survey planned for 5 yr report fall of 2009	BLUE
38	Inspect projects after completion.	Planned (no projects complete yet due to 1-3 years of required maintenance/monitoring)	BLUE
39	Train grantees to self-monitor and encourage accurate reporting.	Yes – as needed on case-by-case basis.	GREEN
<b>Area of Concern: Identify ways to improve program performance</b>			
40	Engage outside experts to assess program performance.	Haven't reached that point yet.	BLUE
41	Conduct evaluations to identify factors affecting results.	Will be part of preparing 5 year report fall 2009	BLUE

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Appendix C-2: Program Compliance with Established Best Practices From  
The *EPA's Grants Management Plan 2009-2013*

Score: **GREEN** – In Compliance, **YELLOW** – In Partial Compliance, **RED** – Not In Compliance, **BLUE** – Unable to Determine

Item	Area of Concern (Plan section)	Best Practice	AHMG Practice	Score
1	Demonstrate achievement of environment results (1.2)	Develop criteria for determining the suitability of output and outcome measures.	Will be part of 5 yr report process	<b>BLUE</b>
2	Enhance ability to report environmental data (1.3) and utilize best practices in grant management (2.4)	Develop and implement environmental results training for SPU personnel and recipient (1.3). Address programmatic training requirements for grant management (2.4).	This is an SPU (agency) level issue and affects multiple divisions and programs.	N/A
3	Develop guidance on the roles and responsibilities of SPU personnel involved in grants management (2.1)	Fully explain the differences in grants management roles and responsibilities.	Developed a table in 2007 showing roles/responsibilities of staff	<b>GREEN</b>
4	Develop a vision for Agency grants management policies, procedures, and implementing guidance (3.1)	Develop a flow chart of the current process. Assess what has worked in the current process. Identify guiding principles for grant management policies and procedures.	Will be part of 5 year report	<b>BLUE</b>
5	Identify opportunities for streamlining the grants business process (4.1)	Define the objectives and intended outcomes of the individual steps of the business process, determine whether some could be eliminated, approval authorities could be lowered, or reporting requirements could be reduced.	Adaptive management of AHMG program administration has been practiced from the beginning. Improvements are made each year.	<b>GREEN</b>
6	Make the competitive process as efficient and transparent as possible (4.2)	Identify ways to make the competitive process more efficient and effective for both the Agency and applicants. Explore further opportunities for use of competition.	See #5 above. e.g.: elimination of the pre-application round after determining that it was more work for all involved and not as effective as AHMG management thought	<b>GREEN</b>
7	Develop grantee feedback system and use information collected to improve processes (4.4)	Obtain feedback from the applicant and recipient communities to assess their satisfaction. Develop a structure to assess and address areas of concern.	Will be part of 5 year report.	<b>BLUE</b>
8	Provide electronic tools necessary to achieve accountable, high-quality grants management (5.2)	Develop and implement on line tools to provide users with a data mart on grants management and related financial information. Develop a process to identify user needs and evaluate feasibility of implementation.	Not there yet beyond information provided on the website (grant guidelines, steps to a successful project, permit information etc.).	<b>YELLOW</b>
9	Provide timely and accurate grant information and data to the public. (5.5)	Update grant website with up to date competition, award information and grant policy information.	Yes – has been done for each year with a grant round (no more new grant rounds until further notice).	<b>GREEN</b>

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Appendix D – City Council Resolution 30719 Requirements

Score: **GREEN** – In Compliance, **YELLOW** – In Partial Compliance, **RED** – Not In Compliance, **BLUE** – Unable to Determine

Item	City Council Resolution 30719 Requirement	AHMG Practice	Score
<i>Section 1 - Matching Grant Program: Establishment and Purpose</i>			
1	Seattle Public Utilities shall manage and administer the Aquatic Habitat Matching Grant Program	SPU Administers the program.	<b>GREEN</b>
2	Eligible Applicants: Any individual, citizens' group, non-profit and charitable organizations, business owners and developers, or neighborhood organizations with any interest in aquatic habitat improvement, preservation, and restoration and ecological diversity and preservation may apply for Aquatic Habitat Matching Grants.	The program guidelines comply fully with this section.	<b>GREEN</b>
3	Eligible Projects: Aquatic Habitat Matching Grants can only be used to fund capital projects that provide direct public benefit to aquatic habitat that has been impacted by the City's drainage system operation. Eligible projects may include, but are not limited to, removal of fish passage blockages; removal of non-native invasive plant species from aquatic habitats; restoration of native plant species, riparian vegetation and natural aquatic habitat features and complexity; removal of bank armoring; and re-establishment of creek connectivity.	The program guidelines comply fully with this section. The introductory statement in the MOA includes the phrase "...or will be affected by the City's Drainage system." This language should be changed to correspond with the City Council resolution.	<b>GREEN</b>
4	The Aquatic Habitat Matching Grants will not be used to duplicate an existing private or public program, fund regulatory mitigation required as a permit condition for development; support ongoing and usual services of an organization, or support more than three phases or components of the same project. Projects must benefit aquatic habitat that has been impacted by the City's drainage system operation.	The program guidelines comply fully with this section.	<b>GREEN</b>
5	Selection Criteria: Criteria to be used in rating the applications will include scientific merits of the project, aquatic environment benefits, community involvement benefits, project feasibility and cost effectiveness, application quality, and adherence to programs guidelines and objectives including consistency with the goals of the City's Comprehensive Drainage Plan.	The program guidelines comply fully with this section.	<b>GREEN</b>
6	Match Requirements: All applicants must clearly demonstrate that the proposed project includes resources from the community or private sources that will match the City's resources. Applicants must pledge and then secure resources to match the Aquatic Habitat Matching Grant request. The match may include: cash, volunteer labor, donated land or easements, donated supplies or equipment, donated professional services, or other non-City funds. While Neighborhood Matching Fund grants may be a component of a restoration project, they shall not be considered or included as a match to the Aquatic Habitat Matching Grants. The proposed match elements must be expended during the proposed project's implementation.	The program complies fully with this requirement. The MOA and program guidelines together comply mostly with this section, the resolution's language that the "match elements must be expended during the proposed project's implementation" is not included in either the MOA or program guidelines. This language should be added.	<b>GREEN</b>

Item	City Council Resolution 30719 Requirement	AHMG Practice	Score
<b>Section 1 - Matching Grant Program: Establishment and Purpose, continued</b>			
7	All volunteer labor will be valued at \$15 per hour. Volunteer time planning the projects should not be considered in the match. For professional services the contribution shall be based upon the reasonable and customary value of the product contributed by the professional to the proposed project. For all elements of the match, the applicant must be prepared to justify that the amount and types of contribution proposed are appropriate.	The program fully complies with this section.	<b>GREEN</b>
8	All projects must include a match that is at least equal in value to the amount requested from the Aquatic Habitat Matching Grant program or the request to match ratio is 1:1.	The program fully complies with this section.	<b>GREEN</b>
9	Funding Cycle: There will be one funding cycle each year, beginning with notice of the application process. Applications must be received by close of business on the noticed due date. Awards for the Aquatic Habitat Matching Grants will be finalized by the City Council within four months from the time of application.	The program complies with this section, with the following qualification: Some award selection periods have taken longer than 4 months due to technical review issues. <i>Currently the program is not awarding new grants and is fully in compliance.</i>	<b>GREEN</b>
<b>Section 2 - AHMG Review Board</b>			
10	Purpose: The Aquatic Habitat Matching Grant Review Board (Review Board) will be a subcommittee of the Restore Our Waters Stakeholder Advisory Group. Members of the Habitat Matching Grant Review Board that are community members and not City employees will be appointed by the Mayor or his designee and confirmed by the Council. The Review Board in collaboration with City staff, will review applications and make recommendations to the Mayor and Council regarding which Habitat Matching Grant projects should receive funding priority. The Review Board generally will have 8 weeks after receipt of the applications each year to make their award recommendations.	The program complies with this section, with the following qualification: While the Review Board generally took 8 weeks after receipt of the applications each year to make their award recommendations, the process took longer in 2008. This was due to the time involved in technical review and doing site visits.	<b>GREEN</b>
11	Rating Guidelines: Within 60 days of the appointment of its members, the Review Board will submit for Council approval application and rating guidelines that elaborate on the eligibility and rating criteria listed in Section 1. Upon Council approval of the guidelines and after solicitation of applications, the Review Board will first evaluate each application according to the eligibility criteria and then, if eligibility criteria are met, apply the rating criteria.	The program fully complies with this section.	<b>GREEN</b>

Item	City Council Resolution 30719 Requirement	AHMG Practice	Score
<b>Section 2 - AHMG Review Board, continued</b>			
12	Annual Report: The Aquatic Habitat Matching Grant Review Board will also draft and submit an annual report to the Council that includes statistics and descriptions of project applications, project awards, project after-action summaries, and recommendations from the Review Board members on policies, objectives, and program components of the Aquatic Habitat Matching Grant program. The 2007 Annual report submitted by the Review Board will also contain recommendations on the overall effectiveness of the program and whether it should continue.	The program complies with this section, with the following qualification: In 2007, the program went through SPU's Asset Management Review process. The Seattle City Council was informed of the results and a decision was made at that time to continue the program at least through 2011 <sup>1</sup> . A comprehensive report will be published in late 2009	<b>GREEN</b>
13	Membership: The Aquatic Habitat Matching Grant Review Board shall be composed of 7 members and shall include Seattle Public Utilities (SPU) representatives with resource planning and community involvement expertise, a member from the Department of Planning and Development, a member from the Parks Department, a community group representative, a business representative, and an at-large citizen representative. Members of the Review Board and the organizations they represent are not eligible to apply for Aquatic Habitat Matching Grants	The program fully complies with this section.	<b>GREEN</b>
<b>Section 3: Funding</b>			
14	The funding source for the program shall be drainage utility revenues. Funded projects must show how they meet one or more service goal from the Comprehensive Drainage Plan and how they protect or improve creek, shoreline, and lake receiving waters from the direct impacts of SPU's drainage system.	The program fully complies with this section.	<b>GREEN</b>

<sup>1</sup> This was done in lieu of including recommendations in the AHMGs Review Board's 2007 Annual Report

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Appendix E-1: Statement of Work Individual Grant Compliance

Kiwanis Ravine AHMG Phase I (2005 Grant)

Score: **GREEN** – In Compliance, **YELLOW** – In Partial Compliance, **RED** – Not In Compliance, **BLUE** – Unable to Determine

Item	Action Item/Task from Kiwanis Phase I MOA Statement of Work	Outcome/Measure as indicated in SOW	Responsible Party	Done by date	Comments	Score
1	Completion of Statement of Work (SOW).	Completed SOW.	Heron Habitat Helpers (HHH)/SPU	April 2006	SOW Completed.	<b>GREEN</b>
2	Coffee Party for private property owners of 8 single family dwellings and 1 multiple dwelling - to provide project information & encourage letters of commitment.	Completed coffee party and letters of commitment.	HHH, including private property owners	April to May 2006	Parties completed - information provided. Wavers signed.	<b>GREEN</b>
3	Obtain update (if necessary) from SDOT on its HHH street use permit. Although the current permit is valid through February 2007, the narrative may need to be edited to add particular rights-of-ways or the maintenance/monitoring period.	Updated permit, if necessary.	HHH/SPU	April to May 2006	Surface jurisdiction in project area transferred from SDOT to Parks by Seattle City Council Ordinance <sup>2</sup> .	<b>GREEN</b>
4	Review plans with Seattle Department of Parks & Recreation.	Approval to proceed.	HHH/Parks	May 2006	Completed 9/7/06.	<b>GREEN</b>
5	Advertise for and select landscape contractor.	Contract in place with landscape company.	HHH/Interested contractors	May to June 2006	Completed 8/30/06.	<b>GREEN</b>
6	Hold public meeting and/or conduct neighborhood coffee parties or lemonade stands to inform the community about the project. Post sign about the project.	Events scheduled/attended, sign posted.	HHH/Parks, introduce contractor	Summer 2006	Completed 9/19/06.	<b>GREEN</b>
7	Project orientation and plant ordering.	HHH/Contractor meeting, plants/materials ordered.	HHH/Contractor	Summer 2006	Completed 9/25/06.	<b>GREEN</b>
8	GPS survey of selected sight lines.	Survey stakes in place.	Seattle Urban Nature Project	Sept 2006	Completed 9/25/06 - Copy of map on file.	<b>GREEN</b>
9	Remove invasives, remove waste materials, stabilize banks: use invasives for mulch and shore up steep areas with downed wood, place cardboard & mulch as necessary, plant native projects, re-vegetate access and staging areas, complete final inspection and map/report of restoration work accomplished.	Work/Reports accomplished.	Contractor under HHH	Sept 2006 to Jan 2007	Completed 1/31/07.	<b>GREEN</b>
10	Maintenance/monitoring/reports via 1-2 work parties per year Fall through January.	Restoration updated and reported.	Contractor/HHH	2007-2010	Ongoing - Reports being filed.	<b>BLUE</b>

<sup>2</sup> Seattle City Council Ordinance 122136

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Appendix E-2: Statement of Work Individual Grant Compliance  
 Kiwanis Ravine AHMG Phase II (2006 Grant)

Score: **GREEN** – In Compliance, **YELLOW** – In Partial Compliance, **RED** – Not In Compliance, **BLUE** – Unable to Determine

Item	Action Item/Task from Kiwanis Phase II MOA Statement of Work	Outcome/Measure as indicated in SOW	Responsible Party	Done by date	Comments	Score
1	Manage project and maintain communications with Seattle Public Utilities, Seattle Parks and Recreation, Contractors, HHH, applicable property owners and public.	Quarterly reports, including photo documentation with heron activity during nesting season. Applicable invoices and match expenditure statements.	Heron Habitat Helpers (HHH)/SPU/Parks/Contractors	Feb 2007 to Jan 2011	Ongoing.	<b>GREEN</b>
2	Renew SDOT permit if necessary, expires Feb 07.	Renewed Permit.	SDOT/HHH	Feb 2007	Surface jurisdiction in project area transferred from SDOT to Parks by Seattle City Council Ordinance <sup>3</sup> .	<b>GREEN</b>
3	Join the Green Seattle Partnership.	Record of enrollment	HHH	Feb 2007	Completed.	<b>GREEN</b>
4	Obtain permission to work on properties included in the project area.	Copies of permission letters (use City's format).	HHH	Feb - Jul 2007	Permission Granted for all but 4435 Brygger Dr, 4334 35th Ave W, 3400 Gov Way.	<b>GREEN</b>
5	Select contractor to prepare map for project delineation, contract administration, property boundaries, etc.	Copies of agreement with selected contractor; copies of map.	HHH	March 2007	Map is in Earth Corps report.	<b>GREEN</b>
6	Select and secure landscape contractor to perform invasive plant removal and re-vegetation work.	Copy of agreement with selected contractor.	HHH/Contractor	March-April 2007	EarthCorps signed contract to perform this function finalized 8/24/07.	<b>GREEN</b>
7	Develop invasive plant removal and re-vegetation plan in accordance with Seattle Parks and Recreation standards. Needs to include plans for monitoring and maintenance, "best management practices," and a plant list.	Invasive plant removal and re-vegetation plan.	HHH	April-June 2007	Amendment to protect Mtn. Beaver habitat submitted to Parks, no reply yet, will be included as part of Parks Levy project.	<b>GREEN</b>

<sup>3</sup> Seattle City Council Ordinance 122136

Item	Action Item/Task from Kiwanis Phase II MOA Statement of Work	Outcome/Measure as indicated in SOW	Responsible Party	Done by date	Comments	Score
8	Work with Seattle Parks and Recreation to get approval for invasive removal and re-vegetation plan. SPU will issue the final approval.	Documentation of Seattle Parks and Recreation approval.	HHH/Parks	June-July 2007	Parks approved the plan in Sept 07.	<b>GREEN</b>
9	Order plants for Fall delivery.	Invoices for plant purchases.	Contractor/HHH	July-August 2007	EarthCorps performed this function.	<b>GREEN</b>
10	Conduct public meeting to inform community.	1) Copies of flyers; 2) Grant match expenditure sheets.	HHH/Parks/ Contractor	September 2007	Completed 9/25/07.	<b>GREEN</b>
11	Survey any missing perimeter delineations.	Survey stakes in place - Deliverables: 1) Summary of pre-project baseline conditions to which post-project conditions will be compared; 2) Pre-project digital photos.	HHH/Seattle Urban Nature Project	September 2007	Seattle Urban Nature contracted to perform this function.	<b>GREEN</b>
12	Remove invasives; haul waste; stabilize slopes with coir cloth and native logs; plant native plants.	Invasives cleared from project area, native plants reintroduced - Deliverables: 1) Sign-in sheets; 2) Data on the types of invasive plants and numbers of bags removed from the site; 3) Invoices for contractor work and materials if necessary; 4) Data on the progress and ability to adhere to the planting plan.	Contractor	September – December 2007	Completed 12/07.	<b>GREEN</b>
13	Arrange for Department of Parks and Recreation and SPU to perform final inspection.	Documentation of Parks approval.	HHH/Parks/ Contractor	December 2007 to January 2008	Completed 12/07.	<b>GREEN</b>
14	Complete project. Prepare map/report of accomplishments.	1) Post-project digital photos; 2) Progress report (to include map).	Contractor	January 2008	Received by SPU 2/08.	<b>GREEN</b>
15	Monitor and maintain the project according to the re-vegetation plan approved by the Parks department.	Monitor native plant survival, clear re-sprouted invasives, and plant natives. Achieve 80% native plant survival and no more than 20% cover of invasive species in restoration area at any time. - Deliverables: 1) Invoices for contractor work and materials; 2) Data from monitoring and maintenance including digital photos and report.	Contractor	January 2008- December 31, 2010	Ongoing - regular reports being issued.	<b>GREEN</b>
16	Wrap-up project.	Final report, including photo documentation.	HHH/Contractor	December 31, 2010	Yet to occur.	<b>BLUE</b>

Appendix E-3: Statement of Work Individual Grant Compliance

Kiwanis Ravine AHMG Phase III (2007 Grant)

Score: **GREEN** – In Compliance, **YELLOW** – In Partial Compliance, **RED** – Not In Compliance, **BLUE** – Unable to Determine

Item	Action Item/Task from Kiwanis Phase III MOA Statement of Work	Outcome/Measure as indicated in SOW	Responsible Party	Done by date	Comments	Score
1	Manage project and maintain communications with Seattle Public Utilities, Seattle Parks and Recreation, Contractors, HHH, applicable property owners and public.	Deliverables: 1) Quarterly reports including photo documentation; with heron activity during nesting season 2) Applicable invoices and match expenditure statements.	Heron Habitat Helpers (HHH)/SPU/Parks/Contractor	Aug 2008 - Dec 2011	Ongoing with regular reports.	<b>GREEN</b>
2	Obtain permission to work on properties included in project area.	Deliverables: Copies of permission letters (use City's format).	HHH	Aug 2008	Additional permissions not required.	<b>GREEN</b>
3	Consult with City Light regarding permit.	Deliverable: Permit or letter of permission (as applicable).	City Light/HHH	Aug 2008	Surface jurisdiction in project area transferred from SDOT to Parks by Seattle City Council Ordinance <sup>4</sup> .	<b>GREEN</b>
4	Develop invasive plant removal and re-vegetation plan in accordance with Seattle Parks and Recreation standards (see Attachment G). Needs to include plans for monitoring and maintenance, "best management practices," and a plant list.	Deliverable: Invasive plant removal and re-vegetation plan.	HHH	Aug 2008	Completed 8/08.	<b>GREEN</b>
5	Work with Seattle Parks and Recreation to get approval for invasive removal and revegetation plan. SPU will issue the final approval.	Ensure restoration is done appropriately on public lands. Deliverable: Documentation of Seattle Parks and Recreation approval.	HHH/Parks	Aug 2008	Completed 8/14/08.	<b>GREEN</b>
6	Order plants for Fall delivery.	Deliverables: Invoices for plant purchases.	Contractor/HHH	Aug 2008	Completed by 9/08.	<b>GREEN</b>
7	Survey any missing perimeter delineations.	Survey stakes in place - Deliverables: 1) Summary of pre-project baseline conditions to which post-project conditions will be compared; 2) Pre-project digital photos.	HHH/Seattle Urban Nature Project	Aug 2008	No further surveys required.	<b>GREEN</b>

<sup>4</sup> Seattle City Council Ordinance 122136

Item	Action Item/Task from Kiwanis Phase III MOA Statement of Work	Outcome/Measure	Responsible Party	Done by date	Comments	Score
8	Conduct public meeting to inform community.	Public meeting scheduled and completed - Deliverables: 1) Copies of flyers; 2) Match expenditure sheets.	HHH/Parks/ Contractor	Sep 2008	Completed 10/7/08.	<b>GREEN</b>
9	Remove invasives.	Deliverables: 1) Sign-in sheets; 2) Data on the types of invasive plants and numbers of bags removed from the site; 3) Invoices for contractor work and materials if necessary; 4) Data on the progress and ability to adhere to the planting plan.	Contractor	Sep 2008	Completed 2/09.	<b>GREEN</b>
10	Remove waste materials.	Deliverables: Data of tonnage.	Contractor	Sept - Dec 2008	Not applicable, no waste to remove from this area.	<b>GREEN</b>
11	Secure slopes.	Deliverables: Photo documentation and written data on erosion control measures used including coir cloth, ivy burritos, & native logs in place, etc.	Contractor	Oct- Dec 2008	Completed 2/09.	<b>GREEN</b>
12	Plant native plants.	Photo documentation and written data on native plants planted.	Contractor	Oct- Dec 2008	Completed 2/09.	<b>GREEN</b>
13	Hold volunteer work party (pending Parks/SPU approval).	Photo documentation and written summary of volunteer event(s), sign-in sheets – if approved for match by SPU.	Contractor/HHH	Oct- Dec 2008	Unable to complete due to steepness of slope. Ok, per SPU <sup>5</sup> .	<b>GREEN</b>
14	Re-vegetate access and staging area.	Access paths and staging area look like forest again. Deliverables: Invoices for labor and match statements.	Contractor	Dec 2008 - Jan 2009	Stephens property was restored, report will be amended to reflect.	<b>GREEN</b>
15	Arrange for Department of Parks and Recreation and SPU to perform final inspection.	Deliverables: Documentation of Parks approval.	Parks/HHH/ Contractor	Dec 2008 - Jan 2009	Postponed due to weather. Completed 9/09	<b>GREEN</b>
16	Complete project. Prepare map/report of accomplishments.	Deliverables: 1) Post-project digital photos; 2) Final Report (to include map).	Contractor	Dec 2008 - Mar 2009	Report submitted 2/09.	<b>GREEN</b>

<sup>5</sup> Parks would not allow volunteers to work on steep slopes on Parks property. SPU disallowed using volunteer hours spent working outside AHMG work area for match, however reduction in match amount did not affect final grant award amount.

Item	Action Item/Task from Kiwanis Phase III MOA Statement of Work	Outcome/Measure	Responsible Party	Done by date	Comments	Score
17	Maintenance and monitoring will occur during additional crew days and 1-2 volunteer work parties (pending Parks/SPU approval) per year.	Follow-up maintenance for 3 additional years post-project. Deliverables: 1) annual reports, including monitoring data and photo documentation; 2) Follow-up to final report.	Contractor/HHH	Dec-2011	Ongoing with regular reports.	<b>BLUE</b>