



January 2013

Department of Resources Recycling and Recovery (CalRecycle)

**HOUSEHOLD HAZARDOUS WASTE GRANT PROGRAM  
APPLICATION GUIDELINES & INSTRUCTIONS**

HD20 Cycle - Fiscal Year (FY) 2012/13

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## GRANT CYCLE OVERVIEW

This resource document provides Applicants with a cycle overview, instructions on how to access and complete the online application, information about grant administration, and application conditions. The online application can be accessed on the [Grant Management System Web \(GMSWeb\) webpage](http://www.calrecycle.ca.gov/Grants/GMS/default.htm) (<http://www.calrecycle.ca.gov/Grants/GMS/default.htm>).

The Department of Resources Recycling and Recovery (CalRecycle) offers the Household Hazardous Waste (HHW) Grant Program pursuant to 47200(a) of the Public Resources Code. The purpose of the grant is to assist local governments in implementing safe HHW programs, which may include public education, source reduction, reuse, recycling, load checking and collection components.

### ELIGIBLE APPLICANTS

**Only one application per qualifying entity will be accepted.** Eligible applicants may submit an individual or regional application. Grants are available to:

- California cities, counties, and other local government agencies with direct responsibility for HHW management;
- Joint Powers Authorities (JPA) if the JPA agreement includes solid and/or hazardous waste management responsibilities; and
- Qualifying Indian Tribes with direct responsibility for HHW management. A “Qualifying Indian Tribe” is defined as an Indian tribe, band, nation or other organized group or community, residing within the borders of California, which:
  - (1) is recognized for special programs and services provided by the United States to Indians because of the status of its members as Indians; or
  - (2) can establish that it is a government entity and meets the criteria of the grant program.

If more than one application is submitted by an applicant, it will be the applicant’s responsibility to decide which application should go forward. If the additional application(s) are not withdrawn, all applications from that local public agency will be disqualified, and that local public agency will be eliminated from any regional application of which it is a part. Applicants with open CalRecycle grants must be in good standing and comply with grant reporting requirements before they can receive an HHW Grant.

### REGIONAL APPLICATION REQUIREMENTS

Local governments may join together in a regional program. A Regional Lead jurisdiction must be designated to act on behalf of all participating jurisdictions (*see “Resolution Information” for specific instructions regarding authorization documentation*). The Regional Lead is the Grantee who will be responsible for the performance of the grant and all required documentation. CalRecycle will direct all official correspondence and grant payments to the Regional Lead. If a jurisdiction is a participant in a regional program, it may not apply individually.

### ELIGIBLE PROJECTS

This grant cycle has been designed for smaller projects that complement existing and/or regional HHW programs in California. Grant applications must include one or more of the following types of projects:

- HHW public education and outreach
- Set-up and operation of temporary or mobile collection program for one-day or multi-day collection events

- Minor improvements to an HHW facility that enhance or improve the existing program. (Examples could include: storage bins, signage, painting, paving, shelving, etc.)
- Purchase of personal protection equipment and/or 8-hour refresher Hazardous Waste Operations and Emergency Response Standards (HAZWOPER) training

Projects that do not fall within one of these four categories will not be eligible for grant funding.

### **AVAILABLE FUNDS**

- A total of \$1,500,000 is available for the HD20 cycle FY 2012/13.
- \$50,000 is the maximum available for individual applicants.
- \$75,000 is the maximum available for the following applicants:
  - Rural area counties (must have a population of 200,000 or less)
  - Regional or multi-jurisdictional applicants

### **GRANT TERM, PERFORMANCE PERIOD, AND REPORT PREPARATION PERIOD**

The Grant Term and Grant Performance Period both begin on the date indicated in the Notice to Proceed. The Grant Term ends on April 15, 2015. This is also the date the Final Report and Final Payment Request are due to CalRecycle.

The Grant Performance Period begins on the date indicated in the Notice to Proceed letter that the Grantee will receive from CalRecycle and ends on April 1, 2015. The Notice to Proceed, which is issued after the Grantee and CalRecycle have both executed the Grant Agreement, is a formal notification that authorizes the Grantee to begin the Grant Project and incur costs. Grant-eligible program expenditures may start no earlier than the date indicated in the Notice to Proceed. In all cases, eligible program costs must be incurred no later than April 1, 2015.

The period from April 2, 2015 to April 15, 2015 is the Report Preparation Period. Costs incurred to prepare the Final Report and Final Payment Request is the only costs that are eligible for reimbursement during the Report Preparation Period.

### **ELIGIBLE COSTS**

Costs must be reasonable and focused on local needs as described in the application. Costs are limited to those specifically identified in the applicant's approved Budget and directly associated with the activities and products identified in the applicant's approved Work Plan.

Costs can only be incurred during the "Grant Performance Period" which starts when the Grantee receives a "Notice to Proceed" letter from CalRecycle and ends on April 1, 2015. The Notice to Proceed letter, issued after the Grantee and CalRecycle execute the Grant Agreement, formally authorizes the Grantee to begin the Grant project and incur costs.

Eligible costs are limited to the following:

- HHW public education and outreach.
- Set-up and operation of temporary HHW facilities for one-day or multi-day collection events if this is a cost effective collection method in the jurisdiction.
- Minor improvements to an HHW facility that enhance or improve the existing program. (Examples could include: storage bins, signage, painting, paving, shelving, etc.)
- Costs for required employees at HHW facilities, for Personal Protection Equipment and/or to attend an 8-hour refresher Hazardous Waste Operations and Emergency Response Standards (HAZWOPER) training.
- Overhead/indirect costs up to 10% of the total grant funds that have been reimbursed. For more detail on overhead/indirect costs, refer to *Exhibit B - Procedures and Requirements* for HD20 Cycle FY 2012/13.

## INELIGIBLE COSTS

Any costs not specifically included in the approved Budget and not directly related to HHW and the approved grant project is ineligible for reimbursement. Ineligible costs include, but are not limited to:

- Costs incurred prior to receipt of the Notice to Proceed letter or after the end of the Grant Performance Period (*Exemption: Costs incurred in preparation of the Final Report and Final Payment Request during the Report Preparation Period [i.e. April 2, 2015 - April 15, 2015] are eligible for reimbursement.*)
- Cost for major HHW facility improvements that require permits or licenses
- Cell phones, smart phones, pagers, cameras, personal computers, and other electronic devices unless such device(s): (1) are specifically needed for the grant project; (2) are not available within the Grantee's existing inventory; and (3) will be used predominantly for the grant project, and not for other departmental uses
- Costs related to computer applications/software
- Costs for planning and design of HHW facilities
- Costs that are not consistent with local, state, and federal guidelines and regulations
- Costs currently covered by another CalRecycle loan, grant, grant cycle or contract
- Costs for purchase or lease of vehicles
- Costs for sharps waste management expenses
- Costs related to the management of pharmaceutical wastes
- Costs to maintain an existing HHW program
- Developing or expanding a permanent facility on non-government owned property, unless specific conditions (e.g., long-term lease evidencing commitment to utilize facility for purpose set forth in grant; commitment to public access; commitment to utilize facility as described in application for life of facility) are met and pre-approved in writing by the Grant Manager
- Developing or customizing school curricula
- Expenses for audits of the Grantee's entire organization, or portions thereof
- Fines or penalties due to violation of federal, state or local laws, ordinances, or regulations
- Any food or beverages (e.g., as part of meetings, workshops or events)
- Hazardous Waste Operations and Emergency Response Standards (HAZWOPER) 40-hour and 24-hour courses
- Honoraria, stipends, prizes, royalties, etc.
- Management, handling, disposal, or treatment of radioactive explosive or medical wastes, and other extremely hazardous waste
- Movie theater screen advertising
- Out-of-state travel
- Overtime costs/Compensated Time Off (except for local government staffing during specially scheduled evening or weekend events when law or labor contract requires overtime compensation)
- Personnel costs incurred while an employee assigned to the project funded by the grant does not work on the project (e.g., use of accrued time such as sick leave, vacation, etc.)
- Premiums or promotional items unless pre-approved in writing by the Grant Manager
- Pre-paid expenditures for future goods or services delivered beyond the end of the Grant Performance Period. (*Exemption: The Grant Manager may consider approving products purchased in full before the end of the Grant Performance Period but delivered after the end of Grant Performance Period if the delay is caused solely by the supplier, and not by the Grantee. The Grantee must request an exemption in writing and receive written pre-approval from the Grant Manager.*)
- Profit or mark-up by the Grantee
- Promotion of either brand-name product(s) or private businesses with grant funds
- Purchase or lease of land

- Purchase or lease of buildings, unless (1) applicant demonstrates that this is the most cost-effective means of developing an HHW facility; (2) any lease meets the requirements for developing a permanent facility on privately owned property, and (3) any purchase or lease of a building is pre-approved in writing by the Grant Manager.
- Remediation (any cleanup or restoration of polluted areas)
- Travel costs exceeding the state-approved rates for mileage, per diem, lodging, etc.
- Costs deemed unreasonable or not related to the grant project by the Grant Manager

Prior to award, all questions regarding eligible/ineligible costs should be raised in the Question and Answer phase of the application period. After award, all questions should be directed to the Grant Manager. Detailed information is described in the Procedures and Requirements – Exhibit B of the Grant Agreement. See [www.calrecycle.ca.gov/HomeHazWaste/Grants/20thCycle/default.htm](http://www.calrecycle.ca.gov/HomeHazWaste/Grants/20thCycle/default.htm).

### QUESTION-AND-ANSWER PROCESS

Because this is a competitive grant program, CalRecycle staff cannot answer any questions about your project(s) or the application except through the Question and Answer Process. Questions regarding your project(s), the Application and/or its requirements must be in writing and received by **January 31, 2013** via email at: [grants@CalRecycle.ca.gov](mailto:grants@CalRecycle.ca.gov)

Questions and Answers (Q&A) will be posted periodically during the Q & A period at: [www.calrecycle.ca.gov/HomeHazWaste/Grants/20thCycle/QandA.htm](http://www.calrecycle.ca.gov/HomeHazWaste/Grants/20thCycle/QandA.htm). Similar or related questions may be grouped together or re-worded for clarity and responded to as one question. All Qs&As will be posted on or about approximately two weeks after the deadline and are subject to updates. It is the Applicant's responsibility to check this website for the latest information.

### TIMELINE FOR HOUSEHOLD HAZARDOUS WASTE GRANT PROGRAM HD20, FY 2012/13

| Date                               | Activity   |
|------------------------------------|--|
| January 31, 2013                   | <b>Question and Answer Period</b> <ul style="list-style-type: none"> <li>• Questions may be submitted from application release date to this date</li> <li>• Questions must be submitted by email</li> </ul>  |
| February 7, 2013                   | <ul style="list-style-type: none"> <li>• All answers will be posted (tentative)</li> </ul>   |
| February 21, 2013                  | <b>Application Deadline</b> <ul style="list-style-type: none"> <li>• Applications must be submitted in GMSWeb by this date.</li> <li>• Customer service will only be available until 4:00 p.m. on this date</li> </ul>   |
| March 21, 2013                     | <b>Secondary Due Date</b><br><b>If Resolution not submitted with the application</b><br>Approved Resolution must be uploaded in GMSWeb by this date<br><b>If Applicant does not have an EPPP policy at time of application</b> <ul style="list-style-type: none"> <li>• EPPP Policy must be adopted and Notification must be <b>uploaded in GMSWeb</b> by this date</li> </ul> |
| April 18, 2013 (tentative)         | <b>Grants Awarded</b><br>CalRecycle considers funding recommendations, and if approved, conditionally awards grants  |
| June 24, 2013                      | <b>Signed Grant Agreement must be received by CalRecycle by this date.</b>   |
| Notice to Proceed – April 15, 2015 | <b>Grant Term</b>  |
| Notice to Proceed – April 1, 2015  | <b>Grant Performance Period—may incur program or project costs</b>   |
| April 2, 2015 – April 15, 2015     | <b>Report Preparation Period – may only incur costs for preparation of Final Report and Final Payment Request</b>  |
| April 15, 2015                     | <b>Final Report, Final Payment Request and Request for 10% withhold Deadline</b>   |

## APPLICATION INSTRUCTIONS

### APPLICATION ACCESS

The application is available in CalRecycle's web-based Grants Management System (GMSWeb). Access to GMSWeb is secure; therefore you must have a CalRecycle WebPass in order to log into the system. Applicants who have not previously obtained a CalRecycle WebPass can create an account at the [CalRecycle WebPass site \(https://secure.calrecycle.ca.gov/WebPass/\)](https://secure.calrecycle.ca.gov/WebPass/).

After logging into [GMSWeb \(https://secure.calrecycle.ca.gov/Grants/\)](https://secure.calrecycle.ca.gov/Grants/), select "Grant Application Search" on the left. Open grant cycles are displayed in a table. Find (Household Hazardous Waste HD20) and select "Apply."

### APPLICATION CONTENTS AND INSTRUCTIONS

The online application is divided into tabs. To fill out an application, click on each tab and fill out the sections as required. General directions are on the top of each tab and additional information is provided below.

#### **Summary**

This tab provides a summary of the application, directions, and resources. In addition, it contains several checklists to assist Applicants with completing the application. It is the Applicant's responsibility to ensure that all required documents, are submitted by the due date identified in the Timeline section.

- Application Checklist
- Required Document(s) By Application Due Date
- Other Supporting Document(s) as applicable for your Application/Project
- Required Document(s) By Secondary Due Date

#### **Applicant/Participant**

The Applicant's name is entered in this tab. The Applicant name is the legal name of the jurisdiction/organization that will be legally responsible for grant administration, if awarded.

- Department or unit names are not included in the Applicant name.
- County names must be listed with the name first followed by the word "County," e.g., "Sacramento County."
- City names must be listed as "City of" followed by the city's name, e.g., "City of Sacramento."
- Every application must have a Lead Applicant even if it is an individual application with no participating jurisdictions. Setting the Lead Applicant is a separate step in the application process. See GMSWeb instructions for more information.
- For Regional Applications, add the name of each eligible participating jurisdiction

#### **Detail**

This tab contains several required elements of the application.

- Enter a dollar amount in the Grant Funds Requested field. Do not exceed the maximum grant award amount of \$50,000 for individual applicants and \$75,000 for regional or rural applicants. Please round all amounts to the nearest whole dollar.
- Matching Funds are not required for this grant, so skip the Matching Funds field.
- Enter the Assembly District(s) and Senate District(s). To select more than one district, hold the "Ctrl" key while selecting the numbers.
- Project Summary/Statement of Use: Provide a brief description of your project (3-5 sentences).
- Select the appropriate option for the Resolution or Letter of Commitment Requirement and optional Letter of Designation.

## **Contacts**

The application must include only one Primary Contact and at least one Signature Authority. Each contact entered into the application may be granted access by checking the box on the bottom of the contact's detail screen. The contact will be able to log into GMSWeb using his/her own CalRecycle WebPass to access the application.

|                            |   |
|----------------------------|---|
| <b>Primary Contact</b>     | One person who has been authorized by the Signature Authority/Designee to manage and oversee the grant. This person will be the first contact with whom the Grant Manager will communicate.   |
| <b>Secondary Contact</b>   | A person authorized (by the Primary Contact or Signature Authority/Designee) as the alternate person with whom the Grant Manager will communicate. (Not required)   |
| <b>Signature Authority</b> | The person(s) authorized to sign CalRecycle grant related documents, such as the grant application, the grant agreement, etc. This person is authorized by a Resolution, Letter of Commitment, or Letter of Designation (if applicable). Please see Applicant's Documents section for more information about documentation for Signature Authorities. |
| <b>Consultant</b>          | A professional who provides advice in a particular area of expertise. If the Applicant is awarded a grant, the consultant may manage the grant, or only conduct specific activities based on a written agreement between the Applicant and the consultant outlining work to be performed. (Not required)  |

## **Budget**

Fill out the budget tab provided in GMSWeb. Categorize project costs within the applicable standard budget categories that are indicated within the budget tab (i.e., Administration Cost, Collection, Education, Equipment, Personnel, Training, and Upgrade/Expansion). Some categories may not be applicable to your project. All items must be necessary, reasonable and cost-effective. Total budgeted amount must equal the Requested Funds amount.

To enter information in each applicable category, select the category name. In the Budget detail screen, enter the total budget amount and enter itemize costs in the Budget Detail section. The itemize costs should support expenditures for each activity identified in your Work Plan.

### Administration Budget Category

In the Budget Detail section identify the amount applicable to indirect cost.

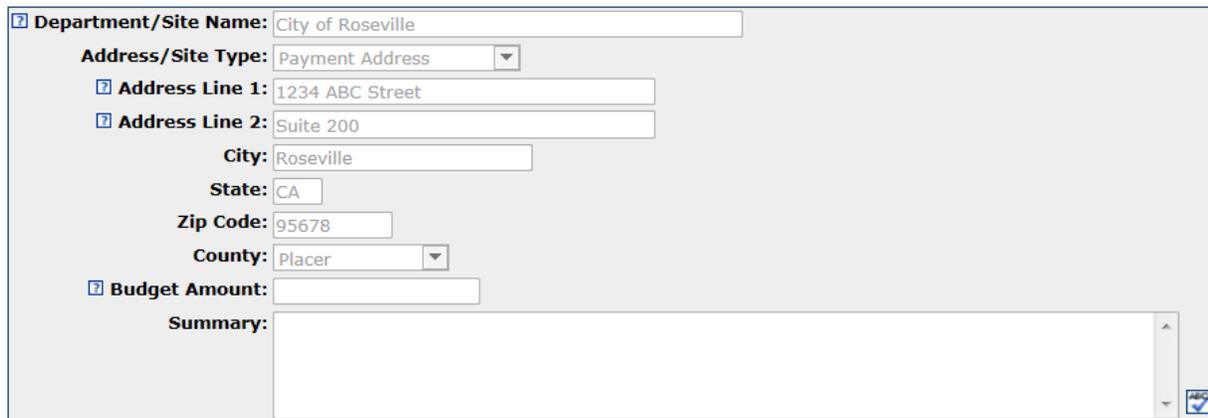
**Indirect Costs** –Grantee may claim overhead/indirect **costs up to 10% of the grant funds** reimbursed. Overhead/indirect costs are expenditures not capable of being assigned and not readily itemized to a particular project or activity, but considered necessary for the operation of the organization and the performance of the program.

- Examples include the cost of operating and maintaining facilities, accounting services, and administrative salaries not directly related to grant activities.
- Overhead/indirect cost issues:
  - Time spent by a manager or supervisor performing an activity directly related to the execution of the grant (not supervision), such as chairing regional meetings, speaking at events, drafting program materials, etc. is a direct cost and should be charged to the appropriate activity or category. However, note that the manager or supervisor's time must be clearly supported by appropriate documentation.
  - Any cost charged to the grant as a direct cost may not be charged to the grant as an indirect cost.

*See Grant Cycle Overview section for "Eligible Costs" information.*

### Address/Site(s)

All applications must contain a payment address. Enter the **department name only** (do not include the Applicant name in this field). Choose Payment Address as the Address/Site Type and enter the complete mailing address. The budget amount or summary fields are not required for the payment address entry. See example below:



The screenshot shows a web form with the following fields and values:

- Department/Site Name:** City of Roseville
- Address/Site Type:** Payment Address (dropdown menu)
- Address Line 1:** 1234 ABC Street
- Address Line 2:** Suite 200
- City:** Roseville
- State:** CA
- Zip Code:** 95678
- County:** Placer (dropdown menu)
- Budget Amount:** (empty text box)
- Summary:** (empty text area)

Add an entry for each grant project/site.

### Project Site(s)

All applications must contain project site(s) information. Enter the **Site Name**. Use the drop down arrow of the **Site Type** and select **HHW Facility**. Type in the complete address and select the County. Enter the **Budget Amount** for this site and type a brief **Summary** of the project in the space provided. Repeat the steps above if you have multiple project sites.

See *Grant Cycle Overview* section for “Eligible Projects” information.

### Documents

Application documents must be uploaded to the Documents tab to complete the application. When uploading a document, enter a unique title, select the appropriate document type from the drop down list, and enter the date that it was executed/signed, if applicable, or select “today’s date.”

After all the application documents are uploaded print the Application Certification from Application Submission section of the Summary tab. The Application must obtain a signature from the authorized Signature Authority, scan the document, upload it, and retain the original hard copy document in your cycle file. After the Application Certification document is uploaded the Submit Application button will be enabled.

### APPLICATION DEADLINE

Applications must be submitted in GMSWeb no later than **February 21, 2013**. Customer service will only be available until 5:00 p.m. on the application due date.

## APPLICATION DOCUMENTS

Each applicant must upload supplementary documents in addition to completing the online application form. The application is not complete until all required documents have been uploaded to the **Documents Tab** of the GMSWeb application.

### CALRECYCLE DOCUMENTS

You can locate copies of the CalRecycle documents on the Summary tab, in the Application Documents section. To access the document, you must click on the link, open it up, fill it out, save it to your computer, and then upload it to the Documents tab. Below is a list and examples of some of those documents.

#### Narrative Criteria

The Narrative Criteria document requires information on the following: Project Eligibility; Program Background and Context; Project Description and Need; and Project Goals. The response size is limited and cannot be expanded, so please keep your answers brief. For application tips, review the “Application Tips and Resources” document on the Summary Tab, in the Resource Documents section.

##### I. Project Eligibility

Your project must meet one or more of the eligible activities listed within this section. Check all that apply to your proposed project.

##### II. Program Background and Context

Describe your existing program including volumes collected, number of households served, number of events, days and hours of facility operation, and materials accepted, as applicable.

##### III. Project Description and Need

Describe your proposed project and what will be accomplished by completing it. What is the need for grant funding and why should the project be funded. For example:

*El Tornado HHW Facility opened in early 2012 and needs to inform residents of its new location, the increased hours of operation, and the HHW accepted. We anticipate an increase in HHW disposal at the new facility. Due to a reduction of the tipping fees, our jurisdiction no longer has a budget for Public Education. A grant from CalRecycle will greatly increase our ability to provide information and expand HHW awareness to the public.*

##### IV. Project Goals

How do you expect this project to influence the volume at your HHW facility(ies) for the following: volume collected, number of households served, number of increased events, days and hours of facility operation, and materials accepted, as applicable. Indicate anticipated increases. A space is provided to explain your program details that would be noteworthy or important.

#### Work Plan

The Work Plan document must list the major activities, steps or tasks necessary to implement your project. Provide a logical timeframe for activities, taking into consideration the potential for delays. The Budget must itemize costs for each activity in your Work Plan.

#### Environmentally Preferable Purchasing and Practices Policy Certification/Notification

Consistent with CalRecycle’s core values, all grant Applicants are required to develop, adopt and implement an Environmentally Preferable Purchasing and Practices (EPPP) Policy for their organizations. The EPPP Policy must be in place by the secondary due date of **March 21, 2013**.

Applicants who have an EPPP Policy in place prior to submitting their application must certify to this fact in the EPPP Policy Certification – Notification document. Any Applicant who does not have an EPPP Policy in place when it submits its application may certify in the EPPP Policy Certification/Notification document that it will adopt one and upload the Notification in GMSWeb. CalRecycle must receive the Notification by the secondary due date or the application will be disqualified.

The portion of the EPPP Policy Certification/Notification document that is required to be completed with application submittal is shown below. Enter the Applicant name select the appropriate box in the EPPP Certification section of the document. If you have an EPPP Policy in place, you do not need to upload a copy; only upload the EPPP Policy Certification/Notification document.

|  |  |
|--|--|
| <b>EPPP Certification</b>  |  |
| All applicants must fill out this section and upload in GMSWeb by the application due date, <b>February 21, 2013</b> . |  |
| <b>Applicant / Organization Name:</b>  |  |
|  |  |
| <b>Must check one box</b>  |  |
| <input type="checkbox"/>   | Yes, our entire organization <sup>1</sup> has an EPPP Policy.  |
|  | Date Adopted: _____ By: (e.g., governing body name, executive officer, etc.)<br>_____  |
| <input type="checkbox"/>   | No, our entire organization does not have an EPPP Policy. We acknowledge that our organization must adopt one by <b>March 21, 2013</b> or our application will be disqualified. After your organization adopts an EPPP Policy, complete the EPPP Notification section below. |

If the applicant adopts an EPPP Policy after application submittal, complete the Notification section of the EPPP Policy Certification/Notification shown below and upload it by the secondary due date. **Do not upload a copy of the EPPP Policy.**

|  |   |
|--|---|
| <b>EPPP Notification</b>   |   |
| For applicants who adopt an EPPP Policy after the application due date and marked <b>No</b> in the section above, complete this section below. Upload the signed EPPP Notification to GMSWeb by <b>March 21, 2013</b> or the application will be disqualified. |   |
| <b>Must check box</b>  |   |
| <input type="checkbox"/>   | Yes, our entire organization has an EPPP Policy.                                      |
|  | Date Adopted: _____ By: (e.g., governing body name, executive officer, etc.)<br>_____ |
| <b>Certification: I declare, under penalty of perjury, under the laws of the State of California, that the above information is true and correct to the best of my knowledge.</b>  |   |
| X  |   |
| <b>Signature Authority</b> - as authorized in Resolution or Letter of Commitment; or<br><b>Authorized Designee</b> - as authorized in submitted Letter of Designation  | <b>Date</b>   |
| <b>Print Name</b>  | <b>Print Title</b>  |

<sup>1</sup> “Entire organization” refers to the entire city or county applicant, not an individual office or subunit of the larger entity.

The list below contains concepts/policies that CalRecycle encourages organizations to include in their EPPP Policies. To see examples of existing Environmentally Preferable Purchasing and Practices Policies, visit: [Responsible Purchasing Network \(www.responsiblepurchasing.org/purchasing\\_guides/all/policies/\)](http://www.responsiblepurchasing.org/purchasing_guides/all/policies/).

|  |
|--|
| <b>Producer Responsibility and Source Reduction</b>  |
| 1. Products have an environmental standard issued by a third-party or government agency where available. (See <a href="http://www.dgs.ca.gov/buyinggreen">California Department of General Services [http://www.dgs.ca.gov/buyinggreen]</a> for product-specific information).                                       |
| 2. Vendors or manufacturers agree to take back old product or packaging or cover the cost of recycling/disposal.   |
| <b>Recycled Content</b>  |
| 3. Products contain recycled content that meet or exceed the California <a href="http://www.calrecycle.ca.gov/buyrecycled/stateagency/">State Agency Buy Recycled Campaign (SABRC) requirements (http://www.calrecycle.ca.gov/buyrecycled/stateagency/)</a> .  |
| 4. Products contain recycled content that meet or exceed the guidelines in the <a href="http://www.epa.gov/epawaste/consERVE/tools/cpg/products/index.htm">US EPA's Comprehensive Procurement Guidelines (http://www.epa.gov/epawaste/consERVE/tools/cpg/products/index.htm)</a> , if higher than SABRC requirements |
| 5. Products contain recycled content as recommended in the <a href="http://www.dgs.ca.gov/buyinggreen/Home/BuyersMain.aspx">Buying Green Guide (http://www.dgs.ca.gov/buyinggreen/Home/BuyersMain.aspx)</a> .  |
| <b>Energy and Water Savings</b>  |
| 6. Products are Energy Star certified, if a US EPA Energy Star certification is available, or products are in the upper 25% of energy efficiency as designated by the Federal Energy Management Program.   |
| 7. Products are Water Sense certified, if a US EPA Water Sense certification is available.   |
| <b>Toxicity and Pollution</b>  |
| 8. Materials used in products are non-hazardous to the extent feasible.  |
| 9. Products do not emit harmful air emissions or volatile organic compounds to the extent feasible.  |
| 10. Products are readily bio-degradable and non-persistent in the environment after use, where practicable.  |
| <b>Buildings and Grounds</b>   |
| 11. All building and renovations follow the green building practices for design, construction and operation, where appropriate as described in the LEED TM Rating System.  |
| <b>Habitat Preservation</b>  |
| 12. Raw materials used in products are sustainably harvested or contain recycled content, to the extent feasible.  |
| 13. Raw materials used in products are renewable resources (e.g., not based on a fossil fuel), to the extent feasible.   |
| <b>Continual Improvement</b>   |
| 14. Training is provided to new and existing employees   |
| 15. Organization regularly evaluates and/or improves implementation of EPPP policy   |

## APPLICANT'S DOCUMENTS

The following provides information and examples of documents that you, as the Applicant, must provide. It is the Applicant's responsibility to ensure that the documents necessary to complete its application are uploaded to the Documents tab of GMSWeb.

### Resolution Information

#### **-for Applicants subject to a governing body, e.g., City Council, Board of Directors**

A copy of the authorizing Resolution is a required application document. However, if an Applicant needs additional time to obtain the Resolution, it must be uploaded no later than the secondary due date (March 21, 2013) or the application will be deemed incomplete and will be disqualified.

Applicants that are subject to a governing body must submit a Resolution that specifically authorizes certain grant-related matters. The following identifies the required Resolution provisions.

- The Resolution must authorize submittal of an application for one or more specifically named CalRecycle grant(s) or for all CalRecycle grants for which the Applicant is eligible.
- The Resolution must identify the period of time, up to five years, during which the authorizations are valid. Five years is encouraged; however, periods of less than 5 years are acceptable. If a Resolution submitted to CalRecycle does not specifically identify a period of time, it will be considered valid for one year from the date of adoption.
- The Resolution must identify the job title of the person authorized to sign all grant-related documents necessary to implement and close-out the grant(s) (Signature Authority).

*(Optional but encouraged) The Resolution should authorize the Signature Authority to delegate his/her signature authority to another person identified by job title. The Signature Authority must sign a Letter of Designation prior to the Designee's exercise of his/her authority.*

#### Regional Applications:

- The Lead Applicant must submit an approved Resolution that authorizes it to act as a lead for a regional program. This Resolution authorizes submittal of a regional application on behalf of the Lead Applicant and specifically named regional participants, and includes authorization letters with original signatures dated within the last 12 months from the participating jurisdictions authorizing the Lead Applicant to act on their behalf for this cycle. (see example below)
- If the Resolution is valid for more than one year, we recommend: a) the list of participants be provided as an attachment rather than embedded in the Resolution, and b) the Signature Authority be authorized to revise the list as necessary with each subsequent application (this allows a Signature Authority to add or remove regional participants with each new application without the necessity of obtaining a new Resolution).
- Regional participants subject to a governing body must provide a letter of authorization, dated within the last 12 months, to the Regional Lead authorizing the Lead Applicant to act on its behalf for this cycle. Copies of the letters of authorization must be submitted with the application.

## Resolution Example

*The following Resolution is for example purposes only. Please consult with your attorney to determine the Resolution language most appropriate for the application.*

RESOLUTION OF THE **(Name Of The Governing Body)** APPROVING SUBMITTAL OF APPLICATION(S) FOR ALL CALRECYCLE GRANTS FOR WHICH **(Name Of Applicant)** IS ELIGIBLE

*The following “Whereas” provisions are applicable to all CalRecycle grants; however, they are not required.*

WHEREAS, Public Resources Code sections 40000 et seq. authorize the Department of Resources Recycling and Recovery (CalRecycle), to administer various Grant Programs (grants) in furtherance of the state of California’s (State) efforts to reduce, recycle and reuse solid waste generated in the State thereby preserving landfill capacity and protecting public health and safety and the environment; and

WHEREAS, in furtherance of this authority CalRecycle is required to establish procedures governing the application, awarding, and management of the grants; and

WHEREAS, CalRecycle grant application procedures require, among other things, an Applicant’s governing body to declare by Resolution certain authorizations related to the administration of CalRecycle grants.

NOW, THEREFORE, BE IT RESOLVED that the **(Title of Governing Body)** authorizes the submittal of application(s) to CalRecycle for (choose one of the following options) 1) (names(s) of specific grants) or 2) all grants for which **(Name of Applicant)** is eligible. [Note: this provision is either/or; do not include both options]; and

BE IT FURTHER RESOLVED that the **(Job Title)**, or his/her designee is hereby authorized and empowered to execute in the name of the **(Name of Applicant)** all grant documents, including but not limited to, applications, agreements, amendments and requests for payment, necessary to secure grant funds and implement the approved grant project; and

BE IT FURTHER RESOLVED that these authorizations are effective for (*choose one of the following options*) 1) five (5) years from the date of adoption of this Resolution **or** 2) for a period less than five years (**insert Time Period: from Month, Day, Year through Month, Day, Year**). [Note: this provision is either/or; do not include both options].

## Letter of Commitment Information

### **-for Applicants not subject to a governing body**

Applicants, who are not subject to a governing body, must upload with the application, a letter on Applicant’s letterhead, dated, and signed by a person with authority to contractually bind the Applicant. The document with the original signature must be maintained in Applicant/Grantee grant file. This letter must:

- authorize submittal of the (name of this Grant Program) application on behalf of applicant;
- designate the job title of the person authorized to execute all grant documents necessary to secure grant funds and implement the approved grant project (Signature Authority); and
- authorize the Signature Authority to delegate this authority (*not required but encouraged*).

## Letter of Commitment Example

*The following letter is for example purposes only. Please consult with your attorney to determine the language most appropriate for the application*

Date

I am **(Job Title)** of **(Name of Applicant)**. I am authorized to contractually bind **(Name of Applicant)**. Pursuant to this authority, I hereby 1) authorize the submittal of an application for the **(Household Hazardous Waste Grant Program)**; 2) authorize **(Job Title)** as our Signature Authority to execute all grant documents necessary to secure grant funds and implement the approved grant project; documents include, but are not limited to, applications, agreements, amendments and requests for payment; and, 3) authorize our Signature Authority to delegate this authority. The following information more specifically identifies our Signature Authority:

Name & Job Title

Mailing Address

City, State, Zip Code

Telephone Number

## Letter of Designation

*- A Letter of Designation (LOD) is required when the authorized Signature Authority delegates his/her authority to another person.* The approved Resolution must indicate the Signature Authority's ability to delegate or designate his/her authority. The letter must be submitted prior to the Designee's exercise of his/her authority. If the Designee signs any document in the application, the letter must be submitted with the application. The letter must:

- be on the Applicant's letterhead
- be dated after the effective date of the approved Resolution
- identify the job title of the Designee
- identify the scope of the Designee's authority
- identify the period during which the Designee may exercise the authority. The Designee's authority may not extend beyond the effective date of the approved Resolution (for example, if the Resolution is effective until December 31, 2013, then the LOD may be effective only until December 31, 2013)
- it must be signed by the Signature Authority.

## Letter of Designation Example

*The following letter is for example purposes only. Please consult with your attorney to determine the language most appropriate for the application.*

Date

Pursuant to the Resolution authorizing an application for the **(Household Hazardous Waste Grant Program)**, I am the designated Signature Authority for **(Name of Applicant/Grantee)**. I am authorized by the Resolution to execute on behalf of **(Name of Applicant/Grantee)** all grant documents, including but not limited to, applications, agreements, amendments and requests for payment, necessary to secure grant funds and implement the approved Grant Project for this grant. The Resolution also authorizes me to delegate this authority. Accordingly, I hereby delegate this authority to the **(Job Title of Designee)**. This delegation is effective as long as the Resolution is in effect.

The current **(Job Title)** is identified below:

Name & Job Title

Mailing Address

City, State, Zip Code

Telephone Number

### Letter of Authorization Information

A Letter of Authorization is a letter submitted by a jurisdiction (Regional Participant) to authorize another jurisdiction (Regional Lead) to apply for and to act on its behalf in the implementation and administration of the CalRecycle Grant/Program.

The letter must be on the participating jurisdiction's official letterhead and dated within 12 months prior to the application deadline. The letter must authorize the submittal of the regional grant/program application, designate the Applicant as the lead agency, and signed by an individual authorized to contractually bind the Applicant. The document with the original signature must be maintained in Applicant/Grantee grant file.

### Letter of Authorization Example

Date

I am (**Job Title**) of (**Name of Regional Participant**). I am authorized to contractually bind (**Name of Regional Participant**). Pursuant to this authority, I hereby authorize (**Name of Regional Lead Agency**) to submit a regional application and act as Lead Agency on behalf of (**Name of Regional Participant**). The (**Name of Regional Lead Agency**) is hereby authorized to execute all documents necessary to implement the grant under the **Household Hazardous Waste Grant Program HD20**.

Signature

Name & Job Title

Mailing Address

City, State, Zip

## **GRANT REVIEW AND AWARD PROCESS**

### **GRANT APPLICATION REVIEW PROCESS**

After the close of the application period, CalRecycle Staff will review the applications for completeness and eligibility. Only complete applications can be considered for award. Make sure all the relevant documents are included, signed and/or the appropriate boxes checked.

### **GRANT AWARD PROCESS**

For qualifying applications, CalRecycle staff will develop funding recommendations for the consideration and approval of CalRecycle's Director, or her designee. This is tentatively scheduled for April 2013.

If the total eligible requests for grant funds exceed the \$1,500,000 funding available, CalRecycle will establish a blind application numbering system. A public random selection process will be conducted to determine the order in which grant funds will be awarded.

CalRecycle reserves the right to partially fund or fund individual phases of selected proposals, and CalRecycle may fund an amount less than requested.

CalRecycle reserves the right to not award any grant funds under one or more cycles. All awards are subject to funding availability.

### **GRANT AWARDS CONDITIONS**

When awarded, this Grant will be subject to two conditions: 1) the recommended Grantee's Signature Authority (or where delegation is authorized), his/her Designee must sign and return the Grant Agreement to CalRecycle by June 24, 2013; and 2) the recommended Grantee must a) pay all outstanding debts due CalRecycle, or b) bring current outstanding payments owed to CalRecycle within 90 days from the date CalRecycle conditionally awarded the Grant.

*Failure to comply with either requirement will nullify the grant award (i.e., the Applicant will not receive a grant).*

**Note: CalRecycle must RECEIVE the signed Grant Agreement by June 24, 2013, or the grant will not be funded due to loss of funding.**

### **CONDITION SUBSEQUENT**

After the Grant Agreement has been executed by both parties, the Grant will be subject to the following condition subsequent: The Grantee may not file for protection under Chapter 9 of the U.S. Bankruptcy Code or declare a fiscal emergency any time within the Grant Performance Period.

*If you believe that either of these events is likely to occur in your jurisdiction during the Grant Performance Period, please consult your attorney.*

## GRANT PROGRAM ADMINISTRATION

### GRANT AGREEMENT

Following CalRecycle's conditional approval of the Grant awards, Grantees will be emailed the following:

- Award letter
- Grant Agreement Cover Sheet (CalRecycle 110).
- Exhibit A – Terms and Conditions: contain CalRecycle standard legal requirements for Grants.  
*Note: See [www.calrecycle.ca.gov/HomeHazWaste/Grants/20thCycle/default.htm](http://www.calrecycle.ca.gov/HomeHazWaste/Grants/20thCycle/default.htm) to download the Terms & Conditions.*
- Exhibit B – Procedures and Requirements: contain specific requirements for administering this Grant, including but not limited to project, reporting, and audit requirements.  
*Note: See [www.calrecycle.ca.gov/HomeHazWaste/Grants/20thCycle/default.htm](http://www.calrecycle.ca.gov/HomeHazWaste/Grants/20thCycle/default.htm) to download a draft of the Procedures & Requirements.*
- Exhibit C – Grantee's Approved Application with revisions, if any, and any amendments \*
- Exhibit D – Application Guidelines and Instructions
- Attachment I–Forms Guide: CalRecycle forms to be used throughout the Grant Performance Period.  
*Note: See [www.calrecycle.ca.gov/Grants/Forms/](http://www.calrecycle.ca.gov/Grants/Forms/) to download the forms.*

\* The Work Plan and Budget are submitted with and are a part of the Grantee's Approved Grant Application, and are incorporated into the Grant Agreement by reference.

### REPORTING PROCESS

Grantees are required to report on the progress of their HHW Grant - one progress report and a Final Report is required. The Grant Manager may request status information at any time during the term of the grant. The Final Report is due on April 15, 2015. Detailed reporting information is included in the Procedures & Requirements -- Exhibit B of the Grant Agreement.

### PAYMENT REQUEST PROCESS

Eligible costs are authorized for reimbursement upon the Grant Manager's approval of the Payment Request, and if required, the accompanying Progress/Final Report. Payment Requests must include itemized documentation of claimed expenses (e.g., itemized receipts and proof of payment of invoices). Ten percent (10%) of each approved Payment Request amount will be retained by CalRecycle until the Grant Manager approves the Final Report, the Final Payment Request and all required supporting documentation. Failure to submit these final documents by the deadline specified in the Procedures & Requirements or failure to receive the Grant Manager's approval of these documents by April 15, 2015, may result in the nonpayment of otherwise eligible costs. Detailed payment information is included in the Procedures & Requirements – Exhibit B of the Grant Agreement.

### GRANT AGREEMENT PROVISIONS

#### AUDIT REQUIREMENTS AND WAIVER OF PERSONAL JURISDICTION

As with all Grant Agreement provisions, the following provisions are non-negotiable. Submittal of an application constitutes acceptance of the provisions.

1. Audit/Records Access: The Grantee agrees that CalRecycle, the Bureau of State Audits, or their designated representative(s) shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. The Grantee agrees to maintain such records for possible audit for a minimum of three years after final payment or the end of the Grant Term, whichever is later, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute or audit, whichever is later. The Grantee agrees to allow the designated representative(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Grantee agrees to include a similar right of the State to audit records and interview staff in any contract or subcontract related to performance of this Agreement.

2. Waiver of Personal Jurisdiction: Should CalRecycle seek reimbursement of costs paid to a Grantee as a result of an audit finding, the Grantee hereby waives any jurisdictional defenses and expressly waives tribal sovereign immunity as a defense to any action in any court of the State of California for the recovery of such funds.