

**STATE OF CALIFORNIA  
ENVIRONMENTAL PROTECTION AGENCY**



**LOCAL GOVERNMENT  
HOUSEHOLD HAZARDOUS WASTE GRANT  
FISCAL YEAR 2000/01**

**Application Instructions**

California Integrated Waste Management Board  
Household Hazardous Waste Grant Program  
1001 I Street  
P.O. Box 4025  
Sacramento, CA 95812-4025  
(916) 341-6457

## GRANT APPLICATION SUBMITTAL CHECKLIST

- Application Cover Sheet (Exhibit A)
- Table of Contents
- Resolution(s) (Exhibit B)
- Proposal Narrative (not to exceed 15 pages, exclusive of the required attachments)
- Work Statement Form(s) (Exhibit C)
- Budget Itemization (Exhibit D)
- Summary of Used Oil and HHW Grants (Exhibit E)
- One original and three copies of the application printed double-sided on 8½" x 11" recycled paper, with all pages numbered consecutively. Copies must be free of distortion and easy to read.
- Application should be stapled in upper left-hand corner

**Applications must be postmarked by Friday, March 30, 2001.**

**California Integrated Waste Management Board**  
**Attn: Kelley Tyack, Grants Administration Unit**  
**1001 I Street, MS#10**  
**P.O. Box 4025**  
**Sacramento, CA 95812-4025**

| TENATIVE DATES                        | ACTIVITY   |
|---------------------------------------|--|
| January 15, 2001 to March 30, 2001    | Application period                                     |
| February 1, 2001 to February 28, 2001 | Question and Answer Period                             |
| April 2001                            | Panels review applications and prepare recommendations |
| May 2001                              | CIWMB approves grants                                  |
| May 2001                              | Grant agreements developed and signed                  |
| June 2001                             | Grant recipients begin execution of grants             |
| March 31, 2003                        | Close of grant term                                    |
| May 15, 2003                          | Final report and payment request due                   |



# HOUSEHOLD HAZARDOUS WASTE GRANT FY 2000/2001

## I. GRANT SUMMARY AND GUIDELINES

### ■ BACKGROUND

Public Resources Code Section 47200 authorizes the California Integrated Waste Management Board (CIWMB) to award grants to local government agencies for programs that reduce the amount of Household Hazardous Waste (HHW) disposed of at solid waste landfills. The CIWMB will award the HHW Grants on a competitive basis to eligible applicants for the establishment of new programs and expansion of existing programs that address permanent & sustainable solutions for HHW collection; collection of paint, electronic waste (e-waste), universal waste (u-waste), antifreeze; and implementation of pollution prevention (p2) education programs. E-waste includes television sets and computers that contain a CRT tube. U-waste includes fluorescent tubes, mercury thermostats, and household batteries except automobile batteries. Pollution prevention education program include alternatives to household chemicals. **If you have questions or need additional information, contact Carla Repucci at (916) 341-6443.**

### ■ APPLICANT ELIGIBILITY

Eligible applicants are limited to cities, counties, and local agencies responsible for waste management. Commercial businesses and nonprofit groups are not eligible to apply for this grant. Only one application may be submitted by a jurisdiction. If you apply as part of a regional group, you cannot submit an individual application.

### ■ GRANT FUNDING

Grant funds must be used to establish or expand HHW programs that provide permanent collection opportunities, with corresponding and effective publicity campaigns. Proposed activities should complement local and regional HHW management and used oil programs. Three million dollars is available for this fiscal year's (FY 2000/01) HHW Grant Program. The maximum award is \$150,000 per individual applicant and \$300,000 per regional application.

Public Resources Code Section 47200 directs the CIWMB to focus funding priorities toward:

- ◆ New programs for rural areas, underserved areas, and for small cities;
- ◆ Expansion of existing programs to provide for collection of additional waste types, innovative or more cost-effective collection methods, or expanded public education services; and
- ◆ Regional HHW programs.

For FY 2000/01 HHW Grants, in addition to the statutory priorities, the program criteria will be weighted towards jurisdictions that:

- ◆ Did not receive a HHW grant during the last three cycles;
- ◆ Propose to establish new programs and expand existing programs to address permanent and sustainable solutions for HHW;
- ◆ Propose to collect paint, e-waste, u-waste, antifreeze; and/or
- ◆ Propose to implementation of pollution prevention (p2) education programs.

■ **GRANT TERM**

The term of the grant is from June 1, 2001 through March 31, 2003. All costs must be incurred during this term.

■ **QUESTION AND ANSWER PERIOD**

Questions about the FY 2000/01 application may be submitted in writing from February 1 to February 28, 2001 to CIWMB, Attn: Claudia Moore, Used Oil and HHW Grants, MS-#21, 1001 I Street, P.O. Box 4025, Sacramento, CA 95812-4025. Staff will use the questions submitted to develop a question and answer sheet that will be distributed on or about March 9, 2001. Responses will be posted on the CIWMB's grants website and mailed to everyone requesting an application. To the extent possible, similar questions will be grouped together. Please note that no project specific questions will be answered.

■ **APPLICATION FILING PROCEDURES**

Applications must be mailed to the CIWMB's Sacramento office, and postmarked by **Friday, March 30, 2001**. Applications postmarked after March 30, 2001 will be returned to the applicant and will not be considered for funding. It is your responsibility to ensure that the application is postmarked on time. Hand delivered applications will not be accepted.

■ **ELIGIBLE COSTS**

All costs must be directly related to the development and/or management of HHW programs. Materials, services, equipment, and facilities that increase opportunities for the proper collection and management of unwanted household hazardous products will be considered eligible costs, provided that they are reasonable, cost-effective, and focused on local and/or regional, or statewide needs as described in the application. All costs must be incurred during the grant term.

■ **INELIGIBLE COSTS**

Any costs not directly related to the implementation of local or regional HHW collection programs are ineligible for grant funding. These include but are not limited to the following costs:

- ◆ Costs incurred prior to June 1, 2001 or after March 31, 2003;
- ◆ Costs currently covered by another CIWMB loan, grant or contract;
- ◆ Purchasing or leasing of land;
- ◆ Purchasing or leasing of vehicles by non-governmental agencies;
- ◆ Remediation;
- ◆ Enforcement activities;
- ◆ Management, handling, disposal, or treatment of radioactive, explosive or medical wastes, and other extremely hazardous waste;

- ◆ Overtime costs (except for local government staffing during evening or weekend events when law or labor contract requires overtime compensation);
- ◆ Out of state travel;
- ◆ Any food or beverages (e.g. as part of meetings, workshops, training, or events);
- ◆ Preparation of HHW Elements;
- ◆ Public education costs not directly tied to HHW collection;
- ◆ Profit or mark-up by the grantee;
- ◆ Any costs that are not consistent with local, state, and federal guidelines and regulations;
- ◆ Cell phones and pagers; and
- ◆ Development of school curricula.

## II. GRANT APPLICATION REVIEW AND AWARD PROCESS

### ■ APPLICATION REVIEW

After the close of the application period, review panels consisting of CIWMB staff will be convened. The panels will evaluate applications using the scoring criteria listed in Exhibit F. Applicants must attain at least 70 out of the 100 possible points to be considered for funding. **The panels will score applications based solely on the information provided in the application.**

### ■ PARTIAL FUNDING OF PROPOSALS

The review panels may recommend partial funding of some or all proposals. CIWMB staff will consult with applicants to determine the feasibility of the recommended reductions.

### ■ CIWMB AWARD OF GRANTS

The Board is expected to consider the grant funding recommendations at its May 2001 Board meeting. You will be notified of staff recommendations prior to the Board meeting.

## III. APPLICATION INSTRUCTIONS

The application must be printed on double-sided 8 ½" x 11" recycled paper with all pages numbered consecutively. An original and three copies of the application package must be submitted. For ease of review, applications should be stapled in the upper left-hand corner rather than bound. All application materials become the property of the CIWMB.

The HHW Grant application must contain the following information:

- ◆ Application Cover Sheet Form (Exhibit A);
- ◆ Table of Contents;
- ◆ Resolution(s) (Exhibit B);
- ◆ Proposal Narrative (this may not exceed 15 pages):
  - Section 1: Need, include Summary of Used Oil & HHW Grants Form (Exhibit E);
  - Section 2: Objectives;
  - Section 3: Methodology, including Work Statement Form (Exhibit C);
  - Section 4: Evaluation;
  - Section 5: Budget, including Budget Itemization (Exhibit D);
  - Section 6: Completeness, Letters of Support, Experience, etc.;

- Section 7: Address if Applicable: Recycled-content purchasing policy;
- Section 8: Address if Applicable: Programs for Rural, Underserved Areas, or Small Cities;
- Section 9: Address if Applicable: Multi-jurisdictional HHW Programs;
- Section 10: Address if Applicable: Collection of Paint, E-Waste, U-Waste, Antifreeze; or implementation of p2 education program;
- Section 11: Address if Applicable: No HHW Grant funding during last three cycles; and
- Section 12: Address if Applicable: Establish a permanent HHW Solution that is Self-Sustaining.

▪ **COVER SHEET (Exhibit A)**

The required Cover Sheet Form (Exhibit A) may be adapted to each applicant's computer software; however, the format must be followed exactly. Instructions for completing the form are on the reverse side of the form.

▪ **RESOLUTION (Exhibit B-1 & B-2)**

The approved resolution for a single jurisdiction or all supporting documents for a regional program **MUST BE SUBMITTED WITH THE APPLICATION PACKAGE. Please select the designated signature authority carefully because only the person in the designated position will be able to sign the Grant Agreement and Payment Request Form.**

The grant application package must include either:

- ◆ **B-1:** An approved resolution from the applicant's governing body which authorizes submittal of an application for the FY 2000/01 HHW Grant and identifies the title of the individual authorized to execute all associated agreements, and requests for payment (see Sample Exhibit B-1); **OR**
- ◆ **B-2:** An approved resolution which authorizes the submittal of grant applications to the CIWMB for all available HHW and Used Oil grants under the California Integrated Waste Management Act and California Oil Recycling Enhancement Act, and identifies the title of the individual authorized to execute all associated agreements and requests for payment (see Sample Exhibit B-2).

**Regional Programs** – Multiple jurisdictions may join together to submit a regional application. A lead agency must be designated by the participating jurisdictions. The lead agency must submit a resolution as described in B-1 or B-2. In addition, each participating jurisdiction in a regional application must submit one of the following:

- ◆ A letter from the county administrator/city manager stating that the jurisdiction wants to participate in the regional program and authorizing the lead applicant to act on its behalf as both applicant and grant administrator; or,
- ◆ A resolution from the governing body stating that the jurisdiction wants to participate in the regional program and authorizing the lead applicant to act on its behalf as both applicant and grant administrator; or, authorizing the lead applicant to act on its behalf as both applicant and grant administrator; or,
- ◆ A copy of a Joint Powers Authority (JPA) agreement authorizing the JPA to act on behalf of the jurisdiction as both applicant and grant administrator; or,

- ◆ A copy of a Memorandum of Understanding specifically for this grant proposal authorizing the lead applicant to act on behalf of the jurisdiction both as applicant and grant administrator.

- **PROPOSAL NARRATIVE**

The proposal narrative must clearly and concisely describe and justify each task presented in the proposal. The proposal narrative should address the project summary as well as the twelve scoring criteria (Exhibit F). We have provided questions for each criterion that should help you develop your proposal. The tip boxes after the questions should help you focus on information that is important to include. Criteria 1 – 7 comprise the General Review Criteria and Criteria 8 –12 are considered Program Criteria. **The applicant is responsible for supplying sufficiently detailed information for the review panel(s) to fully evaluate the proposal.**

Attachments to support the proposal narrative include the Summary of Used Oil and HHW Grants Form (Exhibit E), Work Statement Form (Exhibit C), and the Budget Itemization (Exhibit D). Instructions for completing the Work Statement and the Summary of Used Oil and HHW Grants Forms are on the reverse side of each form. Provide attachments and any supporting documentation with the appropriate section(s) as outlined below.

Address each question *briefly*, remembering to note the information requested in the boxes on the right and application preparation tips. The proposal narrative is limited to 15 pages not including exhibits and other attachments.

**Applications must be postmarked Friday, March 30, 2001.  
Hand delivered applications will not be accepted. Mail  
applications to:**

**California Integrated Waste Management Board  
Attn: Kelley Tyack, Grant Administration Unit  
1001 I Street, MS#10  
P.O. Box 4025  
Sacramento, CA 95812-4025**

## GENERAL REVIEW CRITERIA (75 points possible)

### Introduction: Project Summary (be very brief – 1 paragraph)

- What is the problem you are addressing? Briefly describe your project.

**TIP:** Identify the products that you will use or produce.

1. **Need (25 points)** - Grant proposal clearly describes and demonstrates the local or statewide need for the project and the benefits and end products resulting from the project.
  - Clearly describes the problems or issues accurately & precisely that the project will address, including the local &/or state impact of the project.
  - Identifies clearly the targeted audience & why they need the project.
  - Addresses identified gap in service availability or current unmet need.
  - Supports the existence of the issue with surveys, studies.
  - Adequately describes any health and safety threats or environmental concerns.
  - Identifies existing & previous grant work on HHW to support the project or to justify a different approach; explain why any past CIWMB grants were not completed or only partially completed.

**TIP:** Make sure to include Grants Summary Worksheet form (**Exhibit E**). Grant narrative describes the local or statewide need for the project and the benefits resulting from the project. Local Demographic Studies/Statistics include: Target population size; % population targeted; service area; illegal dumping documentation; available collection opportunities; frequency of collections; # and location of permanent facilities; waste types collected, map of collection opportunities, amount of HHW collected (past CIWMB Form 303 information) and estimated amount collected with future program.

2. **Objectives (5 points)** - Work statement and grant narrative are sufficiently detailed to determine that the project is based on the identified need described in the narrative, describes specific and measurable goals and objectives, and demonstrates that objectives can be achieved within the indicated time frame.
  - Is based on the identified need described in the Grant Narrative.
  - Specifies realistic and measurable goals and objectives.
  - Demonstrates specific objectives & how they will be achieved within indicated time frame.

**TIP:** Make sure to include Work Statement (**Exhibit C**)  
The term of this grant is only 22 months, demonstrate your project is ready to be implemented.

3. **Methodology (10 points)** - Grant proposal describes by task the activities to be undertaken to achieve the objectives.
  - Describes in detail all proposed tasks & activities included in Work Statement and Budget.
  - Identifies any products that will be used or produced and how they will be distributed.
  - Describes why the proposed activities are the best way to address the identified need.
  - Describes in detail how the proposed activities will be accomplished with available time and resources.
  - Identifies staffing required to carry out the proposed project.
  - Describes involvement of cooperating organizations.
  - Presents a specific plan for future funding, how will your proposal be financed after the grant.

**TIP:** List tasks; sequenced timeline -- the grant term is 22 months; explain how you will achieve the objectives. Permits & variances needed? Cost of continuing program, list funding priorities and give reasons. Work Statement and Grant Narrative describe by task the activities to be undertaken to achieve the project tasks.

4. **Evaluation (5 points)** - Grant proposal describes a method to evaluate the success of the project and determine whether objectives were accomplished.
- Includes both process and outcome evaluation.
  - Describes a method for evaluating and modifying methods during project implementation.
  - Identifies the strategies, milestones, and tools (for example, measure of success) that you will use to monitor the project.
  - States who will be responsible for the evaluation.
  - Explains any statistical tests or questionnaires to be used.
  - Describes any evaluation reports to be produced.

**TIP:** Describe statistical tests/questionnaires. What is the desired project outcome? Grant Narrative describes a method to evaluate the success of the project and determine whether objectives were accomplished. **Don't confuse tracking with evaluation.**

5. **Budget (10 points)** - Grant proposal sufficiently demonstrates that the proposed expenses are reasonable. All program elements described in the grant application and work statement are itemized in the budget.
- Budget itemization is sufficiently detailed.
  - Quotes, estimates, or other documentation to support the costs claimed are provided.
  - All program tasks described in the Work Statement and Grant Narrative are itemized in the budget.
  - Cost savings are described, e.g., use of volunteer labor, in-kind services, recycling options, use of existing promotional materials, etc.
  - Budget items for miscellaneous, contingency, or managerial (including consultant) costs are clearly described and kept to a minimum.
  - Budget is clear & concise and arranged by approved budget categories.
  - Arrange **Budget Itemization** by these categories:

**Permanent Collection Facilities:** Costs for the establishment, expansion, and operation of HHW. Costs for recycle-only facilities should also be included here.

**Temporary or Mobile Collection:** Costs for one-day, intermittent events, or mobile collection (other than residential collection) of HHW.

**Residential Collection:** Costs for establishment, continuation, or expansion of curbside or door-to-door collection of HHW.

**Publicity and Education:** Costs for the development, printing, and distribution of used oil or HHW publicity or educational materials that promote the HHW collection opportunities.

**Load Checking:** Costs for inspection of loads at solid waste landfills or transfer stations for HHW. Costs for containment (permanent or semi-permanent structure) should also be included here.

**Personnel/Other:** Costs for personnel and any other eligible expenditure that cannot be assigned to another category.

**TIP:** Be sure to include Budget Itemization (Exhibit D). Reference the ineligible and eligible cost sections of this application package to determine eligible costs. Reference the page # of your quotes; provide details for equipment, services & supplies requested; justify all non-specific costs such as overhead & miscellaneous. Grant Narrative and Budget Itemization demonstrates that the project is cost effective and makes judicious use of the requested grant funds. **Make the budget clear and concise; present the budget in such a manner that someone unfamiliar with your organization will understand it. Carefully check the accuracy and cost-effectiveness of all budget items, extraneous and unsupported budget items will count against you! Items in which there are no quotes may be eliminated.**

6. **Completeness, Letters of Support, Experience (10 points)** - Grant proposal is clearly presented and complete as required in the application instructions including adherence to all specified deadlines. Includes evidence that the applicant or its contractor(s) have sufficient staff resources, technical expertise, and experience successfully managing grant programs, to carry out the proposed project.
- Includes letters of support for the project.
  - Addresses ability of the applicant to coordinate contracted activities.
  - Includes resumes, background statements for key project personnel, references, etc.
  - Application is double-sided & Grant Narrative does not exceed page limit.

**TIP:** Double check your application & make sure everything asked for is included, and in the order prescribed. Avoid assumptions that the application is the same as last year or that reviewers have access to outside information. Include evidence that the applicant or its contractor(s) have sufficient staff resources, technical expertise and experience successfully managing grant programs to carry out the proposed project.

7. **Evidence of a Recycled-Content Purchasing Policy or Directive (10 points)** – Documentation of a policy or directive regarding the purchase of recycled-content products, recycled or reused products (such as re-refined oil and recycled-content paper), the use of compost and mulch, and other “green” products or materials, and/or other waste reduction activities.

**TIP:** Documentation can be in the form of an agreement, recent invoice(s), or policy/directive statement. Check your local jurisdiction General Services Agency or Administrative Services Department for a recycled-content purchasing policy or directive.

## **PROGRAM CRITERIA (25 points possible)**

8. **New Programs for Rural Areas, Underserved Areas, or Small Cities (2 points)** -
- A Rural Area is a county having a population of 200,000 or less.
  - An Underserved Area is a jurisdiction that does not have an existing HHW program serving all of its residents.
  - A Small City is a city with a population of less than 35,000.

**TIP:** Check the Dept. of Finance, Demographics Unit, latest population statistics for cities and counties populations prior to completing this section. Their web address is <http://www.dof.ca.gov>.

9. **Establishes Multi-Jurisdictional HHW Programs (3 points) -**

- What regional needs will the proposed program meet?
- Which jurisdictions will be participating?
- Why is each jurisdiction participating in program, consider cost efficiency, geographical boundaries, economies of scale, etc.?

**TIP:** A jurisdiction is defined as a city or county, a city and county, or regional agency.

10. **Expand Programs to include Paint, E-waste, U-waste, Antifreeze; or to Implement a Pollution Prevention Education Program (5 points)**

**TIP:** E-waste includes television sets and computers that contain a CRT tube. U-waste includes fluorescent tubes, mercury thermostats, and household batteries except automobile batteries. Pollution prevention education program include alternatives to household chemicals.

11. **No HHW Grant Funding during last three cycles (10 points) -**

- Grant Proposal is from an applicant who did not receive a HHW Grant award during the last three cycles – HD6, HD7, and HD8.

**TIP:** Was your jurisdiction the lead in a program that was awarded a HHW grant during the last 3 cycles? If so, you will not receive credit. However, if you were a member of a regional group, you can get credit.

12. **Establishes a Permanent and Sustainable HHW Solution that is also Self-Sustaining (5 points) -**

- Permanent Solution is defined as site construction, operation, and advertising of permanent HHW infrastructures. Load checking programs that include transporting collected materials to a consolidation facility are also eligible for funding. As part of a permanent solution applicant will need to describe its local government's commitment to sustaining the program on an on-going basis.

**TIP:** How will your program be financed after the grant is over; Tipping fees, service charges, user fees? **Please provide the funding plan in a letter from your designated signature authority.** HHW collection infrastructures include permanent HHW collection facilities, temporary HHW collection facilities recycle-only HHW collection facilities, curbside HHW collection programs, and mobile HHW collection facilities.

IV. **GRANT ADMINISTRATION**

▪ **GRANT AGREEMENT**

Following the Board's approval of the proposed grantees, tentatively scheduled for May 2001 Board meeting, the proposed grantees will receive a Grant Agreement that includes Terms and Conditions and Procedures and Requirements. Copies of these documents in draft form are available for review by grant applicants. Call the CIWMB at (916) 341-6457 to request these documents or review our website (<http://www.ciwmb.ca.gov/HHW/Grants/default.htm>). The Grant Agreement incorporates

the applicant's Budget Itemization and Work Statement. The signature authority, designated by resolution, is authorized to sign the Grant Agreement.

Award of the grant is conditional upon the return of the executed agreement to the CIWMB within 90 days from date of CIWMB's mailing of the agreement package. The grant may not be made if the proposed grantee fails to comply with this requirement.

The grant agreement is tentatively scheduled for a term of 22 months beginning June 1, 2001 and terminating March 31, 2003.

■ **PAYMENT OF GRANT FUNDS**

Grant funds are paid on a reimbursement basis for actual costs directly related to the implementation of the approved project. Payment will be made only for costs described in the applicant's approved Budget Itemization. All payment requests must be prepared as described in the Procedures and Requirements and include an itemization with documentation of claimed expenses (e.g., receipts, invoices, Personnel Expenditure Summary Forms, etc.) Ten percent (10%) of each approved payment request will be withheld until completion of the grant terms.

■ **AUDIT REQUIREMENTS**

The Grant Agreement requires the following: that the Grantee agrees that the Board, 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 grant agreement; that the Grantee agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, 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; that 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; and that the Grantee agrees to include a similar right to the State to audit records and interview staff in any contract or subcontract related to performance of the Grant agreement.

**Applications must be postmarked Friday, March 30, 2001  
Hand delivered applications will not be accepted. Mail  
applications to:**

**California Integrated Waste Management Board  
Attn: Kelley Tyack, Grant Administration Unit  
1001 I Street, MS#10  
P.O. Box 4025  
Sacramento, CA 95812-4025**