

SAMPLE DOCUMENT FOR REFERENCE PURPOSES ONLY

EXHIBIT B

ADMINISTRATIVE PROCEDURES AND REQUIREMENTS

Reuse Assistance Grants Program Fiscal Year 2006-2007 (Cycle 10)

INTRODUCTION

These *Administrative Procedures and Requirements* for the Reuse Assistance Grant (Grant) set forth the procedures for administering the Grant. This document, which is incorporated by reference into the Grant Agreement (Agreement), describes the administrative reporting requirements, instructions for obtaining payment of the grant, and fiscal control procedures to be followed in implementing the Grant.

GENERAL GUIDELINES

This is a reimbursement grant. The Grantee must pay for goods and services first, and then submit a Grant Payment Request Form (CIWMB 87) to its California Integrated Waste Management Board (CIWMB) Grant Manager for approval and reimbursement.

- Payments can only be made to the Grantee. It is the responsibility of the Grantee to pay all contractors, subcontractors, and/or vendors for goods and services rendered.
- The CIWMB will withhold ten percent (10%) of each approved invoice submitted by the Grantee. These withheld funds are eligible for release after the CIWMB Grant Manager approves the final payment request and the final report. It is the Grantee's responsibility to keep track of the total amount withheld during the Grant term, and the Grantee must submit a separate payment request at the end of the Grant term for the total ten percent (10%) withhold amount.
- During the performance of this Grant, when submitting progress reports, payment requests, and all other documents and correspondence to the CIWMB, the Grantee shall practice resource conservation. This includes, but is not limited to, using electronic formats when available, and using paper products that contain **one hundred percent (100%) recycled-content paper**. Specific pages containing full-color photographs or other ink-intensive graphics may be printed on photographic paper. All internal or public education materials, promotional materials, posters, flyers and brochures, etc. must be printed on 100% postconsumer or recycled-content paper, unless 100% postconsumer or recycled-content paper is not appropriate for the specific item, in which case the highest percentage of recycled-content that is available and appropriate must be used.

ELIGIBLE PROJECT COSTS

Grant monies only fund expenses incurred after issuance of the Notice to Proceed and prior to January 31, 2009, and described in the Grantee's approved Budget itemization. Any revisions to the Budget must be requested in writing and pre-approved in writing by the CIWMB Grant Manager. It is the Grantee's responsibility to ensure that all claimed costs are appropriate by reviewing all contract documents, newsletters, e-mails, and other information updates supplied by the CIWMB, and to consult with the CIWMB Grant Manager. All claimed costs must be clearly and directly related to implementation and operation of the Grant project or the claim will not be allowed. Costs must be reasonable and cost-effective.

Matching funds may be used only for eligible project costs as identified in the approved Budget and must be accounted for just as grant funds.

Grantee must receive prior written approval from the CIWMB Grant Manager before making expenditures listed below; **failure to do so may result in denial of claim:**

- Grantee must submit a final draft of the materials listed below to the CIWMB Grant Manager for approval prior to production to determine funding level and appropriateness. Please allow at least five (5) working days to review public education material. Allow a minimum of ten (10) working days for review of non-English public education material.
- All public education, advertising, or promotional materials, including materials previously approved under another grant (e.g., flyers, posters, mailers, videos, TV and radio scripts, or premiums).
- Travel expenses directly related to the grant. Expenses will be reimbursed according to guidelines set forth in the State Administrative Manual Sections 0700-0741 and the current Department of Personnel Administration memorandum. For example, as of September 2003, reimbursable mileage rate may not exceed \$0.34 per mile. Transportation must be the most economical when taking into consideration employee time and direct costs. Grantee must book trips far enough in advance to get the best rate possible. Per diem may not exceed \$84.00 plus tax per night for lodging unless located in an authorized region listed in the *California State Administrative Manual*; meal reimbursement is actual amount not to exceed the amounts shown in the chart below.

Trip	Travel Time	Authorized Meal
Less than 24 hours	Travel time must begin at/before 6:00 a.m. and end at/after 9:00 a.m.	Breakfast (actual expense up to \$6.00)
	Travel begins at/before 4:00 p.m. and ends at or after 7:00 p.m.	Dinner (actual expense up to \$18.00)
More than 24 hours	Travel time must begin at/before 6:00 a.m. and end at or after 8:00 a.m.	Breakfast (actual expense up to \$6.00)
	Travel begins at/before 11:00 a.m. or if travel ends at or after 2:00 p.m.	Lunch (actual expense up to \$10.00)
	Travel begins at/before 5:00 p.m. and ends at/after 7:00 p.m.	Dinner (actual expense up to \$18.00)

- Rent expenses reimbursed through grant funds may only be reimbursed through the overhead and indirect costs category (administrative costs). All administrative costs must be approved in the budget, directly relate to the grant, and not be over the five percent (5%) maximum of the total amount awarded. Rent reimbursement is based upon the percentage of the building that is proportional to reuse efforts and specific to this grant. Please note reimbursement for rent expenses will only be reimbursed up to the five percent (5%) (cap/limit) per total amount approved for each payment request.
- Overhead and indirect costs of up to five percent (5%) must be approved for payment and supported by a cost allocation plan;
- Expenses related to preparing reporting documents and payment requests are eligible for reimbursement through grant funds and matching funds under the administrative costs category; maximum five percent (5%) of the total amount awarded. The maximum amount that can be reimbursed through grant funds or accounted for through matching funds for reporting and payment requests is up to 120 hours.

INELIGIBLE PROJECT COSTS

Any expenses not directly related to the Grant are ineligible. These include, but are not limited to, the following:

- Costs incurred prior to issuance to the Notice to Proceed or after the end of the grant term;
- Costs not included in the approved budget;
- Costs currently covered by another CIWMB loan, grant, or contract;
- Overtime costs (except for local public agency staff during specially scheduled evening or weekend events occurring outside the staff's normal work schedule that is pre-approved in writing by the CIWMB's Grant Manager, when law or labor contract requires overtime compensation);
- Out-of-state travel;
- Matching funds not accounted for with supporting documentation;
- Rent or lease expenses that are above the five percent (5%) administrative cap (i.e. maximum of five percent (5%) of total amount awarded).
- Any food or beverages (e.g., as part of meetings, workshops, training, events, etc.);
- Public education costs not directly associated with the concept of reuse;
- Profit or mark-up by the Grantee or partner;
- Cell phones, pagers, and other personal electronic and/or digital assistive devices;
- Overhead and indirect costs above five percent (5%) of the amount awarded to the Grantee;
- Overhead and indirect costs above five percent (5%) of the amount approved for payment and/or overhead and indirect costs of five percent (5%) or less of the amount approved for payment not included in a cost allocation plan;
- Any costs that are not consistent with local, state, and federal guidelines, regulations, and laws; and,
- Any other costs not deemed reasonable or related to the purpose of the grant by the CIWMB Grant Manager.

PROGRESS REPORTS

The Grantee must submit a progress report on the following dates, as well as with each payment request:

- June 29, 2007: (covering the period from the start date of the project through May 31, 2007)
- January 22, 2008: (covering the period from June 1, 2007 through January 1, 2008)
- July 1, 2008: (covering the period from January 2, 2008 through June 1, 2008)
- February 27, 2009: (Final report - covering the period from June 2, 2008 through January 31, 2009)

The CIWMB Grant Manager may request a progress report from a Grantee at any time. The CIWMB may immediately suspend or terminate the Agreement if progress is deemed unsatisfactory. Any problems or delays must be reported immediately to the CIWMB Grant Manager.

Grantee must use a format similar to the sample progress report found as Attachment A of this document. Each progress report must include:

- A detailed description, under each funded budget category (task), of all work completed since the previous progress report. Describe any problems or special situations encountered, and the Grantee's response.
- An indication of the state of completion (percentage) of all tasks listed in the Work Plan (Exhibit C to the Grant Agreement); if a task has yet to begin, provide an estimated start date.
- A quantifying measure of the results of the project (e.g., tons of material diverted through reuse, dollars saved, people served and/or educated).
- A discussion of anticipated accomplishments for the next reporting period.
- One (1) copy of all final public education, advertising, or promotional materials produced, purchased, and/or distributed with grant funds. (The CIWMB Grant Manager must approve these items **before** they are produced, purchased, and/or distributed.)

- An updated, completed, and signed *General Checklist of Business Permits, Licenses and Filings Form (CIWMB 669) (Attachment E)*, if applicable.
 - If changes have occurred since the last submittal, initial Item 8 on the *Grant Payment Request Form (CIWMB 87)*, "Changes made since last checklist submitted", and attach the updated form.
 - If nothing has changed since the last submittal, initial Item 8 on the *Grant Payment Request Form (CIWMB 87)*, "Form on file is current and complete".
- A completed and signed *Reliable Contractor Declaration (CIWMB 168)*, if this has not previously been submitted. This form must be submitted prior to the start of any contracting work being done.

FINAL REPORT

The CIWMB Grant Manager must receive the final report and payment request on or before, February 27, 2009 and all grant funds must be expended before January 31, 2009, in order to be reimbursable. The final report must be prepared in the same format as a progress report and must include quantitative measures of the improvements or increases in reuse activities resulting from the project(s) funded through this Grant. Such measures could include: the percentage increase of the Grantee's commercial sector that became aware of and became involved in reuse activities as a result of the project; the amount of materials diverted from landfills as a result of the project; the estimated value of materials diverted or exchanged through the project; or other appropriate measures that could serve as an indicator of the effectiveness of the funded activities. The final report must also include an updated, completed, and signed *General Checklist of Business Permits, Licenses and Filings Form (CIWMB 669)*, if applicable.

- If changes have occurred since the last submittal of the *General Checklist of Business Permits, Licenses, and Filings Form*, initial Item 8 on the *Grant Payment Request Form*, "Changes made since last checklist submitted", and attach the updated form.
- If nothing has changed since the last submittal, initial Item 8 on the *Grant Payment Request Form*, "Form on file is current and complete".

If requested, the Grantee must make an oral presentation to the Board and/or the appropriate CIWMB Committee.

FAILURE TO COMPLY

Payment of grant payment requests is contingent on the timely submission of satisfactorily completed reports. Failure to comply with the reporting requirements specified above may result in non-payment of funds and termination of this Agreement.

GRANT PAYMENTS

All payment requests must include:

1. A progress report (Attachment A) detailing the activities accomplished since the previous progress report (following the instructions described above).
2. A detailed *Payment Request Itemization of Expenditures by Budget Category* (Attachment B) for the grant funds and matching contribution expended.
3. A *Grant Payment Request Form (CIWMB 87)* (Attachment C) signed by the individual named in the resolution as the signature authority. [In addition to naming the signature authority for the Grant, some resolutions included the language "or designee." In those instances, the signature authority must send a letter to the CIWMB Grant Manager indicating the individual by title who has been authorized as his/her designee(s).]

4. A signed and completed *Personnel Expenditure Summary (CIWMB 165)* (Attachment D), if requesting reimbursement for staff/volunteer time, or using staff/volunteer time as part of the grant funds or matching funds contribution.
5. A completed *Travel Expense Log* (Attachment E), if requesting reimbursement for travel expenses or using travel expenses as part of the matching contribution.
6. A completed *Recycled-Content Certification Form (CIWMB 74G)* (Attachment F). This form must be completed even if purchased materials and/or goods do not have recycled content.
7. Documentation supporting all claimed expenditures (e.g., legible copies of invoices and receipts). The claimed expenses are highlighted and each applicable task number is indicated on each invoice.
8. An updated, completed, and signed *General Checklist of Business Permits, Licenses and Filings Form (CIWMB 669)* (Attachment G), if applicable.
 - If changes have occurred since the last submittal of the *General Checklist of Business Permits, Licenses, and Filings Form*, initial Item 8 on the *Grant Payment Request Form*, “Changes made since last checklist submitted”, and attach the updated form.
 - If nothing has changed since the last submittal, initial Item 8 on the *Grant Payment Request Form*, “Form on file is current and complete”.

All forms must have original signatures and may be downloaded at:
www.ciwmb.ca.gov/Grants/Forms/.

BUDGET ITEMIZATION

Payment requests must include an itemization of all grant program expenses. Grantee needs to review and finalize its individual itemized Work Statement and Budget (Exhibit C), because the Grantee is bound by the final drafts submitted to and approved by the CIWMB. If costs cannot be clearly attached to a specific task, the payment request will not be approved.

SUPPORTING DOCUMENTATION

Supporting documents must be included with each payment request and contain sufficient information to verify that purchases made or costs incurred are eligible for payment. **Purchase orders will not be accepted as appropriate documentation of expenses.**

RELEASE OF FUNDS

The payment request must be in the proper format and contain supporting documentation for claimed grant and matching fund expenses. Payment requests that are not in the proper format or missing documentation will be returned to the Grantee for correction and resubmission. Payment requests will be reviewed and approved for payment when the Grantee has submitted, in a timely manner, all required progress reports and supporting documentation and the CIWMB Grant Manager has determined them to be satisfactory. Payment is typically made within forty-five (45) calendar days from the date a payment request is approved by the CIWMB Grant Manager.

PUBLIC EDUCATION AND ACKNOWLEDGMENT

The Grantee **MUST** acknowledge the CIWMB's funding and, where appropriate, its copyright ownership (e.g., “Funding provided by a Grant from the California Integrated Waste Management Board. Zero Waste – You Make It Happen! © {year of creation} by the California Integrated Waste Management Board (CIWMB). All rights reserved. This publication, or parts thereof, may not be reproduced without permission from CIWMB.”) and prominently display the CIWMB logo on all promotional materials funded by this Agreement through grant funds or matching funds. Use of initials “CIWMB” is not sufficient, unless pre-

approved in writing by the CIWMB Grant Manager. The CIWMB logo can be found on the CIWMB's Web site at www.ciwmb.ca.gov/gallery/CIWMBLogos/.

COPYRIGHTS AND TRADEMARKS

As fully set forth in the *Terms and Conditions* (see Exhibit A for a complete description of the copyright and trademark terms and conditions) of this Agreement, the Grantee assigns to the CIWMB any and all interests and rights to copyrightable or trademarkable materials created or developed as a result of this Agreement. The Grantee shall require that its contractors and subcontractors agree that all such materials shall be the property of the CIWMB.

MAILING ADDRESS

Direct any questions regarding this document, the Grant Agreement package, all progress reports, or payment requests to the CIWMB Grant Manager's attention at:

California Integrated Waste Management Board
Waste Prevention and Market Development Division
Reuse Assistance Grants Program, MS-13A
P.O. Box 4025
Sacramento, CA 95812-4025
(916) 341-6613

GRANT CLOSURE

Grant closure will occur: (1) upon the determination by the CIWMB Grant Manager that all requirements of the Grant have been satisfactorily completed, or (2) the end of the Grant term, whichever comes first. The final report must be approved before the final payment request is approved and forwarded to the State Controller's Office for payment. **Failure to submit the final report and final Payment Request, with appropriate supporting documentation, by February 27, 2009 may result in rejection of the Payment Request and/or forfeiture by the Grantee of claims for costs incurred that might otherwise have been eligible for grant funding.** The ten percent (10%) withhold is eligible for release upon the timely receipt and approval of the final report and payment request. The Grantee must submit a separate payment request at the end of the Grant term for the total ten percent (10%) withhold amount.

AUDIT REQUIREMENTS

As fully set forth in the *Terms and Conditions* (see Exhibit A for a complete description of the audit requirements) of this Agreement, the Grantee, and any contractor, subcontractor and/or vendor thereof, agree that the CIWMB, 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, and that such records shall be retained as required.

If an audit reveals the CIWMB funds are not being expended, or have not been expended in accordance with this Agreement, the Grantee may be required to forfeit the unexpended portion of the funds and/or repay the CIWMB for any improperly expended monies.

EXCEPTIONS

Any exceptions to these *Administrative Procedures and Requirements* must be requested and approved in writing by the CIWMB Grant Manager prior to any grant fund expenditures. The request will be reviewed and a determination will be made as soon as possible, usually within ten (10) working days of receipt of the request.

ATTACHMENT A

SAMPLE PROGRESS REPORT

Please note that this sample is only to provide a recommended format for the progress reports and demonstrate the type of information that is required. Each task listed in the Work Plan must be included in the progress report, even if no work has begun on the task. It may be appropriate for Grantee to provide more information on each task than what has been shown here due to space constraints.

City of Pristineville
Grant No. RU10-05-0000
Progress Report
January 1, 2007 through May 31, 2007

(As indicated on our Work Plan, there are a total of three main tasks, and related sub-tasks, to complete this project. The progress of each of these tasks is described in detail below.)

Task 1: Research types of materials donated (Matching Services)

The purpose of this pilot program is to establish a network for local businesses to direct their unwanted office equipment/supplies for further reuse by nonprofit organizations, churches, schools, low-income families, and others in need.

Staff determined that it will be more advantageous to target office equipment, which is still functional, including but not limited to: computer systems, fax machines, calculators, telephones, video/cassette players, paper shredders, desks, chairs, file cabinets, and other office supplies. Staff chose to target local businesses such as: accounting firms, banks and financial institutions, legal corporations, hotel chains, airlines, movie production companies, local electronic manufacturers, wholesalers, retail businesses, and other commercial organizations, as they tend to upgrade their office equipment to keep up with modern technology or are often looking for ways to relieve themselves of inventory surplus and discontinued office products.

The reusable material will be directed by the local businesses to reuse agencies who have a distribution network and infrastructure in place and will assure that the donation is reused to its fullest potential.

Task 1 is 100% complete.

Task 2: Compile a list of reuse agencies (Reimbursable Services)

Staff has drafted a directory of donation opportunities for Pristineville businesses and residents. Over 500 names of reuse centers have been compiled. These reuse centers accept donations in all the categories described above. This directory will be used as a reference guide for the businesses and will also be incorporated on the City of Pristineville's Web site.

Staff has contacted individual reuse centers to assure that all information is correct before the directory is placed on the City of Pristineville's Web site or given to local businesses for reference and use.

Task 2 is 100% complete.

Task 2.1: Compile a database of local business for direct mail (Matching Services)

A database of over 40,000 businesses has been compiled. The plan is to target 40,000 of the 400,000 registered active businesses in the City of Pristineville, which are major sources of reusable office equipment and materials. Efforts will be made to reach these businesses throughout the year by mailers, phone calls, and newspaper advertisements to make them aware of the reuse program. It is estimated that of the 40,000 businesses contacted, approximately ten percent (or 4,000 businesses) would participate in a reuse program during the course of the grant.

Once the link between businesses and reuse is established, it will continue on an ongoing basis, expanding the availability of reusable commodities.

Task 2.1 is 100% complete. This list will be updated as necessary.

Task 3: Design promotional reuse information brochure (Reimbursable Services)

The promotional materials, as approved by the California Integrated Waste Management Board, include a three-fold, two-sided brochure that will advertise the program, credit the funding agency (California Integrated Waste Management Board) and provide information on the reuse pilot program. This brochure includes a partial list of reuse agencies, a contact number for the City of Pristineville and the City of Pristineville's Web site for further information. These brochures will be mailed through the regular U.S. mailing system to targeted local businesses, manufacturers, wholesalers, and other commercial organizations.

Task 3 is 100% complete.

Task 3.1: Print promotional reuse information brochure (Reimbursable Services)

The promotional reuse brochure has been sent to the print shop for printing. Ten thousand copies of the brochure will be printed at this time.

This task is anticipated to be completed by the end of May 2007.

Task 3.2: Mail reuse flyer to target groups (Matching Services)

The plan is to mail a few hundred pieces at a time of the reuse brochure and also offer them to the public at local public outreach events that are held throughout the City of Pristineville.

This task is anticipated to start May/June 2007 and to be completed by December 2007.

Submitted by John Smith, Reuse Coordinator
January 5, 2008

ATTACHMENT B

SAMPLE PAYMENT REQUEST ITEMIZATION OF EXPENDITURES BY BUDGET CATEGORY

**City of Pristineville, Grant No. RU10-05-0000
Progress Report
January 1, 2007 through May 31, 2007**

Grant Funds					
Task Number and Description	Personnel/Item	Rate	Unit	Hours	Reimbursement Request
TASK 2: Compile list of reuse agencies	*Waste Mgmt. Specialist I	\$18.50/hr. & 32% benefits		60 hrs.	\$1,465.20
	*Waste Mgmt. Specialist II	\$22.38 hr. & 32% benefits		22 hrs.	\$492.36
	*Clerical	\$13.25 hr. & 32% benefits		24 hrs.	\$419.76
Subtotal					\$2,377.32
TASK 3: Design promotional reuse information brochure	*Graphic Engineer	\$21.50 hr. & 32% benefits		40 hrs.	\$1,135.20
TASK 3.1: Print promotional reuse information brochure	****Brochure printing	\$.05 each	10,000		\$500.00
	*Waste Mgmt. Specialist I	\$18.50 hr. & 32% benefits		32 hrs.	\$781.44
Subtotal					\$2,416.64
Total Reimbursement Request					\$4,793.96

Matching Contribution					
Task Number and Description	Personnel/Item	Rate	Unit	Hours	Matching Contribution Spent
TASK 1: Research types of materials donated	*Waste Mgmt. Specialist I	\$18.50 hr. & 32% benefits		50 hrs.	\$1,221.00
TASK 2.1: Compile database of local businesses for direct mail	*Waste Mgmt. Specialist I	\$18.50 hr. & 32% benefits		40 hrs.	\$976.80
TASK 3.2: Mail reuse flyer to target groups	*Clerical	\$13.25 hr. & 32% benefits		2 hrs.	\$34.98
Total Matching Contribution Spent					\$2,232.78

*Copy of *Personnel Expenditure Summary Form* attached (if requesting reimbursement for salaries/wages)

**Copy of *Grant Payment Request Form* attached (required)

***Copy of *Travel Expense Log* attached (if necessary)

****Copy of invoices are attached, claimed expenses are highlighted (required)