

**CALIFORNIA INTEGRATED WASTE  
MANAGEMENT BOARD**



**APPLICATION INSTRUCTIONS  
FOR A JOINT OFFERING OF THE  
USED OIL NON-PROFIT (6<sup>TH</sup> CYCLE)  
AND  
USED OIL RESEARCH, TESTING AND DEMONSTRATION (4<sup>TH</sup>  
CYCLE)  
FOR FISCAL YEAR 2004/05**

**Applications must be received  
by 3:00 PM March 15, 2005**

Hand delivered and mailed applications are acceptable at the address below.  
Late, Faxed or E-mailed applications will not be accepted.

Applications sent by U.S. Postal Service or a commercial delivery service should be sent by a means that permits tracking by the sender and that guarantees delivery on or before the application deadline. Failure to do so is at the applicant's risk; delayed delivery or loss of an application by the Post Office or a delivery

service will not be justification for a late application.

California Integrated Waste Management Board  
Attn: Liz Huerta, Grants Administration Unit (UNP6 or URD4)  
1001 "I" Street, MS-10,  
P.O. Box 4025  
Sacramento, CA 95812-4025  
(916) 341-6118

## GRANT APPLICATION SUBMITTAL CHECKLIST

- Application Cover Sheet (Attachment 1)
- Table of Contents
- Resolution(s) (Attachments 2); and, if applicable, Letter(s) of Authorization (Attachment 8)
  
- Proposal Narrative (not to exceed 15 pages, exclusive of the required Attachments)
  - ◆ Section 1: Need
  - ◆ **Section 2:** *Priority Program Criteria (varies by Grant Program)*
  - ◆ Section 3: Goals and Objectives
  - ◆ Section 4: Work Plan
  - ◆ Section 5: Evaluation
  - ◆ Section 6: Budget
  - ◆ Section 7: Application Completeness, Letters of Support, Experience, etc.
  - ◆ Section 8: Evidence of a Recycled-Content Purchasing Policy or Directive
  
- Required Documents
  - Application Cover Sheet (Attachment 1)
  - Work Plan Form (Attachment 3)
  - Budget (Attachment 4)
  - Grants Summary Worksheet (Summary of Previous Used Oil and HHW Grants) (Attachment 5)
  - Recycled-Content Purchasing Evaluation Sheet (Attachment 6 )
  - General Checklist of Business Permits, Licenses and Filings (see Addendum 1 and link at [www.ciwmb.ca.gov/grants/forms](http://www.ciwmb.ca.gov/grants/forms))
  - Certification of Reliable Contractors (Attachment 9 )
  - Most recent Internal Revenue Service (IRS) Determination Letter for Declaration of Non-Profit Status and California Franchise Tax Board Letter of Good Standing (for Non-Profit Grant Applicants)
  - Resolution and/or Letter(s) of Authorization, if applicable. (Attachment 2)
  - Cost estimates.

- One original and three copies** of the application must be mailed, or delivered to:  
California Integrated Waste Management Board  
Attn: Liz Huerta, Grants Administration Unit (NP6/URD4)  
1001 "I" Street, MS-10  
P.O. Box 4025  
Sacramento, CA 95812-4025

**Copies:** Identify the original application with a mark or stamp indicating "original" and mark or stamp the copies, "copy." Copies must be free of distortion and easy to read.

**Font:** 12 point or larger font.

**Paper:** 8 ½ x 11" 100 % recycled-content paper (unless 100% recycled-content paper is not appropriate, such as where many full color photographs will be used, then paper with a minimum of fifty percent (50%) recycled-content may be used), double sided and numbered consecutively.

**Stapled, not bound:** upper left-hand corner.

**Delivery/Submission:** Applications must be received at the above address **no later than 3:00 PM on March 15, 2005.**

- Late, Faxed or E-mailed applications will not be accepted.
- Hand delivered and mailed applications are acceptable.

**Questions???: Contact**

**James Herota** at [jherota@ciwmb.ca.gov](mailto:jherota@ciwmb.ca.gov) or (916) 341-6443

**Jeffrey Lin** at [jlin@ciwmb.ca.gov](mailto:jlin@ciwmb.ca.gov) or (916) 341-6461

▪ **Question and Answer Period**

Questions about the Used Oil Non-Profit (6<sup>th</sup> Cycle) and/or Research, Testing & Demonstration (4<sup>th</sup> Cycle) Grants may be submitted in writing from December 31, 2004 through January 27, 2005 to James Herota or Jeff Lin by e-mail or sent by mail to:

California Integrated Waste Management Board  
 Attn: Jeff Lin  
 Used Oil and HHW Grants  
 1001 I Street, MS-21  
 P.O. Box 4025  
 Sacramento, CA 95812-4025

Staff will use the questions submitted to develop a question and answer sheet on or about February 1, 2005. Responses will be posted on the California Integrated Waste Management Board's (CIWMB) Grants website [www.ciwmb.ca.gov/HHW/Grants](http://www.ciwmb.ca.gov/HHW/Grants) and after posting will be mailed out upon request. To the extent possible, similar questions will be grouped together. Please note that no project-specific questions will be answered.

**IMPORTANT GRANT DATES**

<b>TENTATIVE DATES</b>	<b>ACTIVITY</b>
December 31, 2004 – March 15, 2005	Application period
December 31, 2004– January 27, 2005	Question and Answer Period
February 1, 2005	Questions and Answers Posted on CIWMB Website
<b>March 15, 2005 (by 3:00 PM)</b> <b>This date is not subject to change.</b>	<b><u>Deadline for Application receipt by CIWMB at the indicated address</u></b>
March 29, 2005 – April 20, 2005	Panels review applications and prepare recommendations
June 8, 2005	Special Waste Committee considers Grant Award recommendations
June 14 – 15, 2005	CIWMB awards Grants
July 2005	Grant Agreements mailed to Grantees for signature
Approximately September 2005	Grant term begins with receipt of Notice to Proceed
February 15, 2006, February 15, 2007 and February 15, 2008	Progress Report Due
September 30, 2008	Grant term ends
November 15, 2008	Final Report and Payment Request Due



**USED OIL NON-PROFIT  
AND  
USED OIL RESEARCH, TESTING & DEMONSTRATION  
GRANT APPLICATION  
FY 2004/05**

**I. GRANT SUMMARY AND GUIDELINES**

▪ **BACKGROUND**

Public Resources Code (PRC) Section 48632(a) authorizes the California Integrated Waste Management Board (CIWMB or Board) to award Grants for programs that provide used oil collection opportunities as an alternative to the illegal disposal of used oil. Both Non-Profit (UNP) and Research, Testing & Demonstration (URD) Grants are awarded on a competitive basis for the establishment of new programs and expansion of existing programs that address the proper management of used oil and/or oil filter.

▪ **APPLICANT ELIGIBILITY**

Eligibility criteria varies depending upon which grant is appropriate.

**Non-Profit:** Non-profit groups recognized under Sections 501(c)(3), 501(c)(4), 501(c)(6) or 501(c)(10) of the Internal Revenue Code. A copy of the most recent Determination Letter for Declaration of Nonprofit Status issued by the Internal Revenue Service and a copy of the most recent Letter of Good Standing issued by the California Franchise Tax Board must be included with the grant application. Only one application will be accepted from each non-profit group or chapter of an umbrella non-profit group, and the group must partner with a local jurisdiction.

**Research, Testing and Demonstration:** Cities, counties, local agencies, non-profits or private businesses may apply either individually, or as a regional group. **This is the only Oil Grant for which commercial businesses and non-profits are eligible to apply on their own.**

**Some eligibility requirements apply to both Grants.**

- ◆ Only one application may be submitted by an organization **PER GRANT PROGRAM. An applicant may apply for both of these grants, for a maximum of two grant applications for this combined grant cycle.** *If you apply as part of a regional group, you cannot submit an individual application.*
- ◆ **Non-Profit** organizations may apply for both grants; however each application must focus on a different project. Non-profit organizations applying for the UNP Grant must partner with a local jurisdiction.

- ◆ Applicants that did not receive a grant award for a project targeting the proposed location or community during the last UNP or URD Grant Cycle will receive additional points.
- ◆ Applicants with open grants (e.g. Used Oil Block Grants and Competitive Grants) with the Board must have current and approved grant reports on file before they will receive their grant agreements, should they be chosen to receive a grant award.

■ **FUNDING AVAILABLE**

Approximately \$2.2 million FOR THE COMBINED PROGRAM, with \$1.1 million for the UNP and \$1.1 million for URD, is available. The Board reserves the right to not award any, or only a portion, of the funds subject to funding availability.

For **Non-Profit** applicants, the maximum award is \$200,000 per individual application.

For **Research, Testing and Demonstration** applicants, the maximum award is \$200,000 for projects focusing on outreach or used oil collections or single jurisdiction demonstrations, and \$300,000 for technology-related research and/or testing (Priority Program Criteria A) or regional demonstration(s).

■ **GRANT TERM**

The anticipated term of the Grant is from September 2005 through September 30, 2008. All grants should have a full three years to complete their work and all costs must be incurred and work completed during the Grant Term.

■ **ELIGIBLE ACTIVITIES**

Grant funds must be used to establish or expand used oil programs that provide permanent collection opportunities and/or effective publicity campaigns. Proposed activities should complement existing local and regional used oil management programs.

■ **HIGH PRIORITY PROGRAM ACTIVITIES**

The high priority program activities vary **depending upon the specific grant program, either UNP6 or URD4.**

**For the UNP6**, the priority program activities are for projects that:

1. Develop partnerships with auto parts and retail stores that sell lubricating oil to collect used oil filters from the public.
2. Employ Community-Based Social Marketing (CBSM) techniques to educate the public, targeting immigrants, about local used oil and oil filter collection opportunities.
3. Develop used oil programs for marinas to include at least one of the following:
  - Collection and recycling of used oil, oily bilge pads and oil filters within marinas and from boaters; or
  - Development of marina infrastructure to facilitate recycling of used oil and used oil filters.

4. Promote used oil and oil filter recycling to small businesses qualifying as Conditionally Exempt Small Quantity Generators, as defined in section 261.5 of Title 40 of the Code of Federal Regulations, including but not limited to businesses in the automotive, trucking, construction and landscaping/maintenance service sectors.

**For the URD4**, the priority program activities are for projects that:

1. Demonstrate, tests or research a technique, process, market, or product resulting from the recycling of used oil, oil filters or used oil plastic containers.
2. Employs CBSM strategies to educate the public, targeting immigrants, about local used oil and oil filter collection opportunities.
3. Promotes oil source reduction strategies (including, but not limited to, the lease of hydrogen fuel cell vehicles, extending oil change intervals, and advocating the use of mass transit) while also promoting used oil and filter recycling.
4. Establishes an agricultural used oil and/or oil filter collection program for small acreage growers<sup>1</sup> including a needs assessment, the development of collection infrastructure and an outreach/education campaign.

▪ **ELIGIBLE COSTS**

**Costs must be directly related to the approved Grant project, identified in the Budget, and incurred during the Grant Term.**

- ◆ Expenses that provide an opportunity for the collection of used oil that would not otherwise exist.
- ◆ Costs, including materials, supplies, equipment and facilities related to the management of used oil, used oil filters, and/or stormwater pollution prevention programs related to used oil and oil byproducts.
- ◆ Leasing of hydrogen-powered vehicles or other alternative-fueled vehicles for education/outreach.
- ◆ Mitigation as defined in Public Resources Code 48618.4 to include "...the prevention of stormwater pollution from used oil and oil byproducts and the reduction or alleviation of the effect of stormwater pollution from used oil and oil byproducts by means of action taken on public property. Mitigation includes the installation of devices and implementation of practices that prevent used oil and oil byproducts from causing stormwater pollution. **Mitigation does not include the cleanup or restoration of polluted areas.**"
- ◆ Overhead or indirect costs up to twenty percent (20%) for non-profit<sup>2</sup> applicants if supported by a Cost Allocation Plan. For other applicant organizations or entities, overhead or indirect costs may not exceed 10%. These 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. The cost of operating and

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<sup>1</sup> For purposes of the URD Grant Program, "small acreage grower" is defined as a grower owning or managing less than 500 acres of land.

<sup>2</sup> For purposes of these grant programs, "non-profits" or "non-profit organizations" are defined as those organizations recognized under Sections 501(c)(3), 501(c)(4), 501(c)(6) or 501(c)(10) of the Internal Revenue Code

maintaining facilities, accounting services, and administrative salaries not directly related to Grant activities are examples of overhead and indirect costs.

- ◆ Costs must be reasonable and focused on local needs as described in the application.

■ **INELIGIBLE COSTS**

Any costs not directly related to the approved grant project are ineligible for grant funding. These include, but are not limited to, the following:

- ◆ Costs incurred prior to receiving the Notice to Proceed, or after the grant term;
- ◆ Costs currently covered by another CIWMB loan, grant or contract;
- ◆ Purchase or lease of land or buildings;
- ◆ Purchase of vehicles by non-governmental agencies;
- ◆ Leasing of gasoline fueled vehicles (including hybrid vehicles) by non-governmental agencies unless pre-approved in writing by grant manager;
- ◆ Remediation;
- ◆ Enforcement activities;
- ◆ Overtime costs (except for local government staffing during specially scheduled evening or weekend events that are pre-approved in writing by the Grant Manager when law or labor contract requires overtime compensation);
- ◆ Out-of-state travel;
- ◆ Any food or beverages (e.g., as part of meetings, workshops or events);
- ◆ Cell phones, pagers, and Palm Pilots;
- ◆ Development of school curricula;
- ◆ Movie theater screen advertising;
- ◆ Preparation of HHW Elements that are not related to used oil;
- ◆ Public education costs not directly tied to used oil collection or storm water oil pollution prevention;
- ◆ Profit or mark-up by the Grantee;
- ◆ Personnel costs incurred while an employee assigned to the grant project is not working on the grant (e.g., use of accrued time such as sick leave, vacation, etc.)
- ◆ Pre-paid expenditures for future goods or services delivered beyond the end of the grant term. (Exemption: The Grant Manager may consider approving products purchased in full before the end of the Grant Term but delivered after the Grant Term 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);
- ◆ Any costs that are not consistent with local, state, and federal guidelines and regulations; and
- ◆ Overhead in excess of 10% for any applicant that is not an eligible non-profit,<sup>1</sup> and in excess of 20% if an applicant is a non-profit organization, as defined in footnote 1.

## 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 to evaluate applications using the Board-approved Scoring Criteria. **Applicants must score 70% (59.5 points) of the General Review Criteria points (85 points) in order to be eligible to receive points in the Program Criteria section.** Applicants must attain at least 70 out of the 100 points possible to be eligible for funding.

The following is a summary of how the points are divided into two sections (general criteria and program criteria). A more detailed description is included in Attachment 7.

<b>General Criteria</b>	<b>85 points</b>
• Need	20 points
• Goals and Objectives	10 points
• Work Plan	20 points
• Evaluation	6 points
• Budget	12 points
• Completeness, Support & Experience	7 points
• Evidence of a Recycled-Content Policy	10 points

<b>Priority Program Criteria</b>	<b>15 points</b>
• Priority program criteria--	10 points

#### **NP6 Priorities.**

- Employing CBSM techniques to educate the public, targeting immigrants, about local used oil and oil filter collection opportunities. Many immigrants speak English as a second language, so examples of outreach can include English as a Second Language (ESL) classes offered through local learning exchanges or community colleges, utilizing community spokespeople, etc.;
- Promoting used oil and oil filter recycling to small businesses qualifying as Conditionally Exempt Small Quantity Generators (including but not limited to automotive, trucking, construction, landscaping/maintenance and service sectors). Examples include working with permanent HHW collection facilities to collect oil and oil filters that can not be collected at stores, holding amnesty day events, etc.;
- Marina programs that include at least one of the following: collection and recycling of used oil, oily bilge pads and oil filters from boaters; and/or development of used oil and oil filter collection infrastructure;
- Partnerships with auto parts and retail stores that sell lubricating oil to collect used oil filters from the public (i.e.

oil filter buy back programs, promotional collection events at stores);

- Propose funding at least one applicant for each of the four criteria options as long as the application passes the minimum point threshold. The top scoring applicant in each criteria option category would be recommended for funding before the second or third ranking applications in other categories would be recommended.

OR

#### **URD4 Priorities**

- CBSM strategies to educate the public, targeting immigrants, about local used oil/oil filter collection opportunities. Many immigrants speak English as a second language (ESL). Examples of outreach include ESL classes, vocational schools, churches or other local gathering places;
- Demonstrates, tests or researches a technique, process, market or product resulting from recycling of used oil, used oil filters or plastic used oil containers;
- Promotes source reduction of lubricating oil through better oil filter designs; extending oil change intervals; promoting alternative transit options such as rail, bus, bicycling, carpools, leasing hydrogen fuel cell vehicles while promoting used oil and filter recycling;
- Establishing an agricultural used oil and/or filter collection program for small acreage growers including a needs assessment, development of collection infrastructure and an outreach/education campaign, including but not limited to amnesty day collection events, and the use of used oil haulers.

- Applicant criteria 5 points
  - Applicant did not receive a Grant Award for a project targeting the proposed location or community during the last Cycle – UNP5 or URD3

#### **■ REQUIRED DOCUMENTS**

The following documents are required as part of this application:

- Application Cover Sheet
- Resolution and/or Letters of Authorization
- Work Plan
- Budget
- Recycled Content Purchasing Evaluation Sheet
- Grant Summary Worksheet (Summary of Previous Used Oil or Household Hazardous Waste Grants)
- Declaration of Non-Profit Status and Letter of Good Standing (for Non-Profit applicants)
- General Checklist of Business Permits, Licenses and Filings
- Certification of Reliable Contractors

- Cost estimates
- If you fail to include these documents with your application, your application will have points deducted under the General Scoring Criterion: *Completeness*.
- Additional documents may be submitted after the application deadline; however, your score for *Completeness* will not be adjusted.
- Required documents must be received by the Grants Administration Unit of the CIWMB no later than **April 6, 2005**.
- Failure to meet this extended deadline will result in the disqualification of the application from consideration for award.

▪ **PARTIAL FUNDING OF PROPOSALS**

The review panels may recommend partial funding of some or all proposals and will deduct ineligible or inappropriate costs.

▪ **CIWMB AWARD OF GRANTS**

The Board is expected to consider the grant funding recommendations at its June 2005 Special Waste Committee and Board Meetings. All applicants will be advised by e-mail of the Board's decision. The Board reserves the right to not award any, or only a portion of, the grant, subject to funding availability.

Following the Board's approval of the grant, the successful applicants will be mailed a Grant Agreement Form, Procedures and Requirements, and Terms and Conditions. These documents, along with the applicant's approved Budget and Work Plan, comprise the Grant Agreement.

The signatory designated by the Applicant's Resolution will be required to sign the Grant Agreement Form and return the Grant Agreement to the CIWMB **within ninety (90) days** from the date of mailing by the CIWMB. However, the Grantee is required to pay all outstanding debts due to the CIWMB before the CIWMB will issue or execute the Grant Agreement. (Check with your Accounting Office to determine if your jurisdiction has any outstanding CIWMB invoices resulting from unexpended grant funds in previous cycles or other outstanding debt.) **If these two conditions are not met, the grant may not be funded.**

▪ **CIWMB PAYMENT FOR GRANT EXPENDITURES**

Grant funds are paid on a reimbursement basis for actual costs directly related to the implementation of the approved grant activities outlined in the approved Work Plan and Budget. Detailed requirements for payment are included in the attached draft Exhibit A: Terms and Conditions and draft Exhibit B: Procedures and Requirements. **(These documents are subject to change without notice prior to award of the Grant.)**

### III. APPLICATION INSTRUCTIONS

• **OVERVIEW**

These instructions are organized according to the order of each section you are required to submit with your application. Each section of the instructions:

- Lists the item as it will appear in your Table of Contents;
- Notes the required attachment(s);

- Provides an estimate of the pages that may satisfactorily address the section;
- Summarizes the evaluation points available;
- Provides questions for you to answer in addressing the evaluation criteria; and
- Includes helpful hints or “tips” from previous grant cycles.

The INSTRUCTIONS for this application are different from last year, particularly because this is a combined application. However, the format of the final application should be similar. Points may be deducted for factors such as too many pages in the narrative, application not double-sided, boxes not checked, missing signatures, or an unclear proposal. *Double-check your application and make sure everything on the checklist (inside cover of this application) is included, and arranged in the order prescribed.*

- **COVER SHEET (Attachment 1)**

The Cover Sheet Form (Attachment 1) may be adapted to each applicant’s computer software; however, the **format must** include the same information. **You must indicate whether you are applying for the UNP6 or URD4.** Instructions for completing the form are on the reverse side of the form. If you are a non-profit organization applying for both grants, you must fill out a separate cover sheet for each grant.

- **TABLE OF CONTENTS**

The Table of Contents should indicate on which page each of the required items can be found. This provides a guide that assists the review panel in scoring your application.

- **RESOLUTIONS from Local Jurisdictions (Attachment 2)**

The approved Resolution for a single or regional jurisdiction and all supporting documents for the regional program, **must be received no later than April 6, 2005.** The Resolution may be specific to this Fiscal Year (FY) 2004/2005, or it may cover all authorized Grants from CIWMB for up to a maximum of five (5) years (i.e., fiscal years 2004/2005 through 2008/2009).

You must submit:

- ◆ An approved Resolution from the applicant’s governing body which authorizes the submittal of grant applications to the CIWMB for a period not to exceed five (5) years, and identifies the **job title** of the individual authorized to execute all grant documents necessary to secure grant funds and implement the approved grant program. (see Sample Attachment 2);

**Regional and Joint Powers Authority (JPA) Programs:** Multiple jurisdictions may join together to submit a regional application. A lead agency must be designated by the participating jurisdictions.

**Regional Lead:** The regional lead’s approved Resolution must include the information described above, and authorization to act as a lead for a regional program. The regional lead is responsible for obtaining from

each participating jurisdiction and providing to the CIWMB Grants Administration Unit, preferably with the grant application but **no later than April 6, 2005**, one of the Regional Participant authorization documents listed below:

- A **letter** from the county administrator or city manager or person with program decision-making authority stating that the jurisdiction wants to participate in the regional program *and authorizing the regional lead to act on its behalf as both applicant and Grant Administrator (see Attachment 8); or,*
- A **Resolution** from the participating jurisdiction's governing body stating that the jurisdiction wants to participate in the regional program *and authorizing the regional lead to act on its behalf as both applicant and Grant Administrator (see Attachment 2); or,*
- A copy of a **Memorandum of Understanding** *specifically for this grant proposal authorizing the regional lead to act on behalf of the jurisdiction both as applicant and Grant Administrator.*

#### **TIPS FOR RESOLUTIONS:**

*Select the designated signature authority carefully because only the person designated will be able to sign the Grant Agreement Form, Payment Request Forms and other grant forms. If the designated signature authority wishes to delegate his/her authority to sign documents related to the grant, such as Payment Request forms, the Resolution must expressly authorize this. For example:*

*“The Director of the Happy Valley Solid Waste Management Authority, or his/her designee, is hereby authorized and empowered to execute in the name of the above named county.....”*

*In our example, to utilize this authority, **the Director must provide a signed letter stating the job title of his/her designee.** Otherwise, only the Director will be authorized to sign.*

**Regional and JPA Applicants:** *The regional lead's Resolution is not required to specifically identify the participants' names. The names may be provided in an attachment, if desired. The inclusion of the participants' names in the regional lead's Resolution does not take the place of the participant's authorization letters.*

## ▪ **PROPOSAL NARRATIVE (including Attachments 3, 4, 5 and 6)**

The narrative must clearly and concisely describe and justify each task presented in the proposal. A well-prepared application will address each question briefly, but thoroughly, paying specific attention to each of the points listed in the Scoring Criteria. **The applicant is responsible for supplying sufficient detail for the review panel to fully evaluate the proposal. You cannot assume the review panel knows anything about your organization or previous program experience.**

Attachments to support the proposal narrative are NOT included in the fifteen (15) page limit, and include:

- Work Plan (Sample in Attachment 3);
- Budget (Sample in Attachment 4);
- Grant Summary Worksheet (Summary of Used Oil and HHW Grants Form) (Attachment 5);
- Recycled-Content Purchasing Evaluation Sheet (Attachment 6); and
- Letters of Support.

Key sections are as follows, with **BOLDED** questions corresponding to criteria that review panels will use to score your application. The bulleted points under each question provide suggestions for information that might be included in a complete response to the bolded question.

### *TIP FOR APPLICATION WRITING*

Do not worry if your narrative appears choppy or disjointed as the question format may require you to present information in an order than may seem illogical. Clearly responding to each question so that your response can stand alone makes it easier for the review panel to score your application. They do not like to “search” for information that may be buried in another section.

Do not worry if you seem to be repeating yourself—try to be succinct in your response or refer directly to the page where you may have addressed an issue earlier.

## **SECTION 1: NEED -- 20 Points (3-5 pages)**

This section represents 20% of the total available points for the application, so it is a critical section of the application and provides the foundation upon which your project is based.

Begin the section with a half page summary of the key elements of your proposed project. Then, address the questions below in the remainder of your narrative.

### **What is the local, regional, economic, or environmental need for this project?**

- Who is your target audience and why it was selected? What is the size, and therefore the significance, of this population in your local area?

- What are current collection opportunities for this group? (Include map related to where your target population lives, if relevant.)
- What outreach or education has been directed to this group before? What was learned from these efforts that will influence the design of your program?
- What are the direct and indirect consequences if the proposal is not funded?

**What are the gaps/barriers in existing programs, processes, markets or technologies that prevent the proper disposal of used oil and oil filters?**

- What are the barriers in existing programs to properly disposing used oil and oil filters for this group?
- What is the unmet need?

**Are there surveys, pilot projects or studies to justify your approach and identified need?**

- What insights are provided from surveys, pilot projects or studies that will apply to this project?

EXAMPLE: There is evidence of persistent large quantities of abandoned used oil at 5 collection centers in Oilyville. While 1 of the 5 collection centers experienced decreases in abandoned oil after applying the program's "Suggested Management Practices", persistent large quantities of abandoned oil continues to plague the other collection centers. This project will address the issues described by the data by.....

- Were those other surveys, pilot projects or studies local? If not, how do their results apply to your project? Which additional activities do you propose to address the problem?

**How do current/previous projects relate to this one?**

**NOTE:** *Completion of the Grant Summary Worksheet (Summary of Used Oil and HHW Grants) (Attachment 5) requested under "Completeness" does not fulfill this section.*

- What lessons were learned during previous Grants that provide a justification for your approach in this Grant?

**EXAMPLE:** "With our UNP5 funds, we sited used oil collection centers at two popular marinas. However, both sites are located in the northern part of the county. Subsequently, two new marinas were developed in the southern part of the county and there is evidence of large quantities of abandoned oil at those sites....We propose those as potential collection sites."

- Were previous outreach efforts effective? If not, why? How will your project be different or address ineffective outreach?

## How will the anticipated outcome of this project increase the collection of used oil and/or oil filters?

- Why is this an important investment or project for the state?

### **TIPS FOR NEED:**

*Only the “Work Plan” section has as many points as this one with 20% of the total, so make sure every item is addressed thoroughly. It is impossible to design an effective program without identifying barriers and need. If the need is not well defined and supported, it is likely that your application will not be competitive.*

Speculation regarding need and/or barriers will not be scored highly. **Use local data!**

*Your application should demonstrate not only that your proposal is based on need, but that your need is compelling.*

Include numbers and statistics relative to target population size and their current level of participation in your programs; percentage of total population targeted; ethnicity; age distribution; median household income; number of single family homes; multiple family housing units; etc. Reference the following websites: [www.ciwmb.ca.gov/profiles](http://www.ciwmb.ca.gov/profiles), <http://censtats.census.gov/pub/Profiles> and [www.dof.ca.gov](http://www.dof.ca.gov) for the latest population statistics and demographics. Also include current collection data (e.g., lbs. of oil filters, gallons of used oil, number of oil bottles, etc.) and its relation to the target population and/or waste stream. Explain how the collection data is evidence of need.

## **SECTION 2: PRIORITY PROGRAM CRITERIA – maximum 15 points (1/2 to 1 PAGE)**

Following are four priority program areas (a-d) for the Nonprofit grant cycle and four priority program areas (a-d) for the Research, Testing and Demonstration grant cycle. Address no more than **One** that is **the highest priority based on your analysis**. A maximum of ten (10) points is available. The chosen program area should be addressed in the Work Plan and *Need* section of the application, but the questions below can help you determine what should be covered and included.

### **NON-PROFIT PRIORITY PROGRAM CRITERIA -- 10 points**

Choose one of these categories ONLY IF you are applying for the UNP6.

- a. Use Community-Based Social Marketing (CBSM) techniques to educate the public, targeting immigrants about local used oil and oil filter collection opportunities:**
  - ◆ Does your application specify which group is targeted?
  - ◆ Have you shown that the barriers preventing this population from properly disposing of used oil and used oil filters are well understood by your team?
  - ◆ What behaviors will be addressed with this project?

- ◆ Do proposed activities address challenges related to specific needs such as language, culture, reservation or rancheria location, access, etc.?
- ◆ Is the combination of behavior change techniques chosen (e.g., personal commitment, prompts, incentives, personal contact, community norms, etc.) well matched to the barriers identified and behaviors desired?
- ◆ Are appropriate CBSM elements included (e.g. literature review, barrier study, stakeholder input, pre-and post-tests, pilot program, on-going evaluation, etc.)?

**TIP FOR PROJECTS TARGETING NEWCOMERS AND IMMIGRANT PROGRAMS:**

*A January 2002 study by San Francisco State University revealed that 40% of California residents, including newcomers and immigrants who had lived in the United States 5 years or less, improperly disposed of their used motor oil*

*(<http://www.ciwmb.ca.gov/Publications/default.asp?pubid=935>.)*

**b. Establishes or expands new programs at marinas to include at least one of the following: 1) collection of used oil, oily bilge pads and oil filters from boaters and/or 2) marina infrastructure to facilitate recycling of used oil and used oil filters.**

- ◆ What is the current baseline collection estimate for the targeted waste stream, such as oil, oil filters, bilge pads?
- ◆ Is there sufficient demand for recycling marina oil and oil filters to justify construction of marina infrastructure to collect oil and oil filters (show data).
- ◆ How will the proposed project enhance current efforts, if any, in either collection at marinas?
- ◆ How will marina management and other stakeholder groups be involved?
- ◆ Is there evidence of abandoned oil and/or oil filters?
- ◆ How is your approach innovative or unique? How will it be a model?

**c. Project promotes used oil and oil filter recycling to small businesses that qualify as Conditionally Exempt Small Quantity Generators, including but not limited to businesses in the automotive (including shade tree mechanics), trucking, construction and landscaping/maintenance service sectors.**

- ◆ What is the current baseline collection estimate for the targeted waste stream, e.g. oil and oil filters, from the small quantity generators?
- ◆ What are the current collection programs for these businesses and demand for such activities in the area?
- ◆ What partners and stakeholders are involved? What is their role? Is there evidence of their support?
- ◆ How is your approach innovative or unique? How will it be a model?

**d. Develops partnerships within auto parts and retail stores that sell lubricating oil to collect used oil filters from the public:**

- ◆ Have you stated which program you will establish or expand?
- ◆ What is the current baseline collection estimate for the targeted waste stream, such as oil filters?

- ◆ What is the current number of collection centers in auto parts retail stores that do collect used oil filters versus those that do not collect used oil filters?
- ◆ Is there on-going commitment from your partner(s)? Is there evidence of their support?
- ◆ How is your approach innovative or unique? How will it be a model?

## **RESEARCH & DEVELOPMENT PRIORITY PROGRAM CRITERIA -- 10 points**

Choose one of these categories ONLY IF you are applying for the URD4 Grant.

- a. Project demonstrates, expands or researches a technique, process, market, or product resulting from the recycling of used oil, oil filters or used oil plastic containers.**
  - ◆ Have you completely described the technique, process, market, or product that is the focus of the grant?
  - ◆ Have you demonstrated market demand for your product?
  - ◆ Is your demonstration or research unique? Could it become a model?
  - ◆ What are the qualifications of your research team/facility?
  
- b. Project employs CBSM strategies to educate the public, targeting immigrants, about local used oil filter and used oil collection opportunities.**
  - ◆ Does your application specify which group is targeted?
  - ◆ Document need of intervention for this particular group, for example, large quantities of abandoned oil or oil filters at collection centers?
  - ◆ Have you shown that the barriers preventing this population from properly disposing of used oil or oil filters are well understood by your team?
  - ◆ Do proposed activities address challenges related to specific needs such as language, culture, access, etc.?
  - ◆ What behaviors will be targeted by your project?
  - ◆ Is the combination of behavior change techniques chosen (e.g., personal commitment, prompts, incentives, personal contact, community norms, etc.) well matched to the barriers identified and behaviors targeted?
  - ◆ How is your approach innovative or unique? How will it be a model?
  - ◆ Are appropriate CBSM elements included (e.g. literature review, barrier study, stakeholder input, pre-and post-tests, pilot program, on-going evaluation, etc.)?
  
- c. Project promotes oil source reduction strategies (including, but not limited to, the lease of hydrogen fuel cell vehicles, extending oil change intervals and advocating the use of mass transit) while also promoting used oil and oil filter recycling.**
  - ◆ What are the ongoing and/or successful source reduction strategies with regard to oil and oil filter usage?

- ◆ What type of customer will be targeted? For example, government fleet vehicles, private business fleet vehicles, Do-It-Yourselfers, general public.
  - ◆ Does project build on other successful efforts? If yes, explain.
  - ◆ Is there on-going commitment from the businesses involved in source reduction?
  - ◆ How is your approach innovative or unique? How will it be a model?
- d. **Project establishes an agricultural used oil and/or oil filter collection program for small acreage growers including a needs assessment, the development of collection infrastructure and an outreach/education campaign and researches or demonstrates lubricating oil source reduction strategies including, but not limited to, better oil filter designs, extending oil change intervals, etc.**
- ◆ What is the current baseline estimate for the targeted waste stream, such as oil and oil filters from growers in the area
  - ◆ What are the current collection programs for agricultural oil and demand for such activities in the area?
  - ◆ How is your approach innovative or unique? How will it be a model?

## **GENERAL PROGRAM CRITERIA -- 5 points**

The General Program Criteria relate to the location of the project, not the applicant. Five (5) points are available.

**Not awarded to serve the same community during last cycle:** Applicant did not receive an UNP5 or URD3 award during the last cycle for a project targeting the proposed community or location. An applicant may propose to transfer a previously successful program to a new location.

- ◆ Did your organization or any participating jurisdiction in your regional application, receive funding in the UNP5 or URD3 to provide a program in the proposed community or location?
- ◆ If you are transferring a previously successful project to a new location, how will your proposed project build upon previous success, apply lessons learned and provide some economy of scale? Will the project continue to operate in its original location if you receive funding to transfer your proposed project to a new location?

## **SECTION 3: GOALS AND OBJECTIVES - 10 points (1-2 pages)**

This section provides the structural framework or foundation for the development of activities in the Work Plan and should clearly describe what you wish to accomplish with Grant funding. It should link directly with both the *Needs Section* and the *Work Plan*.

- ◆ **Goals** are broad, yet feasible and attainable

- ◆ **Objectives** quantify your goals and include activities

**GOALS: What do you want to accomplish through this grant?**

**How does it relate to the need identified in Section 1?**

- ◆ Will the program make a significant step toward meeting the needs and removing barriers?
- ◆ What specifically will be accomplished?
- ◆ How does that relate to the identified need?
- ◆ How will the predicted outcomes compare to baseline data?

**EXAMPLES:**

- ◆ Increase current used oil collection opportunities by establishing a mobile collection program in the City.
- ◆ Decrease improper disposal of used oil by adding a curbside used oil collection program.

**OBJECTIVES: What activities will be conducted to meet those goals? What behaviors will be changed?**

**Have you established a baseline against which to compare your success?**

- ◆ How much (estimated increase in gallons of used oil and/or lbs. of used oil filters) will be collected with each activity?
- ◆ What are the per capita or per gallon of recycled oil or per lb. of recycled oil filter costs for this project?
- ◆ Have you determined the current level of activity or “baseline” so that the impact of the proposed program can be measured?
- ◆ To whom will each activity be directed? How many people will each activity serve? What behaviors will be changed as a result of this project?
- ◆ Are the objectives reasonable and significant given the needs of the target population?
- ◆ Do the objectives relate to the need?

**EXAMPLES:**

- ◆ Increase the collection of used oil by 20% by sponsoring 12 events targeted at ESL classes.
- ◆ Increase the proper disposal of used oil filters by 50% by piloting an oil filter exchange program at 12 auto parts stores in the Richmond district.

**TIP FOR GOALS:**

*Be realistic about what can be accomplished within the term of the Grant.*

*Clearly establish a baseline and have measurable goals and objectives compared to that baseline.*

*Goals should convince the evaluator that this is a worthwhile investment for state funds.*

**SECTION 4: WORK PLAN – 20 points (3-7 pages text)**

- ◆ **Work Plan**—see Sample in Attachment 3

- ◆ **Narrative**—Supplement the Work Plan by providing a discussion of why activities were selected to address the need and how they will do so. Address the questions below in three to seven pages.

**Does the Work Plan demonstrate that activities can be achieved within the time and resources available?**

- ◆ Are the time frames realistic to accomplish each task?
- ◆ Can the project be implemented in approximately 3 years?
- ◆ Does each activity relate directly to a goal, objective and need?
- ◆ Are evaluation tasks included?
- ◆ Is the progression of activities well thought out and complete?

**Why are the proposed activities the best way to address the need?**

- ◆ Do the activities overcome the barriers identified that inhibit individuals from properly disposing of used oil and oil filters?
- ◆ Have you considered a pilot program before you launch the entire program?
- ◆ Did you list what products will be produced and how many? (If no products will be produced, please indicate and note why.)
- ◆ Are these products or materials needed to change the behavior of your target clients?

**What Staff or Consultants will carry out each activity?**

- ◆ Who will perform each task? Is back-up staff available? (Include their names in the workplan).
- ◆ Are staff and/or contractor technical qualifications sufficient to effectively complete each phase of the project described?
- ◆ Are qualifications included? (Include a summary of relevant experience. Resumes are NOT needed or required.)

**How will other organizations be involved in this project? Who are they?**

- ◆ What is the role of each organization? What are they responsible for?
- ◆ Why were these organizations selected? (If other organizations will be involved, please indicate why.)
- ◆ What is their credibility with the target population?

**How will the project or program be funded after these funds are expended?**

- ◆ Will you depend upon tipping fees, county funds, etc?
- ◆ Will this project be incorporated into the activities of your Block Grant program?
- ◆ Will your partners continue the project? Is there evidence of a commitment to do so?

**INADEQUATE RESPONSE:** *“We will maintain this project with future Non-Profit or Research, Testing & Demonstration Grant funds.”*

*(This response is inadequate because these are competitive grants and there is no guarantee of future funding.)*

**TIPS FOR WORK PLAN:**

Activities must address each objective and goal, and must flow directly from need and/or barriers identified.

Specify which staff person (abbreviate title or include name) or contractor will be responsible for each activity.

Coordination and communication helps prevent reinventing the wheel. It also allows you to use the experience of those that have done similar projects and modify and improve upon them. Check out the clearinghouse and other information on the CIWMB website.

Grant funds can be used for a pilot project that forms the basis for the overall program. Pilots should be completed early enough in the term of the Grant Agreement to facilitate the rollout of a larger initiative.

**SECTION 5 : EVALUATION -- 6 points (1-2 pages)**

Evaluation is a weak component of many proposals. While evaluation takes time and resources, it is an eligible activity. Evaluation documents program successes and effectiveness. The CIWMB is very interested in incorporating lessons learned from each Grant into subsequent programs.

**Will data collected enable an effective evaluation of the project?**

- ◆ What are your criteria for success for each major activity?
- ◆ What data will be collected? (e.g. increase in gallons collected, etc)
- ◆ How will you measure changes in behavior? Are you depending upon self-reporting or other strategies?
- ◆ Will a control group be utilized? If so, how will it be selected?

**How will you evaluate and modify your project during implementation?**

- ◆ Does your program include a pilot or small-scale demonstration?
- ◆ How will you collect the data?
- ◆ Who will be responsible for the evaluation? What are their qualifications?
- ◆ Who will collect and analyze the data?
- ◆ How will you obtain feedback on the design of your project?
- ◆ What challenges are you likely to face and how will the challenges be addressed?
- ◆ How will adjustments be made?
- ◆ Are evaluation steps included in the Work Plan?

**How will you determine if your program had a positive effect on your audience?**

- ◆ Did your project change the behavior of your target audience?
- ◆ What will be the criteria for success and how are they related to your goals?

**INADEQUATE RESPONSE:** "We know our program was successful because we gave away all 5,000 key chains."

(This response is inadequate because it does not link to the criteria for program success or behavior change for the audience that will increase the quantity of used oil collected, etc.)

### **What statistical tests or questionnaires are to be used to determine success?**

- ◆ Why was this evaluation approach chosen (e.g. phone survey, written survey, focus group, etc.)?
- ◆ How will you analyze the data to determine the final result of your project?
- ◆ How will questionnaires or surveys be administered? How many questions are included?

#### **TIPS FOR EVALUATION:**

*To assist you in your evaluation efforts refer to “Grant Management, Success With The Used Oil Recycling Program” guidebook. If you do not have a hard copy, you can request one from your Grant Manager. The guidebook can also be found on the Board’s website at <http://www.ciwmb.ca.gov/Publications/default.asp?pubid=985>*

*Clearly and completely answering these questions adds a substantial number of total points to your score and is often the difference between a successful and unsuccessful application.*

## **SECTION 6 : BUDGET -- 12 points (1-2 pages text)**

For Budget Itemization—see the sample in Attachment 4. For the Narrative—address the questions below in one to two pages.

### **Is an itemized cost breakdown associated with each activity, task or subtask included?**

- Have you used only the budget categories that are specified in the application instructions?
- Are any costs ineligible for UNP or URD grant funding?
- Did you explain the type of equipment or supplies to be purchased, such as “safety clothes/gloves”?

### **Are all the costs and associated tasks outlined in the Work Plan?**

- Are all budgeted items and expenditures described in the grant narrative and/or Work Plan?

### **Do quotes, estimates, or other documents support the costs you are claiming?**

- Does each major item listed on the expenditure itemization have a corresponding quote and/or supporting documentation?
- Are supporting documents numbered and arranged in the same order as listed in the expenditure itemization?
- If a quote lists more than one item, are applicable items highlighted?

### **Is your proposal cost effective? Is it a good investment of public funds?**

- Are there economies of scale in this project if it is based on previous work?
- Are costs reasonable?
- Did you describe what measures you have utilized to cut costs?
- Are you or your partners providing in-kind services?
- Are you re-using materials from another source or building upon work completed in a previous project? Are costs for management, overhead and miscellaneous expenses clearly described and kept to a minimum?
- Are overhead costs explained and kept within the allowable range?

**TIPS FOR BUDGET:**

*On the back of the sample included in Attachment 4 is an example of how a budget would be itemized. Remember, this may not apply directly to your program, but is included to give you an idea of the level of detail expected.*

*Round budget line items to the nearest whole dollar. Items less than fifty cents should be rounded down and those at fifty cents or more should be rounded up.*

*If your initial overhead or indirect rate exceeds twenty percent (20%) for the UNP Grant or ten percent (10%) for the URD Grant,, double check to see if certain costs can be readily itemized to a particular project or activity and whether they are necessary for the operation of the organization and the performance of the program.*

*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. Any such activity must be clearly supported by appropriate documentation.*

*Make sure your overhead and indirect costs are supported by a Cost Allocation Plan approved by an appropriate Supervisor/Manager in your agency. It must identify program elements included in the overhead/indirect cost calculation. For example:*

*Total department indirect cost divided by total department direct cost base equals indirect cost rate.*

**SECTION 7: APPLICATION COMPLETENESS, LETTERS OF SUPPORT, EXPERIENCE, ETC. -- 7 points (one-half to one page)**

**Is the grant application clearly and succinctly written?**

**Are all required forms and attachments included (see list below)? Are they all signed and/or boxes checked as appropriate?**

- Application Cover Sheet—signed, checked box and initialed on the line marked for Environmental Justice Certification
- Resolution or Letters of Authorization (if applicable) – See Attachment 2
- Work Plan– See Attachment 3

- Budget -- See Attachment 4
- Cost estimates
- Grants Summary Worksheet (Summary of Used Oil & HHW Grants) – See Attachment 5
- Recycled-Content Purchasing Evaluation Sheet – See Attachment 6
- General Checklist of Business Permits, Licenses and Filings – See Addendum 1 and link at [www.ciwmb.ca.gov/grants/forms](http://www.ciwmb.ca.gov/grants/forms)
- Certification of Reliable Contractors – See Attachment 9
- For nonprofit applicants, the IRS Determination Letter for Declaration of Nonprofit Status and the Letter of Good Standing from the California Franchise Tax Board

**Are Appropriate Letters of Support included?**

- Do the letters of support from individuals, organizations, jurisdictions, etc. that would be served or affected by the proposed project demonstrate support for the project and need for the services?
- Have letters from organizations that are cooperating organizations mentioned in the Work Plan been included to demonstrate their support and level of involvement?
- Are specific activities for cooperating organizations cited in the Work Plan referenced in the letter(s)?

**TIPS FOR LETTERS OF SUPPORT:**

*Be sure to attach letters of support directly to your application. If they are sent to CIWMB Board Members, they may not be forwarded to the review team when your proposal is being evaluated. You may choose to “cc” the Board Members.*

*We encourage you to include letters that demonstrate need for your program.*

**TIPS FOR POTENTIAL CONTRACTORS/SUBCONTRACTORS OF APPLICANT**

*It is important that any potential contractors and/or subcontractors of the grant applicant review the Terms and Conditions and Procedures and Requirements of the grant agreement, as there are several provisions that directly apply to issues affecting contractors/subcontractors, such as any materials, including drawings, plans and specifications, produced by contractors will become property of the State, and the requirement of contractors/subcontractors to submit a declaration to the CIWMB, signed under penalty of perjury, stating that within the preceding three (3) years, none of the events listed in Section 17050 of Title 14, California Code of Regulations, Natural Resources, Division 7, has occurred with respect to the contractor(s). See [www.ciwmb.ca.gov/Regulations/Title14/ch1.htm#ch1a5](http://www.ciwmb.ca.gov/Regulations/Title14/ch1.htm#ch1a5)*

**SECTION 8: EVIDENCE OF A RECYCLED-CONTENT PURCHASING POLICY OR DIRECTIVE -- 10 points**

**(Worksheet)**

**Attachment 6**

**Complete the Recycled-Content Purchasing (RCP) Evaluation Sheet (Attachment 6.) You do not need to submit the policy itself as many have done in previous applications.**

### **TIPS FOR RCP POLICY:**

*The policy, as well as your purchasing policies and business practices, provide evidence of your jurisdiction's commitment to "closing the loop" and represents a pledge to use recycled-content products, recyclable or reusable products, or other waste reduction measures where appropriate. A sample policy can be found at [www.ciwmb.ca.gov/buyrecycled/Policies/CIWMB.htm](http://www.ciwmb.ca.gov/buyrecycled/Policies/CIWMB.htm) for your reference, but you are not required to submit your policy for review.*

*If your jurisdiction has been reluctant to adopt such a policy, now is the time! This section accounts for a significant number of points. A policy that has been adopted during the application period meets this requirement.*

## **IV. GRANT ADMINISTRATION**

The requirements for properly administering this grant will be fully set forth in the Terms and Conditions (Exhibit A) and the Procedures and Requirements (Exhibit B) of your Grant Agreement. As a courtesy, these Exhibits are provided in draft form. It is advisable for **both the program staff and the financial staff** of your jurisdiction to review these documents **BEFORE** submitting the grant application. **Please note: these documents are subject to change without notice prior to the grant award.**

- Exhibit A: Terms and Conditions
- Exhibit B: Procedures and Requirements

## **V. ATTACHMENTS/ADDENDUM**

Attachment 1	Cover Sheet (includes Environmental Justice Certification)
Attachment 2	Sample Resolution
Attachment 3	Sample Work Plan Form
Attachment 4	Sample Budget
Attachment 5	Grant Summary Worksheet (Summary of Previous Used Oil and HHW Grants)
Attachment 6	Recycled-Content Purchasing Evaluation Sheet
Attachment 7	NP and R&D Grant Scoring Criteria
Attachment 8	Sample Letter of Authorization
Attachment 9	Certification of Reliable Contractors
Addendum 1	General Checklist of Business Permits, Licenses and Filings