

# CALIFORNIA INTEGRATED WASTE MANAGEMENT BOARD



## APPLICATION INSTRUCTIONS FOR A JOINT OFFERING OF THE **USED OIL GRANTS FOR FISCAL YEAR 2006/07** **NON-PROFIT (7<sup>TH</sup> CYCLE)** AND **RESEARCH, TESTING AND DEMONSTRATION (5<sup>TH</sup> CYCLE)**

### **Application Deadline:**

Applications must be postmarked no later than **March 15 22 29, 2007**. Hand delivered applications must be received in CIWMB's Sacramento Office at 1001 "I" Street by **3:00 p.m. on March 15 22 29, 2007**. Faxed or E-mailed applications will not be accepted.

California Integrated Waste Management Board  
Attn: Grants Administration Unit (UNP7/URD5)  
1001 "I" Street, MS-19A,  
P.O. Box 4025  
Sacramento, CA 95812-4025

Applications mailed or sent by U.S. Postal Service or a commercial delivery service should be sent by a means that allows for tracking by the sender and that provides an addressed and dated receipt. Failure to do so is at the risk of the applicant and if delivery is delayed or the application is lost by the Post Office or delivery service, the burden is on the applicant to demonstrate timely mailing or delivery of the application.

## GRANT APPLICATION SUBMITTAL CHECKLIST

Use this checklist to make sure you have included all the correct documents and sections in your grant application.

- One original and three copies** of the application must be submitted to:  
California Integrated Waste Management Board  
Attn: Grants Administration Unit (UNP7/URD5)  
1001 "I" Street, MS-19A  
P.O. Box 4025  
Sacramento, CA 95812-4025
  
- Application Cover Sheet** (*Attachment 1*)
  
- Table of Contents** (including page numbers)
  
- Resolution(s)** (*Attachment 2A*); and, if applicable, **Letter(s) of Authorization** or **Letter(s) of Intent** (*Attachment 2B*)
  
- Proposal Narrative** (not to exceed 15 pages - exclusive of the required Attachments):
  - Section 1: **Need** (1 to 2 pages)
  - Section 2: **Goals and Objectives** (1 to 2 pages)
  - Section 3: **Work Plan Narrative** (includes Goals and Objectives) (3 to 4 pages)
    - Work Plan form (*Attachment 3*)
  - Section 4: **Evaluation** (1 to 2 pages)
  - Section 5: **Budget Narrative** (1 to 2 pages)
    - Budget Itemization form (*Attachment 4*)
  - Section 6: **Application Completeness, Letters of Support & Experience, Etc.**
    - Letters of Support & Participation
    - Staff Experience (summary of relevant experience, not resumes)
  - Section 7: **Environmentally Preferable Purchases and Practices Evaluation Sheet** (*Attachment 5*)

**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, double sided and numbered consecutively.

**Stapled, not bound:** Upper left-hand corner

### Application Deadline:

- Mailed applications must be postmarked no later than **March 15 22 29, 2007**.
- Hand delivered applications must be received at the above address by **3:00 p.m. on March 15 22 29, 2007**.
- Faxed or E-mailed applications will **not** be accepted.

**More Information:** Applications are available for download on the California Integrated Waste Management Board's (CIWMB) website for both the Used Oil Nonprofit Grants (7<sup>th</sup> Cycle, UNP7) (<http://www.ciwmb.ca.gov/UsedOil/Grants/Nonprofit/7thCycle/Default.htm>) and/or the Used Oil Research, Testing and Demonstration Grant (5<sup>th</sup> Cycle, URD5) (<http://www.ciwmb.ca.gov/UsedOil/Grants/Research/5thCycle/Default.htm>).

Hard copy applications are available by contacting Glenn Gallagher at [ggallagh@ciwmb.ca.gov](mailto:ggallagh@ciwmb.ca.gov) or (916) 341-6452.

### Question and Answer Period

Questions about this UNP7 and/or URD5 application will be accepted in written form only. Questions must be submitted no later than **February 26, 2007** to Glenn Gallagher at [ggallagh@ciwmb.ca.gov](mailto:ggallagh@ciwmb.ca.gov) or by mail to:

California Integrated Waste Management Board  
Attn: Glenn Gallagher  
Used Oil and HHW Grants  
1001 "I" Street, MS-9A  
P.O. Box 4025  
Sacramento, CA. 95812-4025

Staff will use the questions submitted to develop a question and answer section available on or about March 2 19, 2007. Responses will be posted on the California Integrated Waste Management Board's (CIWMB) Grants website at: <http://www.ciwmb.ca.gov/UsedOil/Grants/Research/5thCycle/Apply/QandA.htm> 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 TENTATIVE GRANT DATES

TENTATIVE DATES	ACTIVITY
February 14, 07 – March <del>15</del> <u>22</u> <u>29</u> , 07	Application period
February 26, 2007	Question and Answer Period Closes
March 2 <u>19</u> , 2007	Questions and Answers Posted on CIWMB Website
<b>March <del>15</del> <u>22</u> <u>29</u>, 2007</b> <b>(If hand delivered must be received by 3:00 p.m. in CIWMB Sacramento Offices)</b>	<b>Deadline for submitting postmarked application to CIWMB.</b> <b>This date is <u>not</u> subject to change.</b>
June 6, 2007	Market Development and Sustainability Committee considers Grant Award recommendations
June 12, 2007	Board awards Grants
July 2007	Grant Agreements mailed to Grantees for signature
Approximately September 2007	Grantees initiate work on projects after receiving Notice to Proceed - Grant term begins
September 30, 2010	Grant term ends

TENTATIVE DATES	ACTIVITY
November 15, 2010	Final Report and Payment Request Due

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# GRANT APPLICATION

## USED OIL GRANTS for FY 2006/07

### NON-PROFIT (7<sup>th</sup> Cycle) and RESEARCH, TESTING & DEMONSTRATION (5<sup>th</sup> Cycle)

#### 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** (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 from a non-profit organization will be accepted. This includes a non-profit group or chapter of an umbrella non-profit group.

All non-profit applicants are required to partner with local jurisdictions currently managing a Used Oil Block Grant Program in order to increase the likelihood that funded projects continue after the grant term. In addition to the local government partner(s), applicants may also partner with other entity(ies) such as businesses, universities, or other nonprofits that would enhance the proposed project. A Letter of Intent, Letter of Authorization, Resolution or Memorandum of Understanding from the local jurisdiction and, if applicable, other entity(ies), stating its (their) intent to partner, must be included in the grant application.

###### **Research, Testing and Demonstration:**

Eligible applicants must fall into one of the categories listed below:

- Companies doing business in California;
- Individual(s) doing business in California;
- Public agencies such as cities, counties, school districts, special districts, or state agencies;
- Colleges or universities located in California; and
- Nonprofit groups as described in the Non-Profit eligibility section above.

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.**

**Additional applicant eligibility notes.**

- Only one application may be submitted by an organization for each UNP7 or URD5 grant program. If you apply as part of a regional group, you may not also submit an individual application.
- **Non-Profit** organizations may apply for the Non-Profit grant and the Research, Testing, and Demonstration Grant; however each application must focus on a different project. Non-profit organizations applying for the UNP Grant must partner with a local jurisdiction. In addition to the local government partner(s), applicants may also partner with other entity(ies) such as businesses, universities, or other nonprofits that would enhance the proposed project.
- Applicants with open Used Oil and HHW 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 \$734,000 **for the combined program** will be available based on the decision at the February 13, 2007 Board Meeting. That will be divided between two programs. The Board reserves the right to not award any, or award only a portion, of the funds subject to the funding availability.

For Non-Profit **and** Research, Testing and Demonstration applicants, the maximum award is \$300,000 per application.

▪ **GRANT TERM**

The anticipated term of the Grant is from September 2007 through September 30, 2010. Grant expenses may not be incurred until grantees receive the Notice to Proceed. All grants should have approximately three years to complete their work and all costs must be incurred and goods and/or services received during the grant term.

▪ **ELIGIBLE PROJECTS**

Only the following types of projects are eligible to be considered for funding. Any grant application for projects not listed will not be considered for funding. No preference or “bonus” points are available for these grants, only eligible projects as described below. (Both UNP7 and URD 5 applicants will be evaluated under the same General Review Criteria and must receive a minimum of 75 points to be considered for funding).

## Used Oil Non-Profit (UNP7) Eligible Projects:

### 1. *Oil Filter Collection*

Projects include activities that increase used oil filter collection from at-home mechanics, shade-tree mechanics, or small businesses. Collection venues for used oil filters may include, but are not limited to, Certified Collection Centers, curbside programs, and temporary or mobile events. Support from non-profit grantees and their partners for these collection venues may include, but is not limited to, hauling/transportation costs, oil filter drainage systems, collection containers, oil filter crushers, public outreach, and signage.

## Used Oil Research, Testing, and Demonstration Grant (URD5) Eligible Projects:

### 1. *Oil Filter Collection*

Projects include activities that increase used oil filter collection from at-home mechanics, shade-tree mechanics, or small businesses. Collection venues may include, but are not limited to, Certified Collection Centers, curbside programs, and temporary or mobile events. Support from grantees and their partners for these collection venues may include, but is not limited to, hauling/transportation costs, oil filter drainage systems, collection containers, oil filter crushers, public outreach, and signage. As businesses are eligible applicants for this URD5 grant, some CCCs themselves, particularly chain-operated auto parts stores, could provide a regional or statewide demonstration through this grant.

### 2. *Re-refined Oil for Public or Private Vehicle Fleets*

Project develops a technique, process, market, or program that utilizes re-refined motor oil in public or private vehicle fleets. The highest and best use for used motor oil is to close the loop and recycle it back into re-refined oil. Projects may include, but are not limited to, providing outreach programs, training, demonstrations, and resource materials to increase the use of re-refined motor oils to public and private vehicle fleet operators in the state.

### 3. *Re-refined Oil Testing and Certification to meet industry performance standards (Only one project will be funded from this category.)*

Re-refined motor oil is the highest and best use for used motor oil, and the only use for recycled motor oil that truly “closes the loop”. Re-refined oil procurement is currently directed mostly towards vehicle fleets, which represent the most likely purchasers at this time. In order to increase the procurement of re-refined oil, users must be convinced that the “quality” of the re-refined oil is equal to that of virgin-based motor oil. Consumers rely on the International Lubricants Standardization and Approval Committee (ILSAC) working in conjunction with the American Petroleum Institute (API) for that certification. ILSAC and API change those quality standards on a regular basis. A key market development strategy to keep re-refined oil competitive with virgin oil is to ensure that the next generation of re-refined products is tested and certified as new standards emerge. This project would support the testing and certification of re-refined oil to current and emerging standards.

## II. GRANT APPLICATION REVIEW, AWARD PROCESS AND GRANT ADMINISTRATION

### ▪ 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 attain at least 75% (75 out of 100 points) of the General Review Criteria points in order to be recommended for funding.** Applications with a total score of 75 or more points will be ranked by score, and recommended for funding based on rank order, highest score to lower scores, until grant funds are exhausted.

The following is a summary of how the General Review Criteria points are weighted. A more detailed description is included in the Used Oil UNP7 & URD5 Grant Scoring Criteria (Attachment 6).

General Criteria/Sections of Application	100 points
• Need	15 points
• Goals and Objectives	10 points
• Work Plan	30 points
• Evaluation	10 points
• Budget	15 points
• Completeness, Support & Experience	10 points
• Evidence of a Recycled-Content Policy	10 points

### ▪ PARTIAL FUNDING OF PROPOSALS

The review panels may recommend partial funding of some or all proposals and will deduct ineligible costs. The review panel may also recommend budget changes, and request a revised budget proposal from the applicant prior to award recommendation.

### ▪ GRANT AWARD PROCESS

The Board is expected to consider the grant funding recommendations at its June 2007 Market Development and Sustainability Committee and Board Meetings. All applicants will be advised by email of the Board's decision. This grant offering is subject to funding availability and the Board reserves the right to not award, or to award only a portion of the funds available.

### • GRANT AGREEMENT

Following the Board's approval of the grant awards, the successful applicants will be mailed a Grant Agreement Cover Sheet, 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 Cover Sheet and return the Grant Agreement Cover Sheet to the CIWMB **within ninety (90) days** from the date of mailing by the CIWMB.

**There are two conditions which, if not fulfilled, will delay the release of the Grant Agreement and/or may lead to the withdrawal of funding.**

1) Grantees are required to pay all outstanding debts due to the CIWMB within ninety (90) days from the Board's award date. (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.)

2) Grantees with open Used Oil Block Grants or CIWMB competitive grants must be current with spending and have up-to-date approved grant reports on file before they can receive UNP or URD funding.

- **GRANT ADMINISTRATION**

The requirements for properly administering this grant will be fully set forth in the Terms and Conditions and the Procedures and Requirements of the Grant Agreement.

- **CIWMB PAYMENT FOR GRANT EXPENDITURES**

Grant funds are paid on a reimbursement basis for actual costs directly related to the implementation of the grant activities outlined in the approved Work Plan and Budget. Detailed requirements for payment will be included in the Terms and Conditions and in the Procedures and Requirements of the Grant Agreement. .

### **III. APPLICATION INSTRUCTIONS**

The narrative must clearly and concisely describe and justify each activity/task presented in the proposal and justify why that is the best approach to meeting the identified need, barriers or gaps in service. A well-prepared application will provide information that addresses each section of the application briefly, paying specific attention to the Scoring Criteria questions (Attachment 6) for that section. Some applicants choose to organize their proposal narrative according to the scoring criteria questions which are also provided at the end of each section.

<b>Sections of Application</b>	<b>Total Points</b>
• Need	15 points
• Goals and Objectives	10 points
• Work Plan	30 points
• Evaluation	10 points
• Budget	15 points
• Completeness, Support & Experience	10 points
• Evidence of a Recycled-Content Policy	10 points

Within each section are some questions that serve as prompts for the type of information the review panels would find helpful in scoring the grant application. You need not literally respond to each question, but should include related information in your narrative. The applicant is responsible for supplying sufficient detail for the review panel to fully evaluate the proposal. You must not assume the review panel has knowledge of your organization or its previous program experience.

The following attachments/documents are required as part of this application to support the proposal narrative but are **not** included in the fifteen (15) page limit:

- Application Cover Sheet (*Attachment 1*)
- Resolution (*Attachment 2-A*) and/or Letter of Authorization (LOA) or Letter of Intent (*Attachment 2-B*)
- Work Plan form (*Attachment 3*)
- Budget Itemization form (*Attachment 4*)
- Environmentally Preferable Purchases and Practices Evaluation Sheet (*Attachment 5*)
- Letters of Support & Participation
- Staff Experience narrative

Failure to include these documents with your application will cause a reduction in points for Completeness under the General Scoring Criteria section. Additional documents may be submitted after the application deadline; however, your score for Completeness will not be adjusted. Missing documents must be received by the CIWMB Grants Administration Unit no later than April 30, 2007. **Failure to meet this deadline will result in the disqualification of the application from consideration for award.**

**Tips for Application Writing:**

Respond to each question clearly and completely. Do not be concerned 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 the issue elsewhere. This will make it easier for the review panel to score your application without having to search for information that may be buried in another section.

Please note that not all questions will align exactly with projects directed towards increasing re-refined oil usage in vehicle fleets or projects for testing and certifying re-refined oil; however, please attempt to address all questions as they may relate to your project (for example, your target audience may be vehicle fleet managers rather than residents who change their own oil and oil filters).

▪ **APPLICATION COVER SHEET (Attachment 1)**

The Application 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 UNP7 or URD5 grant cycle.** 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. For the RTD Grant, consider the three eligible project categories, and select only one for your grant application. Clearly identify in your discussion and on your coversheet the category for which you are applying.

▪ **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 makes it easier for the review panel to score your application.

▪ **RESOLUTION (*Attachment 2-A*), LETTER OF AUTHORIZATION, MEMORANDUM OR UNDERSTANDING, LETTER OF INTENT (*Attachment 2-B*)**

The approved Resolution and all supporting documentation for a program must be submitted, preferably with the grant application package on March 15 ~~22~~ 29, 2007, but no later than April 30, 2007. The Resolution provides the authority to apply for a grant and may be specific to this Fiscal Year (FY) 2006/2007, or it may cover all authorized grants for up to a maximum of five (5) years (i.e., fiscal years 2006/2007 through FY 2010/2011) and must identify a signature authority. If a “designee” is authorized in the resolution and the signature authority wishes to assign a “designee”, be sure to also include a letter signed by the signature authority indicating the title of the designee. You must submit:

**Attachment 2-A:** An approved Resolution from the applicant’s governing body which authorizes submittal of an application for the UNP (7<sup>th</sup> cycle) FY 2006/2007 or URD (5<sup>th</sup> cycle) FY 2006/2007 and identifies the **title** of the individual authorized to execute all grant documents necessary to secure grant funds and implement the approved grant program (see sample); **or**

An approved Resolution from the applicant’s governing body which authorizes the submittal of grant applications to the CIWMB for all available HHW or Used Oil Grants under the California Integrated Waste Management Act and California Oil Recycling Enhancement Act, for a period not to exceed five (5) years, and identifies the **title** of the individual authorized to execute all grant documents necessary to secure grant funds and implement the approved grant program (see sample).

**For UNP7 grants:** In addition to submitting one of the resolutions described above, the non-profit applicant is also responsible for obtaining one of the authorization documents listed below from the participating “Block Grant” jurisdictions and, if applicable, any other partnering entity(ies), showing their intent to partner with the non-profit applicant on projects that will be funded by the UNP7. This must be provided to the CIWMB Grants Administrative Unit, preferably with the grant application, but no later than April 30, 2007.

- A Letter of Authorization (LOA) from the county administrator/city manager or person with program decision making authority for used oil programs stating that the jurisdiction wants to participate in the proposed program and noting what commitments the jurisdiction will make to support the grant. (*Attachment 2-B*); **or**
- A Resolution from the participating jurisdiction’s governing body stating that the jurisdiction wants to participate in the proposed program and noting what commitments the jurisdiction will make to support the grant; **or**
- A Memorandum of Understanding or Letter of Intent from the county administrator/city manager or person with program decision making authority for used oil programs acknowledging that the applicant is partnering with the jurisdiction on the proposed program and noting what commitments the jurisdiction will make to support the grant.

**Tips for RESOLUTIONS:**

Select the designated signature authority carefully because only that person will be able to sign grant documents to secure funds and implement the grant program. 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 the designated signature authority to designate another individual. 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...”

To utilize this authority, the signature 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.

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

### **SECTION 1: NEED -- 15 Points**

**(1-2 pages)**

It is suggested that the Section be written in two parts. Part I, (*Nature of Request/Justification*) should document needs/problems/barriers/opportunities in a discussion format as well as quantitatively. Part II, (*Program Description*) presents and evaluates viable alternatives and identifies the benefits to be achieved through your selection of the best alternative. Here, key elements of your proposed program are presented. For the URD Grant, consider the three eligible project categories, and select only one for your grant application. Clearly identify in your discussion the category for which you are applying.

#### **NEED Part I: Nature of Request/Justification**

A well written proposal identifies the public need and its relevant significance. Hence, your proposal should provide quantitative data to support your claim and provide a discussion that persuades the grant reviewer that you understand current barriers that exist which prohibit the collection of used oil filters (or use of re-refined oil in vehicle fleets).

#### **NEED Part II: Program Description**

A well conceived project is based on an analysis of feasible alternatives to collecting used oil filters (or use of re-refined oil in vehicle fleets/testing & certification). The narrative should describe why the selected approach best meets the problem/need (what facts and figures support the approach). Such analysis should incorporate the impact on benefits or quantifiable measures of effectiveness, particularly related to increasing the collection of used oil filters (or use of refined oil in vehicle fleets for URD).

Scoring Criteria (points for each criterion are indicated in parentheses):

- (5) Defines the target population, geographic area, and documents gaps in collection opportunities, barriers, economic need or environmental considerations that may further justify this project and convincingly presents the rationale for this project compared to other approaches.
- (5) Convincingly demonstrates, using both narrative and data, how the anticipated outcome of the project would significantly increase the collection of used oil/used oil filters/, (or increase the usage of re-refined oil for URD Grants).
- (5) Provide evidence that stated need has not been addressed in the same communities with previous grant funding.

**Section 2 - GOAL AND OBJECTIVES - 10 points**

**(1-2 pages)**

**Goal(s):** State the specific goal you wish to accomplish. A goal is a general, idealized statement of how your target audience will be positively changed as a result of the program. When stating a goal be sure to answer what will happen, to whom, and where. A goal does not usually include detail such as percentages, dates, and numbers. That level of detail should be included in the text of the Work Plan as part of the Objectives.

Example: To improve oil filter collection opportunities for residents living in Rio Blanco.

**Objective(s):** An objective flows from a goal. It is a specific action-oriented statement, which is focused on a specific period of time and outlines all eligible activities/tasks that will be undertaken to achieve your goals in completing the grant program. Include at least one measurable objective for each goal. The objective should provide the details and answer the questions of: who, what, when, where, and how much. Your Goals and Objectives should be realistic and justifiable in comparison to similar programs or baseline data. (**Note:** Baseline information refers to what you have achieved to date.)

Example: By March 2008, the number of oil filters collected at Certified Collection Centers from residents in Rio Blanco will increase by 30%.

Scoring Criteria (points for each criterion are indicated in parentheses):

- (4) Quantitatively demonstrate the extent to which project goals/objectives and desired outcomes will address need, overcome identified barriers, fill gaps in services and/or address identified problems.
- (3) Demonstrates the significance of the project outcomes for the Used Oil Program.
- (3) Explain extent to which project objectives are realistic and achievable in comparison to baseline data.

**Section 3 – WORK PLAN - 30 points**

**(3-4 pages)**

The Work Plan is worth 30 points, and completing this section carefully can make the difference between funded and non-funded applications. The two-part Work Plan (narrative and form—*Attachment 3*) provides the structural framework for the development of Goals,

Objectives, and the corresponding Activities and should clearly describe what you wish to accomplish with the grant funding.

- **Work Plan Narrative** - Provides a narrative description of the Work Plan including a discussion of the proposed program goals and how selected activities address the need/barriers.
- **Work Plan form - Attachment 3**  
The Work Plan form summarizes the goals, objectives, activities, staffing, evaluation, and time frame in a table format. This form will be used by your CIWMB grant manager to track your progress and will be an attachment to the final grant agreement.

The Work Plan should link directly with the NEEDS section. Be realistic about what can be accomplished within the term of the grant. Explain the significance of the desired outcomes. Considering the following questions may help you to refine your Work Plan.

- Does each activity relate directly to a goal, objective and need?
- Do the activities help you to achieve your desired goal?
- Are evaluation tasks included?
- Are the time frames realistic to accomplish each task?
- Can the project be implemented in approximately thirty-six (36) months?
- Are individuals responsible for each activity/task listed? Indicate if they are staff or contracted employees. Include both title and name for each individual.
- Do the activities overcome the barriers identified that inhibit individuals from properly disposing of used oil filters (or fleet use of re-refined oil)?
- Have you considered a pilot program before you launch the entire program? If so, what variables will be tested and applied to the design of your program? 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 grant term to facilitate the rollout of a larger initiative.
- If you are using a program model/experience that is not your own, have you thoroughly reviewed and evaluated it? How will it be replicated in your program? Was the target population similar to that in your target group?

**STAFFING:** In order to be effective, activities need to be implemented by the appropriate individuals, whether they are internal staff or external consultants/contractors. It is not necessary to provide resumes of staff, but the skills and experience they bring that is relevant to the program should be described in narrative form. Staff should be “named” on the Work Plan along with their title, with a short narrative describing their *relevant* experience, not resumes, included as an attachment.

- What staff or consultants will carry out each activity?
- Are staff and/or contractor technical qualifications sufficient to effectively complete each activity of the project?
- Is there evidence that staff has successfully managed government grant programs, including previous Used Oil or HHW grants?

**PARTNER ORGANIZATIONS:** Success for many programs depends upon the involvement of other parties, whether they be managers of CCCs, marinas, haulers, community-based organizations, etc. Their support for your program should be memorialized in a Letter of Support for the program, which states what their role will be.

- How will other organizations be involved in this program? 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, indicate why.)
- What is their credibility with the target population?

**LONG TERM FUNDING:** Competitive grants spur innovation in certain areas that may be mainstreamed into local used oil collection programs. So, while competitive grants, particularly the UNP cycle, are effective in providing resources to explore new program activities or take proven programs “on the road” by working with multiple communities to replicate best practices in a larger pool of communities, it is important that the activities undertaken during the program term are sustained after the UNP7 or URD5 funds are expended.

- Will your partners continue with the project after the grant term ends?
- Will this project be incorporated into the activities of participating Block Grant program partners? Explain how.
- Identify a committed funding source (e.g., tipping fee, county funds, etc.) and not a source that may be available.

Scoring Criteria (points for each criterion are indicated in parentheses):

- (5) Provide detailed Work Plan that sufficiently describes proposed activities and tasks, demonstrates they are well thought through, and achieves desired goal within the grant term and within resources available.
- (10) Describes how proposed activities effectively overcome identified barriers, fill gaps in service; and/or address identified problems and are the best way to address identified need.
- (5) Provides evidence that applicant (including its contractors) and cooperating organizations have sufficient staff resources, technical expertise, and experience to successfully complete the project.
- (10) Evidence that “block grantees,” Certified Collection Centers, etc. are effectively integrated into the project and are committed and able to continue the project after the grant term ends.

#### **Section 4 - EVALUATION - 10 points**

**(1-2 pages)**

Evaluation is a weak component of many proposals, particularly provision of baseline information (number of oil filters collected or gallons of re-refined oil purchased) against which to measure program success. It is important to clearly state how you will know if your grant program has been successful. While evaluation takes time and resources, it is a required activity.

Program evaluation should be ongoing throughout the grant term, not just at the end. Continuous evaluation identifies challenges during the course of the grant so adjustments can be made as needed. Evaluation methods such as activity logs, workshop evaluation forms, surveys, etc. for each activity or task must be summarized in the Work Plan.

Scoring Criteria (points for each criterion are indicated in parentheses):

- (5) Describes clearly how the before and after comparisons will effectively measure goal attainment, including the method for evaluating and modifying methods during the project.
- (5) Explains and justifies statistical tests and methodology to be used and describes the evaluation reports to be produced.

## **Section 5 - BUDGET - 15 points**

**(1-2 pages)**

The two-part Budget (narrative and form—*Attachment 4*) provides evidence as to whether or not the activities needed to accomplish the program’s objectives and goals can be achieved. With the decline in resources available for competitive grants, it is increasingly important that each program is cost effective and provides “bang for the buck”.

- **Budget Narrative** - Provides a narrative description to support the form.
- **Budget Itemization form - Attachment 4**  
This budget summary will be used by your CIWMB Grant Manager to track your progress and will be an attachment to the final grant agreement.

### **ELIGIBLE COSTS**

- **All expenditures must be for activities/costs directly related to the approved Work Plan.** Costs must be reasonable, identified in the budget, and incurred during the grant term.
- Overhead or indirect costs up to twenty percent (20%) of the grant funds that have been reimbursed for non-profit<sup>1</sup> applicants if supported by a Cost Allocation Plan. For other applicant organizations or entities, overhead or indirect costs may not exceed ten percent (10%) of the grant funds that have been reimbursed and must be supported by a Cost Allocation Plan.
- Overhead 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 maintaining facilities, accounting services, and administrative salaries not directly related to Grant activities are examples of overhead and indirect costs. Time spent by a Manager or Supervisor performing an activity directly related to the execution of the grant (not supervision), such as chairing regional meetings, speaking at events, drafting program materials, etc. is a direct cost and should be charged to the appropriate activity or category. However, note that the manager’s or supervisor’s time must be clearly supported by appropriate documentation. Any cost charged to the grant as a direct cost cannot be charged to the grant as an indirect cost.

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<sup>1</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.

- 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.*

## **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:

- Overhead in excess of 10% of the grant funds that have been reimbursed for any applicant that is not an eligible non-profit, and in excess of 20% of the grant funds that have been reimbursed if an applicant is a non-profit organization, as defined in footnote 1.
- 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 the CIWMB 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 CIWMB Grant Manager when law or labor contract requires overtime compensation).
- Out-of-state travel
- Travel costs exceeding the state-approved rates for mileage, per diem, lodging, etc.
- Any food or beverages (e.g., as part of meetings, workshops or events).
- Cell phones, pagers, personal digital assistants, personal computers and other similar electronic devices.
- 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 filter collection or vehicle fleet use of re-refined oil.
- 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 CIWMB 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.
- Any costs not deemed reasonable or related to the grant project by the CIWMB Grant Manager.

**Personnel:** Each budget category that relates to a particular activity includes both non-personnel costs and personnel costs so that the review panels can better understand the proposed activities and their relative level of emphasis within the context of the entire program. For example, personnel time related to used oil filter collection or publicity and education should be detailed in these categories (Permanent Collection Facility, Temporary or Mobile Collection, Residential Collection or Publicity & Education), if appropriate. There should be a separate category for personnel costs related to program planning, management, and administration.

**Overhead Costs:** If your initial overhead or indirect rate exceeds 10% (or 20% for non-profits), double check to see if certain costs can be readily itemized to a particular project or activity and they are necessary for the operation of the organization and the performance of the program.

Scoring Criteria (points for each criterion are indicated in parentheses):

- (4) Include detailed costs breakdown per activity/task in the Work Plan, providing sufficient detail for each task and activity.
- (4) Proposed budget is reasonable and complete relative to costs associated with activities/tasks and personnel outlined in the narrative and Work Plan.
- (7) Proposed budget is cost-effective relative to proposed activities and outcomes. Includes any cost savings from leveraging block grant funds, in-kind services, use of existing promotional materials, etc. Keeps budget items for managerial, contingency or miscellaneous costs to a minimum.

**Tips for BUDGET section:**

*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 amount.

Cost savings may not be applicable for every proposed budget, but should be addressed in some manner, even if just to explain why costs can not be trimmed.

Reference cost estimates in the Budget Itemization with an asterisk and attach copies of those bids or estimates. Those attachments do not count against the 15-page limit.

Overhead: if your initial rates exceeds 10% (Or 20% for non-profits) review your costs to see if some overhead/indirect costs could readily be itemized to a particular project activity

**Section 6 - APPLICATION COMPLETENESS, LETTERS OF SUPPORT, EXPERIENCE, Etc. - 10 points** (half to one page text)

Double-check the list of required forms and attachments at the front of the application instructions. Make sure all the relevant attachments are included, signed and/or the appropriate boxes checked on the coversheet.

Scoring Criteria (points for each criterion are indicated in parentheses):

- (3) Proposal includes required forms, appropriate signatures, and Exhibits and supporting documents (Application Cover Sheet with Environmental Justice Certification; Resolution; Work Plan Form; Budget Itemization Form; Cost Estimates; Staff Experience Narrative; Environmentally Preferable Purchases and Practices Evaluation Sheet; and for non-profit applicants only: a Letter of Intent, Letter of Authorization, Resolution or Memorandum of Understanding from Used Oil Block Grantee(s) and, if applicable, other entity(ies), to partner; and the IRS Determination Letter for Declaration of Nonprofit Status and the Letter of Good Standing from the California Franchise Tax Board).
- (5) Letters of support for the project demonstrate the need for the project and/or active support and involvement of local jurisdictions, cooperating businesses or organizations both during the grant term, and after, to ensure continuation of the project.
- (2) Grant proposal is clearly and succinctly presented.

**Section 7 - Environmentally Preferable Purchases and Practices (EPP) Evaluation Sheet - 10 points** *Attachment 5*

This section corresponds to the Criteria scoring section titled “Evidence of a Recycled-Content Purchasing Policy or Directive”. 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. Complete the EPP Evaluation Sheet (*Attachment 5*) -- do not need to submit the policy itself.

Scoring Criteria (points for each criterion are indicated in parentheses):

- (3) Policy is in place or has been adopted during the application period by the applicant, or its governing body.
- (3) Applicant, or its governing body, can provide evidence (i.e. invoices) of sustainable environmentally preferable purchasing practices within the past year.
- (2) Applicant, or its governing body, can provide evidence of environmentally preferable business practices within the past year.
- (2) Applicant, or its governing body, proposes to evaluate its environmentally preferable practices and purchasing policies annually. Evaluation should address the positive and negative features, including a plan to increase the percentage of environmentally preferable products purchased.

