

**August 2002**

**CALIFORNIA ENVIRONMENTAL PROTECTION AGENCY**

**INTEGRATED WASTE MANAGEMENT BOARD**

**Tire Product Commercialization and Applied Technologies Grant Program  
FY 2002/2003  
APPLICATION INFORMATION**

Available to research institutions, businesses, and other enterprises, with projects located in California.



**Maximum Points: 100**

**Applicants must score 70% (70 of 100 points) to be considered for funding.**

Applications must exhibit a postmark or a commercial carrier (e.g., UPS, FedEx, etc.) tracking number dated

**no later than Friday, October 4, 2002.**

Hand-delivered, faxed, or E-mailed, applications received after October 4, 2002, will not be accepted.

Waste Tire Grants Hotline Number  
(916) 341-6441

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# Tire Commercialization and Applied Technologies Grant Program

Question-and-Answer Period Deadline for Written Questions:  
**September 17, 2002**

In order to give all applicants the same opportunity and the same information, California Integrated Waste Management Board (CIWMB) has established a question-and-answer period for competitive grant programs.

Program-specific questions must be submitted in writing by mail or E-mail. **The deadline to submit questions is September 17, 2002.**

No program-specific questions will be answered after September 17, 2002.

Questions and answers will be mailed or E-mailed to those applicants who have requested applications via E-mail or by returning the Notice of Funds Available (NOFA) form with the appropriate box checked. Applicants submitting questions by E-mail will be directed to CIWMB's web page for the list of questions and answers. The web page information will be tentatively posted within a few days after the Question and Answer deadline and may be subject to updates.

Web site address: [www.ciwmb.ca.gov/Tires/Grants/](http://www.ciwmb.ca.gov/Tires/Grants/)

E-mail address: [tiregrants@ciwmb.ca.gov](mailto:tiregrants@ciwmb.ca.gov)

Mailing address for questions:

California Integrated Waste Management Board  
Special Waste Division - MS 22  
Tire Commercialization &  
Applied Technologies Grant Program  
Attention: Jesse Adams  
1001 "I " Street  
P.O. Box 4025  
Sacramento, CA 95812-4025

# TABLE OF CONTENTS

	<u>Page</u>
<b>I. GRANT SUMMARY/PROGRAM DESCRIPTION .....</b>	<b>5</b>
<input type="checkbox"/> Background .....	5
<input type="checkbox"/> Grant Funding/Matching Fund Requirement .....	5
<input type="checkbox"/> Applicant Eligibility .....	5
<input type="checkbox"/> Eligible Projects .....	5
<input type="checkbox"/> Ineligible Projects .....	5
<input type="checkbox"/> Eligible Costs .....	6
<input type="checkbox"/> Ineligible Costs .....	6
<input type="checkbox"/> Grant Term .....	7
<input type="checkbox"/> Proposed Program Milestones .....	7
<b>II. GRANT APPLICATION AND AWARD PROCESS.....</b>	<b>7</b>
<input type="checkbox"/> Application Deadlines .....	7
<input type="checkbox"/> Application Evaluation.....	8
<input type="checkbox"/> Awarding of Grants .....	8
<b>III. APPLICATION INSTRUCTIONS .....</b>	<b>8</b>
<input type="checkbox"/> Application Cover Sheet.....	8
<input type="checkbox"/> Work Plan.....	9
<input type="checkbox"/> Budget Itemization Form .....	9
<input type="checkbox"/> Summary of Current and Previous Grant Awards.....	10
<input type="checkbox"/> Recycled-Content Purchasing Policy or Directive .....	10
<input type="checkbox"/> Permits and Licenses .....	11
<input type="checkbox"/> Approved Resolution / Authorizing Document.....	11
<b>IV. GRANT ADMINISTRATION</b>	
<input type="checkbox"/> Grant Agreement.....	11
<input type="checkbox"/> Payment of Grant Funds .....	12
<input type="checkbox"/> Reporting Requirements and Grant Closing .....	12
<input type="checkbox"/> Copyrights, Trademarks, and Ownership.....	12
<input type="checkbox"/> Patents .....	12
<input type="checkbox"/> Real and Personal Property .....	13
<input type="checkbox"/> Confidentiality/Public Records .....	13
<input type="checkbox"/> Audit Requirements .....	13
<input type="checkbox"/> Application Deadline .....	13
<input type="checkbox"/> Mailing/Submission address .....	14

# I. GRANT SUMMARY/PROGRAM DESCRIPTION

## BACKGROUND

CIWMB receives an annual appropriation from the California Tire Recycling Management Fund to administer the Tire Recycling Act (Act) (Assembly Bill 1843, Brown, Statutes of 1989, Chapter 974) and related legislation. As part of the Act, CIWMB is offering the **Tire Product Commercialization and Applied Technologies Grant Program**, which is intended to support research institutions, businesses, and other enterprises that need assistance to develop or expand their waste tire products or applied technologies to a commercial scale. The tire grant program is intended to provide opportunities to divert waste tires from landfill disposal, prevent illegal tire dumping, and promote markets for recycled-content tire products.

## FUNDING AVAILABLE

Two million dollars (\$2,000,000) is available for this grant program. Eligible applicants may request up to \$250,000. Applicants requesting more than \$250,000 will be disqualified. CIWMB reserves the right to fund individual phases of selected proposals, and may therefore fund an amount less than requested. CIWMB will award grants on a competitive basis.

## MATCHING FUND REQUIREMENT

All applicants are required to provide, as a minimum, matching funds equal to fifty percent (50%) of the grant award. For example, if the grant award is \$200,000 then the minimum match amount must be at least \$100,000.

## APPLICANT ELIGIBILITY

Tire Product Commercialization and Applied Technologies Grants are available to research institutions, businesses, and other enterprises with projects located in California.

## ELIGIBLE PROJECTS

In order to be eligible proposed projects must be located in California. A company from out-of-state or from a country other than the United States may apply for a Tire Product Commercialization and Applied Technologies Grant. However, the project must be located in California, must use California waste tires, and must secure all the required permits for the California location. The records for the grant must be located in California with the project and must be retained for three (3) years after the end of the grant term. Equipment purchased with grant funds must remain in California for five (5) years after the end of the grant term. After successful implementation, eligible projects and products should consume a minimum of 200,000 passenger tire equivalents (PTE) annually. Applicants must describe, and provide evidence, how the process or resultant products will meet the minimum consumption requirement. Applicants proposing projects developing or producing molded rubber products will be given preference. A molded rubber product is a crumb rubber-derived product that is formed using a mold and pressure and includes extruded products. Applicants proposing other projects that divert California waste tires from landfill disposal will also be considered for funding.

## INELIGIBLE PROJECTS

Under this grant program the following are not eligible for funding:

- projects that do not consume California-generated waste tires;
- projects in locations other than within California; and
- projects that are linked to or are part of other proposed projects under this grant program.

## **ELIGIBLE COSTS**

Eligible costs are those direct costs associated with administering the Tire Product Commercialization and Applied Technologies Grant and which occur within the term of the grant and after the Grantee has received the Notice to Proceed.

## **INELIGIBLE COSTS**

Ineligible costs are any costs not directly related to the Tire Product Commercialization and Applied Technologies Grant Program. Ineligible costs include, but are not limited to, the following:

- Costs incurred prior to the Notice to Proceed or after April 15, 2005;
- Costs not identified in the Work Plan or approved Budget;
- Costs currently covered by another CIWMB grant, contract, or loan;
- Costs related to recycling non-California waste or used tires;
- All costs associated with obtaining permits and/or licenses;
- Maintenance costs;
- Costs associated with patents, such as patent searches;
- Expenses incurred for meetings, workshops, training, food, or beverages;
- Overhead expenses such as costs for rental/lease of space, utilities, office supplies, and other miscellaneous costs incurred during the project;
- Purchasing or leasing of vehicles by non-governmental agencies or businesses;
- Overtime costs (except for local government staffing during evening or weekend events when law or labor contract requires overtime compensation);
- Out of state travel;
- Any food or beverages (e.g., as a part of meetings, workshops, training, or events);
- Profit or mark-up by Grantee;
- Any personnel costs not directly related to salaries and/or benefits;
- Any costs that are not consistent with local, state, and federal guidelines and regulations;
- Interest charges or payments on bonds or indebtedness required to finance project costs;
- Fines or penalties, due to violation of federal, state or local laws, ordinances, or regulations;
- Personnel travel or per diem costs;
- Cell phone and pager costs; and
- Costs connected with contractor claims/liens against the Grantee.

## GRANT TERM

CIWMB has proposed \$2,000,000 for Tire Product Commercialization and Applied Technologies Grants during Fiscal Year (FY) 2002/2003, subject to availability of funds appropriated under the State Budget Act. An eligible applicant may request up to \$250,000. The CIWMB reserves the right to fund individual phases of selected proposals, and may therefore fund less than the requested amount. The CIWMB will award grants on a competitive basis.

### Proposed Program Milestones

DATE	ACTIVITY
September 17, 2002	Deadline to submit questions, in writing, about application
September 2002	Answers sent to applicants & posted on CIWMB web site
October 4, 2002	Grant application must be postmarked no later than this date
October/November 2002	Staff reviews/ranks applications
December 2002	Board considers/approves awards
February 2003 – April 15, 2005	Grant term

Please note that this is a tentative schedule and subject to change.

## II. GRANT APPLICATION AND AWARD PROCESS

The application process consists of submitting:

- A completed and signed Tire Product Commercialization and Applied Technologies Grant Program application (including an executed General Checklist of Business Permits, Licenses and Filings and with the Environmental Justice statement initialed where indicated on the Application Cover Page);
- A signed resolution, resolution timeline, or letter of authority and/or if applicable, a Joint Powers Authority Agreement or Memorandum of Understanding

### APPLICATION DEADLINE

Applications will be available the week of August 26, 2002. The completed and signed application must be postmarked or exhibit a commercial carrier tracking number that is before or on Friday, October 4, 2002. Hand-delivered, faxed, or E-mailed applications will not be accepted at any time. Other than the resolution, or letter of authority to sign (discussed on page 11), missing or corrected information received after the deadline will be returned to the applicant and will not be considered. It is the applicant's responsibility to ensure that CIWMB receives the application with all required information on time. CIWMB strongly discourages the use of certified/registered mail because of the inherent delays in that method of mail delivery.

## APPLICATION EVALUATION

After the close of the application period, staff will review and score the grant applications. The applications will be evaluated based on the answers to the criteria in the application (see Appendix E – Scoring Criteria). Applicants must score 70 percent (70 of 100 points) to be considered for funding. All applications will be ranked by the total number of points received with the highest ranked proposals having funding priority.

## AWARDING OF GRANTS

Based on the resulting scores, staff will develop funding recommendations for the Board's consideration during its monthly business meeting in December 2002 (tentative). The applications will be evaluated based on the answers to the criteria in the application (see Appendix E – Scoring Criteria). Applicants approved for grant funding will receive instructions to initiate the grant agreement process. In the event the CIWMB awards only a portion of an applicant's grant request, staff will incorporate any additional conditions or changes in the final Grant Agreement after consultation with the applicant.

### III. APPLICATION INSTRUCTIONS

The scoring Criteria listed on the Application are self-explanatory. The Appendices provide a sample budget itemization form, sample recycled-content purchasing policies, term and word definitions, and scoring criteria. A completed application should include answers to all ten (10) scoring Criteria, as well as the following completed forms/documents:

- A) Application Cover Sheet;
- B) An initialed Environmental Justice statement,
- C) Work Plan;
- D) Budget Itemization Form;
- E) Summary of Current and Previous Grant Awards;
- F) Recycled-Content Purchasing Policy or Directive (Attach copy of your policy);
- G) General Checklist of Business Permits, Licenses and Filings (Attach copies);
- H) Approved Resolution or Authorizing Document(s); and Joint Powers Authority (JPA) and/or Memorandum of Understanding (MOU), if applicable.

#### A. APPLICATION COVER SHEET

##### **The Application Cover Sheet must include the following:**

- Applicant Information** - Provide applicant name, mailing address, primary contact, project location, and the E-mail address, telephone/fax numbers, and consultant information (if applicable).
- Legislative Districts** - List the appropriate State Legislative District(s) (district number) in which the project is located (California entities only).
- Applicant Type** – Check appropriate box.
- Funding Information** - Specify the amount of grant funds requested from CIWMB, the amount of matching funds committed to the project, and the total project cost. **DO NOT REQUEST MORE THAN THE \$250,000 MAXIMUM ALLOWED PER APPLICANT.** Applicants requesting more than \$250,000, the maximum award, will be disqualified and will not be scored.

- ❑ **Project Summary** - Briefly describe the highlights of the proposed project in the space provided.
- ❑ **Applicant's Certification** - By signing, the applicant is certifying that all application materials and supplemental information submitted are true and correct. The person signing this application **must** be the individual given signature authority in the resolution or authorizing document.
- ❑ **Environmental Justice** - Check the box and initial the statement that you and/or your company comply with the principles of Environmental Justice.

## B. WORK PLAN

These sections are self-explanatory, read the requests for information carefully and provide your answers and descriptions. Additional detail for several of the sections is included below.

**Work Plan** - the Work Plan must list (in detail) **all** tasks, including grant funded and matching activities, that are necessary to complete the proposed project. Please number each task. A discussion of each task item in the Work Plan is detailed below.

**Task Description** - the activities conducted within a project. Each major Task Category should be listed and broken into subtasks. For example, if the proposed project (in Task 1) involves the major task "purchasing equipment", then the Work Plan, under Task 1, list the following subtasks: 1A) preparation of a request for proposal or bid; 1B) proposal/bid sent to businesses; 1C) in-house review process after receiving the bids; 1D) preparation of contract; and 1E) announce award of contract.

**Work Plan Budget** – show the amount of grant and match funds necessary to complete each task (and subtask). This **MUST** be completed in detail with both the grant **AND** match funds broken down and correctly summed. This section of the Work Statement **must** match the Budget Itemization Form.

**Product or Results** - the finished product(s), timeline(s), or goal(s) of the task.

**Staff/Contractor** - the person, or title of the person, who will be responsible for implementing the task(s).

**Time Period** - the projected beginning and ending date required to complete each task.

The Work Plan form attached to this document may be adapted to each applicant's computer software, or reproduced as necessary.

## C. BUDGET ITEMIZATION FORM

Provide a thorough itemization of funds requested (see Appendix B – Budget Sample) for eligible expenses. Demonstrate that the Budget is reasonable for the work proposed. Clearly itemize all expenses to demonstrate that the budget is realistic for the work proposed and that the project will be conducted in the most cost-effective manner. Only reasonable costs incurred during the grant agreement term are eligible for grant funding. Applicants should carefully check the accuracy of all Budget Itemization totals. Dollar amounts should be rounded to the nearest whole dollar. Descriptions of the each category in the Budget Itemization form are as follows:

**Personnel Services** – this may include salaries, wages, and benefits for personnel who are employed by the Grantee and who will work directly on the project.

**Materials/Supplies** - this may include costs of materials and/or supplies directly related to completion of the project (i.e. raw materials, such as feedstock, advertising materials, etc.).

**Equipment** - Enter the total dollar amount to be expended on equipment and itemize the quantity and purchase price. Provide estimates if actual dollar amounts are not known.

**Services/Contracts** - Includes contracts for purchased services, such as engineering.

**Other costs** – Identify costs not included in the above categories and not listed as ineligible.

**Cost Savings** - Include cost savings, e.g., volunteer labor, in-kind services, re-use, recycling options, etc.

If additional space is needed, the Budget Itemization form may be reproduced as necessary.

#### **D. SUMMARY OF CURRENT AND PREVIOUS GRANT AWARDS**

##### **Type of Grant**

List all current and previous CIWMB grants that you (including any officers, principals, and members of your organization) or your business have received in FY's 1999/2000, 2000/2001, and 2001/2002.

**Type of Grant** – Waste Tire, Playground, Used Oil, etc.

**Grant Agreement Number** – List the Grant Agreement number of any current and previous CIWMB grants.

**Grant Award Amount** - List the dollar amount your program was awarded, not the amount you requested.

**Brief Program Description** - Give a 1-2 sentence summary of each grant program(s).

**Audit** – Have any of your grants ever been audited by the CIWMB or other agency such as the Bureau of State Audits, or Department of Finance? If yes, give the date and auditing agency.

#### **E. RECYCLED-CONTENT PURCHASING POLICY OR DIRECTIVE AND FORMS FOR PROGRAM CRITERIA NUMBERS**

See the attached sample Recycled-Content Purchasing Policies. If you have a Recycled-Content Purchasing Policy or Directive, attach a copy to the grant application.

Applicant must address the Program Criteria and provide evidence of either market potential to use the indicated number of PTE's or evidence of likelihood of success in bringing an applied technology into a commercial phase with an increase in consumption of the specified number of PTE's. Complete the forms and include any additional information on a separate sheet(s).

Documentation supporting the claim of number of tires recycled will be required in the Final Report.

## F. PERMITS AND LICENSES

Complete and sign the *General Checklist of Business Permits, Licenses and Filings*. Provide copies of all required permits.

## G. APPROVED RESOLUTION / AUTHORIZING DOCUMENT

The grant application package must include, if available, an approved Resolution or authorizing document from the applicant's governing body, owner, or chief executive, authorizing submittal of an application for the Tire Product Commercialization Grant and identifying the title(s) of the individual(s) authorized to execute all grant-related documents, including the Grant Agreement, and Requests for Payment (see sample resolution and authorizing document). Note: submission of a Resolution or Authorizing document may be delayed due to governing body meeting calendars but must be submitted to the Board before a Grant Agreement can be approved.

Please select the authorized representative carefully because this will be the only person whose signature will be accepted by the CIWMB on the Grant Agreement and Payment Requests.

**Cooperative Projects** - In addition to the Resolution for the lead applicant as described above, applications for collaborative projects must also include for the other participating entity(ies) one of the following:

**Letter** - a letter stating that the entity wants to participate in the cooperative project and authorizing the lead applicant to act on its behalf as both applicant and grant administrator; or

**Resolution** - a resolution authorizing the lead applicant to act on its behalf as both applicant and grant administrator; or

**MOU** - a copy of a Memorandum of Understanding (MOU), entered into specifically for this grant proposal, authorizing the lead applicant to act on behalf of the entity(ies) both as applicant and grant administrator.

## IV. GRANT ADMINISTRATION

### GRANT AGREEMENT

Following CIWMB approval of the grant awards at the next available CIWMB monthly business meeting (November/December 2002), the Grantee will receive a Grant Agreement Form, Terms and Conditions, and Procedures and Requirements. These documents along with the applicant's Work Statement and Budget Itemization form will comprise the Grant Agreement. The person whose signature authority is designated by the Resolution or Authorization Document will be required to sign the Grant Agreement form and return it to the CIWMB. Grant Agreements must be executed and returned within 90 days from the date of the CIWMB's mailing of the Grant Agreement package. Failure to return the executed Grant Agreement within 90 days may result in the loss of grant funding.

## **PAYMENT OF GRANT FUNDS**

Grant funds are paid on a reimbursement basis for actual costs directly related to the implementation of the project as approved. Ten percent (10%) of each Payment Request will be retained until the Final Report is submitted and approved by the CIWMB. Payment will be made only for costs described in the applicant's approved Budget Itemization form and made only for eligible costs incurred from the time of receiving the Notice to Proceed to the end of the grant term. All payment requests must be prepared as described in the Procedures and Requirements and include an itemization with documentation of claimed expenses (e.g., receipts, invoices, Personnel Expenditure Summary forms, etc.).

## **REPORTING REQUIREMENTS AND GRANT CLOSING**

Grantees must submit Tri-annual progress reports. The format for these reports will be described in the Administrative Procedures and Requirements. The CIWMB Grant Manager may request additional reporting from a Grantee and has the authority to immediately suspend or terminate the agreement if progress is unsatisfactory.

At the end of the grant term, the Grantee must submit a Final Report. The format for the Final Report will be described in the Administrative Procedures and Requirements. The Final Payment Request, including the ten percent (10%) that was withheld, will not be released until the Final Report is received and approved by the CIWMB Grant Manager. In addition, the ten percent (10%) will not be released until the CIWMB Grant Manager receives your completed Recycled Product Content/Manufacturer Certification Report Form.

## **COPYRIGHTS, TRADEMARKS, AND OWNERSHIP**

The Grantee shall assign to the CIWMB any and all rights, titles, and interests to any copyrightable material or trademarkable material created or developed in whole or in any part as a result of the Grant Agreement, including the right to register for copyright or trademark of such materials. The Grantee shall require that its contractors and subcontractors agree that all such materials shall be the property of the CIWMB. Upon written request by the Grantee, the CIWMB may give at the Executive Director's sole discretion, written consent to the Grantee to retain all or any part of the ownership of these rights.

The CIWMB will grant to the Grantee a royalty-free, nonexclusive, nontransferable license to reproduce, translate, and distribute copies of the materials produced pursuant to the Grant Agreement, for nonprofit purposes, and to have or permit others to do so on the Grantee's behalf.

## **PATENTS**

The Grantee shall assign to the CIWMB all rights, titles, and interests in, and to, each invention or discovery that may be capable of being patented, that is conceived of or first actually reduced to practice in the course of or under the Grant Agreement, or with the use of any grant funds. Upon written request by the Grantee, the CIWMB may, at the Executive Director's sole discretion, give written consent to the Grantee to retain all and/or any part of the ownership of these rights.

## **REAL AND PERSONAL PROPERTY**

Real property may not be purchased with grant or matching funds under the terms of the Grant Agreement. All other personal property, including equipment and supplies acquired with grant funds, shall be used by the Grantee only for the purposes for which the CIWMB approved their acquisition for so long as such property is needed for such purpose, regardless of whether the Grantee continues to receive grant funds from the CIWMB for such purposes.

## **CONFIDENTIALITY/PUBLIC RECORDS**

Any information submitted to the CIWMB may be subject to disclosure under the Public Records Act. Public Resources Code (PRC) Section 40062 allowing the CIWMB to protect qualifying confidential information from disclosure. Applicants must identify in their application those portions that they believe are subject to protection as confidential information. If a public records request involves information deemed confidential by the applicant, then CIWMB will make a determination as to whether or not said information is actually covered under PRC Section 40062 and considered confidential. If the CIWMB does not agree with the applicant's claim for confidentiality, then the applicant will be given 30 days to justify its claim before the information is released.

## **AUDIT REQUIREMENTS**

All Grantees are required to comply with the following provision:

"Audit/Records Access. The Grantee agrees that the CIWMB, the Bureau of State Audits, the Department of Finance, or their designated representative(s) shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. The Grantee agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute or audit, whichever is later. The Grantee agrees to allow the designated representative(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Grantee agrees to include a similar right of the State to audit records and interview staff in any contract or subcontract related to performance of this Agreement."

## **APPLICATION DEADLINE**

Applicants must submit an **original and four (4) copies** of the complete application, with the original marked "Original," and the copies marked "Copy," to the address below. Applications must be **postmarked** or exhibit a commercial carrier tracking number (UPS, FedEx, etc.) no later than **Friday, October 4, 2002**. Applications postmarked after this date will be returned to the applicant and will not be considered for grant funding. **Hand-delivered, faxed, or e-mailed applications will not be accepted at any time.**

**The Board's Grants Administration Unit has experienced delays in the receipt of some applications sent by Certified/Registered mail. The Postal Service allows up to 21 days for delivery of items sent by this method. Because of the shortened calendar for scoring these grants, it is recommended that applicants send in their applications by priority mail or commercial carrier that will accelerate the Board's receipt of the applications.**

Please submit applications to:

California Integrated Waste Management Board  
Tire Product Commercialization  
and Applied Technologies Grant Program  
Attention: Philip Poon  
Grants Administration Unit - MS 10  
1001 I Street  
P.O. Box 4025  
Sacramento, CA 95812-4025

***End of Tire Product Commercialization and Applied Technologies Grant Application  
Instructions***