



June 2014

Department of Resources Recycling and Recovery

FARM AND RANCH SOLID WASTE CLEANUP AND ABATEMENT GRANT PROGRAM

APPLICATION GUIDELINES & INSTRUCTIONS

(Revised October 2014)

Fiscal Year (FY) 2014/15

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## GRANT CYCLE OVERVIEW

This resource document provides applicants with instructions to access and complete the application online and information about grant administration. The application can be accessed on the [Grant Management System \(GMS\) webpage](http://www.calrecycle.ca.gov/Grants/GMS/default.htm) (<http://www.calrecycle.ca.gov/Grants/GMS/default.htm>).

The Department of Resources Recycling and Recovery (CalRecycle) offers the Farm and Ranch Solid Waste Cleanup and Abatement Grant Program pursuant to §48100 et seq. of the Public Resources Code. The purpose of the grant is to clean up illegal disposal sites on farm and ranch property.

### PILOT PROGRAM

On November 19, 2013, CalRecycle approved a pilot project (Pilot) for the third cycle of the 2013/14 and 2014/15 fiscal years. The purpose of the Pilot is to encourage more applicants to apply by relaxing the due dates for several required application forms. All of the same application documents are required for participation in the Pilot; however, the timeframe of when they are due is different from a standard application. The Pilot will allow an applicant to apply for funds for existing illegal disposal sites with only a resolution and an estimate of expenses submitted by the application due date. After grant award, but prior to cleanup, the grantee will upload the remaining completed application forms into GMS to make the application complete. The Pilot is only offered in the third cycle for the Application due date of February 3, 2015.

Third cycle applicants may choose either to apply under the standard program or the Pilot. Applicants who apply under the standard program for cleanup of eligible sites will be given priority over those applicants applying for the Pilot.

### TIMELINE FOR FARM AND RANCH SOLID WASTE CLEANUP AND ABATEMENT GRANT PROGRAM FY 2014/15

Date	Activity
July 15, 2014 October 28, 2014 February 3, 2015	<b>Application Due Date</b> <ul style="list-style-type: none"> <li>• Applications must be submitted in GMS by 11:59 p.m. on this date</li> <li>• Customer service will be available until 4:00 p.m. on this date</li> </ul>
August 14, 2014 December 2, 2014 March 3, 2015	<b>Secondary Due Date</b> <b>If Resolution not submitted with the application:</b> Approved Resolution must be uploaded in GMS by this date
September 2014 December 2014 April 2015	<b>Grants Awarded</b> <ul style="list-style-type: none"> <li>• CalRecycle considers funding recommendations, and if approved, conditionally awards grants during this month (tentative)</li> </ul>
July 1, 2016 *	<b>Pilot Grantees: All sites must be approved</b>
Notice to Proceed – April 6, 2017	<b>Grant Term</b>

	<ul style="list-style-type: none"> <li>• Notice to Proceed to this date</li> <li>• Pilot Grantees: cleanup costs may <b>not</b> be incurred until CalRecycle receives and approves all remaining application documents.</li> </ul>
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\*Pilot Grantees only

**ELIGIBLE APPLICANTS**

California Labor Code section 1782 prohibits a charter city from receiving state funding or financial assistance for construction projects if that charter city does not comply with Labor Code sections 1770-1782. If any applicants or participating jurisdictions are charter cities or joint powers authorities that include charter cities, the lead applicant must certify that Labor Code section 1782 does not prohibit any included charter city from receiving state funds for the project described in this application. If it is determined after award that a participating jurisdiction is a charter city prohibited from receiving state funds for this grant project, the grant will be terminated and any disbursed grant funds shall be returned to CalRecycle.

Eligible applicants include cities, counties, resource conservation districts and Native American tribes as defined in PRC § 48100(d)(1). For purposes of this application, “Applicant” and “Local Agency” mean cities, counties, resource conservation districts and Native American tribes.

Private property owners are not eligible to apply directly; they must make a request for application submission to the city, county, resource conservation district or Native American tribe in which their property is located. Such requests will be reviewed and considered by their respective Local Agency as set forth below in the “**Local Agency Review of Property Owner’s Request**” section, and if approved, the Local Agency shall apply for the Grant on behalf of the property owner.

Applicants are responsible for the preparation of the grant application, management of the cleanup project and completion and submittal of all grant related documents. An application may be initiated by a Local Agency or requested by the property owner. If the request is from a property owner in accordance with section “**Property Owner Request for Cleanup**” below, the Applicant must comply with section “**Local Agency’s Review of Property Owners Request.**”

**ELIGIBLE PROJECTS/PRODUCTS**

A site may be eligible for funding if **all** of the following criteria are met:

- The parcel where the site is located is zoned, or otherwise authorized, for agricultural use;
- Unauthorized solid waste disposal has occurred on the site; The site is, or was (for sites previously remediated) in need of cleanup in order to abate a nuisance or public health and safety threat and/or threat to the environment; neither the applicant, nor the property owner, nor any resident, invitee, licensee, lessee, or person the current property owner purchased or inherited from, by contract, agreement, or other arrangement, brought any of the subject solid waste onto the property.
- The aforementioned parties did not direct, authorize, permit or otherwise provide consent to another to bring the solid waste onto the property.

- The site is used, has been used, or could be used for rangeland or agricultural activities, including, but not limited to, commercial livestock, crop production, horticulture, aquaculture, silviculture, floriculture, vermiculture and viticulture, see above **Grant Cycle Overview** for additional information;
- The site is, or was (for sites previously remediated), an illegal disposal site (i.e., not permitted and not exempt from obtaining a solid waste facility permit and is not a closed site);
- The responsible party either cannot be identified, located, or pay for timely and proper remediation; and,
- The current use, or intended future use, of the site is consistent with the definition of Farm and Ranch Property as defined in Title 14 CCR§ 17991(d) cited above.

The property owner must sign and notarize the **Property Access Authorization and Non-Responsibility Affidavit (Affidavit)** found in the Resource Documents Section of the Summary tab in GMS. If the property owner is an entity, an authorized representative must sign the Affidavit.

The applicant must demonstrate that each site will be fully remediated with grant funds or a combination of grant funds and in-kind funds/services. Grant funds are not available for the partial cleanup of an illegal disposal site.

Once a grant is awarded, the grantee will have approximately two years to complete the project. The precise term of the grant depends on when the grant is awarded.

### **Project Types**

Within the Farm and Ranch Grant Program, there are two project types; a request of grant funds to clean up a site previously remediated (called a reimbursement grant) and a request of grant funds for a site yet to be cleaned up. The application requirements are basically the same and the Grantee must wait to incur new costs until a Notice to Proceed is received, regardless of project type.

### **Pilot Program**

Grantees who are awarded under the third cycle Pilot may not incur cleanup costs until all application documents are uploaded into GMS, approved by the Grant Manager, and a Notice to Proceed is received.

### **Property owner request for cleanup**

A farm or ranch property owner may request that a grant application be prepared on his/her behalf by a Local Agency. The request shall include the following:

- 1) A letter requesting that the Applicant apply for a grant on his/her behalf. The letter shall include the name, mailing address and telephone number of the property owner and the approximate type and quantity of waste disposed on the property;
- 2) A vicinity map showing the location of each site and access points to the parcel of each site being requested for cleanup under the grant;
- 3) A signed and notarized **Property Access Authorization and Non-Responsibility Affidavit** from the property owner; and
- 4) Photographs of the site documenting the presence of the illegally disposed waste.

### **Local agency's review of property owners request**

The Local Agency has 45 days from receipt of the property owner's request to review the request, conduct a site visit and provide a written determination that the owner's property is, or is not eligible for submission of a Farm and Ranch grant application.

Once the Local Agency determines that the property owner's request is accurate and complete, the Local Agency shall submit a grant application to CalRecycle within 60 days from the date of determination.

If the Local Agency determines that the site is *not* eligible for a grant, it shall provide the property owner with the reasons for disapproval within 45 days of the receipt of the request. The property owner may appeal this determination pursuant to Title 14 CCR § 17994.3.

### **Reimbursement of prior cleanups**

Reimbursement of eligible costs previously incurred by a current farm or ranch property owner for the cleanup or abatement of an illegal disposal site which he/she continues to own may be allowed if verification and documentation of those costs are provided, the site is an eligible site as described in **Eligible Projects** above, and the costs incurred were specifically for grant eligible cleanup or abatement work.

In addition to the information requested in the **Property Owner Request for Cleanup** section above, the property owner shall provide to the Local Agency the following:

- 1) A description of the tasks undertaken to remediate the site.
- 2) The types and quantities of wastes recycled and disposed.
- 3) The total amount of material removed.
- 4) 'Before' photographs of the illegally disposed waste and 'after' photographs proving the waste has been removed.
- 5) The costs and receipts associated with each task in remediating the site, including, but not limited to:
  - a. Disposal (including disposal receipts from the landfill or transfer station and a manifest for used and waste tires proving the tires were properly disposed or recycled);
  - b. Recycling;
  - c. Equipment; and,
  - d. Labor (the time spent by a property owner cleaning up their own property is ineligible for reimbursement).
- 6) Description of the success of the project.

### **AVAILABLE FUNDS**

- A total of \$1,000,000 is available for this grant cycle, fiscal year (FY) 2014/15, subject to funding availability.
- The grants are awarded based on eligibility and threat to public health and safety. Grants are limited to \$50,000 per single cleanup or abatement project or parcel with a limit of \$200,000 per fiscal year for each eligible Applicant. No matching funds are required.
- For single sites requiring in excess of the \$50,000 per site limit for cleanup costs, an Applicant may apply for the full \$50,000 provided there is a commitment from

the Applicant or property owner to provide in-kind services and/or funds to meet the cleanup costs beyond the available funding limit.

- An incorporated city, a resource conservation district and the county within which they are located are each eligible for up to \$200,000 of grant funds each fiscal year. Two or more departments or agencies within a specific city or county are eligible for a combined total of \$200,000 per fiscal year.
- CalRecycle reserves the right to award all, a portion of, or none of the Farm and Ranch Grant fund during any fiscal year.

## **GRANT TERM**

Eligible costs may be incurred only during the Grant Term, which starts on the date indicated in the Notice to Proceed (NTP) and ends on April 6, 2017. This is also the date the Final Report and final Payment Request are due to CalRecycle. The Notice to Proceed is issued after the Grantee and CalRecycle have both executed the Grant Agreement. Costs incurred outside of the Grant Term may be eligible for reimbursement of prior cleanups sites only.

**Costs incurred to prepare the Final Progress Report and Final Payment Request are only eligible for reimbursement during the Grant Term.**

## **PAYMENT REQUEST PROCESS**

Eligible costs are authorized for reimbursement upon the Grant Manager's approval of the Payment Request, and the accompanying Progress/Final Report. Payment Requests must include itemized documentation of claimed expenses (e.g., itemized receipts and proof of payment of invoices).

## **TEN PERCENT RETENTION**

Ten percent (10%) of each approved Payment Request amount will be retained by CalRecycle until the Grant Manager approves the Final Report, the Final Payment Request and all required supporting documentation. Failure to submit these final documents by the deadline specified in the Procedures & Requirements, April 6, 2017, or failure to receive the Grant Manager's approval of these documents may result in the nonpayment of otherwise eligible costs.

## **PAYMENT METHOD: REIMBURSEMENT**

Payment is made on a reimbursement basis for all grantees, except enrolled Resource Conservation Districts (RDCs). To obtain reimbursement, the Grantee pays the approved costs and then files a Grant Payment Request Form (CalRecycle 87) with the appropriate supporting documentation and a Progress/Final Report. Detailed payment information is included in Exhibit B – Procedures & Requirements of the Grant Agreement Package. Advance funds are not available under this grant.

## **PAYMENT METHOD: FOR ENROLLED RESOURCE CONSERVATION DISTRICTS**

Resource Conservation Districts may apply for an alternate payment method, called the *Invoiced Payment Method*. Except for the Final Payment Request, the Invoiced Payment Method allows the enrolled RCD to submit Payment Requests for incurred, but unpaid eligible costs. Upon approval and processing of the Payment Request by the Grant Manager, the RCD will receive grant funds for approved costs minus a ten percent (10%) retention (see **Ten Percent Retention** above). Upon receipt of grant funds, the enrolled RCD is required to pay in full all costs owing, including those covered by the ten percent retention, prior to submitting the next Payment Request.

The Final Payment Request cannot be processed as an Invoiced Payment; it is for reimbursement only. All costs claimed in the Final Payment Request must be paid for and the goods and services received prior to submitting the Final Payment Request. Detailed payment information is included in Exhibit B – Procedures & Requirements of the Grant Agreement Package.

**Caution:** the enrolled RCD is responsible for all costs incurred. In the event an incurred cost is not eligible for payment under this Grant, it is the RCD's responsibility to satisfy the obligation.

To apply for the Invoiced Payment Method, the Resource Conservation District must submit, with the signed Grant Agreement, a letter, signed by the authorized signature authority, requesting the Invoiced Payment Method. If approved, the RCD is "enrolled."

### **ELIGIBLE COSTS**

Eligible costs may be incurred only during the Grant Term, which starts when the grantee receives a Notice to Proceed from CalRecycle and ends on April 6, 2017 (see "Grant Term" for additional information).

Eligible costs include, but are not limited to:

- Waste removal, disposal and related actions.
- Recycling, including used oil, automotive batteries and tires.
- Drainage control and grading improvement.
- Slope and foundation stabilization.
- Excavation.
- Revegetation to stabilize an area disrupted by remediation. The cost must be incidental to the cost of the cleanup.
- Site security, including gates, fencing and other types of protective/restrictive barriers, up to 15 percent of the grant funds expended.
- Public education to help prevent reoccurrence of the dumping, if included with any of the above eligible remedial actions. The cost must be incidental to the cost of the cleanup.
- Equipment rental and fuel.
- Removal of Chlorofluorocarbons (CFC's) from appliances.
- Mileage of up to 56 cents per mile (or the current rate in the State Administrative Manual), for cleanup related activities.
- Personnel costs for grant management and the preparation of reports and payment requests.

### **INELIGIBLE COSTS**

Ineligible costs include, but are not limited to:

- For new cleanup sites, costs incurred prior to or after the "Grant Term" as defined on page 6.
- For prior cleanup sites, costs incurred after the "Grant Term" as defined on page 6.
- Any costs incurred for conditions for which the property owner(s), any resident, invitee, licensee, lessee, or person the property owner(s) purchased from or inherited from was responsible.
- Administrative/Indirect/Overhead costs in excess of seven percent of the approved total cleanup costs expended.

- Costs currently covered by another CalRecycle funded loan, grant or contract.
- Wages paid to a landowner for time spent cleaning up his/her own property.
- Any expense not deemed reasonable by the Grant Manager and/or not directly related to the implementation of the proposed cleanup.
- Transportation costs of used/waste tires hauled by an unregistered tire hauler.
- Clothing, or footwear.
- Closure activities, as defined in Section 20164 of Title 27, Division 2 of the California Code of Regulations.
- Ground water remediation.
- Surface water or vadose zone monitoring systems.
- Removal, abatement cleanup or otherwise handling of hazardous substances [as defined in 42 U.S.C. Section 9601 (14)].
- Extinguishing of underground fires.
- Operation and maintenance of any part of a leachate system.
- Purchase or leasing of land.
- Profit or mark-up by the Grantee.
- Cell phones, pagers, personal electronic assistance devices, and similar electronic and telecommunications devices, etc.
- Overtime costs (except for extreme situations that have been pre-approved in writing by the Grant Manager).
- Any personnel costs not directly related to salaries and/or benefits.
- Any personnel costs incurred as a result of any employee assigned to the grant cleanup project for time not actually worked on the project (e.g., use of accrued sick leave, vacation).

*Detailed cost information is included in Exhibit B – Procedures & Requirements of the Grant Agreement. See*

*<http://www.calrecycle.ca.gov/LEA/GrantsLoans/FarmRanch/FY201415/NOFA.htm> to download the Procedures & Requirements.*

## APPLICATION INSTRUCTIONS

### APPLICATION ACCESS

The application is available in CalRecycle's web-based Grants Management System (GMS). Access to GMS is secure; therefore you must have a CalRecycle WebPass in order to log into the system. Applicants who have not previously obtained a CalRecycle WebPass can create an account at the [CalRecycle WebPass site \(https://secure.calrecycle.ca.gov/WebPass/\)](https://secure.calrecycle.ca.gov/WebPass/).

When you are ready to start an application, log into [GMS \(https://secure.calrecycle.ca.gov/Grants/\)](https://secure.calrecycle.ca.gov/Grants/), select "Grant Application Search" on the left. Open grant cycles are displayed in a table. Find *Farm and Ranch Solid Waste Cleanup and Abatement Grant Program: Fiscal Year 2014/15* and select "Apply." The application opens to the Summary Tab.

### APPLICATION CONTENTS AND INSTRUCTIONS

The components of the application are divided into tabs. To fill out an application, click on each tab and complete the sections in each tab as required. General directions are on the top of each tab and detailed information about the requirements for each tab is listed below. General directions are on the top of each tab and detailed information about the requirements for each tab is listed below.

#### ***Pilot Applicants:***

To ensure all components of application are submitted on time, a Pilot applicant must:

- Complete the amounts in the Budget tab by February 3, 2015
- Upload a completed Application Certification by February 3, 2015
- Upload a resolution by March 3, 2015.

The remainder of the application documents must be completed and uploaded before any cleanup costs can be incurred.

#### ***Summary Tab***

This tab provides a summary of the application, due dates, resource documents and links, application documents, and the Application Submission section. In addition, it contains several checklists to assist Applicants with completing the application:

- Application Checklist
- Required Document(s) By Application Due Date
- Other Supporting Document(s) as applicable for your Application/Project

The checklists are provided for the Applicant's convenience and are not intended to be all inclusive. It is the applicant's responsibility to ensure that all required documents, based on the individual grant application/project, are submitted by the appropriate due date.

#### ***Applicant/Participant Tab***

The applicant name is the legal name of the jurisdiction/organization that is legally responsible for grant administration, if awarded.

- Select the Add Applicant/Participant button and type in the Applicant Name and County.

- Search the table for the correct applicant name and select Add Applicant/Participant.
- Choose the Lead Participant radial button. Every application must have a Lead Participant even if it is an individual application with no participating jurisdictions.
- If it is not listed, click on Add New Applicant/Participant. Complete the items marked with a red asterisk and save the information.
- Enter the applicant/participant name as it appears on the Resolution or Letter of Commitment. Do not include the department or unit name.
- County names must be listed with the name first followed by the word “County,” e.g., “Sacramento County.”
- City names must be listed as “City of” followed by the city’s name, e.g., “City of Sacramento.”

*For a list of eligible applicants, please see the Grant Cycle Overview section titled “Eligible Applicants.”*

### **Detail Tab**

Complete this tab as follows:

- Enter a dollar amount in the Grant Funds Requested field. Do not exceed the maximum grant award amount of \$200,000 per fiscal year. Round all amounts to the lowest whole dollar.
- Matching Funds are not required for this grant, so skip the Matching Funds field.
- Enter the Assembly Districts and Senate Districts. To select more than one district hold the “Ctrl” key while selecting the numbers.
- Enter the applicant’s department name, e.g. “General Services.” If the applicant does not have a department the applicant’s name may be entered.
- Enter the grant payment mailing address.
- **Project Summary/Statement of Use:** provide a description of the proposed cleanup project, including:
  - Number of illegal disposal sites included in the application.
  - List who will perform the cleanup, if known.
  - If the jurisdiction has a continued problem with illegal dumping.
  - A description of the illegal dumping prevention programs in the jurisdiction (such as waste tire amnesty days, household hazardous waste cleanup events, free landfill disposal) and whether the afflicted landowner(s) has/have utilized these programs/opportunities.
  - Specific site information should be detailed under the Address/Site tab.
- Select the appropriate option for the Resolution; either choice one or three.

### **Contacts Tab**

The application is required to have only one Primary Contact and at least one Signature Authority. Each contact entered into the application may be granted access by checking the box on the bottom of the contact’s detail screen. The contact will be able to log into GMS using his/her own CalRecycle WebPass and access the application.

- **Primary Contact.** One person who has been authorized by the Signature Authority/Designee to manage and oversee the grant. This person will be the first contact with whom the grant manager will communicate.

- **Signature Authority.** The person(s) authorized to sign CalRecycle documents, such as grant applications, grant agreements, etc., as authorized by a board/council-adopted Resolution, Letter of Designation, or Letter of Commitment (if applicable).
- **Secondary Contact.** A person authorized (by the Primary Contact or Signature Authority/Designee) as the alternate person with whom the grant manager will communicate. (Not required)
- **Consultant.** A professional who provides advice in a particular area of expertise. If the applicant is awarded a grant, the consultants may manage the grant or only conduct specific activities, based on a written agreement between the applicant and the consultant outlining work to be performed. (Not required)

### ***Budget Tab***

- Complete a budget for each site. The budget form can be found in the Summary tab.
- Transfer the total of each budget category (from all site budgets) into the Budget tab.
- Upload the budget(s) into the Documents tab
- Verify that the budget category amounts match those entered in the Budget tab.
- Verify that the Total in the Budget tab equals the *Grant Funds Requested* amount shown on the Detail tab.

You may add in a contingency, by budget category, to cover a potential increase in expenses.

***Pilot Applicants only need to complete the budget amounts in the budget tab, but will complete individual budgets after award.***

*See Grant Cycle Overview section titled “Eligible Costs” for further information.*

### ***Site(s) Tab***

A Grant Application may consist of one site, or multiple sites.

- Add an entry for each grant project/site.
- A site is defined as a single cleanup project, or parcel of land when there are multiple piles on one parcel.
- **Name:** Provide a name for the site. It is customary to use the property owners name or the street name, such as Smith Illegal Disposal Site or Lambert Road Illegal Disposal Site.
- **Address/Site Type:** Choose the type that best fits the property usage
- **Address line 1:** List the physical street address for the site
- **Address line 2:** List the Assessor’s Parcel Number (APN) for the site
- **Budget Amount:** The amount of grant funds requested to clean up the site. An applicant may request up to \$50,000 in grant funds per site and up to \$200,000 for four or more sites. An applicant is limited to \$200,000 per fiscal year.
- **Summary:** Describe the site and include the following:
  - Parcel size in acres.
  - Current use-what is the land being used for, is it active or inactive farm land, forestland, etc.

- Explain if the property is publically or privately owned.
- Is the illegal disposal site accessible from a public road?
- What measures will be put in place after cleanup to help prevent the property from being dumped on again? This might include: increased surveillance, fencing, gates, and physical barriers such as a ditch, boulders or k-rail.

\*Pilot applicants must identify and obtain approval of all sites and application documents by July 1, 2016.

See *Grant Cycle Overview* section titled “*Eligible Projects*” for further information.

### **Documents Tab**

See the Application Documents section for documents that must be uploaded in the Documents tab. When uploading a document, enter a document title (make this unique to the site if multiple sites – “Davis Site Map”, “Davis Affidavit”), select the appropriate document type from the drop down list, and enter the date that it was executed/signed, if applicable, or select “today’s date.”

**For non-Pilot Applicants**, Application documents must be uploaded in the Documents tab to complete the Application. Modifications will be made to the Application in GMS to account for the implementation of the Pilot. Due to these changes, the documents below will appear as optional, but **are** required to be submitted by the Application due date to be considered complete and eligible for award. With the exception of the Resolution, one of each is required for each site.

- Resolution
- Budget (plus a Total Budget if multiple sites)
- Work Plan
- Land Use/Zoning Designation
- Site Characterization Form
- Property Access Authorization and Non Responsibility Affidavit
- Site Photographs
- Vicinity Map

After all the application documents are uploaded, return to the **Summary Tab** and print the **Application Certification** from the **Application Submission** section. The applicant must obtain a signature from the authorized Signature Authority, scan the document, upload it, and retain the original hard copy document.

### **Pilot Applicants:**

The following are due by the application due date, February 3, 2015:

- Application Certification - follow the directions above
- Completion of the budget amounts in the budget tab of GMS

Due by the secondary due date, March 3, 2015:

- Resolution

Due as soon as possible for each site after grant award, but before any cleanup costs are incurred:

- Budget
- Work Plan
- Land Use/Zoning Designation

- Site Characterization Form
- Property Access Authorization and Non Responsibility Affidavit
- Site Photographs
- Vicinity Map

*See the section titled “Application Documents” for more information about document requirements.*

#### **APPLICATION SUBMITTAL and DEADLINE**

The **Submit Application** button will be enabled after all required documents have been uploaded. Click the **Submit Application** button and then the application status will change to **Submitted**. The application can only be submitted once, however you will be able to upload documents until the secondary due date.

Applications must be submitted no later than 11:59 p.m. on **July 15, 2014, October 28, 2014 or February 3, 2015**. Customer service will be available until 4:00 p.m. on the application due date.

## **APPLICATION DOCUMENTS**

Each Applicant must upload certain documents in addition to filling out the application. The application is not complete until all required documents have been uploaded to the Documents tab of the GMS application.

### **CALRECYCLE DOCUMENTS**

You can locate the CalRecycle documents and examples on the Summary tab, in the Application Documents section. To access the document, click on the link, open it up, fill it out, save it to your computer, and then upload it to the Documents tab. Below is a list of the documents.

### **WORK PLAN**

The Work Plan should be a detailed, chronological, step-by-step list of the tasks necessary to remediate the nuisance or threat posed by the illegal disposal site. A separate Work Plan must be completed for each site unless a series of small sites are close in proximity and have the same characteristics as described on the Site Characterization. The Work Plan must match the tasks identified in the Budget.

The Work Plan must include, but not be limited to:

- Date the cleanup is estimated to begin and be completed. Generally, the grant term will begin three months after the application deadline and last approximately two years.
- “Before” photographs.
- Explanation of the involvement of cooperating organizations and property owners. Include agencies/businesses to be contacted for permits, licenses, etc., such as the Regional Water Quality Control Board, Department of Toxic Substances Control, city or county planning department, etc.
- Startup steps, such as: clearing brush, creating a road, equipment mobilization, obtaining permits, researching “rights of way,” conducting California Environmental Quality Act (CEQA), the scope of work, etc.
- “After” photographs taken from the same location as the “before” photographs for reference.
- Estimated completion date for the Final Report and Payment Request.

The following must be included in the Work Plan, as applicable:

- Removal of solid waste and recyclables.
- Transportation of tires by registered waste tire hauler to destination facility.
- Grading and re-vegetation work to be performed.
- Prevention measures to be installed, such as fencing, gates and signs.

### Work Plan Example

Task Description	Contractor or Staff	Timeframe (Month/Year-Month/Year)
<p style="text-align: center;">Pre-Work</p> <ol style="list-style-type: none"> <li>1. Verify property lines; take photos, research applicable permits, rights of way</li> <li>2. Contact Mr. Lee, CCC, and Davis Construction regarding start date</li> </ol>	County Staff	March 1
<p style="text-align: center;">Site Prep and Logistics</p> <ol style="list-style-type: none"> <li>3. Install fencing and gates, set up staging area</li> <li>4. Secure and deliver debris bins, excavator, materials and tools on site recycling</li> <li>5. Install containment area for used oil and batteries</li> <li>6. Install debris catchments at bases of gullies to catch dislodged materials</li> </ol>	Contractor ABC Recycling ABC Recycling Contractor	April 15 - 30
<p style="text-align: center;">Solid Waste Removal</p> <ol style="list-style-type: none"> <li>1. Remove tires and other debris with excavator</li> <li>2. Sort debris into appropriate bins</li> <li>3. Cut tree limbs, where necessary, and treat with <i>Tree Seal</i></li> </ol>	Joe's Tire Hauling CCC Joe Bob's Tree Service	May 1 - 10
<p style="text-align: center;">Solid Waste Disposal and Recycling</p> <ol style="list-style-type: none"> <li>1. Transport tires to West Coast Tire Recyclers, collect/file tire manifests for payment request</li> <li>2. Transport household hazardous waste to Inland Recycling</li> <li>3. Transportation of solid waste to Elk Valley Landfill</li> </ol>	Joe's Tire Hauling  Safe Haz Transport  CCC	May 11
<p style="text-align: center;">Site Restoration</p> <ol style="list-style-type: none"> <li>1. Re-contour gullies at both sides to natural grade, install hay bale check-dams, mulch all disturbed soil</li> <li>2. Plant vegetation</li> </ol>	Contractor  County Staff	May 15 – 25
<p style="text-align: center;">Pictures</p> <ol style="list-style-type: none"> <li>1. Take photos of remediated site</li> </ol>	County Staff	May 26
<p style="text-align: center;">Report</p> <ol style="list-style-type: none"> <li>1. Prepare Final Report and Payment Request</li> </ol>	County Staff	June 1

## **BUDGET**

A budget will need to be prepared and uploaded to the Documents tab for each site. The budget document can be found on the Summary tab. The total of all site budgets must equal the amounts in the Budget tab.

Provide the total dollar amount by budget category (see Budget Categories below) with a subtotal for each. A site is limited to \$50,000 in grant funds.

Demonstrate that the project is cost effective in relation to the location, type and quantity of wastes and that it maximizes the use of available funds through cost savings, such as volunteer labor, in-kind services and recycling options. If expenditure is in-kind, it can be indicated on the budget, but should not be included in the total amount requested.

Include quotes and estimates for all work identified in the Work Plan. Without this documentation, the expense may be considered unreasonable and disallowed in whole or in part from the proposed budget.

It is acceptable to include a contingency, by budget category, to cover an unexpected increase in expenses. Do not include cents and remember to round down to the nearest whole dollar.

### **Budget Categories**

**Your budget must be arranged using the following categories:**

*It is not necessary to use all of the budget categories, only the categories applicable to your project.*

**a. Disposal and Recycling**

Include a total dollar amount of all costs for the disposal and recycling of wastes removed from the site.

**b. Equipment**

Provide a total dollar amount of funds necessary for all equipment to be used/rented to complete the project.

**c. Materials**

Include the cost of all materials, including, but not limited to, gates, fencing, fuel (including miles to be driven), vegetative cover and public education information such as brochures or flyers. The total amount of grant funds to be spent on fencing and gates must be at, or below 15% of the cleanup costs.

**d. Personnel**

Provide a total of salaries and benefits for personnel whose activities are directly related to the cleanup project proposed in the application; including, but not limited to, actual work performed at the cleanup site and time spent processing grant Payment Requests and preparing reports required for the grant. If there are indirect costs within a salary, make sure they are not charged again under administrative costs.

**e. Administrative Costs**

Includes, but are not limited to, indirect and overhead costs that cannot be readily allocated to a specific grant project, but are necessary to the grantees performance of the grant and the general business operation. Examples include, but are not limited to, a portion of the rent, utilities and/or telephone bill for the duration of the cleanup,

Seven percent (7%) of the total approved cleanup costs expended may be spent on administrative costs. **Note: If, at the end of the grant term, the total cost of the cleanup is less than the amount in the approved budget, the administrative costs will be reduced to reflect 7% of the amount expended.** All administrative costs must be explained/justified and verifiable with supporting documentation. To calculate the maximum amount of administrative costs allowed under the grant, add up all approved expenditures from the other budget categories and multiply this total by seven percent. See below:

- 1. Disposal/Recycling \$ \_\_\_\_\_
- 2. Equipment \$ \_\_\_\_\_
- 3. Materials \$ \_\_\_\_\_
- 4. Personnel \$ \_\_\_\_\_

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**Subtotal-Total Project Cost** \$ \_\_\_\_\_

5. Administrative costs [Not to exceed 7% of (1) + (2) + (3) + (4)] \$ \_\_\_\_\_

**Total** (Not to exceed \$50,000 per site) \$ \_\_\_\_\_ **Budget Example**  
Brown Illegal Disposal Site – Site 1

### Budget Example

Description And Budget Category	Cost (Unit & Category )	Duration (# Of Hours/Days)	Total Cost	Staff Or Contractor
<b>Disposal/Recycling</b> Dispose of Municipal Solid Waste Crush & Recycle Vehicles 15% Contingency	100 tons 10 vehicles		\$1,125	Elk Valley Landfill U-Pull-It Car Crushers
<b>SUB-TOTALS</b>			<b>\$7,500</b>	
<b>Materials</b> Barrier Fencing Mileage to and from the site	150 feet .56/mile	\$25/foot installed 150 miles	\$3,750 \$84	B & R Ranch Supply
<b>SUB-TOTALS</b>			<b>\$3,834</b>	
<b>Equipment</b> Excavator and crane Water Truck		15 days 10 days		Davis Construction, Inc. A-1 Rentals
<b>SUB-TOTALS</b>			<b>\$25,500</b>	
<b>Personnel</b> Manually remove solid waste Project coordinator-prepare reports				California Conservation Corp San Joaquin County
<b>SUB-TOTALS</b>			<b>\$8,740</b>	
<b>SUB-TOTAL BEFORE ADMIN</b>			<b>\$45,574</b>	
<b>Administrative Cost</b> (max of 7% of cleanup costs expended and approved <\$3,190.18>) Director- Direct oversight of grant activities Rent (portion of total cost) Utilities (portion of total cost)		4 months 4 months	\$576 \$1412 \$120	San Joaquin County
<b>SUB-TOTALS</b>			<b>\$2,108</b>	
<b>GRAND TOTAL</b>			<b>\$47,682</b>	

## Site Characterization Instructions

Provide an assessment of each site including the degree of threat to public health and safety and/or the environment. A separate document must be completed for each site. The document should include:

- Name of Site: It is customary to use the property owner's last name, or the name of the street; Smith Illegal Disposal Site or Davis Road Illegal Disposal Site.
- Parcel Number: The Assessor's Parcel Number (APN). This number must match the APN on the Affidavit (see detail below).
- SWIS Number: This is a Solid Waste Information System number assigned by CalRecycle. The site may, or may not, have a SWIS Number.
- Location: In addition to the street address, describe the location of the illegal disposal site in relation to the nearest cross street(s) and include the name and compass direction of the closest town or city; for example at the end of Glenn Road, 5 miles north of Brawley or 1735 Summer Lane, south of Clover Road, Santa Cruz.
- Zoning: As described on the accompanying planning document from the county. Title will be something like Agricultural, Timberland Production, Rural-Residential, etc.
- Owned by: List the owner's name.
- Owners Mailing Address: List the owner's mailing address.
- General Description of Site (History/Background): For each site thoroughly describe:
  - a) Current Land Use and Parcel Size
    - Is the parcel upon which the illegal disposal site located *active* farm or ranch property? In other words, is it currently being used for range land, livestock or crop production, aquaculture, floriculture, horticulture, silviculture, vermiculture, viticulture, other. Include the type of livestock, crop(s), and other activities on the property.
    - Is the site *inactive* farm/ranch property? Describe the past use of the property.
    - State the acreage of the parcel the illegal disposal site is on.
  - b) Site History – Describe how the illegally disposed waste was discovered and how the waste came to be on the site.
  - c) Topography – Describe the terrain of the property; is the land upon which the waste is located flat, mountainous, have gently sloping hills, etc.
  - d) Accessibility of site as it pertains to the proposed cleanup.
  - e) Exact location of the waste on the parcel. Is the waste in a drainage ditch, edge of an alfalfa field, in a ravine, ten feet from a public road, etc.
- Enforcement Status: Explain any enforcement actions, such as a code enforcement violation or citation issued in regards to the site(s) being proposed for cleanup.
- Owner Responsibility: Describe any measures or actions taken by the property owner or Applicant to address the illegal dumping.
- Site Assessment: Estimate the types of waste present by completing the table. Provide the quantity (number, gallons, tons, etc.) for each waste type.

- Land Use: Complete the table regarding land uses near the illegal disposal site. Provide explanations for any improvements or changes in land use that are planned or if the waste is located on or near an environmentally sensitive area.

**Property Access Authorization and Non-Responsibility Affidavit (Affidavit)**

This document grants legal access to the property for cleanup and all related purposes and requires the property owner, or legally authorized agent of the property owner if owner is an entity, to sign under penalty of perjury, that neither the current property owner, nor any other specifically identified individual(s) were responsible for the disposal of the solid waste proposed for cleanup. **The document must be filled out completely, including an explanation in the property owner's own words of how he/she became aware of the waste. The form must also be notarized.**

## **APPLICANT'S DOCUMENTS**

Below is a list of documents that the applicant is responsible for obtaining and uploading to their application in the Documents tab. For examples of these documents, please see the **Resolution and Letter Examples** link found on the **Summary Tab** under **Resource Links**.

### **Resolution**

Any applicant that is subject to a governing body must upload a Resolution that authorizes specific grant-related matters. A copy of the authorizing Resolution is a required application document that must be uploaded no later than the secondary due date or the application will be deemed incomplete and will be disqualified. Resolution requirements vary for individual and regional lead applications. See the **Resolution and Letter Examples** link for more information.

Individual Application Requirements:

1. The Resolution must authorize submittal of an application for one or more specifically named CalRecycle grant(s) or for all CalRecycle grants for which the applicant is eligible.
2. The Resolution must identify the period of time, up to five years, during which the authorizations are valid. Five years is encouraged; however, periods of less than five years are acceptable. If a Resolution submitted to CalRecycle does not specifically identify a period of time, it will be considered valid for one year from the date of adoption.
3. The Resolution must identify the job title of the person authorized to sign all grant-related documents necessary to implement and close-out the grant(s) (Signature Authority).

*(Optional but encouraged)* The Resolution should authorize the Signature Authority to delegate his/her signature authority to another person identified by job title. The Signature Authority must sign a Letter of Designation prior to the Designee's exercise of his/her authority.

### **Letter of Designation**

A Letter of Designation is required **ONLY** when the authorized Signature Authority delegates his/her authority to another person. First, the approved Resolution must indicate the Signature Authority's ability to delegate or designate his/her authority. Second, the letter must be uploaded prior to the Designee's exercise of his/her authority. For example, if the Designee signs the Application Certification in place of the Signature Authority, the letter must be uploaded when the Application Certification is submitted. The letter must:

- Be on the Applicant's letterhead.
- Identify the job title of the Designee.
- Identify the scope of the Designee's authority.
- Identify the period during which the Designee may exercise the authority. The Designee's authority may not extend beyond the effective date of the approved Resolution (for example, if the Resolution is effective until December 31, 2014, then the Letter of Designation may not be effective beyond December 31, 2014). If a time

period is not identified then the letter will follow the same time frame as the Resolution.

- It must be signed by the Signature Authority.

### **Photographs**

- Photographs document the presence of waste to justify the need for grant funds. Include an adequate number of photos to represent the majority of the waste present. Photos should be taken from a recognizable location to be utilized again for the *after* photos.
- A grant application for a previously remediated site will be considered ineligible without *before* photos.
- *Before* and *after* photos (if applying for a previously remediated site) should be uploaded to GMS along with the grant application.
- Photographs should be put into a Word document labeled with site name and date photograph was taken. Include multiple photographs on each page.

### **Vicinity Maps**

- Provide a map that will allow a person unfamiliar with the area to find the site(s).
- Provide an additional map showing public roads and the location of structures, agricultural crops and surface bodies of water in relation to the location of the waste on the property. This map can be hand drawn.

### **Land Use/Zoning Designation**

The land uses allowed on a parcel must be identified to determine if a site is eligible for funding. This information can be found on the zoning document for the parcel from the county. The county will need the Assessor's Parcel Number (APN) in order to locate the required information. The allowable land uses must include rangeland or agricultural activities as included in the definition of *Farm and Ranch Property* found on page 2 of these instructions.

(Zoning Document Example)  
San Joaquin County Regional Planning  
**Chapter 11, Mineral Resource (MR) Districts**

Sections:

- 11.1 Purpose The purpose of the MR districts is to provide for orderly development and protection of lands containing resources and to provide for the protection of encroachment of unrelated and incompatible land uses tending to have adverse on the development or use of these so designated lands.
- 11.2 Applicability All lands contained within mineral resources district shall be subject to the regulations of this chapter as well as the provisions of the Chapters.
- 11.3 Uses permitted by Right The following are allowed by right, without special use permit:
- A. A single family detached dwelling
  - B. Home occupations such as accountant, advisor, appraiser, architect
  - C. Two unlighted signs in view of the public roadway, not exceeding twelve square feet of display area on any one sign, and not more than twenty-four square feet total display area, and not more than twelve feet above the ground, advertising **agricultural activities** on the premise;
  - D. **Raising and grazing of the livestock** and other domestic animals;
  - E. **Growing and harvesting** of trees, fruits vegetables, flowers, grains, and other crops;
  - F. Packing and processing of the **agricultural products** produced on the premise without changing nature of the products;
  - G. Sale on the premise of the products produced thereon; etc.
- 11.4 Uses Requiring Special Use Permit The following uses are allowed only after obtaining a special use permit thereof from the planning commission:
- A. Mining, quarrying, excavation, concentrating, exploring, drilling;
  - B. Construction and using rock crushing plants, aggregate washing, screening and drying facilities and equipment, and concrete batching plants;
  - C. Retail and wholesale distributing of materials produced on site;
  - D. Commercial slaughtering of animals; etc.
- 11.5 Development Standards The following area and building provisions shall apply unless a variance is obtained from the planning commission:

***This is an abridged example of property that has been “otherwise designated for agricultural use.” Other designations such as silviculture, horticulture, aquiculture, floriculture, vermiculture, and viticulture are considered agriculture.***

## **GRANT REVIEW AND AWARD PROCESS**

### **GRANT APPLICATION REVIEW PROCESS**

After the close of the application period, CalRecycle staff will review the applications for completeness and eligibility. Only complete applications can be considered for award. For the third cycle, if more requests for grant funds are received than there are funds available, complete applications submitted for the standard grant program will be considered first before applications for the Pilot. This will allow all complete applications to be funded before Pilot applications which have not been completely researched and may end up as ineligible. CalRecycle staff may contact applicants to provide clarity or request additional information.

### **GRANT AWARD PROCESS**

For qualifying applications, CalRecycle staff will develop funding recommendations for the consideration and approval of CalRecycle's Director, or her designee; this is tentatively scheduled for September 2014, December 2014 or April 2015. CalRecycle reserves the right to partially fund or fund individual phases of selected proposals, and CalRecycle may fund an amount less than requested.

CalRecycle reserves the right to not award any grant funds under one or more cycles.

### **GRANT AWARD CONDITIONS**

When awarded, this grant will be subject to two conditions:

- 1) The recommended grantee's Signature Authority (or where delegation is authorized), his/her Designee must sign and return the Grant Agreement to CalRecycle within 60 days from the date of mailing by CalRecycle.
- 2) The recommended grantee must a) pay all outstanding debts due CalRecycle, or b) bring current outstanding payments owed to CalRecycle within 60 days from the date CalRecycle conditionally awarded the grant.

**Failure to comply with either requirement will void the grant award.**

## **GRANT PROGRAM ADMINISTRATION**

### **GRANT AGREEMENT**

Following CalRecycle's conditional approval of the grant awards, grantees will be emailed the following:

- Award email.
- Grant Agreement Cover Sheet (CalRecycle 110).
- Exhibit A – Terms and Conditions: contain CalRecycle standard legal requirements for Grants.
- Exhibit B – Procedures and Requirements: contain specific requirements for administering this grant, including but not limited to project, reporting, and audit requirements.
- Exhibit C – Grantee's approved application with revisions, if any, and any amendments.

*The Work Plan and Budget are submitted with and are a part of the Grantee's Approved Grant Application, and are incorporated into the Grant Agreement by reference.*

### **REPORTING PROCESS**

Grantees are required to report on the progress of their grant with each payment request. The Final Progress Report is due on April 6, 2017. Detailed reporting information is included in the Procedures & Requirements – Exhibit B of the Grant Agreement.

### **PAYMENT REQUEST PROCESS**

Eligible costs are authorized for reimbursement upon the Grant Manager's approval of the Payment Request, and if required, the accompanying Progress/Final Progress Report. Payment Requests must include itemized documentation of claimed expenses (e.g., itemized receipts and proof of payment of invoices). Ten percent of each approved Payment Request amount will be retained by CalRecycle until the Grant Manager approves the Final Progress Report, the final Payment Request and all required supporting documentation. Failure to submit these final documents by the deadline specified in the Procedures & Requirements or failure to receive the Grant Manager's approval of these documents by April 6, 2017, may result in the nonpayment of otherwise eligible costs. Detailed payment information is included in the Procedures & Requirements – Exhibit B of the Grant Agreement.