FOOD WASTE PREVENTION AND RESCUE GRANT PROGRAM

APPLICATION GUIDELINES AND INSTRUCTIONS

1st Cycle (FW1) – Fiscal Year 2016–17

Revised July 14, 2017

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GRANT CYCLE OVERVIEW

The Department of Resources Recycling and Recovery (CalRecycle) offers the Food Waste Prevention and Recue Grant Program pursuant to Section 42999 of the Public Resources Code. This competitive program is designed to further the purposes of the California Global Warming Solutions Act (AB 32) by lowering overall greenhouse gas emissions through the expansion of existing or establishment of new food waste prevention and/or rescue projects in California to reduce the amount of California-generated food materials being sent to landfills.

The Greenhouse Gas Reduction Fund established for California's Cap-and-Trade Program auction proceeds provides opportunities for the state to invest in projects to help California achieve its climate goals while providing benefits to disadvantaged communities. These investments are collectively referred to as California Climate Investments, which funds the Food Waste Prevention and Rescue Grant Program.

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/Funding/GMS/default.htm) (http://www.calrecycle.ca.gov/Funding/GMS/default.htm).

TIMELINE

Date	Activity
June 28, 2017	**Question and Answer Period** • Questions may be submitted from application release date to this date • Questions must be submitted by email
July 11, 2017	• All answers will be posted (tentative)
July 18, 2017	**Application Due Date** • Applications must be submitted in GMS by 11:59 p.m. on this date • Customer service will be available until 4:00 p.m. on this date • If approved to propose an alternative methodology, methodology along with detailed calculations must be submitted with application by this date.
August 15, 2017	**Secondary Due Date** • Approved Resolution/Letter of Commitment must be uploaded in GMS by this date • If applicable, Environmentally Preferable Purchasing and Practices (EPPP) Policy must be adopted and EPPP Notification document must be uploaded in GMS by this date
October or November 2017	**Grants Awarded** CalRecycle considers funding recommendations, and if approved, conditionally awards grants during this month (tentative)
April 1, 2020	**Grant Term** Notice to Proceed to this date

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 participating jurisdiction 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:
- Local governments:
  o Cities, counties, and cities and counties as defined in Public Resources Code Section 30109.
  o Regional or local sanitation agencies, waste agencies, or Joint Powers Authorities.
- Nonprofit organizations (except private schools) registered with the federal government under 501(c)3, (c)4, (c)6 or (c)10 of the Internal Revenue Code.
- Private, for-profit entities. A "private, for-profit entity" is defined as a business intended to operate at a profit and return a profit to its owners. The business must be qualified to do business in California and be in good standing with all applicable California state agencies, including, but not limited to, the Secretary of State and the Franchise Tax Board. Any and all subsidiaries, divisions or affiliated businesses are considered part of the primary business entity for the purpose of applying for and receiving a grant award. A business is considered an "affiliated business" if it has at least one owner with a 40 percent or greater interest in another applicant business.
- State or federal agencies (including offices, departments, bureaus, and boards).
- University of California campuses, California State University campuses, or California Community Colleges.
- Solid Waste Facilities.
- Public School Districts.
- Qualifying Indian Tribes are defined as an Indian tribe, band, nation or other organized group or community, residing within the borders of California, which:
  1. Is recognized for special programs and services provided by the United States to Indians because of the status of its members as Indians.
  2. Can establish that it is a government entity and which meets the criteria of the grant program.

Note: Currently the Grants Management System does not allow for non-California counties/jurisdictions to be selected. If the organization's headquarters is located out of California you must select the county/jurisdiction in which the local California office is located, please see Application Instructions section.

Only two applications per qualifying entity will be accepted. Eligible applicants may submit an individual, cooperative (typically two or more private entities), or regional (two or more local government entities) application. For a cooperative or regional application, one entity must be identified as the Lead Participant to act on behalf of the participating entities and up to three other participants, totaling no more than four participants.

If more than two applications are submitted by an applicant, it will be the applicant's responsibility to decide which applications should go forward. If the additional application(s) are not withdrawn, the first two applications, as determined by timestamp, will move forward and all other applications will be disqualified. Note that submission as a participant in a cooperative or regional application (lead or otherwise) counts as one submission.

COOPERATIVE APPLICATION REQUIREMENTS

Private entities, or private entities and public entities, may join together in a cooperative grant application in which two or more eligible entities, totaling no more than four participating entities, join together for the purpose of grant implementation. A Lead Participant must be designated to act on behalf of all participating entities. The Lead Participant is the applicant/grantee who will be responsible for the performance of the grant and all required documentation. All participating entities will be grantees. CalRecycle will direct all official correspondence and grant payments to the Lead Participant. All entities involved with a cooperative application will be required to execute a grant agreement.

Non-Governmental Applicants (Private, for-profit and nonprofit organizations) - The Lead Participant must be in business for at least a year and must be a registered business with the California Secretary of State. The Lead Participant must have working capital equal to or greater than the quarterly annual cost of the project.

REGIONAL APPLICATION REQUIREMENTS

Local governments may join together in a regional grant application in which two or more eligible jurisdictions join together for the purpose of grant implementation. A Regional Lead Participant (Lead) must be designated to act on behalf of all participating jurisdictions. The Lead is the applicant/grantee who will be responsible for the performance of the grant and all required documentation. CalRecycle will direct all official correspondence and grant payments to the Lead. If a jurisdiction is a participant in a regional application, it may not apply individually.

JOINT POWERS AUTHORITY APPLICATION REQUIREMENTS

Joint Powers Authorities (JPA) may submit a grant application as an individual applicant. The JPA must upload a copy of its joint powers agreement giving it authority over solid waste management, listing all member entities, and containing the signature of all members. An entity may not submit an individual application if that entity is also a member of an applicant JPA.

PROJECT REQUIREMENTS

Projects must be located in California and result in permanent, annual, and measurable:
1. Reductions in GHG emissions attributed to the production, processing, packaging, distribution, and landfilling of California-generated food materials; **and**
2. Increases in quantity (tons) of California-generated food materials, newly diverted from landfill **and** prevented or rescued from disposal.

For the purpose of this program, "newly diverted" means the tons of materials that are currently being landfilled that will instead be diverted as a result of this project.

ELIGIBLE PROJECTS
- Food waste prevention projects that prevent food waste from being generated and becoming waste normally destined for landfills, with any food waste residuals from the project being sent to composting or digestion when available within the project service area.
- Food rescue projects that result in rescued food being distributed to people, with any food waste residuals from the project being sent to composting or digestion when available within the project service area.

AVAILABLE FUNDS
A total of $5,000,000 is available for this grant cycle, fiscal year 2016–17. The funding will be distributed as follows:
- Large Tier: $4,000,000 allocation for large tier projects with a minimum grant award of $100,001 and a maximum grant award of $500,000 per application.
- Small Tier: $1,000,000 allocation for small tier projects with a minimum grant award of $25,000 and a maximum grant award of $100,000 per application.

The grant amount requested will determine the project tier. Limitations on salaries, public education, outreach, and software and will differ in each tier and are outlined below. Applicants should evaluate their project needs and determine appropriate costs for their grant budget.

GRANT TERM
The Grant Term begins on the date of the Notice to Proceed email, which is sent after the grant is awarded and the grant agreement is fully executed. Grant-eligible program expenditures may start no earlier than the date indicated in the Notice to Proceed.

The Grant Term ends on April 1, 2020 and all eligible program costs must be incurred by this date. The Final Report and final Payment Request are due on April 1, 2020. CalRecycle recommends reserving the period from March 1, 2020 to March 31, 2020 exclusively for the preparation of the Final Report and final Payment Request, though they may be completed earlier. **Costs incurred to prepare the Final Report and final Payment Request are only eligible for reimbursement during the Grant Term.**

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 1, 2020. All grant expenditures must be for activities, products, and costs specifically included in the approved Work Plan and approved Budget.

Eligible costs include, but are not limited to:
- Refrigerators, freezers, and refrigeration systems
- Transportation such as refrigerated trucks
- Storage and collection infrastructure such as food crates or bins
- Food preparation and cooking items such as ovens, ranges, etc.
- Salaries, public education, and/or outreach costs not exceeding:
  - Twenty-five percent of the applicant's requested grant amount for large tier projects.
  - Fifty percent of the applicant's requested grant amount for small tier projects.

- Software costs (food waste online exchange and source reduction platforms) not exceeding:
  - Ten percent of the applicant's requested grant amount for large tier projects.
  - Twenty-five percent of the applicant's requested grant amount for small tier projects.

INELIGIBLE COSTS
Ineligible costs include, but are not limited to:
- Costs incurred prior to receipt of the Notice to Proceed letter or after April 1, 2020.
- Food waste dehydrators and liquefiers.
- The same activities or purposes already being funded through other agencies using California Climate Investment funds.
- Environmental review for project permitting, including the preparation of Environmental Impact Reports or related documents.
- Purchase or lease of land or buildings.
- Purchase of feedstock (food).
- Costs deemed unreasonable or not related to the grant project by the Grant Manager.
- Indirect Costs exceeding five percent of the total grant award.

COORDINATION WITH AIR RESOURCES BOARD
Applicants must calculate the net GHG emission reductions from proposed projects using the CARB approved Greenhouse Gas Quantification Methodology and Waste Diversion GHG Emission Reduction Calculator for Fiscal Year 2016-17 as found at: http://www.arb.ca.gov/cci-quantification. As part of project selection, monitoring, and ongoing reporting, CalRecycle will consult with the Air Resources Board (ARB) to ensure that the GHG emission reduction estimation methodologies are as consistent as practicable with methodologies used in other AB 32 program areas.

FACILITIES ON NON-OWNED PROPERTY
Applicants that want to establish facilities or expand existing facilities on property not owned by the applicant must prove a legally binding commitment. The application must clearly state the ownership or leasehold interests of the parties. A copy of any agreement between the applicant and private owner must be uploaded in the Documents tab of the application. See the Applicant's Documents section for more information.

CALIFORNIA ENVIRONMENTAL QUALITY ACT COMPLIANCE
Applicants shall complete all California Environmental Quality Act (CEQA) requirements for their project within 12 months of the notice of award only if their project requires CEQA review. A grant agreement will not be issued to the awarded applicant until CalRecycle has received notice of completion of all CEQA requirements from the lead agency. Failure to complete CEQA or failure to notify CalRecycle of such completion within the 12-month timeframe may result in a termination of the award.

Note: This section may not be applicable to all applicants.

ENVIRONMENTALLY PREFERABLE PURCHASES AND PRACTICES POLICY REQUIREMENT
Consistent with CalRecycle's core values, all applicants are required to have or develop, adopt, and implement an Environmentally Preferable Purchases and Practices (EPPP) Policy

for their organizations. To see examples of existing EPPP Policies, visit the [Responsible Purchasing Network](#), Environmentally Preferable Purchasing [Laws and Policies](#) and [Tools and Resources](#). Some additional practices that CalRecycle encourages organizations to include in their EPPP Policies include:

- Buildings and Grounds
  - All building and renovations follow the green building practices for design, construction and operation, where appropriate, as described in the Leadership in Energy & Environmental Design *Green Building Rating System*.
- Continual Improvement
  - Training is provided to new and existing employees.
  - Organization regularly evaluates and/or improves implementation of EPPP policy.

Applicants who have an EPPP Policy in place prior to submitting their application must certify to this fact on the Detail tab in the application. Applicants that do not have an EPPP Policy at the time of application submittal must adopt one by the secondary due date, August 15, 2017, and upload the EPPP Notification document the application.

For more information, visit the [EPPP Frequently Asked Questions webpage](#).

QUESTION-AND-ANSWER PROCESS
Questions regarding the application and its requirements must be in writing and emailed to **GHGReductions@CalRecycle.ca.gov**. Questions must be received by June 28, 2017 or they will not be accepted.

Periodically during the Question and Answer (Q&A) period, Q&As will be posted on the Q&As website. The Q&A website can be accessed from the Notice of Funds Available or from the application. Similar or related questions may be grouped together or re-worded for clarity and responded to as one question. All Q&As will be posted approximately two weeks after the deadline and are subject to updates. It is the applicant's responsibility to check this website for the latest information

PUBLIC RECORDS REQUESTS
It is the policy of CalRecycle to make records requested by the public promptly available in accordance with the [laws](#) governing disclosure of records and information to the public. In general, all records in the possession of a state agency are public records subject to disclosure, unless a law provides that a particular kind of record or information is not a public record or is exempt or prohibited from disclosure. Upon request, the contents of your submitted application are subject to public records requests. The information that may be requested includes but is not limited to, contact information, project summary, uploaded documents, and scoring information. If your application contains restricted documents, the restricted documents are excluded from disclosure.

CONFIDENTIALITY
We appreciate applicants' desire to treat certain documents provided to CalRecycle as confidential. The following describes the treatment of certain confidential or proprietary information under the California Public Records Act (Government Code 6250, et seq.) and related regulations. It also describes how questions are resolved whether information is truly

confidential, the legal protections for confidential information, and internal and program procedures to maintain confidentiality.

Confidential or Proprietary Information
Title 14 of the California Code of Regulations (14 CCR), sections 17041-17046, states that confidential or proprietary information shall include, but is not limited to:
1. Personal or business-related financial data, customer client lists, supplier lists and other information of a proprietary or confidential business nature provided by persons in applications, reports, returns, certification or other documents submitted to [CalRecycle] which if released would result in harmful effects on the person's competitive position.
2. Tax information prohibited from disclosure, pursuant to the Revenue and Taxation Code.

Accordingly, appropriate documents submitted with an application that are clearly marked, on each page, "confidential or proprietary information" will be treated by CalRecycle pursuant to the procedures set forth in 14 CCR sections 17041-17046. However, the mere marking of documents (such as sales brochures, promotional literature and other general nonfinancial documents) as "confidential or proprietary information" will not result in their being treated as confidential if they do not fall within the categories of protected financial documents listed above.

What if there is a question about what is confidential?
If CalRecycle received a request to disclose data claimed by the applicant to be confidential, CalRecycle would notify the applicant of the request and state that the documents were under review to determine whether information was correctly identified as "confidential." If there was any question whether specific information was confidential, CalRecycle would contact the person(s) identified in the application to provide a justification and statement why the information is confidential. The process for evaluating confidentiality claims is set forth in 14 CCR 17046.

What program procedures will keep information confidential?
The Financial Narrative and supporting documentation will be evaluated and analyzed only by CalRecycle's financial staff, kept confidential, and will be maintained with restricted access. Applicants must provide specific key financial information for three years to develop benchmarks to evaluate the program. Records no longer needed to provide the services offered under the grant program are periodically destroyed, when allowed by audit policies and state law.

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 [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 "Apply for a Grant" on the left. Open grant cycles are displayed in a table. Find "Greenhouse Gas Reduction Grants, Food Waste Prevention and Rescue Grant Program, 2016-17, and FW1" and select "Start Application." A pop-up window will appear asking for contact information. You will automatically be added as the Primary Contact for the new grant application however, this can be updated later. 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.

The applicant is responsible for a complete application. This includes signing documents, uploading required documents, and submitting the application by the due date(s). Failure to do so will result in disqualification from the Food Waste Prevention and Rescue Grant Program. Examples of disqualifications include:
- Applicant does not meet the eligibility requirements
- Project is not eligible
- Failure to use required CalRecycle documents or forms
- Uploading incomplete or blank documents to the Documents tab
- Signature Authority fails to sign Application Certification or any document that requires a signature
- The online application is incomplete or missing information
- Applicant fails to adopt an EPPP policy by the secondary due date
- Submission of more than two applications

Summary Tab
This tab provides a summary of the application, due dates, resource documents and links, application documents, and the Application Submission section. 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. Do not enter your personal name.
- 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 radio 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.
  - <u>Currently the Grants Management System does not allow for non-California counties/jurisdictions to be selected. If the organization's headquarters is located out of California you must select the county/jurisdiction in which the local California office is located.</u>
- 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 Regional, Cooperative, or Joint Powers Authority Applications
- Add the name of each eligible participating jurisdiction and choose the Participating Jurisdiction radio button.

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 request amount of $500,000 for large tier projects, $100,000 for small tier projects. Please round all amounts to the nearest whole dollar.
- 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: In three to five sentences, briefly and concisely summarize:
  - Describe the food waste prevention or rescue project
  - How many additional tons of materials will be newly diverted from landfills and associated reduction in GHGs?

  Note: you will have an opportunity to explain the project summary in question one of the Narrative Proposal.
- Select the appropriate option for the Resolution or Letter of Commitment Requirement and optional Letter of Designation.
- Select the appropriate option for the Environmentally Preferable Purchasing and Practices Policy.
- Select the appropriate answers for Program Questions.

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 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 the budget document provided in GMS. Transfer the total of each budget category from the document into the budget tab. The budget document must be uploaded in the Documents tab and the budget amounts must match those entered in the Budget tab. The grant funds total must equal the Grant Funds Requested amount shown on the Detail tab.

Site(s) Tab
Add an entry for each grant project/site. List the site name, site type, the complete address, Environmental Protection Agency (EPA) ID or Solid Waste Information System (SWIS) numbers, as applicable. In the summary section, include the GPS coordinates, and identify whether you own or lease the property. If you lease the property, upload a copy of your lease agreement in the Documents tab of the application. See Lease Agreement for Facilities on Non-Owned Property in the Applicant's Documents section for more 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, 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."

After all the application documents are uploaded, return to the **Summary Tab** and print the **Application Certification** from the **Application Submission** section.

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 certain documents until the secondary due date.

Applications must be submitted no later than 11:59 p.m. on July 18, 2017. Customer service will be available until 4:00 p.m. on the application due date either by emailing grantassistance@calrecycle.ca.gov or calling (916) 341-6117.

Note: Applications that are not submitted by the due date will be automatically deleted from GMS.

APPLICATION DOCUMENTS

Electronic and Original Signatures

CalRecycle documents or forms that certify legally binding information require an original wet ink signature. If a signature block with penalty of perjury language is provided, please provide a wet ink signature. CalRecycle will accept electronic signatures on all other documents. If you have questions, email grantassistance@calrecycle.ca.gov.

CALRECYCLE DOCUMENTS

CalRecycle documents are 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. Unless a document specifies that it may be reproduced as necessary, **do not** alter CalRecycle documents. If you are having trouble with a document, please contact CalRecycle for assistance at grantassistance@calrecycle.ca.gov or call (916) 341-6117. Altered or reproduced CalRecycle documents or templates may result in automatic disqualification of your application.

Note*:* CalRecycle or ARB may make adjustments deemed necessary to correct GHG emission reductions calculations, figures, costs, etc. during the review and evaluation of submitted documents. Approved changes will be reflected in the grant agreement if awarded.

Application Certification

The Application Certification is a required application document that must be generate from GMS. After each tab of the application is complete and documents are uploaded, generate the Application Certification from the Summary tab. A wet ink signature from the authorized Signature Authority (identified in your resolution or letter of commitment) is required, then scan the document, upload it, and retain the original hard copy document.

ARB FY 2016-17 Waste Diversion GHG Emission Reduction Calculator Tool

The Waste Diversion GHG Emission Reduction Calculator Tool is a required application document and is located at Cap-and-Trade Auction Proceeds Quantification Materials under the Agency/Department name, Department of Resources Recycling and Recovery (CalRecycle). This calculator is an Excel spreadsheet that contains numerous tabs; select the Food tab for the Food Waste Prevention and Rescue Program. The purpose of this calculator is to estimate the GHG reductions, from the net tons of materials diverted to metric tons of carbon dioxide equivalent (MTCO2e) and the MTCO2e per grant dollar. Note that the calculation is based on net tons of material diverted, not gross tons. Determine if tons are from source reduction of food waste (food prevention) or edible food rescued. This is part of the scoring process.

Budget

The Budget document is a required application document. Provide a clear accounting of all costs associated with all infrastructure and programmatic/administrative activities necessary to complete the project. Indicate additional funding sources and your ability to commence

work on the project while waiting for grant payments in arrears. Budget line items should relate to Work Plan activities and information in the Project Narrative. The applicant may upload invoices and quotes to support costs listed in the budget. Below are some examples of expenses and how to classify them in your budget.

Budget Category Name	Examples
Admin	Indirect costs
Construction	Electrical, plumbing, engineering costs, site preparation, installation, , etc.
Education	Materials such as fliers, brochures, signs , etc.
Equipment	Cold storage, food preparation, vehicle, sorting equipment, Food recovery logistics software, food waste prevention software, etc.
Maintenance	Service/repair of related equipment and vehicles.
Materials	Packaging, crates/bins, gloves, boxes, liners, etc.
Personnel	Salaries

Payment for expenses associated with infrastructure and programmatic/administrative activities will only be made on a reimbursement basis. Applicant/grantee shall not incur costs prior to CalRecycle's issuance of the Notice to Proceed. Indirect costs include but are not limited to <u>operating and maintaining facilities, accounting services, and administrative salaries</u> ~~administrative costs associated with rent, utilities, insurance, audits, and legal assistance~~.

If applicant is also applying for a loan from CalRecycle's Greenhouse Gas Reduction Loan Program, funding from the loan program must be used for separate project components than funding from the grant program and applicant must explain, in the Narrative Proposal, how funding from the two programs will work together.

Disadvantaged Communities Summary
The Disadvantaged Communities Summary is a required application document for projects claiming [benefits to a disadvantaged community](#). It is used to determine if your project meaningfully addresses an important community need and provides direct, meaningful, and assured benefits to a disadvantaged community per the criteria established in Appendix 2.A of the *[Cap-and-Trade Auction Proceeds Funding Guidelines for Agencies that Administer California Climate Investments](#)*, December 21, 2015, (Funding Guidelines).

Disadvantaged communities are identified by CalEPA's October 31, 2014 identification based on [CalEnviroScreen 2.0](#). Projects claiming to benefit disadvantaged communities must be designed to avoid substantial burdens (e.g., displacement of low income disadvantaged community residents and businesses or increased exposure to toxics or other health risks). This is part of the scoring process.

Environmentally Preferable Purchasing and Practices Policy Notification
If you checked "No, our organization does not have an EPPP Policy", on the Detail tab of your application, your organization must adopt one by the secondary due date and upload the EPPP Notification document or your application will be disqualified. **Do not upload a copy of your organization's policy. Your policy does not replace the required EPPP Notification document.**

For more information, visit the [EPPP Frequently Asked Questions webpage](#).

Financial Narrative and Documentation
The Financial Narrative and supporting documentation are required application documents for **private, for-profit,** and **nonprofit organizations** only. They will be evaluated and analyzed only by CalRecycle's financial staff, kept confidential, and will be maintained with restricted access. The following documents will be require with application submittal.

- **Financial Narrative** – this document is located on the Summary tab in the Application Documents section in GMS.
  - Upload this document and select Financial Narrative as the document type.
- **Historical Financial Information** – choose one option below. Upload the documents and select Historical Financial Information as the document type
  - **Historical financial statements** for last three fiscal years and current year to date financial statement (include Balance Sheet, Income Statement, and Net Worth Reconciliation). **Or;**
  - **Federal income tax returns** for the past three fiscal years, including all schedules and notes. Provide extension, if applicable.
- **Projected financial statements** for three upcoming fiscal years, prepared on a quarterly basis (to include the following: Balance Sheet, Income Statement, plus a list of the assumptions under which the information was prepared).
  - Upload the documents and select Projected Financial Information as the document type.

After the documents are uploaded, using the document types listed above additional securities will automatically restrict access when selected.

CalRecycle will check credit references and verify information with any and all creditors, suppliers, and vendors. Information obtained will be kept confidential.

General Checklist of Business Permits, Licenses and Filings (CalRecycle 669)
CalRecycle 669 is a required application document. Check the appropriate box on **each** line of the form. It must be signed by the Signature Authority, scanned, and uploaded to the Documents tab along with copies of any documentation related to this form (i.e. Food Safety Certification, Solid Waste Facilities Permit, Water Quality Permit, Conditional Use Permit, Air Quality Permit, licenses and filings, letter describing what has been done to achieve full compliance). CalRecycle staff will use this information to determine your permitting, constructions, and start-up status.

Narrative Proposal
The Narrative Proposal is a required application document that describes the details of your proposed project. The response size for each section is limited to 4,000 characters and cannot be expanded. Utilizing a document form other than the official CalRecycle versions, tampering with the CalRecycle version, or otherwise circumventing imposed character limits may subject the applicant to disqualification.

Each section of the Narrative Proposal must have a response. Ensure your narrative responses are concise, detailed, and most importantly, address each of the criteria in the *[Food Waste Prevention and Rescue Grant Program - Scoring Criteria Fiscal Year 2016–17](#)*.

After you complete the Narrative Proposal, save it to your computer and then upload it to the Documents tab of your application. Make sure the information in the Narrative is consistent with, and relates to, work activities in the Work Plan and line items in the Budget.

Project Readiness and Permits
The Project Readiness and Permits document is only a required application document if the project requires CEQA review, Conditional Use Permit, and/or Solid Waste Facilities Permit. CalRecycle staff will use the document to assess the likelihood of your project being completed within the grant term.

Supplemental Business Information
The Supplemental Business Information is an *optional* document and will not be scored as part of your application. Completing this document may help CalRecycle provide your company with business assistance.

Net Tons of Newly Diverted Food Waste Prevented or Rescued from Landfills
The Net Tons of Newly Diverted Food Waste Prevented or Rescued from Landfills is a required application document used to provide the annual tons of materials expected to be prevented and/or rescued as newly diverted away from landfilling once the project is up and running. Although GHG reductions are the primary purpose of this program, all projects must show a measurable increase in new tons diverted. Please see Project Requirements section in this document for a definition of "newly diverted."

Work Plan
The Work Plan is a required application document. Include all procedures or tasks used to complete your project. Please ensure activities relate to line items in the Budget.

APPLICANT'S DOCUMENTS
Below is a list of documents that the applicant is responsible for preparing and uploading to their application. For examples of these documents, please see the **Resolution and Letter Examples** link found on the **Summary Tab** under **Resource Links**.

Lease Agreement for Facilities on Non-Owned Property
Applicants that want to establish facilities or expand existing facilities on property not owned by the applicant must prove a legally binding commitment. If an applicant is planning to lease buildings for any part of their submitted project, you are required to upload a copy of the long-term lease evidencing your commitment to utilize the facility for the purpose set forth in the grant and your commitment to utilize the facility as described in the application for life of facility. A copy of any agreement between the applicant and private owner must be uploaded in the Documents tab of the application.

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. Some publicly held businesses or private companies may be eligible to submit a Letter of Commitment instead of a Resolution. See the **Resolution and Letter Examples** link found on the **Summary Tab** for more information. CalRecycle staff are

available to answer questions about the Resolution or letter examples, or to review your draft Resolution to ensure it meets the requirements of the grant program. You may upload the Resolution to your application as a Draft Resolution or for immediate review email it to grantassistance@calrecycle.ca.gov.

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 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 Signature Authority by listing the job title of the person(s) authorized to sign all grant-related documents necessary to implement and closeout the grant(s).

(Optional but encouraged) The Resolution should authorize the Signature Authority to delegate his/her signature authority to another person identified by job title.

Note: The Signature Authority must sign a Letter of Designation **prior** to the Designee's exercise of his/her authority.

Regional Lead Application Requirements:
1. The Regional Lead Participant (Lead) must submit an approved Resolution that authorizes it to act as a lead for a regional program. This Resolution authorizes submittal of a regional application on behalf of the Lead and specifically named participants, and includes authorization letters from the participating jurisdictions authorizing the Lead to act on their behalf for this cycle.
2. If the Resolution is valid for more than one year, it is highly recommended a) that the list of participants be provided as an attachment rather than embedded in the Resolution, and b) that the Signature Authority be authorized to revise the list as necessary with each subsequent application (this allows a Signature Authority to add or remove regional participants with each new application without the necessity of obtaining a new Resolution).
3. Participants subject to a governing body must provide a Letter of Authorization to the Lead authorizing the Lead to act on its behalf for this cycle. Letters of Authorizations may be valid for as long as the Lead's Resolution, not to exceed five years, otherwise must be dated within the last 12 months, to the Regional Lead authorizing the Lead Applicant to act on its behalf for this cycle. Copies of the Letters of Authorization must be uploaded with the application by the secondary due date.

Cooperative Lead Application Requirements:
1. The Cooperative Lead Participant must submit an approved Resolution or Letter of Commitment (please see requirements for each type) that authorizes it to act as a lead for a cooperative program. The Resolution or Letter of Commitment shall also authorize the submittal of a cooperative application on behalf of the Lead and specifically named Participating Entities.

2. Participating Entities must provide a Letter of Authorization, dated within the last 12 months, to the Lead Participant authorizing the Lead Participant to act on its behalf for this cycle. Copies of the Letters of Authorization must be uploaded with the application by the secondary due date.

Letter of Commitment
Applicants that are not subject to a governing body must upload a Letter of Commitment that authorizes specific grant-related matters. It is due by the secondary due date or the application will be deemed incomplete and will be disqualified. Some publicly held businesses or private companies may submit a Letter of Commitment under the condition that the signatory is an individual authorized to contractually bind the applicant for the conditions of the grant award. The applicant/grantee must maintain the letter with the original signature in the grant file.
Letter of Commitment Requirements:
1. The letter must authorize submittal of the Food Waste Prevention and Rescue Grant Program application on behalf of applicant.
2. It must designate the job title of the person authorized to execute all grant documents necessary to secure grant funds and implement the approved grant project (Signature Authority). Include any persons from participating organizations and the specific signage authority they will have.
3. Optional. The letter may authorize the Signature Authority to delegate this authority (not required but encouraged).

Letter of Designation
A Letter of Designation is required ONLY when the authorized Signature Authority title identified in the approved Resolution or Letter of Commitment delegates his/her authority to another person. First, the approved Resolution or Letter of Commitment 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, signed by the Signature Authority, and include the information below.
- Identify the job title of the Designee and 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 or Letter of Commitment. For example, if the Resolution is effective until May 15, 2021, then the Letter of Designation may not be effective beyond May 15, 2021. If the letter does not identify a time period, the letter will follow the same time frame as the Resolution.

Letter of Authorization
For grants that allow for Regional applications, a Letter of Authorization may be used. It is prepared by the Participating Jurisdiction and gives the Lead Participant authorization to apply for and to act on its behalf in the implementation and administration of the grant/program. The Lead must upload the Letter of Authorization no later than the secondary due date or the Participating Jurisdiction(s) will be removed from the application. The Lead Participant must maintain the letter with the original signature in their file.
The letter must be on the Participant's official letterhead, signed by an individual authorized to contractually bind the Participating Jurisdiction, and include the information below.

- The letter may be valid for as long as the Lead's Resolution, not to exceed five years, otherwise must be dated within the last 12 months.
- It must authorize the Lead to submit a regional application and act as Lead Agency on behalf of the Participating Jurisdiction.
- It must authorize the Lead to execute all documents necessary to implement the grant.

Letters of Support

Letters of Support are optional. Applicants may include letters of support or endorsements from food generators/donors, local officials, regulatory/advisory agencies, business partners, environmental groups or others in support of the proposed project. For food generators/donors, it is encouraged to include information such as projected donation tonnages. If you have more than one letter of support, scan them all as one document and upload as one document.

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.

All applications will be evaluated and scored by a CalRecycle review panel based on a new scoring approach, Food Waste Prevention and Rescue Grant Program - Scoring Criteria Fiscal Year 2016–17. The same scoring criteria will be used for both large tier and small tier projects. Large tier projects will be scored together, and separately, from small tier projects. Small tier projects will be scored together. The new scoring approach, *Food Waste Prevention and Rescue Grant Program - Scoring Criteria Fiscal Year 2016–17* can be located on the **Summary** tab, in the **Resources Document** section.

All eligible applications will be ranked according to the total number of points received. An application may receive a maximum of 100 possible points, with a 70-point minimum score required to be considered eligible for funding. Concise applications with strong detail and justification, logical work plans and budgets, proven readiness to move forward, and the greatest plausible environmental benefits will earn maximum points. Applications receiving a passing score will be recommended for funding. Grant recommendations will be in rank order according to applicant's score (highest passing score to lowest passing score) until funds are exhausted. While it is not likely, if there are not sufficient passing applications, CalRecycle will resolicit the cycle.

Applicants who are also applying for a loan from the Greenhouse Gas Reduction Loan Program should note that loan applications will be evaluated competitively on a first-come, first served basis. The project must meet the minimum passing score based on the three scoring categories of the Food Waste Prevention and Rescue Grant Program - Scoring Criteria for fiscal year 2016–17 (greenhouse gas emission reductions, tons of food waste prevented or rescued, and community need.)

GRANT AWARD PROCESS

For qualifying applications, CalRecycle staff will develop funding recommendations for the consideration and approval of CalRecycle's Director, or their designee. CalRecycle will post a list of applicants that received a passing score (in alphabetical order) a month before the Public Meeting which is tentatively scheduled for October or November 2017. A list of those applicants being recommended for award, as well as applicants that passed but not enough funding was available, will be posted a week before this meeting. 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 or her Designee), must sign and return the Grant Agreement to CalRecycle. The signed Grant Agreement must be received by CalRecycle within 60 days of the date of the award email.

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
The Grant Agreement binds the grantee to CalRecycle's requirements as outlined in the Grant Agreement documents. An original signature is required on the Grant Agreement. We cannot accept an electronic signature. These documents shall guide the grantee's administration of the grant project.

Following CalRecycle's conditional approval of the grant awards, we will email grantees the information below.
- 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.
- Exhibit D – Approved Greenhouse Gas and Tonnage Numbers

REPORTING PROCESS
A Critical Project Review is required in the second quarter of 2018. If program staff conclude that you are not able to successfully complete your grant at any time, your grant may be terminated in accordance with the discretionary termination clause of the Terms and Conditions (Exhibit A).

Grantees are required to report on the progress of their grant on a quarterly basis. The Final Report is due on April 1, 2020. Detailed reporting information is included in the Procedures and Requirements (Exhibit B) of the Grant Agreement. The state has the right to review project documents and conduct audits during project implementation and over the project life (2017–2026).

PAYMENT REQUEST PROCESS
Eligible costs are authorized for reimbursement or payment upon the Grant Manager's approval of the Payment Request, and if required, the accompanying Progress/Final Report. Payment Requests must include itemized documentation of claimed expenses (e.g., itemized receipts and proof of payment of invoices), or verification of tonnage diverted from a landfill (i.e. Feedstock Certification, CalRecycle 778-GHG). CalRecycle will retain 10 percent of each approved Payment Request amount 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 and Requirements (Exhibit B) or failure to receive the Grant Manager's approval of these by April 1, 2020, may result in the nonpayment of otherwise eligible costs. Detailed payment information is included in the Procedures and Requirements (Exhibit B) of the Grant Agreement. Required documents and reports are subject to change due to Cap-and-Trade Auction Proceeds Funding Guidelines for Agencies that Administer California Climate Investments or legislative requirements.