

**EXHIBIT B  
PROCEDURES AND REQUIREMENTS**

**TIRE-DERIVED AGGREGATE (TDA) GRANT PROGRAM  
Fiscal Year 2019–20**

Copies of these Procedures and Requirements should be shared with BOTH the Finance Department AND the staff responsible for implementing the grant activities.

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## INTRODUCTION

The Department of Resources Recycling and Recovery (CalRecycle) administers the Tire-Derived Aggregate Grant Program. These Procedures and Requirements describe project and reporting requirements, report due dates, report contents, grant payment conditions, eligible and ineligible project costs, project completion and closeout procedures, and records and audit requirements.

This document is attached to, and incorporated by reference, into the Grant Agreement.

## MILESTONES

**Table 1. Milestones**

Date	Activity
<b>Notice to Proceed Date</b>	<b>Grant Term Begins</b> on the date the Notice to Proceed is emailed.
<b>April 1, 2021</b>	<b>Progress Report Due</b>
<b>April 1, 2022</b>	<b>Grant Term End. Final Report and final Payment Request Due</b>

## GRANTS MANAGEMENT SYSTEM (GMS)

GMS is CalRecycle's web-based grant application and grant management system. Access to GMS is secure; grantees must log in using a WebPass. WebPass accounts are tied to a specific email address. If an email address changes, or if it becomes inactive, the grantee must create a new WebPass account to continue accessing GMS. Establish or manage a WebPass at [CalRecycle's WebPass page](https://secure.calrecycle.ca.gov/WebPass/) (<https://secure.calrecycle.ca.gov/WebPass/>).

### Accessing the grant

Grantees must [log into GMS](https://secure.calrecycle.ca.gov/Grants) (<https://secure.calrecycle.ca.gov/Grants>) using their web pass. After login, locate the grant in the **My Awarded/Open Grants** table and select the **Grant Management** link. The **Grant Management Module** includes the following sections:

- **Summary tab** – shows approved budget, paid and remaining amounts. (This section is available to the grantee in read-only mode.)
- **Payment Request tab** – requests reimbursement.
- **Reports tab** – uploads required reports.
- **Documents tab** – uploads other grant documents that are not considered supporting documents to a payment request or a report. This section also provides access to documents that were uploaded within other sections of GMS.

Follow the instructions in GMS to work in the system. Use the information in the following sections to determine what reports, transactions, and supporting documents are required.

### Contact Updates

Access to the grant is limited to those listed in the **Contacts** tab of the **Application Module** with the access check box marked. A contact may be listed but not granted access by not checking the box. Please note, if a contact is granted access to a grant they will be able to edit contacts, submit payment requests, upload reports, and view all documents. Those with access may update contact information for all contact types

except Signature Authority. Email the assigned Grant Manager regarding any changes to Signature Authority information.

## **PRIOR TO COMMENCING WORK**

Prior to commencing work under this grant, the grantee's Grant Manager or primary contact and authorized grant Signature Authority should review the Terms and Conditions (Exhibit A) and the Procedures and Requirements (Exhibit B) to identify key grant administrative requirements. Evaluation of the grantee's compliance with these requirements is a major focus of grant audits.

### **Reliable Contractor Declaration**

Prior to authorizing a contractor(s) (or subcontractor) to commence work under this grant, the grantee shall submit to the Grant Manager a declaration from the contractor(s), signed under penalty of perjury, stating that within the preceding three (3) years, none of the events listed in [Section 17050 of Title 14](https://www.calrecycle.ca.gov/Laws/Regulations/Title14/) (<https://www.calrecycle.ca.gov/Laws/Regulations/Title14/>), California Code of Regulations, Natural Resources, Division 7, has occurred with respect to the contractor(s) or subcontractor(s).

If a (sub) contractor is placed on the [CalRecycle Unreliable List](https://www.calrecycle.ca.gov/Funding/Unreliability/) (<https://www.calrecycle.ca.gov/Funding/Unreliability/>) after award of this grant, the grantee may be required to terminate that contract. Obtain the Reliable Contractor Declaration form (CalRecycle 168) from [CalRecycle's form web page](https://www.calrecycle.ca.gov/Funding/Forms/) (<https://www.calrecycle.ca.gov/Funding/Forms/>).

A scanned copy of the signed Reliable Contractor Declaration form must be uploaded in GMS. To upload the form:

1. Go to the **Reports** tab.
2. Click on **Reliable Contractor Declaration** under **Report Type**.
3. Click the **Add Document** button.
4. Select Reliable Contractor Declaration in the **Document Type** drop down box, enter a document title, click the **Browse** button to search and upload the document, and then **Save**.
5. Click on the **Submit Report** button.

For further instructions regarding GMS, including login directions, see the section above titled Grant Management System.

## **GRANT TERM**

The Grant Term begins on the date of the Notice to Proceed email. Grant-eligible program expenditures may start no earlier than the date indicated in the Notice to Proceed. The Grant Term ends on **April 1, 2022** and all eligible program costs must be incurred by this date.

The Final Report and final Payment Request are due on **April 1, 2022**. CalRecycle recommends reserving the period from March 1, 2022 to April 1, 2022 exclusively for the preparation of the Final Report and final Payment Request, though they may be completed earlier.

## **PERMITTING**

The grantee is responsible for ensuring that the entire project, not just the portion reimbursed by this grant, is in compliance with all federal, state, and local laws and permitting requirements. The grantee is also responsible for ensuring that project

contractors and subcontractors have all necessary permits and licenses to perform the work for which they are hired, including, but not limited to, permitting by the appropriate Air Pollution Control District, Air Quality Management District, or other local air quality agency when required. Failure to comply with permitting requirements may result in denial of payment under this grant.

## **PROJECT REQUIREMENTS**

All projects are subject to the following requirements:

- Only California-generated waste tires, processed in California, must be used in the TDA portion of the project(s).
- The project(s) must be located in California.
- A combined minimum of 500 tons of TDA must be used in the project(s), with the exception of Low Impact Development projects, which must use a minimum of 200 tons of TDA in the project(s).
- Plans and specifications must be reviewed by CalRecycle staff and/or its contractor(s) prior to commencement of work. The project design plans must be uploaded in GMS at a minimum 50 percent design at the time of application submission and 100 percent design prior to the start of the project. The design plans must include: project costs (preliminary costs submitted with the application), the location of TDA placement, the type and quantity of TDA (initial estimate submitted with the application), and any analysis necessary to validate the design.
- Each project must incorporate technical assistance/training that will be provided by CalRecycle contractors and/or staff.
- The real property on which the project will be located must be owned by the grantee (or by a member of the grantee's JPA).
- If grantee's ownership of the property on which the project(s) is located does not provide complete and clear access to the project site(s), then prior to incurring any grant-eligible costs, grantee must obtain any and all access rights (e.g., easements) necessary to complete the project(s) within the grant term and shall ensure that such access extends to CalRecycle staff and/or its designated contractors for the purpose of observing the project, providing technical assistance and/or training during the grant term. Such access must be from the legal owner or his/her authorized representative.
- Reimbursement will not exceed the amount stated on the Grant Agreement Cover Sheet (CalRecycle 110).
- Construction of the TDA portion of any project must commence on or after the date indicated in CalRecycle's written Notice to Proceed and be completed by April 1, 2022.

Additionally, each of the following project requirements is specific to the individual types of projects as indicated:

- Landfill projects will not be reimbursed for use of more than 0.75 cubic yards (0.5 tons) of TDA per lineal foot of landfill gas collection or leachate injection line.
- A "Very Large Project" (VLP) is defined as using more than 400,000 passenger tire equivalents or 4,000 tons of TDA material. Landfill applications are not eligible for consideration as a VLP.

## **ELIGIBLE COSTS**

All grant expenditures must be for activities and costs specifically included in the approved Project Summary & Calculation sheet. To be eligible for reimbursement,

costs must be incurred after receiving a Notice to Proceed and before the end of the Grant Term. All services must be provided and goods received during this period in order to be eligible costs. Invoices for goods and services must be paid by the grantee prior to the inclusion of those goods or services on a payment request.

Eligible costs are direct cost for the TDA portion of the project only and are limited to the following:

- TDA material (purchase and transportation)
- Installation
- Testing
- Engineering/design work

Installation cost may be incurred by the grantee and the grantee’s contractor(s), but costs incurred by contractors are only eligible for reimbursement after payment has been made by the grantee. Eligible costs include personnel cost and equipment cost directly related to trenching/preparation, placement, and covering of the TDA material. Requirements for documentation supporting installation cost can be found in the “Cost and payment documentation” subsection under the Grant Payment Request and Documentation section.

One or more projects may be combined into a single grant. Testing costs are subject to a maximum of \$5,000 per project category, except for VLP (see “Project Requirements” for definition). Engineering/design costs are subject to a percentage of the combined total cost of TDA material, installation, and testing. For a single VLP, engineering/design and testing costs are subject to a percentage of the combined total cost of TDA material and installation. Refer to your approved Project Summary and Calculation sheet for your project category and maximum percentage.

**Table 2.** Engineering/Design Cost (and Testing Cost for VLP)

<b>Project Category</b>	<b>Maximum Percentage<sup>1</sup></b>
Lightweight Fill	50%
Vibration Mitigation	35%
Low Impact Development	15%
Landfill Application	10%

<sup>1</sup>Percentage of the combined total cost of TDA material, installation, and testing. For VLP, engineering/design and testing cost are subject to a percentage of the combined total cost of TDA material and installation only.

**INELIGIBLE COSTS**

Any costs not specifically included in the approved Project Summary and Calculation sheet and not directly related to the purchase and transportation of the TDA material, and the installation, testing, and engineering/design work for the project and the approved grant project are ineligible for reimbursement. Contact the Grant Manager if clarification is needed. Ineligible costs include, but are not limited to:

- Costs incurred prior to the date of the Notice to Proceed e-mail or after April 1, 2022.

- Costs incurred for projects that start construction of the TDA portion of the project prior to the date indicated in the Notice to Proceed, or end construction of the TDA portion of the project after April 1, 2022.
- Projects using TDA material that is not made from only California-generated waste tires processed in California.
- Projects using less than the minimum required total amount of TDA material as specified in Project Requirements.
- Other project-related costs, including, but not limited to, planning, permitting, environmental studies, and site preparation.
- Landfill projects that are currently underway or that have been completed at the same location within the same facility within three years of application.
- Use of shredded waste tires as alternative daily cover or alternative intermediate cover in landfill applications.
- Personnel costs, including fringe benefits, not directly related to installation, engineering, and testing of the TDA material.
- Overhead and indirect costs (including depreciation, etc.).
- Any other costs deemed unreasonable or unrelated to the purpose of the grant by the Grant Manager.

## **MODIFICATIONS**

Any proposed revision(s) to the Project Summary and Calculation sheet and/or Budget must be submitted in writing and pre-approved in writing by the Grant Manager prior to the grantee incurring the proposed expenditure. The request must include a revised Project Summary and Calculation sheet reflecting the change(s) from the Approved Project Summary and Calculation sheet that you obtain from the Grant Manager. The request must also include the reason for the change(s). Costs based on the proposed revisions may not be incurred until Grant Manager approval. If approved, the grant manager will upload the final revised Project Summary and Calculation and/or Budget to GMS. Proposed revisions may be submitted in conjunction with a Progress Report but cannot be submitted as part of the Progress Report. The approval document should be retained by the grantee for audit purposes. See Audit Record/Access section of the Terms and Conditions (Exhibit A).

## **ACKNOWLEDGEMENTS**

The grantee shall acknowledge CalRecycle's support each time projects funded, in whole or in part, by this Agreement are publicized in any medium, including news media, brochures, or other types of promotional materials. The Grant Manager may approve deviation from this requirement on a case-by-case basis where such deviation is consistent with CalRecycle's Communication Strategy and Outreach Plan.

By April 1, 2022, the grantee must list on their website, for a minimum period of one year, an acknowledgement of CalRecycle's funding and the waste tire diversion amounts for the project(s). The acknowledgement must include the following three required components:

1. Funded by grant from CalRecycle
2. CalRecycle Logo<sup>1</sup>
3. Number of California waste tires<sup>2</sup> diverted from the waste stream by this project

<sup>1</sup> The acknowledgement of CalRecycle's support must incorporate the CalRecycle logo. Initials or abbreviations for CalRecycle shall not be used. Information regarding logos are available in the [Image Gallery web site](https://www.calrecycle.ca.gov/Gallery) (<https://www.calrecycle.ca.gov/Gallery>). To

request permission to use the CalRecycle logo and receive copies of image files, please contact the [Office of Public Affairs](mailto:opa@calrecycle.ca.gov) (opa@calrecycle.ca.gov) or contact your Grant Manager.

<sup>2</sup> To determine the number of tires diverted, refer to the Tire-Derived Aggregate (TDA) Certification Form (CalRecycle 740-TDA) for the calculation formula. This is typically calculated after construction.

When the web site acknowledgement posting is problematic due to grantee-specific issues, the grantee may substitute signage as an alternative acknowledgement upon written pre-approval from the Grant Manager. The alternative must include the three required components listed above.

- [Tire-Derived Aggregate Signage](#) (<https://www.calrecycle.ca.gov/tires/grants/resources/#Signage>) placed in a prominent location at the project site(s), where it must be permanent for a minimum period of one year after project completion. If this alternative is used, a digital photograph of the signage at the project site must be provided with the final report.

## REPORTING REQUIREMENTS

A Progress Report and a Final Report are required by this Agreement; however, the Grant Manager may request a Progress Report at any time during the Grant Term. Failure to submit the Final Report with appropriate documentation by the due date may result in rejection of the Payment Request and/or forfeiture by the grantee of claims for costs incurred that might otherwise have been eligible for grant funding.

All reports must be uploaded in GMS. For further instructions regarding GMS, including login directions, see the section above entitled, Grant Management System.

To upload a report:

1. Go to the **Reports** tab.
2. Click on the appropriate Report Type.
3. Click on the **Add Document** button.
4. Choose the Document Type, enter a document title, click the **Browse** button to search and upload the document, and then **Save**.
  - Select the **Back** button to upload another document and continue the process until all required documents as listed below are uploaded.
  - The maximum allowable file size for each document is 35MB.
5. Click the **Submit Report** button to complete your report submittal. The **Submit Report** button will not be enabled until all required reporting documents are uploaded.

The reports must be current, include all required sections and documents, and must be approved by the Grant Manager before any Payment Request can be processed. Failure to comply with the specified reporting requirements may be considered a breach of this Agreement and may result in the termination of this Agreement or rejection of the Payment Request and/or forfeiture by the grantee of claims for costs incurred that might otherwise have been eligible for grant funding. Any problems or delays must be reported immediately to the Grant Manager.

## PROGRESS REPORT

The grantee must submit a **Progress Report** by **April 1, 2021**. This report should cover grant activities that occurred from the Notice to Proceed date through **April 1,**

**2021.** The Progress Report must be submitted even if no work has started on the project. The Progress Report must be prepared in the format specified below and uploaded into the GMS system. See “Reporting Requirements” section for instructions.

The report must address the work completed during the reporting period and be accompanied by all required supporting documentation, including pre-construction photographs. The Progress Report must include the following:

### **Progress Report Requirements (with no payment request)**

#### 1. Cover Page

- Name of the grantee
- Grant number
- Amount of grant award
- Dates of report coverage
- Report preparation date
- Disclaimer statement, as follows:  
“The statements and conclusions of this report are those of the grantee and not necessarily those of the Department of Resources Recycling and Recovery, its employees, or the State of California. The State makes no warranty, express or implied, and assumes no liability for the information contained in the succeeding text.”

#### 2. Project Summary and Status

Provide a brief description of the progress of the TDA grant project(s) including:

- Completed design plans
- Hired contractor(s)
- Approved, completed, and in-process project(s)
- The timeline for completion of remaining project(s)
- Results Achieved
- Problems encountered or anticipated
- Provide a brief description of any changes to the project and/or schedule including:
  1. Changes in grantee contact information
  2. Changes or modifications to the original project

If you choose to submit a payment request with the Progress Report, you must follow the following format and upload to the applicable event name in GMS.

### **Progress Report Requirements (with payment request)**

#### • Cover Page

- Name of the grantee
- Grant number
- Amount of grant award
- Dates of report coverage
- Report preparation date
- Disclaimer statement, as follows:  
“The statements and conclusions of this report are those of the grantee and not necessarily those of the Department of Resources Recycling and Recovery, its employees, or the State of California. The State makes no warranty, express or implied, and assumes no liability for the information contained in the succeeding text.”



- Table of Contents  
Identify report contents and corresponding page numbers.
- Project Summary and Status  
Provide a concise Executive Summary of the project(s). Within the narrative of the report, include the following information:
  - Project(s) location
  - Amount (tons) of TDA used in the project
  - General information (type of project, duration to construct, etc.)
  - Cost of TDA material (\$/ton)
  - Waste Tires Diverted Total number of California waste tires diverted from the waste stream as a result of the project's completion
  - As-built drawing(s), including survey information, certified by a Registered Civil Engineer, of the completed project, including any deviation from the CalRecycle initially approved design. Uploaded files cannot exceed 35 megabytes. If necessary, split documents/files and designate them with the document/file name and the extension "a," "b," etc.
  - TDA material graduation test, if performed
  - Laboratory analysis of all soil materials placed on site (if applicable)
  - Specification sheet for the Geosynthetic fabric wrap used to enclose the TDA cell
  - Lessons learned and any problems encountered
- Contractor Summary  
List of all contractors and subcontractors that supplied, transported, and/or installed TDA materials or that provided engineering/design or testing services for the project. For each contractor and subcontractor include the following information:
  - Name of Firm
  - Contact person
  - Address
  - Concise statement of work completed
  - Time period in which the work was completed
  - Amount paid
  - A copy of the Reliable Contractor Declaration (CalRecycle 168) required by Exhibit A – Terms and Conditions (Unreliable List) and filed for each contractor and subcontractor at the beginning of the project.
- Photographs (*uploaded separately in GMS*)  
For each project, provide two digital photos of the preconstruction and two digital photos of the completed project.
- Project Acknowledgement (*uploaded separately in GMS*)  
A copy of your internet web page (or alternative) project acknowledgement, including web address (URL). If signage alternative is used, a digital photograph of the signage at the project site must be provided with the report.

## FINAL REPORT

**The Final Report** is due **April 1, 2022**, however it may be submitted at any time after the project is completed, but must be submitted no later than **April 1, 2022**. This report should cover grant activities **from the Notice to Proceed through April 1, 2022**, or completion of project, whichever is sooner. **Failure to submit the Final Report with appropriate documentation by April 1, 2022, may result in rejection of the final Grant Payment Request and/or forfeiture by the grantee of any claims for reimbursement of otherwise eligible costs.**

The Final Report must be prepared in the format specified below and must be uploaded into the GMS system, see “Reporting Requirements” section for instructions; you may need to upload multiple documents to complete all the requirements listed below. If requested, the grantee shall make an oral presentation to CalRecycle. The Final Report must include the following:

1. Cover Page
  - Name of the grantee
  - Grant number
  - Amount of grant award
  - Dates of report coverage
  - Report preparation date
  - Disclaimer statement, as follows:  
“The statements and conclusions of this report are those of the grantee and not necessarily those of the Department of Resources Recycling and Recovery, its employees, or the State of California. The State makes no warranty, express or implied, and assumes no liability for the information contained in the succeeding text.”
2. Table of Contents  
Identify report contents and corresponding page numbers.
3. Project Summary and Status  
Provide a concise Executive Summary of the project(s). Within the narrative of the report, include the following information:
  - Project(s) location
  - Amount (tons) of TDA used in the project
  - General information (type of project, duration to construct, etc.)
  - Cost of TDA material (\$/ton)
  - Waste Tires Diverted - Total number of California waste tires diverted from the waste stream as a result of the project’s completion.
  - As-built drawing(s), including survey information, certified by a Registered Civil Engineer, of the completed project, including any deviation from the CalRecycle initially approved design. Uploaded files cannot exceed 35 megabytes. If necessary, split documents/files and designate them with the document/file name and the extension “a,” “b,” etc.
  - TDA material graduation test, if performed
  - Laboratory analysis of all soil materials placed on site (if applicable)
  - Specification sheet for the Geosynthetic fabric wrap used to enclose the TDA cell
  - Lessons learned and any problems encountered

4. Contractor Summary  
List of all contractors and subcontractors that supplied, transported, and/or installed TDA materials or that provided engineering/design or testing services for the project. For each contractor and subcontractor include the following information:
  - Name of Firm
  - Contact person
  - Address
  - Concise statement of work completed
  - Time period in which the work was completed
  - Amount paid
  - A copy of the Reliable Contractor Declaration (CalRecycle 168) required by Exhibit A – Terms and Conditions (Unreliable List) and filed for each contractor and subcontractor at the beginning of the project.
5. Photographs (*uploaded separately in GMS*)  
For each project, provide two digital photos of the preconstruction and two digital photos of the completed project.
6. Project Acknowledgement (*uploaded separately in GMS*)  
A copy of your internet web page (or alternative) project acknowledgement, including web address (URL). If signage alternative is used, a digital photograph of the signage at the project site must be provided with the final report.

#### **GRANT PAYMENT INFORMATION**

1. Payment to the grantee for eligible grant expenses is made on a reimbursement basis only and for only those materials and services specified in the approved Project Summary and Calculation sheet. **Reimbursement will be determined by the actual project cost, not to exceed the grant award amount.**
2. Reimbursement may be requested only twice during the Grant Term. In conjunction with (or after) submission of the Progress Report and in conjunction with the Final Report.
3. The grantee must submit the required Progress Report/Final Report, and the Grant Manager must approve the report prior to, or concurrent with, submission of the Grant Payment Request.
4. The grantee must submit a completed Grant Payment Request and provide supporting documentation as described in the “Payment Request and Documentation” section for completed project(s) only.
5. Grant payments will only be made to the grantee. It is the grantee’s responsibility to pay all contractors and subcontractors for purchased goods and services.
6. Ten percent of each approved Grant Payment Request will be withheld and retained until all conditions stipulated in the Agreement, including submission and Grant Manager approval of the Progress and/or Final Report, have been satisfied.
7. CalRecycle will make payments to the grantee as promptly as fiscal procedures permit. The grantee can typically expect payment approximately 45 days from the date a Grant Payment Request is approved by the Grant Manager.
8. The grantee must provide a [Reliable Contractor Declaration \(CalRecycle 168\)](https://www.calrecycle.ca.gov/docs/cr/funding/forms/general/calrecycle168.pdf) (<https://www.calrecycle.ca.gov/docs/cr/funding/forms/general/calrecycle168.pdf>) signed under penalty of perjury by the grantee’s contractor(s) and subcontractor(s) in accordance with the “Reliable Contractor Declaration”

provision of the Terms and Conditions (Exhibit A). The declaration must be received and approved by the Grant Manager prior to commencement of work. See “Reliable Contractor Declaration” provision in Terms and Conditions (Exhibit A) for more information.

## **PAYMENT REQUEST AND DOCUMENTATION**

Failure to submit the final Payment Request with appropriate documentation by the due date may result in rejection of the Payment Request and/or forfeiture by the grantee of claims for costs incurred that might otherwise have been eligible for grant funding.

Payment requests must be submitted in GMS. For further instructions regarding GMS, including login directions, see the section above entitled, Grant Management System.

To submit a Grant Payment Request:

1. Go to the **Payment Request** tab.
2. Click on the **Create a Payment Request** button.
  - Choose **Reimburse** for the Transaction Type and enter the amount spent in each budget sub category.
  - When the transaction is complete, click the **Save** button.
  - After the transaction is saved, the **Upload Supporting Documentation** button will appear in the lower right corner.
3. Click the **Upload Supporting Documentation** button.
  - Choose the Document Type, enter a document title, click the **Browse** button to search and upload the document, and then **Save**.
  - Select the **Back** button to upload another document and continue this process until all required supporting documents as listed below are uploaded.
  - The maximum allowable file size for each document is 35MB.
4. Click the **Submit Transaction** button, located on the transaction page, to complete your payment request. The **Submit Transaction** button will not be enabled until all required supporting documents are uploaded.

Note: Once a transaction is saved, select the transaction number from the Payment Request tab to access it again. Please do not create multiple transactions for the same requested funds.

### **Supporting Documentation**

- A. A scanned copy of the **Grant Payment Request form** (CalRecycle 87) with the signature of the signatory or his/her designee, as authorized by grantee’s Resolution or Letter of Commitment, must be uploaded to GMS.

Note: A designee may sign on behalf of the grantee if a) authorized by the Resolution or Letter of Commitment, and b) a Letter of Designation has been provided to the Grant Manager.

### **B. Cost and Payment Documentation**

Acceptable cost and payment documentation must include the following.

- a) Documents supporting TDA Material (purchases and transportation) are invoices, receipts, weight tickets, or approved progress payment authorizations. Documents must include the vendor’s name and telephone number, address, amount of TDA material produced for the project, description of goods or services purchased, amount due, and date. The claimed expenses should be highlighted and identified with applicable task number on each invoice.

b) Documents supporting Installation, Engineering, and Testing Cost are described below:

For grantees:

- i. a Personnel Expenditure Summary (CalRecycle 165) (PES) form must be submitted for grantee staff directly involved in TDA installation. PES forms are available at [CalRecycle's form web page](https://www.calrecycle.ca.gov/Funding/Forms) (<https://www.calrecycle.ca.gov/Funding/Forms>), in the General Grant Forms section.
- ii. a letter or an e-mail correspondence, indicating the total linear footage and the percentage representing installation cost.
- iii. grantee must retain payroll journal/registers and personnel time logs/timesheets for audit purposes, but do not need to submit them with a Payment Request.

For contractors:

- i. invoices and/or construction progress payment(s) (or equivalent), indicating unit (linear foot/yard, etc.) price and total number of units of installation activity work performed.
  - o if the above cannot be provided, grantee can submit a PES (CalRecycle 165) form as an alternative. PES forms are available at [CalRecycle's form web page](https://www.calrecycle.ca.gov/Funding/Forms) (<https://www.calrecycle.ca.gov/Funding/Forms>), in the General Grant Forms section.
- ii. a letter or an e-mail correspondence, indicating the percentage representing installation cost.
- iii. contractor must retain payroll journal/registers and personnel time logs/timesheets for audit purposes, but do not need to submit them with a Payment Request.

c) Proof of payment may include:

- i. copy of cancelled check(s) that shows an endorsement from the banking institution.
- ii. invoice(s) showing a zero balance, or stamped "paid" with a check number, date paid, and initials.
- iii. accounting system report from local government if it contains the vendor name, date of invoice, invoice number, check number or internal ID, and date amount was paid.
- iv. bank statement(s) along with a copy of the endorsed check or invoice showing the check number.
- v. copy of an electronic funds transfer confirmation.
- vi. copy of a credit card statement(s).

**C. Expenditure Itemization Summary (EIS)** (CalRecycle 861- EIS-TDA) – All expenditures must be itemized and arranged by the reporting and expenditure categories as contained in the grantee's approved Project Summary and Calculation. A sample is provided on the next tab of the document for your convenience.

**D. A scanned copy of the Tire-Derived Aggregate (TDA) Certification form** (CalRecycle 740-TDA). You must provide verification that only California-generated waste tires, processed in California were used in the project by signing and uploading this form via GMS. This form will be completed by your TDA Manufacturer or Contractor.

Provide copies of supporting documentation that validates only California-generated waste tires, processed in California were used for this grant project. Acceptable forms of supporting documentations include: Certificate of Compliance, Certificate of Origin, or Bill of Lading. Request your TDA Manufacturer to supply this document.

Refer to your contractors and subcontractors to determine who your TDA Manufacturer is for the project(s).

- E. **For private, for-profit grantees and non-profit organization grantees only**, an updated General Checklist of Business Permits, Licenses and Filings form (CalRecycle 669), available at [CalRecycle Grant Forms website](https://www.calrecycle.ca.gov/Funding/Forms) (<https://www.calrecycle.ca.gov/Funding/Forms>), in the General Grant Forms section.

**Note:** All supporting documentation must be maintained in accordance with the “Audit/Records Access” section of Exhibit A – Terms and Conditions.

All forms listed above can be downloaded from the [CalRecycle Grant Forms website](https://www.calrecycle.ca.gov/Funding/Forms) (<https://www.calrecycle.ca.gov/Funding/Forms>).

### **AUDIT CONSIDERATIONS**

The grantee agrees to maintain records and supporting documentation pertaining to the performance of this grant subject to possible audit for a minimum of three (3) years after final payment date or Grant Term end date, whichever is later. A longer period of records retention may be stipulated in order to complete any action and/or resolution of all issues which may arise as a result of any litigation, dispute, or audit, whichever is later.

Examples of audit documentation include, but are not limited to, competitive bids, grant amendments if any relating to the budget or work plan, copies of any agreements with contractors or subcontractors if utilized, expenditure ledger, payroll register entries, time sheets, personnel expenditure summary form, travel expense log, paid warrants, contracts and change orders, samples of items and materials developed with grant funds, invoices and/or cancelled checks. Please refer to the Terms and Conditions (Exhibit A) for more information.

### **ANNUAL SURVEY**

Post-grant term annual surveys are encouraged by this Agreement to help assess your long-term satisfaction with the TDA projects funded by this Agreement. The grantee must complete and submit an annual survey for the TDA Grant Program every year for five (5) years after the grant is closed.

You will be notified via e-mail once the [annual online survey](https://www.calrecycle.ca.gov/Tires/Grants/TDA/) (<https://www.calrecycle.ca.gov/Tires/Grants/TDA/>) is available.

**Note:** The link to the survey is only active during the survey period.