



March April 2020

Department of Resources Recycling and Recovery

# **Household Hazardous Waste Grant Program Application Guidelines and Instructions**

**35th Cycle (HD35) – Fiscal Year 2020–21**

**Small Projects Grant**

**Revised April 2020**

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# Grant Cycle Overview

The Department of Resources Recycling and Recovery (CalRecycle) offers the Household Hazardous Waste (HHW) Grant Program pursuant to Section 47200(a) of the Public Resources Code. The purpose of the grant is to assist local governments in implementing safe HHW programs, which may include public education, source reduction, reuse, recycling, load checking and collection components.

This resource document provides applicants with instructions to access and complete the application online and information about grant administration. The web-based application is in CalRecycle's [Grants Management System \(GMS\)](https://www.calrecycle.ca.gov/Funding/GMS/) (<https://www.calrecycle.ca.gov/Funding/GMS/>). You will need to sign into GMS to complete and submit an application.

## Timeline

Date	Activity
<b>March 11, 2020</b>	<b>Question and Answer Period</b> <ul style="list-style-type: none"> <li>• Questions may be submitted from application release date to this date</li> <li>• Questions must be submitted by email</li> </ul>
<b>March 17, 2020</b>	<ul style="list-style-type: none"> <li>• All answers will be posted (tentative)</li> </ul>
<b>April 6–<u>July 15</u>, 2020</b>	<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>
<b>April 30–<u>August 18</u>, 2020</b>	<b>Secondary Due Date</b> <ul style="list-style-type: none"> <li>• Approved Resolution must be uploaded in GMS by this date if it was not submitted with the application</li> <li>• Applicant must have an Environmentally Preferable Purchasing and Practices (EPPP) Policy by this date</li> </ul>
<b>July–<u>November</u> 2020</b>	<b>Grants Awarded</b> CalRecycle considers funding recommendations, and if approved, conditionally awards grants during this month (tentative)
<b>October 2, 2023<u>4</u></b>	<b>Grant Term</b> Notice to Proceed to this date
<b>October 2, 2023<u>4</u></b>	<b>Final Report and final Payment Request Deadline</b>

## 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 on the Detail tab of the application 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 an applicant or 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.

**Only one application per qualifying entity will be accepted.** Eligible applicants may submit an individual or regional application. One entity must be identified as the lead applicant to act on behalf of itself and its participating jurisdictions. The grants are available to:

- Local governments (cities, counties, and city, and counties) as defined in Public Resources Code section 30109 that have direct responsibility for HHW management.
- Regional or local sanitation agencies and waste agencies, having direct responsibility for HHW management.
- Joint Powers Authorities (JPA) if the JPA agreement includes solid and/or hazardous waste management responsibilities.
- Qualifying Indian Tribes with direct responsibility for HHW management. A “Qualifying Indian Tribe” is 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; or
  - (2) Can establish that it is a government entity and meets the criteria of the grant program.

If an applicant submits more than one application, it will be the applicant’s responsibility to decide which application should go forward. If the additional application(s) are not withdrawn, all applications from that applicant will be disqualified, and that applicant will be eliminated from any regional application of which it is a part. Applicants with open CalRecycle grants must be in good standing and comply with grant reporting requirements before they can receive an HHW grant.

## **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.

## **Eligible Projects/Products**

This grant cycle has been designed for smaller projects that complement existing and/or regional HHW programs in California. Grant applications must include one or more of

the following types of projects:

- HHW public education and outreach for general audiences (may include extended producer responsibility [EPR] information).
- Implementation of sustainable EPR collection opportunities, to include but not limited to:
  - Promotion of an ongoing retail take-back program such as batteries or fluorescent lamps at local hardware stores, businesses, or government facilities.
  - Promotional collection events hosted at businesses or government facilities.
  - Promotional public education and outreach materials specifically for local retail take-back programs.
- Project to:
  - Determine and implement the safest and the most cost-effective methods for collecting propane gas cylinders and/or marine flares.
  - Implement effective education programs and identify effective incentives that reduce the disposal of household hazardous waste. The incentives must be something reusable to replace HHW being disposed (does not include monetary or [Stuff We All Get](https://www.calrecycle.ca.gov/Funding/SWAG) (SWAG) (<https://www.calrecycle.ca.gov/Funding/SWAG>) incentives, rechargeable batteries, adapters, valves, caps or other accessories for refilling propane canisters).
    - i. Incentive costs of up to 20 percent of the approved Budget are eligible. Incentives cannot exceed \$20 (including sales tax) per item and no more than one per household may be distributed.
    - ii. If refillable propane cylinders are used as incentives, they cannot be larger than one pound.
- Set-up and operation of temporary or mobile collection program for one-day or multi-day collection events for the following, except for those materials that are currently covered by another recycling/collection program (e.g. [covered electronic waste](https://www.calrecycle.ca.gov/Electronics/RegInfo) [<https://www.calrecycle.ca.gov/Electronics/RegInfo>] cell phones, thermostat, etc.):
  - [Common HHW materials](https://www.dtsc.ca.gov/universalwaste/household-hazardous-waste) (<https://www.dtsc.ca.gov/universalwaste/household-hazardous-waste>) and [universal waste](https://www.dtsc.ca.gov/HazardousWaste/UniversalWaste/) (<https://www.dtsc.ca.gov/HazardousWaste/UniversalWaste/>).
  - Marine flares
  - Propane gas cylinders up to 5 gallons
  - Solar panels as a pilot project. Awardees are required to collect and report data on type/style of panels, manufacturer, volume, and the method of disposal. (**Note:** Review Department of Transportation rules and research costs during planning stage.)
- New or expanded curbside and/or door-to-door collection programs to allow for the collection of new and eligible HHW materials.
- Minor improvements to an existing HHW facility. (Examples include but are not limited to storage bins, signage, painting, paving, shelving, etc.)
- Purchase of personal protection equipment.
- 8-hour refresher Hazardous Waste Operations and Emergency Response Standards (HAZWOPER) training.

Projects that do not fall within one of these eight categories will not be eligible for grant funding.

## Available Funds

- \$ 1,000,000 is available for this grant cycle, fiscal year 2020–21, subject to funding availability.
- \$ 50,000 is the maximum available for individual grant awards.
- \$100,000 is the maximum available for the following applicants:
  - Rural area counties (must have a population of 200,000 or less)
  - Regional or JPA applicants

## Grant Term

The Grant Term begins on the date of the Notice to Proceed email and ends on October 2, 2023~~4~~. Eligible program costs must be incurred after the Notice to Proceed email and before October 2, 2023~~4~~.

The Final Report and final Payment Request are due on October 2, 2023~~4~~. CalRecycle recommends reserving the period from September 1, 2023~~4~~ to October 2, 2023~~4~~ 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.**

**Note:** “A cost is incurred at the time the grantee becomes liable for it. (e.g. the cost of a vehicle is incurred when the grantee becomes obligated to make payments on it, not when the actual payments are made)”

## 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 October 2, 2023~~4~~. (See “Grant Term” for additional information).

Eligible costs include, but are not limited to the following:

- HHW public education and outreach for general audiences (may include Extended Producer Responsibility (EPR) information).
- Implementation of sustainable EPR collection opportunities, to include but not limited to:
  - Promotion of an ongoing retail take-back program such as batteries or fluorescent lamps at local hardware stores, businesses, or government facilities.
  - Promotional collection events hosted at businesses or government facilities.
  - Promotional public education and outreach materials specifically for local retail take-back programs.
- Project to:
  - Determine and implement the safest and the most cost-effective methods for collecting propane gas cylinders and/or marine flares.
  - Implement effective education programs and identify effective incentives that reduce the disposal of household hazardous waste. The incentives must be something reusable to replace HHW being disposed (does not include monetary or [SWAG](#)).

(<https://www.calrecycle.ca.gov/Funding/SWAG>) incentives, rechargeable batteries, adapters, valves, caps or other accessories for refilling propane canisters).

- i. Incentive costs of up to 20 percent of the approved Budget are eligible. Incentives cannot exceed \$20 (including sales tax) per item and no more than one per household may be distributed.
  - ii. If refillable propane cylinders are used as incentives, they cannot be larger than one pound.
- Set-up and operation of temporary or mobile collection program for one-day or multi-day collection events. This includes promoting, handling, permitting, and disposal costs for the following, except for those materials that are currently covered by another recycling/collection program (e.g. [covered electronic waste](#) [<https://www.calrecycle.ca.gov/Electronics/RegInfo>], cell phones, thermostat, etc.):
    - [Common HHW materials](#) ([https://www.dtsc.ca.gov/HazardousWaste/Haz\\_Wastes\\_Home.cfm](https://www.dtsc.ca.gov/HazardousWaste/Haz_Wastes_Home.cfm)) and [universal waste](#) (<https://www.dtsc.ca.gov/HazardousWaste/UniversalWaste/>)
    - Marine flares
    - Propane gas cylinders up to 5 gallons
    - Solar panels as a pilot project (Note: Review Department of Transportation rules and research costs during planning stage.)
  - Set-up and operation of new or expanded curbside and/or door-to-door collection programs to allow for the collection of new and eligible HHW materials.
  - Minor improvements to an existing HHW facility. (Examples include but are not limited to storage bins, signage, painting, paving, shelving, etc.)
  - Purchase of personal protection equipment.
  - 8-hour refresher HAZWOPER training.
  - Indirect costs up to 10 percent of the total grant funds that have been reimbursed. For more detail on overhead/indirect costs, refer to Exhibit B - Procedures and Requirements.

## Ineligible Costs

Ineligible costs include, but are not limited to:

- Costs incurred prior to receipt of the Notice to Proceed email or after October 2, 2023~~4~~
- Any costs, such as equipment, maintenance, repairs, tools, supplies, or services not related to the approved project
- Any food or beverages (e.g., as part of meetings, workshops, or events)
- Costs currently covered by another CalRecycle loan, grant, grant cycle or contract
- Costs for planning and/or design of HHW facilities
- Ongoing costs to maintain an HHW program
- Developing or customizing school curricula
- Developing or expanding a permanent facility on non-government owned property
- Equipment or services not related to the project
- HAZWOPER 40-hour and 24-hour courses
- Honoraria, stipends, prizes, royalties, strictly promotional give-away items ([SWAG](#)) (<https://www.calrecycle.ca.gov/Funding/SWAG>), etc.

- Management, handling, disposal, or treatment of radioactive, explosives, or medical wastes, sharps, and pharmaceuticals
- Out-of-state travel
- Overtime costs/Compensated Time Off (except for local government staffing during specially scheduled evening or weekend events when law or labor contract requires overtime compensation)
- Personnel costs not related to the project
- Premiums or promotional items unless pre-approved in writing by the Grant Manager
- Pre-paid expenditures for future goods or services delivered beyond the end of the grant term
- Promotion of either brand-name product(s) or private businesses with grant funds
- Public education and outreach not related to the project
- Purchase or lease of land
- Remediation (any cleanup or restoration of polluted areas)
- Travel costs exceeding the state-approved rates for mileage, per diem, lodging, etc.
- For one-pound propane or marine flare projects, ineligible incentives include: monetary or incentives, rechargeable batteries, propane canisters/tanks over one pound, adapters, valves, caps or other accessories used for home refilling of propane canisters.
- Handling and recycling costs for HHW collected from commercial entities
- Propane fuel
- Costs deemed unreasonable or not related to the grant project by the Grant Manager

Prior to award, all questions regarding eligible/ineligible costs should be raised in the Question and Answer phase of the application period. After award, all questions should be directed to the Grant Manager. Detailed information is described in Exhibit B - Procedures and Requirements.

## **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 Purchasing and Practices (EPPP) Policy for their organizations. To see examples of existing EPPP Policies, visit the [Responsible Purchasing Network](http://www.responsiblepurchasing.org/purchasing_guides/all/policies/) ([http://www.responsiblepurchasing.org/purchasing\\_guides/all/policies/](http://www.responsiblepurchasing.org/purchasing_guides/all/policies/)), Environmentally Preferable Purchasing [Laws and Policies](https://www.calrecycle.ca.gov/EPP/LawPolicy/) (<https://www.calrecycle.ca.gov/EPP/LawPolicy/>), and [Tools and Resources](https://www.calrecycle.ca.gov/EPP/Resources/) (<https://www.calrecycle.ca.gov/EPP/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](https://www.usgbc.org/resources/leed-v4-building-design-and-construction-current-version) (<https://www.usgbc.org/resources/leed-v4-building-design-and-construction-current-version>).



- 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 and upload the EPPP Notification to the application.

For more information, visit the [EPPP Frequently Asked Questions webpage](https://www.calrecycle.ca.gov/Funding/EPPPQandA) (<https://www.calrecycle.ca.gov/Funding/EPPPQandA>).

## **Question-and-Answer Process**

Questions regarding the application and its requirements must be in writing and emailed to [grants@calrecycle.ca.gov](mailto:grants@calrecycle.ca.gov). Questions must be received by March 11, 2020 or they will not be accepted.

Periodically during the Question and Answer (Q and A) period, Qs and As will be posted on the Q and A website. The Q and 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 Qs and 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](#) (<https://www2.calrecycle.ca.gov/Forms/ContactUs/PublicRecordsRequest/>) 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 entire contents of your submitted application are subject to public records requests. This may include contact information, project summary, uploaded documents, and scoring information.

# 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 "Apply for a Grant" on the left. Open grant cycles are displayed in a table. Find Household Hazardous Waste HD35: FY 2020–21 and select "Start Application." A pop-up window will appear asking for contact information. You will automatically be added as the first contact and Primary Contact for the new grant application however, this can be updated later. The application then 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 HHW grant program.

Examples of disqualifications may 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

### 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.
- 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, Collaborative, 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 grant award amount of \$50,000 for individual applicants and \$100,000 for regional, rural, and JPA applicants. 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: Provide a brief description of your project (three to five sentences).
- 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 answer 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 top 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

Select the applicable budget category and enter a dollar amount and budget detail information as listed below. The Total must equal the Grant Funds Requested amount shown on the Detail tab.

### Admin Costs – Budget Category

In the Budget Detail section, type in the amount of Administration Costs and Overhead/Indirect Costs where applicable. Eligible costs are more fully explained in the Overhead/Indirect Cost section of the Procedures and Requirements. See the following example:

Budget Category: Admin Costs

\*  Budget Amount: 3000.00

Budget Detail: Administration Costs = \$2,000  
Overhead/Indirect Costs = \$1,000

## Site(s) Tab

All applications must contain project site(s) information. Enter the **Site Name**. Use the drop-down arrow of the **Site Type** and select **HHW Facility**. Type in the complete address and select the County. Enter the **Budget Amount** for this site and type a brief **Summary** of the project in the space provided. Repeat the steps above if you have multiple project sites.

## 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 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 ~~April 6~~ July 15, 2020. Customer service will be available until 4:00 p.m. on the application due date either by emailing [grantassistance@calrecycle.ca.gov](mailto:grantassistance@calrecycle.ca.gov) or calling Melissa Sanford at (916) 341-6104.

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](mailto:grantassistance@calrecycle.ca.gov).

## CalRecycle Documents

CalRecycle documents are on the Summary tab in the Application Documents section. To access a document, click on the link, open it up, fill it out, save it to your computer, and 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, email [grantassistance@calrecycle.ca.gov](mailto:grantassistance@calrecycle.ca.gov) or call Melissa Sanford at (916) 341-6104. Altered or reproduced CalRecycle documents or templates may result in automatic disqualification of your application.

## Application Certification

The Application Certification is a required application document that must be generated 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.

## Narrative Proposal

The Narrative Proposal is a required application document used to describe the details of your proposed project. The response size for each section is limited to a range of 2,500 characters and cannot be expanded. Utilizing a document form other than the official CalRecycle version, tampering with the CalRecycle version or otherwise circumventing imposed character limits will subject the applicant to disqualification from the HHW Grant Program.

Each section of this form must have a response. Ensure your narrative responses are concise, detailed, and most importantly, address each of the criteria below.

After you complete this document, use the “save as” command and save the file in the following format: **NP\_name of your organization\_HD35.pdf** (ex: NP\_CityofCalifornia\_HD35.pdf) then upload it within the Documents Tab.

## Work Plan

The Work Plan, a required application document, must list the major activities, steps or tasks necessary to implement and complete your project. Provide a logical timeframe in chronological order for all proposed grant activities. Utilizing a document form other than the official CalRecycle version, tampering with the CalRecycle version or otherwise

circumventing imposed character limits will subject the applicant to disqualification from the HHW Grant Program.

### **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 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](https://www.calrecycle.ca.gov/Funding/EPPPQandA) (<https://www.calrecycle.ca.gov/Funding/EPPPQandA>).

## **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**.

### **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 applications. See the **Resolution and Letter Examples** link 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](mailto:grantassistance@calrecycle.ca.gov).

**Note:** Some publicly held businesses or private companies with a governing body may submit a Letter of Commitment, see Letter of Commitment section below.

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 close-out 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 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 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. Copies of the Letters of Authorization must be uploaded with the application by the secondary due date.

#### **Joint Powers Agreement**

Joint Powers Authorities (JPA) must upload a copy of its joint powers agreement giving it authority to conduct the project, listing all member entities, and containing the signature of all members. Letters of Authorization are not required for JPA applicants.

#### **Letter of Commitment**

Applicants that are not subject to a governing body must upload a Letter of Commitment that authorizes specific grant-related matters. Some publicly held businesses or private companies with a governing body 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 Letter of Commitment is due by the secondary due date or the application will be deemed incomplete and will be disqualified. 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 HHW 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).
3. Optional. The letter may authorize the Signature Authority to delegate this authority.

#### **Letter of Designation**

A Letter of Designation is required only when the authorized Signature Authority title identified in the approved Resolution 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, 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 December 31, 2018, then the Letter of Designation may not be effective beyond December 31, 2018. If the letter does not identify a valid 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.

# 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.

Staff will review all applications to confirm project eligibility and evaluate the application narrative to determine if the application meets all requirements. A random selection process will be conducted if the cycle is oversubscribed. Applicants who did not receive an HHW small project grant award during the last three fiscal years will be given priority funding and awarded before those who did receive grant funds. Grant award information is available by accessing [CalRecycle's Grant and Payment Reports](https://www2.calrecycle.ca.gov/Funding/) (<https://www2.calrecycle.ca.gov/Funding/>).

## Grant Award Process

For qualifying applications, CalRecycle staff will develop funding recommendations for the consideration and approval of CalRecycle's Director, or their designee; this is tentatively scheduled for ~~July~~ November 2020. 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 must pay all outstanding debts due CalRecycle, or bring current outstanding payments owed to CalRecycle, within 60 days of the date of the award email.
- 2) 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.

**Failure to comply with either condition 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
- Attachment I – Forms Guide: For CalRecycle forms used throughout the Grant Performance Period

Note: See [CalRecycle Grant Forms Website](https://www.calrecycle.ca.gov/Funding/Forms/)

(<https://www.calrecycle.ca.gov/Funding/Forms/>) to download the forms.

## Reporting Process

Grantees are required to report on the progress of their grant (two Progress Reports and a Final Report are required). The Grant Manager may request status information at any time during the grant term. The Final Report is due on October 2, 2023~~4~~. Detailed reporting information is included in the Procedures and Requirements (Exhibit B).

## 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 Report. Payment Requests must include itemized documentation of claimed expenses (e.g., itemized receipts and proof of payment of invoices). 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 documents by October 2, 2023~~4~~, may result in the nonpayment of otherwise eligible costs. Detailed payment information is included in the Procedures and Requirements (Exhibit B).