

# **Exhibit B Procedures and Requirements Farm and Ranch Solid Waste Cleanup and Abatement Grant Program Fiscal Year 2020–21 (Cycles 70–72)**

**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 Farm and Ranch Solid Waste Cleanup and Abatement 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.

## Project Types

This document contains information applicable for all project types (Standard, Previously Remediated Sites, and Pilot Program grantees). Refer to the *Application Guidelines and Instructions* reference document for more information about each.

## Milestones

Date	Activity
<b>Notice to Proceed Date</b>	<b>Grant Term Begins</b> on the date the Notice to Proceed (NTP) is emailed.
<b>October 6, 2022</b>	<b>Pilot Program Grantees</b> <ul style="list-style-type: none"><li>• Deadline to submit the remainder of application documents for approval</li></ul>
<b>February 16 – March 16, 2023</b>	<b>Final Report and final Payment Request Preparation Period<sup>1</sup></b> (recommended timeframe if it is not completed earlier)
<b>March 16, 2023</b>	<ul style="list-style-type: none"><li>• <b>Grant Term End</b></li><li>• <b>Final Report and final Payment Request Due</b></li></ul>

## Grants Management System (GMS)

GMS is CalRecycle's web-based grant application and Grants 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/>).

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<sup>1</sup> CalRecycle will generally not grant extensions for submittal of the Final Report and final Payment Request. Failure to submit the Final Report and final Payment Request with appropriate documentation by March 16, 2023 may result in rejection of the Payment Request.

## Accessing the Grant

Grantees must [log in to 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.
- **Sites tab.** Lists approved project sites.

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.

## GMS Instructional Videos

GMS help videos with transcripts are available at the bottom of the [CalRecycle GMS webpage](https://www.calrecycle.ca.gov/Funding/GMS/) (https://www.calrecycle.ca.gov/Funding/GMS/):

- How to Submit a Payment Request
- How to Submit a Report
- How to Update Contacts
- How to Upload Grant Management Documents

# 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.

## Grant Term

The Grant Term begins on the date of the Notice to Proceed (NTP) email. Grant-eligible program expenditures may start no earlier than the date indicated in the NTP.

Grantees with "previously remediated sites" and those part of the "pilot program" have additional grant term instructions they must follow; see the *Application Guidelines and Instructions* reference document for specifics.

The Grant Term ends on [March 16, 2023](#), and all eligible program costs must be incurred by this date.

The Final Report and final Payment Request are due on March 16, 2023. CalRecycle recommends reserving the period from February 16, 2023 to March 16, 2023 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. Reference the Milestones section.**

## Previously Remediated Sites Grantees

1. In conjunction with the [NTP](#), the Grant Manager will confirm with the Grantee that they have all information needed for reimbursement, or request additional information required in the [Final Report](#) and/or final [Payment Request](#) that was not provided in the application.
2. The Grant Manager will send a [Grant Payment Request Form \(CalRecycle 87\)](#) [<https://www.calrecycle.ca.gov/Funding/Forms/>] for signature, and process the reimbursement payment once received.

## Pilot Program Grantees

1. Further approval (*Site Approval Form (checklist)*) is required in addition to the [NTP](#) for each site before cleanup may begin.
2. To receive the *checklist(s)*, the remainder of the application documents must be completed and uploaded before [October 6, 2022](#).
3. The list of required remaining Pilot Program application documents (and upload instructions) are available in the accompanying *Application Guidelines and Instructions* resource document.

## Reliable Contractor Declaration

Note: please upload for each contractor utilized.

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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/>), 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 Contractor List](#) (<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/>).

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

A scanned copy of the signed Reliable Contractor Declaration form must be uploaded in GMS. Upload this form in the same way a report would be uploaded. See the [How to Submit a Report/Photographs](#) section for uploading instructions.

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

## **Eligible Costs**

To be eligible for reimbursement, costs must be incurred after receiving an NTP and before the end of the Grant Term, March 16, 2023. 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.

All grant expenditures must be included in the approved Work Plan(s) and Budget(s).

Eligible costs include, but are not limited to:

1. Removal and disposal of solid waste, tires and related actions (marijuana grow sites and homeless encampments included)
2. Recycling (used oil, automotive batteries, tires, etc.)
3. Removal of Chlorofluorocarbons (CFC's) from appliances
4. Equipment rental and fuel
5. Mileage of up to 57.5 cents per mile (or the current rate in the State Administrative Manual)
  - a. Cleanup related activities only
6. Drainage control and grading improvement
7. Slope and foundation stabilization
8. Excavation

9. Revegetation to stabilize an area disrupted by remediation
  - a. [Compost and/or mulch](https://www.calrecycle.ca.gov/organics/compostmulch)  
(<https://www.calrecycle.ca.gov/organics/compostmulch>)
  - b. Cost must be incidental to the cost of the cleanup
10. Site security (gates, fencing protective/restrictive barriers, real/fake cameras, etc.)
  - a. Up to 15 percent (15%) of the grant funds expended
  - b. Approval in excess of this may be granted with appropriate justification
  - c. [Illegal Dumping Resources Toolbox](https://www.calrecycle.ca.gov/IllegalDump/)  
(<https://www.calrecycle.ca.gov/IllegalDump/>) available if needed
11. Public education/outreach
  - a. Must accompany one or more remedial actions listed above
  - b. Messaging must encompass illegal dumping
  - c. Cost must be incidental to the cost of the cleanup
12. Personnel costs for grant management, and the preparation of reports and payment requests.

## Ineligible Costs

Any costs not specifically included in the approved Budget and not directly related to the approved grant project/Work Plan are ineligible for reimbursement. Contact the Grant Manager if clarification is needed.

Ineligible costs include, but are not limited to:

1. Costs incurred prior to receipt of the [NTP](#), or after March 16, 2023.
  - a. [Previously remediated sites](#) and those that are part of the [pilot program](#) have additional instructions they must follow.
2. [Pilot program](#) grantees: “cleanup costs” incurred prior to receiving a Site Approval Form (checklist)
3. Any costs incurred for conditions for which the property owner(s), any resident, invitee, licensee, lessee, or person the property owner(s) purchased from or inherited from was responsible. (Note the “Eligible Projects” section in the *Application Guidelines and Instructions* resource document.)
4. Administrative (indirect) costs in excess of seven percent (7%) of the approved total cleanup costs expended. (Refer to the “Budget Form” section in the *Application Guidelines and Instructions* resource document.)
5. Costs currently covered by another CalRecycle funded loan, grant, or contract.
6. Goods and services paid for with grant funds that are received after March 16, 2023.
7. Profit or mark-up by the Grantee.
8. Wages paid to a landowner for time spent cleaning up his/her own property.
9. Purchase or leasing of land.
10. Cell phones, personal electronic assistance devices, and similar electronic and telecommunications devices, etc.
11. Clothing or footwear.
12. Removal, abatement cleanup or otherwise handling of “[hazardous substances](#)” (<https://www.govinfo.gov/content/pkg/USCODE-2018-title42/html/USCODE-2018-title42-chap103-subchapl-sec9601.htm>) [as defined in 42 U.S.C. Section

- 9601 (14)]; incidental amounts may be permissible. This can be paid for with other funds.
13. Transportation costs of used/waste tires hauled by an unregistered tire hauler. See [Waste Tire Hauler](#) section.
  14. Ground water remediation.
  15. Surface water or vadose zone monitoring systems.
  16. Operation and maintenance of any part of a leachate system.
  17. Extinguishing of underground fires.
  18. Closure activities (see [Section 20164](#) [[https://govt.westlaw.com/calregs/Document/IE6390BE05F6811DFBF66AC2936A1B85A?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=\(sc.Default\)](https://govt.westlaw.com/calregs/Document/IE6390BE05F6811DFBF66AC2936A1B85A?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default))] of Title 27, Division 2 of the California Code of Regulations).
  19. Any expense not deemed reasonable by the Grant Manager and/or not directly related to the implementation of the cleanup.
    - a. All expenditures must be included in the approved Work Plan(s) and Budget(s).
    - b. If an unforeseen “[modification](#)” is needed, you will need approval in advance from your Grant Manager.
  20. Any personnel costs not directly related to salaries and/or benefits.
  21. Any personnel costs incurred as a result of any employee assigned to the grant cleanup project for time not actually worked on the project (e.g., use of accrued sick leave, vacation).
  22. Overtime costs (except for extreme situations that have been pre-approved in writing by the Grant Manager).

## Administrative Costs

Administrative costs are often considered indirect costs, which are costs not capable of being assigned, or not readily itemized to a particular project or activity but considered necessary for grant performance and general business/organization operation. Examples include but are not limited to; a portion of rent, utilities, telephone bill, costs of operating/maintaining facilities, accounting services, administrative salaries, and/or indirect supervisory roles. Charge direct supervision under “Personnel”. As applicable, note [Personnel Expenditure Summary form \(CalRecycle 165\)](#) [<https://www.calrecycle.ca.gov/Funding/Forms/>] or an equivalent.

The “Administrative Costs” category is one of the five “Budget Categories” that make up the Budget Form(s) and Budget Tab. As needed, reference the *Application Guidelines and Instructions* resource document for more information.

As a reminder, **administrative costs shall not exceed seven percent (7%) of the “direct”/approved costs its takes for cleanup.** In other words, the amount allowed for administrative costs adjusts with the amount of grant funds expended. For example if a grantee requests the maximum seven percent (7%) in the budget but at the end of the grant term the site cleanup costs are less than the amount in the approved budget, the amount the grantee can claim for administrative costs goes down as well.

- Reference the “Budget Form” section in the accompanying *Application Guidelines and Instructions* resource document for the calculated breakdown.



## Generally Accepted Accounting Principles

Grantee's claimed Administrative costs must be consistent with Generally Accepted Accounting Principles (Accounting Principles). Grantee must uniformly apply the Accounting Principles to both grant-related activities and non-grant related activities. It is highly recommended that the Finance and/or Accounting Department verify compliance with this provision as this may be an audit inquiry. Retain your grant records for audit purposes.

1. Direct costs shall not be included as Administrative costs.
2. Supervision by Managers and Supervisors of personnel whose activities are directly related to the cleanup project can be included as Administrative costs but do not qualify as a direct charge to the grant. However, if a Manager or Supervisor performs an activity that is directly related to the performance of the grant (not supervision), costs associated with this activity may be included as a direct charge (personnel cost). Any such activity must be clearly supported by appropriate documentation.
3. All Administrative costs must be explained/justified and verified with supporting documentation.

## Costs Reminder

It is the Grantee's responsibility to ensure that all costs are eligible and appropriate by reviewing all documents, letters, e-mails, and other information updates supplied by CalRecycle, and consulting with the Grant Manager before incurring costs.

## Waste Tire Hauler

State law requires every person who transports 10 or more used/waste tires to hold a valid waste tire hauler registration, and comply with the provisions of the statewide [Used and Waste Tire Manifest Program](https://www.calrecycle.ca.gov/Tires/Haulers/) (<https://www.calrecycle.ca.gov/Tires/Haulers/>) managed by CalRecycle.

To locate a registered waste tire hauler in your area visit our [website](https://www2.calrecycle.ca.gov/Tires/Facilities/Search/) (<https://www2.calrecycle.ca.gov/Tires/Facilities/Search/>).

## Modifications

Any proposed revision(s) to the Work Plan and/or Budget must be submitted in writing and pre-approved in writing by the Grant Manager prior to grantee incurring the proposed expenditure. Proposed revisions must be clearly marked on the Work Plan and/or Budget and must be accompanied by a summary of proposed changes/modifications, including the justification(s) for the proposed changes. **Costs based on the proposed revisions may not be incurred until Grant Manager approval.** If approved, the grant manager will upload the final revised Work Plan 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(s) should be retained by the grantee for audit purposes. See Audit Record/Access section of the Terms and Conditions (Exhibit A).

# Reporting Requirements

A Progress Report and a Final Report, Grant Report, Weight Tickets and Tire Manifests, and “after” photographs 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, Grants Management System.

- To get started, navigate to the appropriate [Progress Report](#) or [Final Report](#) section to determine your submission. When applicable, do not forget to submit a [Grant Report Form](#) as well.

## How to Submit a Report/Photographs

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.

A report must be accurate and 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

A progress report is due with each payment request, thus the progress report form is combined with a Payment Request Checklist.

1. Use the (two-sided) [Payment Request Checklist and Progress Report Form \(CalRecycle 749\)](#) [<https://www.calrecycle.ca.gov/Funding/Forms/#Farm>] to cover all activities since the last report was submitted.
  - If only one payment request is submitted for the grant, only the [Final Report](#) is necessary.
2. If “cleanup costs” were incurred, consider submitting the [Grant Report Form\(s\)](#) in conjunction, which accounts for the type and amount of material removed.
3. Submit [Weight Tickets and Tire Manifests](#), as applicable.
4. Submit “After” [photographs](#), as applicable.

## Final Report

The Final Report is due **March 16, 2023**. This report covers grant activities for the entire grant term, and also includes a final Payment Request Checklist.

1. Use the (two-sided) [Final Payment Request Checklist and Final Report Form \(CalRecycle 750\)](https://www.calrecycle.ca.gov/Funding/Forms/#Farm) [https://www.calrecycle.ca.gov/Funding/Forms/#Farm].
2. Submit remaining/final [Grant Report Form\(s\)](#).
3. Submit [Weight Tickets and Tire Manifests](#)
4. Submit “After” [photographs](#)

## Grant Report Form

Always keep a record of the material removed from the site(s) and report this information using [Grant Report Form \(CalRecycle 248\)](#) [https://www.calrecycle.ca.gov/Funding/Forms/#Farm].

1. Submit this form with Progress Reports (when actual “cleanup costs” were incurred) **or** complete a final version(s) encompassing all removed material in conjunction with the Final Report.
  - Form(s) should be site specific.
2. Report accurately; form(s) should reflect [receipts/weights/manifests](#) submitted with the payment request(s).
3. Refer to the Site Characterization Form(s) upon completion and **note** significant discrepancies.

## Weight Tickets and Tire Manifests

These are required from each business (landfill, transfer station, metal recycler, etc.) documenting that the waste removed from the site was properly disposed or recycled. (Copies should be legible)

- For used/waste tires, include a tire manifest documenting delivery of the tires by a registered tire hauler to an authorized facility. See [Waste Tire Hauler](#) section for more information.

If this information is already incorporated in the [Payment Request](#), you may upload it to either the Payment Request tab or the Reports tab.

## Photographs

Upload photographs taken after the cleanup, demonstrating the site has been fully remediated. Per the accompanying *Application Guidelines and Instructions* resource document:

- Photos should be taken from a recognizable location so the “after” photos can match the same location as much as possible.

## Grant Payment Information

1. The grantee must have provided a signed [Reliable Contractor Declaration Form \(CalRecycle 168\)](#) [https://www.calrecycle.ca.gov/funding/forms] prior to commencement of work. See the [Reliable Contractor Declaration](#) section for more information.

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2. Payment to the grantee for eligible grant expenses is made on a reimbursement basis only, and only for approved materials and services.
3. A [Payment Request](#) may be submitted at any time during the grant term and there is no minimum amount that can be requested.
4. A [Progress Report/Final Report](#) is required for each Payment Request. The Grant Manager must approve the report prior to or concurrent with submission of the Payment Request.
5. The grantee may only submit [Payment Requests](#) for completed work.
6. 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.
7. Ten percent (10%) of each approved Grant Payment Request will be withheld and retained until submission and approval of the Final Report. All conditions stipulated in the Agreement need to be satisfied for Grant Manager approval.
8. 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.

## Payments Requests

The Farm and Ranch Grant Program offers two types of payment requests: [Reimbursement](#) and [Invoiced Payment](#) methods.

### Reimbursement Method

This is the standard/default payment method for this grant. Under this method, the grantee must pay all incurred costs first ("Proof of Payment" required) before submitting a Payment Request for reimbursement. The alternative method is *only* available to Resource Conservation Districts.

### Invoiced Payment Method

Enrollment is required. Except for the final Payment Request, this method allows the Resource Conservation Districts (RCDs) to submit Payment Requests for incurred, but unpaid expenses. Upon approval of the Payment Request by the Grant Manager, the RCD will receive the grant funds for approved costs minus the ten percent (10%) retention. When the RCD receives the grant check, they are required to pay in full **all costs owed, including those covered by the ten percent (10%) retention.**

1. Grantee must make *full* payment on all costs owed prior to submitting the next Payment Request.
2. The *Final Payment Request* cannot be processed as an Invoiced Payment (thus only through the [Reimbursement Method](#)).
  - All costs, including costs for goods and services, claimed in this Request must be paid for and received prior to submittal of the final Payment Request.
  - Provide the Final Report in conjunction. See the [Reporting Requirements](#) section for details.
3. The RCD is responsible for all costs incurred. In the event an incurred

cost is not eligible for payment under this Grant, it is the RCD's responsibility to satisfy the obligation.

### How to Enroll

Once all approvals have been received (reference the [Grant Term](#) section), contact the Grant Manager to obtain the Invoiced Payment Method form. The Grant Manager will confirm RCD "enrollment" once the form is received.

- Approval requires "authorized signature authority". Refer to the "Contacts Tab" section in the accompanying *Application Guidelines and Instructions* resource document 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.

- Use the [Progress Report Checklist](#) or [Final Report Checklist](#) in a conjunction with the [Supporting Documentation](#) section below to determine what is required for the given payment request.

Payment requests must be submitted in GMS. For further instructions regarding GMS, including login directions, see the section above entitled, [Grants Management System](#).

### How to Submit a 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 subcategory.
  - 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:
  1. Grant Payment Request form
  2. Expenditure Itemization Summary form
  3. Cost and Payment Documentation

**Important:** These documents must be uploaded separately. Choose the correct corresponding "Document Type".

**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**

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

#### **1. Grant Payment Request Form**

A scanned copy of the [Grant Payment Request form \(CalRecycle 87\)](https://www.calrecycle.ca.gov/Funding/Forms) [<https://www.calrecycle.ca.gov/Funding/Forms>] with the signature of the signatory or his/her designee, as authorized by grantee's Resolution.

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

- Refer to the "Applicant's Documents" section in accompanying *Application Guidelines and Instructions* resource document, as needed.

#### **2. Expenditure Itemization Summary Form**

- a. Complete an [Expenditure Itemization Summary form \(CalRecycle 224\)](https://www.calrecycle.ca.gov/Funding/Forms/#Farm) [<https://www.calrecycle.ca.gov/Funding/Forms/#Farm>] for every Budget Form affected.
  - i. Moreover, if the Payment Request is for the cleanup of more than one site, include an additional Expenditure Itemization Summary showing the entire amount spent for the current Payment Request on all grant related activities.
- b. This/these form(s) should reflect same line items on the approved Budget form(s).
- c. Itemize sufficiently to allow the Grant Manager to match a receipt/cancelled check to each expenditure
- d. All expenses claimed must adhere to the stipulations in the "[Grant Term](#)".
- e. Reminder: cap "[Administrative Costs](#)" category at seven percent (7%) or less of the approved cleanup costs expended.
- f. Complete a [Personnel Expenditure Summary form \(CalRecycle 165\)](https://www.calrecycle.ca.gov/Funding/Forms) [<https://www.calrecycle.ca.gov/Funding/Forms>] or an equivalent for the "Personnel" category and if applicable, the "Administrative Costs" category.
  - i. Required for all claimed personnel expenses for actual time spent on grant activities, and the actual amount paid to the employee.
  - ii. Multiple employees can be combined on one form; however, a total should be provided for each employee.

#### **3. Cost and Payment Documentation**

Acceptable cost and payment documentation must include at least one or likely both of each (letter a and b) of the following.

- a. "Cost" documentation may include:
  - i. Invoices, receipts, or purchase orders; must include the vendor's name and telephone number, address, 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. "Proof of Payment" documentation 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)

### **Invoiced Payment Method**

A legible copy of all invoices that support each incurred cost, even if it is unpaid. Note which expenses have been paid in full and which are waiting to be paid until payment is received from CalRecycle ("a." required, "b." submit before next payment request).

### **Reimbursement Method**

Legible copies of all invoices/receipts that support each purchase and show proof of payment (both "a." and "b."). Purchase orders alone are not sufficient to evidence incurred costs.

## **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.