



November 2020

Department of Resources Recycling and Recovery

Exhibit B

Procedures and Requirements

Recycled Fiber, Plastic, and Glass Grant Program

4th Cycle Fiscal Year 2019-20

Copies of these Procedures and Requirements must 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 Recycled Fiber, Plastic, and Glass 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

Notice to Proceed (NTP) Date: Grant Term and Grant Performance Period Begin on the date indicated in the Notice to Proceed.

June 15, 2021: Progress Report 1 Due. Covering activities from NTP to May 31, 2021.

September 15, 2021: Progress Report 2 Due. Covering activities from June 1, 2021 to August 31, 2021.

December 15, 2021: Progress Report 3 Due. Covering activities from September 1, 2021 to November 30, 2021.

March 15, 2022: Progress Report 4 Due. Covering activities from December 1, 2021 to February 28, 2022.

June 15, 2022: Progress Report 5 Due. Covering activities from March 1, 2022 to May 31, 2022.

September 15, 2022: Progress Report 6 Due. Covering activities from June 1, 2022 to August 31, 2022.

December 15, 2022: Progress Report 7 Due. Covering activities from September 1, 2022 to November 30, 2022.

February 28, 2023: Grant Performance Period Ends

March 1- April 3, 2023: Final Report Preparation Period. Covering activities from NTP to Grant Performance Period End (February 28, 2023).

April 3, 2023: Final Report and Final Payment Request Due

April 3, 2023: Grant Term Ends

Questions

Commencing execution of the Grant Agreement, all communication regarding your grant should be directed to your assigned Grant Manager. To find the email address and telephone number of your Grant Manager, follow the instructions below to access the grant. Your assigned Grant Manager is listed at the top of the screen.

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/>).

Accessing the Grant

Grantees must log into [GMS](https://secure.calrecycle.ca.gov/Grants) (<https://secure.calrecycle.ca.gov/Grants>) using their WebPass. After logging in, 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:** Grantee requests reimbursement.
- **Reports tab:** Grantee uploads required reports.
- **Documents tab:** Grantee uploads all other grant documents that are not 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:** Shows approved project sites.

Follow the instructions in GMS to work in the system. The following sections describe the reports, transactions, and supporting documents CalRecycle requires.

Contact Updates

Access to the grant is limited to those listed in the **Contacts** tab of the **Application Module** with the "Allow 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 the 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 or subcontractor to commence work under this grant, the grantee shall submit to the Grant Manager a declaration from the contractor or subcontractor, signed under penalty of perjury, stating that within the preceding three (3) years, none of the events listed in [California Code of Regulations, Natural Resources, Division 7](https://www.calrecycle.ca.gov/Laws/Regulations/Title14/) (https://www.calrecycle.ca.gov/Laws/Regulations/Title14/), has occurred with respect to the contractor or subcontractor. The grantee must submit this form for each contractor and subcontractor working under the grant.

If a contractor or subcontractor is placed on the [CalRecycle Unreliable Contractor 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 the contract. Obtain the Reliable Contractor Declaration form (CalRecycle 168) from [CalRecycle's Grant Forms web page](https://www.calrecycle.ca.gov/Funding/Forms/) (https://www.calrecycle.ca.gov/Funding/Forms/).

The grantee must upload a scanned copy of each signed Reliable Contractor Declaration form to 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 "Grants Management System" section (above).

Facilities on Non-Owned Property

A grantee establishing facilities or expanding existing facilities on property not owned by the grantee must have a legally binding long term commitment in place. If a grantee is leasing buildings for any part of the grant project, the lease must meet the requirements for developing a permanent facility on privately owned property (e.g. long-term lease evidencing commitment to utilize facility for purpose set forth in the grant; commitment to utilize facility as described in the application for life of facility)

Grant Term, Grant Performance Period, and Report Preparation Period

The Grant Term begins on the date of the Notice to Proceed (NTP) email, which is the formal notification from CalRecycle authorizing the grantee to begin the grant project, and ends on April 3, 2023. The grantee must make all grant-eligible program expenditures and incur all grant-eligible costs within this period. Expenditures made or costs incurred prior to the NTP date or after the end date are not eligible for reimbursement. Most costs are further limited during the Report Preparation Period (below).

The Grant Performance Period begins on the date of the Notice to Proceed Email and ends on February 28, 2023.

The Report Preparation Period is from March 1, 2023 to April 3, 2023. **Costs incurred to prepare the Final Report and final Payment Request are the only costs that are eligible for reimbursement during the Report Preparation Period.**

The Final Report and final Payment Request are due on April 3, 2023.

Project Requirements

Projects must be located in California and result in permanent, annual, and measurable:

1. Reductions in GHG emissions by producing an intermediate commodity and/or manufacturing a finished product with California-generated fiber, plastic, or glass compared to the existing practice of landfilling; **and**
2. Increases in quantity (tons) of California-generated fiber, plastic, or glass diverted from landfill disposal.

For the purposes of this program, “diverted” means the tons of materials that will be diverted from landfill disposal as a result of the project. “Finished product” is defined as a good or package in a form which requires no further processing or forming before it is offered for sale to an end-user. “Intermediate commodity” is defined as a material that is interchangeable with equivalent post-industrial or virgin commodities (such as plastic pellets, flake, paper rolls, or glass cullet) and is sold to a manufacturer or converter to use as feedstock to produce a finished product.

California Environmental Quality Act Compliance

Applicants shall complete all California Environmental Quality Act (CEQA) requirements for their project within three (3) months of the notice of award. The NTP will not be issued to the Grantee until CalRecycle has received notice of completion of all CEQA requirements from the lead agency. Failure to complete CEQA or failure to notify CalRecycle of such completion within the three-month timeframe may result in a termination of the award.

Eligible Costs

Grantees may incur eligible costs only during the Grant Term, which starts when the grantee receives a Notice to Proceed from CalRecycle and ends on April 3, 2023. See “Grant Term, Grant Performance Period, and Report Preparation Period” for additional

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

CalRecycle is allowing for up to \$120,000 to be budgeted for an Environmental Justice (EJ) Consultant to act as a liaison between the facility and the local community. The EJ consultant must be from the local community and should be bilingual in the language that would most benefit the community. This position could assist with; ongoing community engagement, identifying local needs, and developing a targeted hiring strategy.

Indirect Costs

Indirect costs can be claimed by the grantee. The following guidelines must be used when claiming these costs.

- **Total indirect costs shall not exceed five percent of the total grant award.** These costs are expenditures not capable of being assigned or not readily itemized to a particular project or activity, but considered necessary for the operation of the organization and the performance of the program. The costs of operating and maintaining facilities, accounting services, and administrative salaries (management not directly working on the grant project) are examples of indirect costs. All indirect costs charged to the grant must be associated with grant activities as shown in the approved Budget.
- Personnel costs associated with supervision performed by managers and supervisors is an indirect cost. However, if a manager or supervisor performs an activity that is directly related to the execution of the grant (not supervising staff working on the project), costs associated with this activity may be included as a direct charge. Such activity must be clearly supported by appropriate documentation and shall not be charged to the grant as an indirect cost.
- The grantee must maintain organized and accurate records that follow generally accepted accounting principles and leave an audit trail. The Grantee must provide access to all documents related to the grant program and fiscal operation of the grant program as deemed necessary by CalRecycle.

Ineligible Costs

Any costs not specifically included in the approved Budget and not directly related to Work Plan and the approved grant project are ineligible for reimbursement. The grantee should contact the Grant Manager if clarification is needed. Ineligible costs include, but are not limited to:

- Costs incurred prior to the date that CalRecycle sends the Notice to Proceed email or after the Grant Term end date or April 3, 2023.
- The purchase or retrofitting of vehicles or containers for collection of feedstock.
- Costs associated with projects that use pyrolysis, gasification, or other thermal processes to produce fuel, electricity, or heat.
- Collection/delivery/purchase of fiber, plastic or glass feedstock.
- Combined costs for permitting, public education/outreach, indirect costs, and salaries not related to construction or installation exceeding five percent of the total amount requested.

- Design and engineering costs exceeding five percent of total amount requested.
- The same activities or purposes already funded through other agencies using California Climate Investments (CCI) funds.
- Costs currently covered by another CalRecycle loan, grant, or contract, or covered by a grant or contract offered by another state agency.
- Environmental review for project permitting, including the preparation of Environmental Impact Reports or related documents.
- Purchase, rent, or lease of land or buildings.
- Travel costs exceeding the state-approved rates for mileage, per diem, lodging, etc.
- Purchases of offsets or allowances.
- Costs associated with the purchase of equipment and supplies that will not be under the direct control of a grantee.
- Costs deemed unreasonable or not related to the grant project by the Grant Manager.

Modifications

The grantee must submit any proposed revision(s) to the Work Plan and/or Budget in writing to the Grant Manager. The grantee may not incur costs or make expenditures based on the revision without first receiving the Grant Manager’s written approval. Proposed revisions must be clearly marked on the Work Plan and/or Budget and must be accompanied by a summary of proposed changes or modifications, including justification for the proposed changes. If approved, the grant manager will upload the final revised Work Plan and/or Budget to GMS and notify the grantee. The grantee may submit proposed revisions in conjunction with a Progress Report but they cannot be submitted as part of the Progress Report. The grantee should retain the approval document(s) for audit purposes. See the “Audit Record/Access” section of the Terms and Conditions (Exhibit A).

Acknowledgements

The grantee shall acknowledge CalRecycle’s support each time a project funded, in whole or in part, by this Agreement is publicized in any medium, including news media, brochures, or other types of promotional materials. The acknowledgement of California Climate Investments (CCI) and CalRecycle’s support must incorporate the appropriate logo. Initials or abbreviations for CalRecycle shall not be used. 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.

Publicity and Education

The following publicity-related materials and items require pre-approval from the Grant Manager prior to incurring the expense. Public service announcements require acknowledgements to CalRecycle that include publicity and education and outreach such as, but not limited to, the following:

- Brochures and pamphlets
- Fliers and posters
- All television, radio, video, and social media scripts
- Other outreach

All publicity and educational materials must include the following:

1. “Funded by a grant from the Department of Resources Recycling and Recovery

(CalRecycle) through California Climate Investments (CCI).” Exception: The acknowledgement line is not required on small items where space constraints would not allow for this line, or if it would interfere with the message.

2. CalRecycle logo – as reflected on the [CalRecycle website](https://www.calrecycle.ca.gov/gallery) (<https://www.calrecycle.ca.gov/gallery>): contact the CalRecycle Office of Public Affairs at opa@calrecycle.ca.gov (opa@calrecycle.ca.gov).
3. CCI logo – as reflected on the [California Climate Investments website](http://www.caclimateinvestments.ca.gov/logo-graphics-request/) (<http://www.caclimateinvestments.ca.gov/logo-graphics-request/>): info@caclimateinvestments.ca.gov (info@caclimateinvestments.ca.gov) or CCIPress@arb.ca.gov (CCIPress@arb.ca.gov).



Sample acknowledgement language:

[Insert grantee and project name here] located in [enter city] is being funded in part by CalRecycle’s Recycled Fiber, Plastic, and Glass Grant Program, a subset of California Climate Investments. CalRecycle funds paid for [enter grant expenses here] for the [enter project type here] facility in [enter location here]. California Climate Investments is a statewide program that puts billions of cap-and-trade dollars to work reducing greenhouse gas emissions, strengthening the economy, and improving public health and the environment— particularly in AB 1550 communities. The Cap-and-Trade program also creates a financial incentive for industries to invest in clean technologies and develop innovative ways to reduce pollution. For more information, visit [California Climate Investments](http://www.caclimateinvestments.ca.gov/) (<http://www.caclimateinvestments.ca.gov/>).

Retention of Public Education

For audit purposes, grantees are required to retain samples of all publicity and education materials for three years after the close of the Grant Term, or a longer period if warranted to resolve any issues with this grant. (See the Audit/Records Access Section in the Terms and Conditions (Exhibit A)).

Reporting Requirements

The Grant Agreement requires a Progress Report and a Final Report; however, the Grant Manager may require additional Progress Reports 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.

The grantee must upload all reports in GMS. For further instructions regarding GMS, including login directions, see the “Grants Management System” section (above).

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 the Grant Agreement and may result in the termination of the Grant Agreement, 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. The grantee must report any problems or delays immediately to the Grant Manager.

Some reported project information will be publicly available on the California Air Resources Board (CARB) website, including the amount of funding that is being spent on projects that benefit AB 1550 communities and maps that show the locations of these communities.

Coordination with California Air Resources Board

As part of project selection, monitoring, and ongoing reporting, CalRecycle will consult with the CARB to ensure that the GHG emission reductions quantification methodologies are as consistent as possible with methodologies used in other AB 32 program areas.

Electronic and Original Signatures

CalRecycle now allows for certified e-Signature or original wet signature on documents or forms that certify legally binding information.

Note: The e-Signature must be the Adobe Digital ID or through another certified digital signature program, and cannot be the “Fill and Sign” function within Adobe. Any documents using the “Fill and Sign” method will be considered as incomplete and may be sent back to the grantee.

If you have questions, email grantassistance@calrecycle.ca.gov (grantassistance@calrecycle.ca.gov).

Progress Report

The grantee must submit a **Progress Report using the Progress Report template provided by the grant manager each quarter, by the due date assigned in the Milestones**. This report should cover grant activities that occurred within that reporting quarter.

- Each grantee will receive a Progress Report template from their Grant Manager that must be used when submitting the Progress Report.

1. Performance Data

Provide both qualitative and quantitative data from the previous quarterly reporting period in a format approved by your CalRecycle Grant Manager. The

report must include how your project contributed to increased GHG emission reductions, tons diverted from landfill(s), and all benefits to AB 1550 communities. This will include a Performance Table that CalRecycle will provide to enter quantitative data. Reported outcomes must include all of the following:

- **California tons of fiber, plastic, or glass material newly diverted from landfill(s)**

Grantees must report the tons of material diverted that occurred in the previous quarter as a result of the project.

- Provide documentation that the project is utilizing feedstock generated in California that was previously disposed in landfills. This includes contracts, franchise agreements, or other verifiable documentation.
 - This documentation must demonstrate reduced tonnages of disposal that are a direct result of increased feedstocks for the project. Documentation may include weight receipts from certified scales, reports from haulers indicating feedstock tonnage and sources, pictures of incoming feedstock, and/or landfill receipts.
 - Discuss whether the current annualized throughput is sufficient to achieve the tons per year goals cited in the grant application. If not, discuss the specific steps that the grantee will take to increase throughput to those levels and the dates by which these steps will occur.
- The gross tons of fiber, plastic, or glass processed or used in manufacturing intermediate commodities and/or finished products for the quarter, using feedstock described above.
- The total tons of residual material (contaminants separated from the delivered feedstock) sent to the landfill or not used in the manufacturing of the finished product.
- The net tons of diverted material
 - Processed as part of the grant project and sold as feedstock, (e.g. plastic pellets, glass cullet, etc.) to a finished product manufacturer.
 - Actually used to manufacture, as part of the grant project, a finished product in California.
 - The net tons must equal the gross tons minus residuals that are landfilled or otherwise disposed of.
- The net tons of intermediate commodity and or finished products manufactured in California, using the feedstock described above, and the percentage of the total finished product that is comprised of diverted feedstock.

- **AB 1550 Community Benefits**

Grantees must report benefits to communities that occurred in the previous quarter as a result of the project. Identify any progress on new jobs created.

- Jobs:
 - Total number of jobs and the associated job classification/trade.
 - Number of project work hours for each job provided.
 - Job education and experience required to perform the activities undertaken by this job.
 - Average hourly wage for each job classification/trade.
- Description of the quality of the jobs provided including employer-paid

- health insurance, paid leave, and retirement plan.
- o Jobs provided to priority populations, if applicable:
 - Number of jobs provided to priority populations and the associated job classification/trade.
 - Number of project work hours for each job provided to priority populations and the associated census tract numbers.
 - Average hourly wage for priority populations for each job classification/trade.
 - Formal targeted hiring strategies used to direct opportunities to priority populations.
- o Job training:
 - Total number of people that completed job training and the associated job training classification/trade; and
 - The type of credentials earned (e.g. certifications, licenses, degrees).
- o Job training provided to priority populations, if applicable:
 - Number of people in priority populations that completed job training and the associated job training classification/trade; and
 - The type of credentials earned (e.g. certifications, licenses, degrees).
- o If this project provides other benefits to a community, discuss the types of benefits provided, the specific communities served, and your method for quantifying these benefits. Describe how the project benefits have addressed the community's need(s).
- o Describe how you have engaged the community within a half-mile radius of the facility project and along project truck routes, if applicable. Summarize the results of your outreach.

2. Performance Table

CalRecycle will provide a Performance Table for quantitative data related to diverted tons, GHG emission reductions, community benefits, including benefits to priority populations, and other grant performance data within the prior quarter. CalRecycle will develop a Performance Table for each grantee based on information submitted in the application, and work with the grantee to customize the table to meet quantitative reporting needs. The Performance Table will be finalized towards the beginning of the Grant Term and must be submitted in conjunction with each Progress Report to track quantitative data. The quantitative data includes, but is not limited to, feedstock type and quantity, GHG emissions reduced, quantity of end product, and AB 1550 community benefits. The quantitative data captured in the Performance Table is designed to support the qualitative claims being made in each Progress Report. The data captured in the Performance Table should be accurate and should not be estimated. (Required documents and reports are subject to change due to CARB Funding Guidelines).

3. Feedstock Certification

The Feedstock Certification **Form (CalRecycle 778-GHG) or other signed documentation certifying feedstock type and quantity** must be submitted in conjunction with the Performance Table. The documented tonnage in the Performance Table should match the documented tonnage in the Feedstock Certification documentation. It is the grantee's responsibility to ensure that documentation is accurate and complete for each processor, contractor, or hauler who has provided feedstock for the grant project. The Feedstock

Certification documentation must be signed by the processor, contractor, or hauler, as well as the grantee's Signature Authority.

4. **Pictures**

Provide digital images showing the progress of the grant project during the previous quarter. Photographs should be in PDF, JPG, or PNG format.

Note: If reimbursement is desired, refer to the "Grant Payment Request and Documentation" section for additional details.

CalRecycle staff may amend Performance Table and Progress Report questions and categories as needed. CalRecycle staff may schedule site visit(s) to verify any of the information submitted in the progress reports. Grantee must agree to accommodate site visit requests within 10 working days after the request is made.

Critical Project Review

A Critical Project Review may be scheduled by the Grant Manager in the second quarter of 2022. The review may be conducted via phone call or meeting. This review will cover activities **from the date of Grant Agreement execution to the date of the review**. During this review, the grantee will discuss the progress made on tasks included in the Work Plan and Budget. If the project hasn't started construction one year after award, CalRecycle may terminate the agreement.

The Grant Manager may schedule subsequent Critical Project Reviews at any time during the Grant Term. If it is determined by CalRecycle from the Critical Project Review that, at that time, the grant project is not meeting and is unlikely to meet certain milestones, CalRecycle shall have the right to terminate the Grant Agreement pursuant to the Terms and Conditions (Exhibit A) of the Grant Agreement. If the grant is terminated and has incurred any costs during the term, the grantee may be required by CalRecycle to return any previously reimbursed funds. Termination may result in forfeiture by the grantee of any funds retained pursuant to CalRecycle's 10 percent retention policy.

Final Report

The Final Report is due **April 3, 2023**. This report should cover grant activities **from the Notice to Proceed** date through the Grant Performance Period end date, **February 28, 2023**.

- Each grantee will receive a Final Report template from their Grant Manager that must be used when submitting the Final Report

Grant Payment Information

- Payment to the grantee for eligible grant expenses is made on a reimbursement basis only, and only for those materials and services specified in the approved grant Budget.
- Reimbursement may be requested quarterly during the Grant Term. In conjunction with (or after) submission of the Progress Report and in conjunction with the Final Report.
- The grantee must submit the required Progress Report/Final Report prior to or concurrent with submission of the Grant Payment Request. No reimbursement will be made prior to Grant Manager approval of the report.

- 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.
- CalRecycle will make grant payments to only the grantee. It is the grantee’s responsibility to pay all contractors and subcontractors for purchased goods and services.
- Joint Agreement Reimbursement: Lead entities for joint agreements are responsible for reimbursing all participants. When and if the participant(s) submits an invoice to the lead, the lead pays the participant, in full, directly. The lead then requests reimbursement from CalRecycle. CalRecycle can only reimburse invoices received from the lead entity directly, not from the participant(s).
- CalRecycle will withhold and retain 10 percent of each approved Grant Payment Request amount until all conditions stipulated in the Agreement, including submission and Grant Manager approval of the Progress and Final Reports, have been satisfied.
- 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 the Grant Manager approves a Grant Payment Request.
- The grantee must provide a [Reliable Contractor Declaration \(CalRecycle 168\)](https://www.calrecycle.ca.gov/Funding/forms/) (<https://www.calrecycle.ca.gov/Funding/forms/>) signed under penalty of perjury by the grantee’s contractors and subcontractors in accordance with the “Reliable Contractor Declaration” section of the Terms and Conditions (Exhibit A). The declaration must be received and approved by the Grant Manager prior to commencement of work. See the “Reliable Contractor Declaration” section 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.

The grantee must submit payment requests in GMS. For further instructions regarding GMS, including login directions, see the “Grants Management System” section (above). To submit a Grant Payment Request:

1. Go to the **Payment Request** tab.
2. Click on the **Create a Payment Request** button.
 - a. Choose **Reimburse** for the **Transaction Type** and enter the amount spent in each budget subcategory.
 - b. When the transaction is complete, click the **Save** button.
 - c. After the transaction is saved, the **Upload Supporting Documents** button will appear in the lower right corner.
3. Click the **Upload Supporting Documents** button.
 - a. Choose the **Document Type**, enter a **document title**, click the **Browse** button to search and upload the document, and then **Save**.
 - b. Select the **Back** button to upload another document and continue this process until all required supporting documents as listed below are uploaded.
 - c. 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.
 - a. **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

- **Grant Payment Request form** (CalRecycle 87)
 - A scanned copy 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.
- **Cost and Payment Documentation**
 - Acceptable cost and payment documentation must include at least one of each of the following.
 - 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 Work Plan task number on each invoice.
 - Proof of payment may include:
 - copy of cancelled check(s) that shows an endorsement from the banking institution
 - invoice(s) showing a zero balance, or stamped "paid" with a check number, date paid, and initials
 - 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
 - bank statement(s) along with a copy of the endorsed check or invoice showing the check number
 - copy of an electronic funds transfer confirmation
 - copy of a credit card statement(s)
 - The Grant Manager may require additional cost and payment documentation as necessary to verify eligible costs.
- **Expenditure Itemization Summary (EIS)** (CalRecycle 777).
 - All expenditures must be itemized and arranged by the reporting and expenditure categories as contained in the grantee's approved Budget and Work Plan.
 - Each EIS must be accompanied by supporting documentation for each line item expense (see below). The grantee should retain the original documents.
 - The EIS must include the following certification.
"I certify under penalty of perjury, under the laws of the State of California, that the above information is correct and that all funds received have been expended in accordance with the Grant Agreement."

- The certification must be dated and signed by the person authorized in the grantee's Resolution or Letter of Commitment. An EIS received without the signed certification will not be approved.
- **Personnel Expenditure Summary** (CalRecycle 165 or grantee's version).
 - Document personnel expenditures based on actual time spent on grant activities and actual amounts paid to personnel (these forms are not required if you have an alternate time reporting method pre-approved by your Grant Manager).
- **Travel Expense Log** (CalRecycle 246 or grantee's version).
 - Document costs related to travel and include supporting documentation.

All forms listed above are available from the [CalRecycle Grant Forms web page](https://www.calrecycle.ca.gov/Funding/Forms) (<https://www.calrecycle.ca.gov/Funding/Forms>).

Annual Survey

Post-Grant Term Annual Surveys shall be requested by CalRecycle or CARB to verify continuous progress of projects funded by the Recycled Fiber, Plastic, and Glass Grant Program. The grantee may be asked to complete and submit an Annual Survey for the Recycled Fiber, Plastic, and Glass Grant Program every year for three years after the end of Grant Term, based on the schedule below. Grantees that do not comply with the submission of requested Annual Surveys may be subject to exclusion of future grant award consideration. You will be notified via email once the annual online survey is available.

Annual Survey Schedule

- July 15, 2024: Survey period – End of Grant term – June 30, 2024
- July 15, 2025: Survey period – July 1, 2024 – June 30, 2025
- July 15, 2026: Survey period – July 1, 2025 – June 30, 2026

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. CalRecycle may stipulate a longer period of records retention 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 cancelled checks. Please refer to the Terms and Conditions (Exhibit A) for more information.