



June 2021

Department of Resources Recycling and Recovery

Exhibit B

Procedures and Requirements Farm and Ranch Solid Waste Cleanup and Abatement Grant Program

Fiscal Year 2021–22 (Cycles 73–75)

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 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 Site, and Pilot Program grantees). Refer to the accompanying *Application Guidelines and Instructions* resource document for more information about each.

Milestones

Date	Activity
Notice to Proceed Date	Grant Term Begins on the date the date CalRecycle emails the Notice to Proceed (NTP).
October 11, 2023	Pilot Program Grantees <ul style="list-style-type: none">• Deadline to submit the remainder of application documents for approval
February 14 2024– March 14, 2024	Final Report and final Payment Request Preparation Period¹ (recommended timeframe if it is not completed earlier)
March 14, 2024	<ul style="list-style-type: none">• Grant Term End• Final Report and final Payment Request due

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 in to GMS](https://secure.calrecycle.ca.gov/Grants) (<https://secure.calrecycle.ca.gov/Grants>) using their web pass. After logging in, locate the grant in the **My Awarded/Open Grants** table and

¹ 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 14, 2024 may result in rejection of the Payment Request.

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 and [Reliable Contractor Declaration](#) form(s).
- **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 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/>):

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

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.

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) resource documents 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 [section 17050 of Title 14](https://www.calrecycle.ca.gov/Laws/Regulations/Title14/) (<https://www.calrecycle.ca.gov/Laws/Regulations/Title14/>), California Code of Regulations, Natural Resources, Division 7, has occurred with respect to the contractor 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/>).

This information is also included in the "Reliable Contractor Declaration" section of the accompanying *Terms and Conditions* (Exhibit A) resource document .

The declaration must be received and approved by the Grant Manager prior to commencement of work. Please email the Grant Manager upon submittal.

The grantee must upload a scanned copy of each signed Reliable Contractor Declaration form in GMS. To upload the form:

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

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

Grant Term

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 [March 14, 2024](#). 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.

- “[Previously Remediated Site Grantees](#)” and “[Pilot Program Grantees](#)” have different or additional grant term instructions they must follow (see below).

The Final Report and final Payment Request are due on [March 14, 2024](#). CalRecycle recommends reserving the period from February 14, 2024 to March 14, 2024 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.

Previously Remediated Site Grantees

Grantees with “[previously remediated sites](#)” may be eligible for reimbursement on costs that are incurred prior to the date on the [NTP](#).

- Grantees cannot be reimbursed for time spent completing the application.

Reimbursement Payment

Reimbursement will be processed in conjunction with the [NTP](#), or shortly thereafter.

- The Grant Manager will confirm with the grantee that they have all information needed for reimbursement or request any additional information.
- The Grant Manager will send a “[Grant Payment Request Form](#)” for signature in order to process payment.

Pilot Program Grantees

In addition to the [NTP](#), further approval is required for sites submitted under the “[pilot program](#)” before cleanup may begin.

- Grantees must not incur any ‘cleanup costs’ until the [Site Approval Form](#) has been received (some administration costs may be permissible).

Site Approval (Form)

Grantees must submit the following items for each site by [October 11, 2023](#):

- Budget Form, Land Use/Zoning Designation, Photographs, Property Access Authorization and Non-Responsibility Affidavit, Site Characterization Form, Vicinity Map, Work Plan Form.

Use the “CalRecycle Documents” section in the accompanying *Application Guidelines and Instructions* resource document to determine what constitutes each item. All forms listed above can be downloaded from the [CalRecycle Grant Forms webpage](#) (<https://www.calrecycle.ca.gov/Funding/Forms>).

Submit items by email to the Grant Manager or upload them to the [Documents tab](#) (see “[Accessing the Grant](#)” section). If uploading items, notify the Grant Manager upon completion.

The Grant Manager will send a [Site Approval Form](#) by email upon approval of the site, then cleanup may begin.

Eligible Costs

Grantees may incur eligible costs only during the Grant Term, which starts when the grantee receives a Notice to Proceed (NTP) from CalRecycle and ends on [March 14, 2024](#), however grantees with “previously remediated sites” and those part of the “pilot program” have different or additional grant term instructions they must follow; see the “[Grant Term](#)” section in this document for additional information.

To be eligible for reimbursement, costs must be incurred after receiving an NTP 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, unless enrolled in the “[Invoiced Payment Method](#)”.

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

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

- a. Removal and disposal of solid waste, tires and related actions (marijuana grow sites and homeless encampments included)
- b. Recycling (used oil, automotive batteries, tires, etc.)
- c. Removal of Chlorofluorocarbons (CFC’s) from appliances
- d. Equipment rental and fuel
- e. Mileage of up to 56 cents per mile (or the current rate in the State Administrative Manual)
 - Cleanup related activities only
- f. Drainage control and grading improvement
- g. Slope and foundation stabilization
- h. Excavation
- i. Revegetation to stabilize an area disrupted by remediation.
 - [Compost and/or mulch](#)
(<https://www.calrecycle.ca.gov/organics/compostmulch>)
 - Cost must be incidental to the cost of the cleanup.
- j. Site security (gates, fencing protective/restrictive barriers, real/fake cameras, etc.)
 - Up to 15 percent (15%) of the grant funds expended.
 - Approval in excess of this may be granted with appropriate justification.
 - [Illegal Dumping Resources Toolbox](#)
(<https://www.calrecycle.ca.gov/IllegalDump/>) available if needed.
- k. Public education/outreach
 - Must accompany one or more remedial actions listed above.
 - Messaging must encompass illegal dumping.
 - Cost must be incidental to the cost of the cleanup.
- l. Personnel costs for grant management, and the preparation of reports and payment requests.

Ineligible Costs

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

Ineligible costs include, but are not limited to:

- a. Costs incurred prior to receipt of the [NTP](#) or after March 14, 2024.
 - “[Previously remediated site](#)” and those that are part of the “[pilot program](#)” have different or additional instructions they must follow.
- b. [Pilot program](#) grantees: cleanup costs incurred prior to receiving a [Site Approval Form \(checklist\)](#)
- c. 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. (Refer to the “Eligible Projects” section in the accompanying *Application Guidelines and Instructions* resource document.)
- d. Administrative (indirect) costs in excess of seven percent (7%) of the approved total cleanup costs expended. (Refer to the “Budget Form” section in the accompanying *Application Guidelines and Instructions* resource document.)
- e. Costs currently covered by another CalRecycle funded loan, grant, or contract.
- f. Goods and services paid for with grant funds that are received after March 14, 2024.
- g. Profit or mark-up by the Grantee.
- h. Wages paid to a landowner for time spent cleaning up his/her own property.
- i. Purchase or lease of land.
- j. Cell phones, personal electronic assistance devices, and similar electronic and telecommunications devices, etc.
- k. Clothing or footwear.
- l. 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.
- m. Transportation costs of used/waste tires hauled by an unregistered tire hauler. See “[Waste Tire Hauler](#)” section in this document.
- n. Ground water remediation.
- o. Surface water or vadose zone monitoring systems.
- p. Operation and maintenance of any part of a leachate system.
- q. Extinguishment of underground fires.
- r. 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).
- s. Any expense not deemed reasonable by the Grant Manager and/or not directly related to the implementation of the cleanup.
 - All expenditures must be included in the approved Work Plan(s) and Budget(s).
 - If an unforeseen “[modification](#)” is needed, you will need approval in advance from your Grant Manager.
- t. Any personnel costs not directly related to salaries and/or benefits.

- u. 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).
- v. 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 accompanying *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.

- Direct costs shall not be included as Administrative costs.
- 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.
- 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

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 explanation/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 accompanying *Terms and Conditions* (Exhibit A) resource document.

Reporting Requirements

The Grant Agreement requires a Progress Report and/or Final Report, Grant Report, 'after' photographs, and any applicable Weight Tickets and Tire Manifests; 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 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.

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

How to Submit a Report/Photographs

To get started, navigate to the appropriate "[Progress Report](#)" or "[Final Report](#)" section in this document (below) to determine what is needed for your submission. When applicable, do not forget to submit a "[Grant Report Form](#)" as well.

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.

Progress Report

A progress report is due with each payment request, thus the progress report form is combined with a [Payment Request Checklist](#).

- a. Use the (two pages) [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.
- b. If 'cleanup costs' were incurred, consider submitting the [Grant Report Form\(s\)](#) in conjunction, which accounts for the type and amount of material removed.
- c. Submit [Weight Tickets and Tire Manifests](#), as applicable.
- d. Submit 'After' [photographs](#), as applicable.

Final Report

The Final Report is due March 14, 2024. This report covers grant activities for the entire grant term, and also includes a final [Payment Request Checklist](#).

- a. Use the (two-sided) [Final Payment Request Checklist and Final Report Form \(CalRecycle 750\)](#) [<https://www.calrecycle.ca.gov/Funding/Forms/#Farm>].
- b. Submit remaining/final [Grant Report Form\(s\)](#).
- c. Submit [Weight Tickets and Tire Manifests](#)
- d. 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>].

- a. 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.
- b. Report accurately; form(s) should reflect [receipts/weights/manifests](#) submitted with the payment request(s).
- c. Refer to the Site Characterization Form(s) upon completion and note significant discrepancies.

Weight Tickets and Tire Manifests

Submit weight tickets and tire manifests 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 in this document for more information.

If tickets and manifests are already incorporated in the [Payment Request](#), uploading them to the Reports Tab is optional.

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 match the same location as the ‘before’ photos as much as possible.

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 application.
- The grantee may request reimbursement any time 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 is 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 work and/or 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.
- CalRecycle will withhold and retain 10 percent (10%) 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 Payment Request.
- The grantee must provide a [Reliable Contractor Declaration \(CalRecycle 168\)](#) (<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 accompanying *Terms and Conditions* (Exhibit A) resource document. The declaration must be received and approved by the Grant Manager prior to commencement of work.

Payments Request Types

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

Reimbursement Method

This is the standard/default payment method for the grant; the grantee fulfills/provides all required [Cost and Payment Documentation](#) (including “Proof of

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Payment”) when submitting Payment Requests.

Invoiced Payment Method

Enrollment is required. Except for the final Payment Request, this method allows Resource Conservation Districts (RCDs) to submit Payment Requests for incurred, but unpaid expenses (“Cost” documentation only; see [Cost and Payment Documentation](#) section). Upon approval of the Payment Request by the Grant Manager, the RCD will receive the grant funds minus the ten percent (10%) retention. When the RCD receives reimbursement, they are required to pay in full all “costs” owed, including those covered by the ten percent (10%) retention.

- Grantee provides “[Proof of Payment](#)” on “costs” owed prior to submitting the next Payment Request.
- The final Payment Request cannot be processed using the Invoiced Payment Method. The final Payment Request must be processed using the [Reimbursement Method](#), and “[Proof of Payment](#)” on the final Payment Request is required.
- 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.
- RCDs planning to submit just one final Payment Request would not enroll in this payment method.

How to Enroll

The grantee may contact the Grant Manager any time after the [NTP](#) has been received to obtain the Invoiced Payment Method form. The Grant Manager will confirm RCD ‘enrollment’ via email upon receipt.

- Approval requires authorization from the “Signature Authority”. Refer to the “Contacts Tab” section in the accompanying *Application Guidelines and Instructions* resource document for more information on signature authority.

Payment Request and Documentation

Part of the (two pages) [Progress/Final](#) Report, please complete the “Payment Request Checklist” portion in a conjunction with the [Supporting Documentation](#) section below to determine what is required for the given payment request.

- [Payment Request Checklist and Progress Report Form \(CalRecycle 749\)](#)
[<https://www.calrecycle.ca.gov/Funding/Forms/#Farm>]
- [Final Payment Request Checklist and Final Report Form \(CalRecycle 750\)](#)
[<https://www.calrecycle.ca.gov/Funding/Forms/#Farm>]

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).

How to Submit a Payment Request

Refer to the appropriate “Payment Request Checklist” in the [Payment Request and Documentation](#) section above while completing your 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.
 - 1 - [Grant Payment Request Form](#)
 - 2 - [Expenditure Itemization Summary Form](#)
 - 3 - [Cost and Payment Documentation](#)
 - a. **Important:** These documents must be uploaded separately. Choose the correct corresponding “Document Type”.
 - b. **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 webpage](https://www.calrecycle.ca.gov/Funding/Forms) (<https://www.calrecycle.ca.gov/Funding/Forms>).

1. Grant Payment Request Form

The [Grant Payment Request form \(CalRecycle 87\)](#)

[<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

Complete an [Expenditure Itemization Summary form \(CalRecycle 224\)](#)

[<https://www.calrecycle.ca.gov/Funding/Forms/#Farm>] for every Budget Form affected.

- Moreover, if the Payment Request is for the cleanup of more than one site, include multiple Expenditure Itemization Summary forms; one for each ‘site’ and a version which encompasses the ‘total’ costs of the Payment Request.
 - a. This/these form(s) should reflect same line items on the approved Budget Form(s).

- b. Itemize sufficiently to allow the Grant Manager to match a receipt/cancelled check to each expenditure.
- c. All expenses claimed must adhere to the stipulations in the “[Grant Term](#)”.
- d. Cost included in the “[Administrative Costs](#)” category may not exceed seven percent (7%) of the approved cleanup costs expended.

3. Cost and Payment Documentation

- Acceptable cost and payment documentation must include at least one or likely both of each (letters **a** and **b**) of the following.
 - a. “Cost” documentation may include:
 - 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.
 - b. “Proof of Payment” documentation 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).
- If applicable, complete a [Personnel Expenditure Summary form \(CalRecycle 165\)](#) [<https://www.calrecycle.ca.gov/Funding/Forms>] or an equivalent for the “Personnel” category and if applicable, the “Administrative Costs” category.
 - Required for all claimed personnel expenses for actual time spent on grant activities (‘direct’ costs).
 - Multiple people can be combined on one form; however, a total should be provided for each person.

Note: The Grant Manager may require additional cost and payment documentation as necessary to verify eligible costs.

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 CalRecycle’s support must incorporate the CalRecycle 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.

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 accompanying *Terms and Conditions* (Exhibit A) resource document for more information.