



Revised February 2024

Department of Resources Recycling and Recovery

# **Beverage Container Redemption Innovation Grant Program**

## **Application Guidelines and Instructions**

### **RIG1, Cycle 1, Fiscal Year 2022–23**

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# Grant Cycle Overview

The Department of Resources Recycling and Recovery (CalRecycle) offers the Beverage Container Redemption Innovation Grant Program pursuant to Assembly Bill (AB) 179 (Chapter 249, Ting, Budget Act of 2022). The purpose of the grant is to issue up to \$73,333,000 to support start-up costs for recycling programs, which shall be limited to recycling centers, mobile recycling, reverse vending machines, or bag drop programs. These funds are also available to existing recycling centers for the purpose of establishing mobile recycling to expand outreach. No more than 50 percent of these funds shall be used for any one type of program from the following list: mobile (satellite) recycling, reverse vending machines, or bag drops.

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

**Note:** The following terms used in this document are defined below, unless the context clearly indicates otherwise:

- “Applicant” refers to either the legal name of the entity that is legally responsible for grant administration and any entity that will receive and control grant funded equipment, if awarded, or to a person who is completing an application on behalf of the Applicant (this is usually the primary contact listed on the application, but could also be the secondary contact, signature authority, or consultant).
- “You” refers to a person who is completing the application on behalf of the Applicant.
- “Grantee” refers to an applicant after approval of grant award.

## Timeline

### **March 5, 2024: Questions and Answers Period Due Date**

- Applicants or interested parties may submit questions from the application release date to this date.
- Applicants or interested parties must submit questions by email.

### **March 12, 2024 (tentative): Questions and Answers Posted**

- CalRecycle will post all answers to questions on the CalRecycle website that were submitted during Question and Answer Period.

### **April 16, 2024: Application Due Date**

- Applicants must submit applications in GMS by 11:59 p.m. on this date.
- Customer service will be available until 4:00 p.m. on this date.

### **May 16, 2024: Secondary Due Date**

- Approved Resolution or Letter of Commitment and any other Applicant's Required Authorization Documents must be uploaded in GMS by this date if it was not submitted with the application.

### **August 2024 (tentative): Grants Awarded**

- CalRecycle considers funding recommendations, and if approved, conditionally awards grants during this month.

### **Notice to Proceed–April 1, 2026: Grant Term**

**For milestones that take place during the grant term, refer to the Procedures and Requirements document.**

## **Eligible Applicants**

California Labor Code section 1782 prohibits a charter city from receiving state funding or financial assistance for construction projects if that charter city does not comply with Labor Code sections 1770–1782. If any applicants or participating entities are charter cities or Joint Powers Authorities that include charter cities, the lead participating entity must certify on the Detail tab of the application that Labor Code section 1782 does not prohibit any included charter city from receiving state funds for the project described in this application. If it is determined after award that an applicant or participating entity is a charter city prohibited from receiving state funds for this grant project, the grant will be terminated and any disbursed grant funds shall be returned to CalRecycle.

Private entities must be authorized to conduct business in the State of California, by either being registered with the California Secretary of State as a business located in California, being registered as a foreign (out-of-state or out-of-country) business or processing a business license issued by a California city, county, or city and county.

Private, nonprofit entities, in addition to being registered with the California Secretary of State, must also be registered with the California Department of Justice, and appear on their Registry of Charitable Trusts. If a nonprofit entity is excluded from registering with the Department of Justice, proof must be provided with the application.

Eligible applicants include:

- **Dealers.** A retail establishment in an unserved convenience zone which offers the sale of beverages in beverage containers to consumers that is required to either redeem in store (Option A) or pay \$100 a day to CalRecycle (Option B). These entities are not required to be certified as a recycling center. All Dealers must submit an affidavit to CalRecycle that states they choose to redeem in-store prior to the issuance of the Notice to Proceed (NTP) email. Dealers may only apply for reverse vending machine (RVM) projects.
- **Existing Certified Recycling Centers.** An existing certified recycling center is defined as an operation certified by CalRecycle to accept empty beverage containers and pay a California Redemption Value (CRV) to consumers prior to the issuance of the NTP email.
- **New Recycling Center Businesses.** A new recycling center business is defined as an applicant who intends to apply for the grant and is eligible to become a

certified recycling center. This can include, but is not limited to, beverage dealers. A new recycling center must be certified prior to the issuance of the NTP email.

- **Community Service Programs (SP).** Community service programs are operated by a nonprofit/charitable organization with tax exempt status, or a city, county, or other public agency. SPs are not able to pay CRV. SPs may operate RVMs, engage in setting up drop-off bins at specific sites or collect from various locations such as schools, churches, or parks. Charitable organizations (e.g., environmental groups, community groups, and municipal governments) often become certified as a community service program as part of their fundraising efforts.

Organizational types within the four eligible applicants identified above include:

- **Nonprofit Organizations.** Nonprofit organizations (except private K–12 schools) registered with the federal government under 501(c)3, (c)6, or (c)10 of the Internal Revenue Code.
- **Local Governments.** California cities, counties, and other local government entities.
- **Private entities and for-profit businesses.**
- **Public colleges and universities.**
- **Qualifying Tribal Entities.** A “Qualifying Tribal Entity” is defined as a tribe, band, nation, or other organized group of community, residing within the borders of California, which:
  1. is recognized for special programs and services provided by the United States because of the status of its members as Native Americans; or
  2. can establish that it is a government entity, and which meets the criteria of the grant program.

## Individual Application

An Individual Application is one in which a single eligible entity will be responsible for grant implementation. The applicant in an Individual Application will be responsible for the performance of the grant and all related documentation. In addition, the applicant will be the only entity receiving any real or personal property that is purchased with grant funds.

## Joint Application

Entities may submit a Joint Application in which two or more eligible entities join together for the purpose of grant implementation. A Lead Participant must be designated to act on behalf of all Non-Lead Participants. The Lead Participant is the entity who will be responsible for the performance of the grant and all required documentation. All Non-Lead Participants are considered applicants and will be grantees should the application be awarded. CalRecycle will direct all official correspondence and grant payments to the Lead Participant. The Lead Participant is responsible for reimbursing Non-Lead Participants' costs prior to submitting a payment request to CalRecycle. All entities involved with a joint application will be required to execute a grant agreement.

## Joint Powers Authority Application Requirements

Joint Powers Authorities (JPA) may submit a grant application as an individual applicant. An entity may not submit an individual application if that entity is also a member of an applicant JPA. In addition to the requirements for an Individual Application, a JPA must upload a copy of its JPA Agreement.

The JPA Agreement must:

1. Give authority over solid waste management.
2. List all member entities.
3. Contain the signature of all members.

## Eligible Projects

Eligible projects include:

- **Mobile Recycling.** Defined as a recycling center that redeems empty beverage containers at more than one location and reports under a single certification identification (ID).
  - The expanded recycling services must not be within a served zone unless either of the following exceptions apply:
    - the applicant is the recycling center currently serving the zone;
    - and they are the sole recycling center within the zone.
- **Reverse Vending Machines (RVM).** Defined as machines that pay customers for beverage containers placed in the machine.
- **Bag Drop Programs.** Defined as a method of redemption offered by recycling centers where consumers redeem empty beverage containers by delivering the containers to stationary locations in a sealed bag, box, or other receptacle for the recycler to inspect and weigh at a time or location other than where the containers are redeemed.

## Available Funds

\$40,000,000 is available for this grant cycle, fiscal year 2022–23, including \$2,500,000 allocated for Community Service Programs (SP) and \$1,000,000 allocated for small Reverse Vending Machine (RVM) projects subject to funding availability.

Dealers, Existing and New Certified Recycling Centers (\$37,500,000 allocation):

- The minimum grant award amount is \$500,000. The maximum grant award is \$3,000,000.
- Small RVM Projects (\$1,000,000 allocation) - the minimum grant award is \$30,000. The maximum grant award is \$100,000.

Community Service Programs (\$2,500,000 allocation):

- The minimum grant award is \$30,000. The maximum grant award is \$300,000.

A single entity may submit multiple applications, but the entity may only receive up to \$9,000,000 in awarded funds.

**Note:** Non-infrastructure costs are limited to 20 percent of the total award amount. Combined costs, include but are not limited to, permitting, personnel, public

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education/outreach, indirect costs, office space, property lease, and general administrative costs not related to construction or installation, shall not exceed 20 percent of the total amount requested.

- (For Joint Applications: \$3,000,000 is the maximum available for the joint grant award, subject to funding availability.)

## **Grant Term**

The Grant Term begins on the date that CalRecycle sends the Notice to Proceed email. The Grant Term ends on April 1, 2026.

For detailed information about requirements within the grant term, refer to the Procedures and Requirements document.

## **Eligible and Ineligible Costs**

Grantees may incur eligible costs only during the Grant Term. For detailed information about eligible and ineligible costs, refer to the Procedures and Requirements document.

## **Questions and Answers Process**

Questions regarding the application and its requirements must be emailed to [BevContainerGrants@calrecycle.ca.gov](mailto:BevContainerGrants@calrecycle.ca.gov). CalRecycle must receive the questions by March 5, 2024, or the questions will not be accepted. In order to receive a response, a question must pertain to clarification of the application and the requirements in the application process. Any questions submitted pertaining to other elements of the grant will not be posted on the official Question and Answer web page.

Applicants or interested parties may access the Questions and Answers web page from the Notice of Funds Available web page or from the application. CalRecycle may group together similar or related questions and respond to them as one question and reword questions for clarity or remove identifying information. CalRecycle may update the Questions and Answers web page intermittently during the Questions and Answers period and post all Questions and Answers approximately one week after the deadline. The posted Questions and Answers are subject to updates, and it is the applicant's responsibility to check the Questions and Answers web page for the latest information.

## **Public Records Requests**

CalRecycle's policy is to make records requested by the public promptly available in accordance with the laws governing disclosure of records and information to the public. In general, all records in the possession of a state agency are public records subject to disclosure, unless a law provides that a particular kind of record or information is not a public record or is exempt or prohibited from disclosure.

Upon request, the entire contents of the submitted application are subject to public records requests. This may include contact information, project summary, uploaded documents, and scoring information. Public records may be requested from CalRecycle through the [California Public Records Act Requests web page](https://www2.calrecycle.ca.gov/Forms/ContactUs/PublicRecordsRequest/) (<https://www2.calrecycle.ca.gov/Forms/ContactUs/PublicRecordsRequest/>). If the



application contains restricted documents, the restricted documents are excluded from disclosure (delete if not applicable).

## **Public Records Request Waiver**

All records submitted to the department for work performed under the program and grant agreements, including, but not limited to, client lists, processing data, and any other information related to the project, shall be subject to release as public records. Notwithstanding Section 14554 of the Act, the department may release as public records any transaction data, volume data, customer counts, and redeemed beverage container data obtained from any of the project operators.

## **Confidentiality**

The following describes the treatment of certain confidential or proprietary information under the California Public Records Act (Government Code 7920.000 et seq.) and related regulations. It also describes how questions are resolved on whether information is truly confidential, the legal protections for confidential information, and internal and program procedures to maintain confidentiality.

### **Confidential or Proprietary Information**

Title 14 of the California Code of Regulations (14 CCR), [sections 17041–17046](https://www.calrecycle.ca.gov/Laws/Regulations/Title14/) (<https://www.calrecycle.ca.gov/Laws/Regulations/Title14/>), states that confidential or proprietary information shall include, but is not limited to:

- Personal or business-related financial data, customer client lists, supplier lists and other information of a proprietary or confidential business nature provided by persons in applications, reports, returns, certifications or other documents submitted to [CalRecycle] which if released would result in harmful effects on the person’s competitive position.
- Tax information prohibited from disclosure, pursuant to the Revenue and Taxation Code.

Accordingly, appropriate documents submitted with an application that are clearly marked, on each page, “confidential or proprietary information” will be treated by CalRecycle pursuant to the procedures set forth in 14 CCR sections 17041–17046. However, the law does not treat documents marked as “confidential or proprietary information” (such as sales brochures, promotional literature and other general non-financial documents) as confidential if they do not fall within the categories of protected financial documents listed above.

### **What if there is a question about what is confidential?**

If CalRecycle receives a request to disclose data claimed by the applicant to be confidential, CalRecycle would notify the applicant of the request and state that the documents were under review to determine whether information was correctly identified as “confidential.” If there was any question as to whether specific information was confidential, CalRecycle would contact the person(s) identified in the application to provide a justification and statement why the information is confidential. The process for evaluating confidentiality claims is set forth in section 14 CCR 17046.

**What procedures does CalRecycle have in place to ensure that confidential information is kept confidential?**

Confidential or proprietary information will be evaluated and analyzed only by CalRecycle staff, kept confidential, and will be maintained with restricted access. Grantee businesses agree to provide key financial information for three years to develop benchmarks to evaluate the program. Records no longer needed to provide the services offered under the grant program are periodically destroyed, when allowed by audit policies and state law.

# Application Instructions

## Application Access

The application is available in CalRecycle’s web-based Grants Management System (GMS). Access to GMS is secure; therefore, you must have a CalRecycle WebPass to log in to the system. Those who have not previously obtained a CalRecycle WebPass can create an account at the [CalRecycle WebPass page](https://secure.calrecycle.ca.gov/WebPass/) (https://secure.calrecycle.ca.gov/WebPass/).

To start an application:

1. Log in to [GMS](https://secure.calrecycle.ca.gov/Grants/) (https://secure.calrecycle.ca.gov/Grants).
2. Select **Apply for a Grant** on the left.
  - All open grant cycles are displayed in a table.
3. Find “Beverage Container Redemption Innovation Grant Program, RIG1 FY 2022–23” and select **Start Application**.
  - A pop-up window will appear asking for contact information. If you have an existing GMS Account, the information may be auto populated.
  - GMS will automatically add you as the Primary Contact for the new grant application; however, you may update this later.
4. Click **Save**.

## GMS Tabs - Application Contents and Instructions

The components of the application are divided into tabs. To fill out an application, click on each tab and complete the sections in each tab as required. General directions are on the top of each tab, and detailed information about the requirements for each tab is listed below.

The applicant is responsible for a complete application. This includes signing documents, uploading required documents, and submitting the application by the due date(s). Failure to do so will result in disqualification from the Beverage Container Redemption Innovation Grant Program.

Examples of disqualifications may include:

- Applicant does not meet the eligibility requirements.
- Project is not eligible.
- Applicant fails to use required CalRecycle documents or forms.
- Applicant uploads incomplete or blank documents to the Documents tab.
- Signature Authority fails to sign Application Certification or any document that requires a signature.
- The online application is incomplete or missing information.

### Summary Tab

This tab provides a summary of the application, due dates, resource documents and links, application documents, and the Application Submission section. It is the applicant’s responsibility to submit all required documents, based on the particular grant application/project, by the appropriate due date.

## **Applicant/Participant Tab**

The applicant name is the legal name of the entity that is legally responsible for grant administration, if awarded.

1. Select the **Add Applicant/Participant** button and type in the **Applicant Name** and **County**. Do not enter your personal name.
2. Search the table for the correct applicant name and select **Add Applicant/Participant**.
3. Choose the **Lead Participant** radio button and click **Save**.
  - Every application must have a Lead Participant even if it is an individual application with no Non-Lead Participants.

If the Participant Search List does not contain your Applicant/Participant name:

1. Click on **Add New Applicant/Participant**.
2. Enter the **Applicant/Participant Name** as it appears on the Resolution or Letter of Commitment. Do not include the department or unit name. Do not enter your personal name.
  - List county names with the name first followed by the word “County,” e.g., “Sacramento County.”
  - List city names as “City of” followed by the city’s name, e.g., “City of Sacramento.”
3. Complete all required fields then click **Save**.

For Joint or Joint Powers Authority Applications, add the name of each eligible Non-Lead Participant and select the Participating Jurisdiction radio button.

For a list of eligible applicants, please see the Grant Cycle Overview section titled “Eligible Applicants.”

## **Detail Tab**

Complete this tab as follows:

1. Enter a dollar amount in the **Grant Funds Requested** field. Please round all amounts to the nearest whole dollar.
  - a. For Dealers, Existing and New Certified Recycling Centers, do not exceed the maximum grant award amount of \$3,000,000 and \$100,000 for small RVM projects.
  - b. For SP, do not exceed the maximum grant award of \$300,000.
2. Enter the **Assembly Districts and Senate Districts**. To select more than one district hold the “Ctrl” key while selecting the numbers.
3. For advance payments only: To request an advance of grant funds, check the **Request Advance Payment** box. If you are electing to receive a reimbursement payment, skip this section.
4. Enter the applicant’s **Department Name**, e.g., “General Services.” If the applicant does not have a department, enter the applicant’s name.
5. Enter the grant payment mailing address.
6. **Project Summary/Statement of Use**: Provide a brief description of 4–5 sentences of the proposed project.

7. Select the appropriate option for the Resolution or Letter of Commitment Requirement and optional Letter of Designation.
8. Select the appropriate answer for Program Questions.

### **Contacts Tab**

CalRecycle requires the application to have only one Primary Contact and at least one Signature Authority. Each application contact may be granted access by checking the box on the top of the contact's detail screen. The contact will be able to log in to GMS using their own CalRecycle WebPass and access the application.

**Note:** CalRecycle requires a valid email address for the Signature Authority in order to route the Grant Agreement, if awarded.

- **Primary Contact.** One person who the Signature Authority or their designee has authorized to manage and oversee the grant. This person will be the first contact with whom the Grant Manager will communicate.
- **Signature Authority.** The person(s) authorized to sign CalRecycle documents, such as grant applications, grant agreements, etc., as authorized by a board/council-adopted Resolution, Letter of Designation, or Letter of Commitment (if applicable).
- **Secondary Contact.** A person authorized (by the Primary Contact or Signature Authority or their designee) as the alternate person with whom the Grant Manager will communicate. (Not required.)
- **Consultant.** A professional who provides advice in an area of expertise. If CalRecycle awards a grant to the applicant, the consultants may manage the grant or only conduct specific activities, based on a written agreement between the applicant and the consultant outlining work to be performed. (Not required.)
- **Participant Signature Authority.** (Applicable to Joint Applications only) The person(s) authorized to sign documents on behalf of their organization, as authorized by a Letter of Commitment, Resolution, or Letter of Designation.

### **Budget Tab**

Select the applicable budget category and enter a dollar amount and budget detail information as listed below. The total must equal the Grant Funds Requested amount shown on the Detail tab. The Budget Tab must reflect what is in the Budget Excel Document.

- Administrative Costs (Operating Expenses)
- Education
  - Public Education and Outreach - (e.g., workshops, public meeting, town halls, public events, etc.)
  - School Education - (e.g., assemblies, curriculum/guides, school events)
  - Media - (e.g., television, website, radio, scripts, instructional videos)
  - Materials - (e.g., booklets/brochures/flyers, etc.)
- Equipment
  - Software – (Must have direct nexus to equipment)
- Personnel
- Other Funding Sources - (e.g., City/County Payment Program Funds, other grants, donations)

**Note:** Non-infrastructure costs are limited to 20 percent of the total award amount. Combined costs, include but are not limited to, permitting, personnel, public education/outreach, indirect costs, office space, property lease, and general administrative costs not related to construction or installation, shall not exceed 20 percent of the total amount requested.

Complete the budget document provided in GMS and follow the steps below.

1. Transfer the total of each budget category from the budget document into the Budget tab of GMS.
  - a. Budget amounts in the budget document must match those entered in the Budget tab.
  - b. The total amounts entered in the Budget tab of GMS must equal the Grant Funds Requested amount shown in the Detail tab.
2. Upload the budget document in Excel format to the Documents tab of GMS.

Utilizing a document form other than the official CalRecycle versions, tampering with the CalRecycle version, or otherwise circumventing imposed character limits, may subject the applicant to disqualification.

### **Site(s) Tab**

Add an entry for each grant project/site.

### **Documents Tab**

See the Application Documents Section in the Summary tab for documents that must be uploaded in the Documents tab.

When uploading a document, enter a document title, select the appropriate document type from the drop-down list, and enter the date that it was executed/signed, if applicable, or select “today’s date.” Documents must be submitted in Excel, PDF, or Word formats.

Utilizing a document form other than the official CalRecycle versions, tampering with the CalRecycle version, or otherwise circumventing imposed character limits may subject the applicant to disqualification.

## **Application Submittal and Deadline**

The **Submit Application** button located in the Summary tab will be enabled after all required documents have been uploaded.

Click the **Submit Application** button and the application status will change to **Submitted**. You can only submit the application once; however, you may upload the following documents until the secondary due date: Resolution, Letter of Commitment, Letter of Designation, Letters of Authorization, JPA Agreements.

You must submit your application no later than 11:59 p.m. on April 16, 2024. Customer service will be available until 4:00 p.m. on the application due date either by emailing

[grantassistance@calrecycle.ca.gov](mailto:grantassistance@calrecycle.ca.gov) or calling (916) 341-6228, however, there is no guarantee CalRecycle will be able to provide support if there is an influx of inquiries.

**Note:** Applications that are not submitted by the due date will be deleted from GMS.

## Application 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:** E-signatures must include the first and last name of the Signature Authority, be in the Adobe Digital ID format (or through another certified digital signature program) and cannot be completed using the “Fill and Sign” function within Adobe. Any documents using the “Fill and Sign” function, are considered incomplete and may be sent back to the applicant.

Once the document(s) have been signed by the Signature Authority, upload the digitally signed document, or scan the wet signature and save it to GMS. Retain the original document for potential CalRecycle audits. See Audit Considerations Section of the Procedures and Requirements document for more information.

If you have questions, email [grantassistance@calrecycle.ca.gov](mailto:grantassistance@calrecycle.ca.gov).

### CalRecycle Documents

CalRecycle documents are accessible through the Summary tab in the Application Documents section. To access a document, click on the link, open it up, fill it out, save it to your computer, and upload it to the Documents tab. If you are having trouble with a document, email [grantassistance@calrecycle.ca.gov](mailto:grantassistance@calrecycle.ca.gov) or call (916) 341-6228.

Altered or reproduced CalRecycle documents or templates may result in automatic disqualification of your application. Unless a document specifies that it may be reproduced as necessary, **do not** alter CalRecycle documents.

**Note:** Do not include special characters in file names. Doing so may result in automatic disqualification of your application.

### Application Certification

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

After you have completed each tab of the application and uploaded the required documents, generate the Application Certification.

1. Click “Print Application Certification” under the Application Submission section of the Summary tab.

- a. **Note:** You will not be able to click “Print Application Certification” until each tab of the application is completed and all required application documents have been uploaded.
2. Signature Authority signs Application Certification.
3. Upload the signed Application Certification to the Documents tab.

## **Budget**

Complete the Budget document in the Excel template format. Utilizing a document form other than this official CalRecycle version will subject the applicant to disqualification. Include total anticipated projects costs broken down by:

- Administrative Costs (Operating Expenses)
- Education
  - Public Education and Outreach - (e.g., workshops, public meeting, town halls, public events, etc.)
  - School Education - (e.g., assemblies, curriculum/guides, school events)
  - Media - (e.g., television, website, radio, scripts, instructional videos)
  - Materials - (e.g., booklets/brochures/flyers, etc.)
- Equipment
  - Software – (Must have direct nexus to equipment)
- Personnel
- Other Funding Sources - (e.g., City/County Payment Program Funds, other grants, donations)

The totals for each budget category must match the amounts previously entered in the Budget Tab of the application. Do not enter any SWAG (Stuff We All Get) items.

**Note:** Non-infrastructure costs are limited to 20 percent of the total award amount. Combined costs, include but are not limited to, permitting, personnel, public education/outreach, indirect costs, office space, property lease, and general administrative costs not related to construction or installation, shall not exceed 20 percent of the total amount requested.

## **Narrative Proposal**

Complete the Narrative Proposal document in the Word template format. Utilizing a document form other than this official CalRecycle version, tampering with this CalRecycle version, or otherwise circumventing imposed character limits, will subject the applicant to disqualification. Each section of the document must have a response, if applicable. Some questions on the Narrative Proposal may require the applicant to submit supporting documentation; Follow the applicable document instructions for each question. Ensure your narrative responses are succinct, detailed, and most importantly, address the Evaluation Process in the [Eligibility Criteria and Evaluation Process for the Beverage Container Redemption Innovation Grant Program, FY 2022–23](https://www2.calrecycle.ca.gov/PublicNotices/Details/5286) (<https://www2.calrecycle.ca.gov/PublicNotices/Details/5286>).

## **Work Plan**

Complete the Work Plan document in the Word template format. Utilizing a document form other than this official CalRecycle version will subject the applicant to disqualification. List the major activities, steps, or tasks necessary to implement your project, including

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start and completion dates. Provide a logical timeframe for activities, taking into consideration the potential for delays. Include 12 months of California Redemption Value volume reporting after the date the program is in place.

## **Applicant's Documents**

Below is a list of documents that the applicant is responsible for preparing and uploading to their application. For examples/templates of some of these documents, please refer to the Summary tab. Retain the original hard copy documents for potential CalRecycle audits. See Audit Considerations section of the Procedures and Requirements for more information.

### **Letters of Support**

Letters of support are optional. However, applicants that claim to provide a benefit to priority populations will need to provide supporting documentation demonstrating how the project meets the criteria. Applicants may include letters of support or endorsements from residents, neighbors, local environmental justice groups, etc. If you have more than one letter of support, scan them all as one document and upload them as one document.

### **Quotes**

Budget documentation, including but not limited to quotes, conditional use permit/application, estimates, bids, and equipment details, must be uploaded to GMS to support grant costs claimed in the Budget.

## **Applicant's Required Authorization Documents**

Below is a list of required authorizing documents by application type that the applicant is responsible for preparing and uploading to their application.

Authorizing documents are documents which are written by the applicant. The documents give the applicant permission to apply for a grant, accept grant awards, or name the person authorized to sign grant documents on the applicant's behalf. Below are the requirements for each type of authorizing document. Read each one carefully to determine which document(s) fits your application and applicant type.

**Note:** For Resolution, Letter of Commitment, Letter of Authorization, Letter of Designation, and Letter of Support templates, refer to the [Resolution and Letter Examples](https://www.calrecycle.ca.gov/Funding/SampleDocs) (<https://www.calrecycle.ca.gov/Funding/SampleDocs>) web page. CalRecycle staff are available to answer questions about the Resolution and Letter of Commitment or to review your draft Resolution to ensure it meets the requirements of the grant program. You may email your draft Resolution or draft Letter of Commitment to [grantassistance@calrecycle.ca.gov](mailto:grantassistance@calrecycle.ca.gov).

### **Individual Application Authorization Documents:**

If **subject to a governing body (excluding Corporations)**, the applicant must submit a Resolution no later than the secondary due date or CalRecycle will deem the application incomplete and disqualify the applicant. The Resolution must:

1. Authorize submittal of an application for one or more specifically named CalRecycle grant(s) or for all CalRecycle grants for which the applicant is eligible.

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2. Identify the time period, up to five years, during which the authorizations are valid.
  - a. Five years is encouraged; however, periods of less than five years are acceptable.
  - b. If a Resolution does not specify a time period, CalRecycle will consider the Resolution valid for one year from the date of adoption.
3. Identify the Signature Authority by listing the job title of the person(s) authorized to sign all grant-related documents necessary to implement and close-out the grant(s).
  - a. (Optional but encouraged) The Resolution should authorize the Signature Authority to delegate their signature authority to another person identified by job title. Applicants can only submit a Letter of Designation if the corresponding Resolution includes designee language.
4. Be signed or certified by the governing body.

**Note:** The Signature Authority must sign a Letter of Designation **prior** to the designee's exercise of their authority.

If **not subject to a governing body**, applicants must submit a Letter of Commitment (LOC). Publicly held businesses, private for-profit companies, or nonprofit organizations may submit an LOC even if they are subject to a governing body under the condition that the signatory is an individual authorized to contractually bind the applicant for the conditions of the grant award. The LOC is due by the secondary due date or CalRecycle will deem the application as incomplete and disqualify the applicant.

The LOC must:

1. Be on official letterhead.
2. Specify the Fiscal Year and the grant program name.
3. Authorize submittal of the (Name of Grant Program) application on behalf of applicant.
4. Designate the job title of the person authorized to execute all grant documents necessary to secure grant funds and implement the approved grant project (Signature Authority).
  - a. The LOC may also authorize the Signature Authority to delegate this authority.
5. Be signed by an individual authorized to contractually bind the applicant.

### **Joint Application Authorizing Documents:**

#### **Lead Participant**

If **subject to a governing body (excluding Corporations)** applicants must submit a Resolution no later than the secondary due date or CalRecycle will deem the application incomplete and disqualify the applicant.

The Resolution must:

1. Authorize submittal of a Joint Application on behalf of itself and all other participating entities for a specifically named CalRecycle grant.
2. Specify the Fiscal Year and the grant program name.
3. Identify the Signature Authority by listing the job title of the person(s) authorized to sign all grant-related documents necessary to implement and close-out the grant(s).

- a. (Optional but encouraged) The Resolution should authorize the Signature Authority to delegate their signature authority to another person identified by job title. Applicants can only submit a Letter of Designation if the corresponding Resolution includes designee language.
4. Be signed or certified by the governing body.

**Note:** The Signature Authority must sign a Letter of Designation **prior** to the designee's exercise of their authority.

If **not subject to a governing body** applicants must submit a Letter of Commitment (LOC). Publicly held businesses, private for-profit companies, or nonprofit organizations may submit an LOC even if they are subject to a governing body under the condition that the signatory is an individual authorized to contractually bind the applicant for the conditions of the grant award. The LOC is due by the secondary due date or CalRecycle will deem the application as incomplete and will disqualify the applicant.

The LOC must:

1. Be on official letterhead.
2. Specify the Fiscal Year and the grant program name.
3. Authorize the submittal of a Joint Application on behalf of itself and all other Non-Lead Participants.
4. List all Non-Lead Participants.
5. Designate the job title of the person authorized to execute all grant documents necessary to secure grant funds and implement the approved grant project (Signature Authority).
  - a. The LOC may also authorize the Signature Authority to delegate this authority.
6. Be signed by an individual authorized to contractually bind the applicant.

**Non-Lead Participant (excluding Joint Powers Authorities (JPA) applicants)**

If **subject to a governing body (excluding Corporations)**, applicants must submit a Resolution that:

1. Authorizes submittal of a Joint Application with (name of lead) as Lead Participant, and itself as a Non-lead Participant for a specifically named CalRecycle grant.
2. Identifies the Signature Authority by listing the job title of the person(s) authorized to sign all grant-related documents necessary to implement and close-out the grant(s).
3. Is signed or certified by the governing body.

If **not subject to a governing body**, applicants must submit a Letter of Commitment (LOC). Publicly held businesses, private for-profit companies, or nonprofit organizations may submit an LOC even if they are subject to a governing body under the condition that the signatory is an individual authorized to contractually bind the applicant for the conditions of the grant award. The LOC is due by the secondary due date or CalRecycle will deem the application as incomplete and disqualify the applicant.

The LOC must:

1. Be on official letterhead.
2. Specify the Fiscal Year and the grant program name.
3. Authorize the submittal of a Joint Application with (name of lead) as Lead Participant, and itself as a Non-Lead Participant.
4. Designate the job title of the person authorized to execute all grant documents necessary to secure grant funds and implement the approved grant project (Signature Authority).
  - a. The LOC may also authorize the Signature Authority to delegate this authority.
5. Be signed by an individual authorized to contractually bind the applicant.

### **Joint Powers Authority Agreement**

Joint Powers Authorities (JPA) must upload a copy of their JPA Agreements giving them authority to conduct the project, listing all member entities, and containing the signature of all members. CalRecycle does not require Letters of Authorization or Letters of Commitment for JPA applicants. A JPA applicant must still upload a Lead Participant Resolution as a part of their application and list all JPA members as Non-Lead Participants on the Applicant/Participant tab.

### **Letter of Designation**

CalRecycle requires a Letter of Designation (LOD) only when the Signature Authority identified in the approved Resolution chooses to delegate their signature authority to another person.

The approved Resolution must indicate the Signature Authority's ability to delegate or designate their authority. The applicant must upload the LOD **prior** to the designee's exercise of their authority. If the designee signs an application document in place of the Signature Authority, the applicant must upload the LOD with their application.

The LOD must:

1. Be on the applicant's letterhead.
2. Include the job title of the designee and the scope of the designee's authority.
3. Include the time period during which the designee may exercise the authority.
4. Be signed by the Signature Authority.

The designee's authority may not extend beyond the effective date of the approved Resolution or Letter of Commitment. For example, if the Resolution is effective until December 31, 2024, then the Letter of Designation may not be effective beyond December 31, 2024. If the letter does not identify a valid time period, the letter will follow the same time frame as the Resolution.

### **Electronic and Original Signatures**

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

**Note:** E-signatures must include the first and last name of the Signature Authority, be in the Adobe Digital ID format (or through another certified digital signature program) and cannot be completed using the "Fill and Sign" function within Adobe. Any document

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using the “Fill and Sign” function is considered incomplete and may be sent back to the applicant.

Once the document(s) have been signed by the Signature Authority, upload the digitally signed document, or scan the wet signature and save it to GMS. Retain the original document for potential CalRecycle audits. See Audit Considerations Section of the Procedures and Requirements document for more information.

If you have questions, email [grantassistance@calrecycle.ca.gov](mailto:grantassistance@calrecycle.ca.gov).

# Grant Review and Award Process

## Grant Application Review Process

After the close of the application period, CalRecycle staff will review the applications for completeness and eligibility. Only complete applications will be considered for award. All complete and eligible applications in Rank 1 will be funded prior to funding any applicants in Rank 2 and Rank 3. If funds are oversubscribed and there are multiple applicants with a tie, random selection will be used to determine funding order. Applications will be funded in numeric order by their random selection number. For more information, see the [Eligibility Criteria and Evaluation Process for the Redemption Innovation Grant Program \(California Beverage Container Recycling Fund, Fiscal Year 2022--23\)](https://www2.calrecycle.ca.gov/PublicNotices/Details/5286) (<https://www2.calrecycle.ca.gov/PublicNotices/Details/5286>).

CalRecycle staff will establish a B-List for funding, from which additional projects may be awarded if additional funding is allocated. Unallocated funds from Certified Community Service Programs may be reallocated to fund projects for dealers, existing and new certified recycling centers.

## Grant Award Process

For qualifying applications, CalRecycle staff will develop funding recommendations for the consideration and approval of CalRecycle's Director, or their designee; CalRecycle tentatively schedules this for August 2024. CalRecycle reserves the right to partially fund or fund individual phases of selected proposals, and CalRecycle may fund an amount less than requested.

CalRecycle reserves the right to not award any grant funds under one or more cycles.

## Grant Award Conditions

When awarded, this grant will be subject to two conditions:

1. The recommended grantee must pay all outstanding debts due to CalRecycle, or bring current outstanding payments owed to CalRecycle, within 60 days of the award email date.
2. The recommended grantee's Signature Authority (or their delegated signature authority) must sign and return the Grant Agreement to CalRecycle. CalRecycle must receive the signed Grant Agreement within 60 days of the date of the award email.

**Failure to comply with either condition will void the grant award.**

# Grant Program Administration

## Grant Agreement

The Grant Agreement binds the Grantee to CalRecycle's requirements as outlined in the Grant Agreement documents. CalRecycle will send the Grant Agreement Cover Sheet electronically to allow for a certified e-signature using Adobe Sign.

These documents shall guide the grantee's administration of the grant project.

Following CalRecycle's conditional approval of the grant awards, we will email grantees the information below.

- **Award email**
- **Grant Agreement Cover Sheet (CalRecycle 110)**
  - To be signed by the grantee (this is the Lead Participant in Joint/JPA Applications).
- **Participant Grant Agreement Cover Sheet (CalRecycle 110-A)**
  - To be signed by Non-Lead Participants (if application was a Joint Application).
- **Exhibit A: Terms and Conditions**
  - Contain CalRecycle's standard legal requirements for grants
- **Exhibit B: Procedures and Requirements**
  - Contain specific requirements for administering this grant, including but not limited to project, reporting, and audit requirements
- **Exhibit C: Grantee's approved application with revisions, if any, and any amendments**
- **e-Signature Instructions for Awardees**
  - Contains instruction on how to sign the Grant Agreement Cover Sheet and the Participant Grant Agreement Cover Sheet (if applicable) using Adobe Sign
- **Attachment I: Forms Guide**
  - For CalRecycle forms used throughout the Grant Performance Period see [CalRecycle Grant Forms web page](https://calrecycle.ca.gov/funding/gms/) (<https://calrecycle.ca.gov/funding/gms/>) to download the forms.

## Reporting Process

CalRecycle requires grantees to report on the progress of their grant on a quarterly basis. The Procedures and Requirements document contains detailed reporting information and deadlines.

## Payment Request Process

CalRecycle will retain 10 percent of each approved Payment Request amount until the Grant Manager approves the Final Report, the final Payment Request, and all required supporting documentation. The Procedures and Requirements document contains detailed payment information.

Per Government Code, Section 11019(a), upon determining that an advance payment is essential for effective implementation of a program within the provisions of Section 11019(a), CalRecycle may advance up to twenty-five percent (25%) of the total grant award to a community-based private nonprofit agency. Department of Finance approval is required if the total grant award amount exceeds \$400,000.