



September 2024

Department of Resources Recycling and Recovery

# **Exhibit B**

## **Procedures and Requirements Solid Waste Disposal and Codisposal Site Cleanup Grant Programs**

### **Fiscal Year 2024–25**

**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 Solid Waste Disposal and Codisposal Site Cleanup Grant Programs. 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 Date: Grant Term Begins** on the date that CalRecycle emails the Notice to Proceed.

**On a quarterly basis: Progress Report Due**

**June 30, 2027: Final Report and Final Payment Request Due**

**June 30, 2027: Grant Term End**

## 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 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.
- **Match:** Shows matching funds requirement. Applicable for Legacy Disposal Site Abatement Partial Grant Program only. Not applicable to Illegal Disposal Site Abatement Grant Program.
- **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.

# 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 [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 [Application and Grant Management Tools webpage](https://calrecycle.ca.gov/funding/tools/) (<https://calrecycle.ca.gov/funding/tools/>).

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 **June 30, 2027**. 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.

The Final Report and final Payment Request are due on **June 30, 2027**. CalRecycle recommends reserving the period from **May 15, 2027** to **June 30, 2027** exclusively for the preparation of the Final Report and final Payment Request, though they may be completed earlier.

## 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 **June 30, 2027**. See “Grant Term” 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.

Eligible costs are limited to the following:

- Waste removal and disposal.
- Security measures such as fences, barriers, warning signs, and other measures to prevent recurring illegal dumping at the remediated sites.
  - These Prevention measures and staff time are limited to no more than 25 percent of the overall grant amount. These measures can include public information materials.
- Site grading and drainage controls to minimize erosion.
- Slope and foundation stabilization.
- Excavation, consolidation, and capping of waste areas.
- Installation of landfill gas and leachate control systems.
- Field and laboratory testing.
- Health and safety measures required for eligible project work.

## Ineligible Costs

Any costs not specifically included in the approved Budget and not directly related to 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 of that CalRecycle sends the Notice to Proceed email or after **June 30, 2027**.
- Staff costs not directly related to grant-related eligible activities listed above and grant administration. This includes any personnel costs incurred because of time

an employee assigned to the project, funded by the grant, does not actually work on the project (e.g. use of accrued vacation, sick leave, etc.).

- Expenses for services rendered or goods purchased prior to the date indicated in the NTP, or any expenses incurred after the end of the Grant Term.
- Public Agency indirect costs (unless pre-approved in writing by the Grant Manager, but in no event shall exceed 10 percent of the total direct labor costs requested for reimbursement).
- Costs explicitly for the profit of the grantee.
- Bonus payments for early completion of grant project or any phase of the grant project.
- Any portion of a program currently covered or incurred under any other CalRecycle contract, loan, or grant/grant cycle.
- Overtime costs (except for local government staffing during specially scheduled evening or weekend events that have been pre-approved in writing by the Grant Manager when law or labor contracts require overtime compensation or when such staffing and/or costs are pre-approved in writing by the Grant Manager).
- Cellular phones, personal digital assistants, personal electronic devices, pagers, and similar electronic and telecommunications devices.
- Activities that are not cost effective, as determined by the Grant Manager.
- Travel and per diem expenses (unless pre-approved in writing by the Grant Manager) (See Terms and Conditions document, subsection (e) under Payment).
- Any food or beverages (e.g., as part of meetings, workshops, training, events, etc.).
- Equipment or other materials that are not primarily used to implement the approved project.
- Staff training that is not directly related to the implementation of the approved project.
- Interest charges or other payments on bonds or indebtedness required to finance the project.
- Costs associated with relocation of inhabitants or storage of personal property.
- Costs connected with contractor claims/liens against the grantee.
- Fines or penalties due to violation of federal, state or local laws, ordinances, or regulations.
- Permit, inspection and use fees.
- Closure activities as defined by 27 California Code of Regulations (CCR) section 20164.
- Ground water remediation.
- Operation and maintenance of monitoring systems.
- Post-closure maintenance activities.
- Preparation of closure and/or post-closure maintenance plans.
- Improvements to property for post-closure land uses.
- Removal, abatement, and cleanup or otherwise handling of only hazardous substances as defined in the Comprehensive Environmental Response, Compensation and Liability Act of 1980 [42 U.S.C. section 9601(14)] not co-disposed with nonhazardous waste.
- Any other costs not deemed reasonable or related to the purpose of the grant 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 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. Contact your Grant Manager for the CalRecycle logo.

## Reporting Requirements

The Grant Agreement requires quarterly Progress Reports 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.

Grant Managers will only approve reports with current information that include all required sections and documents. Grant Managers will only process Payment Requests after report approval.



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.

## Electronic Signatures

CalRecycle requires a certified e-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 using the “Fill and Sign” method is considered incomplete and may be sent back to the grantee.

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

## Progress Report

The grantee must submit a **Progress Report** quarterly. These reports should cover grant activities that occurred within the specified reporting period. The report should include the following:

1. Introduction
  - a. The Grant Number, Grantee’s name and Grant Term. The following disclaimer statement on the cover page:

“The statements and conclusions of this report are those of the grantee and not necessarily those of the Department of Resources Recycling and Recovery (CalRecycle), its employees, or the State of California. The state makes no warranty, express or implied, and assumes no liability for the information contained in the succeeding text.”
  - b. Report Purpose
2. Project Information
  - a. Site Location
  - b. Site Background
  - c. Project Participants
3. Construction/Cleanup Activities
  - o Project Scope of Work
  - b. Summary of Construction/Cleanup Activities Ongoing/Completed
  - c. Summary of Sampling and Analyses Conducted (if applicable)
  - d. Updated Project Schedule
4. Summary of Expenditures
5. Statement that all contractors and subcontractors have completed the [Reliable Contractor Declaration \(CalRecycle 168\)](#) (<https://calrecycle.ca.gov/funding/tools/>).

## Final Report

The Final Report is due **June 30, 2027**. This report should cover grant activities **from the Notice to Proceed through June 30, 2027**. The grantee must include the following items in the Final Report:

- The Grant Number, grantee's name, and Grant Term.
- The following disclaimer statement on the cover page:  
"The statements and conclusions of this report are those of the grantee and not necessarily those of the Department of Resources Recycling and Recovery (CalRecycle), its employees, or the State of California. The state makes no warranty, express or implied, and assumes no liability for the information contained in the succeeding text."
- Construction/Cleanup Activities
  - Reference Documents (if applicable)
  - As-Built Plans and Specifications
  - Final Construction Report
- Operations and Maintenance Plans to ensure ongoing compliance with applicable CalRecycle State Minimum Standards (include as standalone documents or incorporate documents submitted previously by reference)
- Summary of Final Total Expenditures.

## 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 only twice 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 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 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 grantee submits a complete Grant Payment Request.
- The grantee must provide a [Reliable Contractor Declaration form \(CalRecycle 168\)](https://www2.calrecycle.ca.gov/Docs/Web/127824) (<https://www2.calrecycle.ca.gov/Docs/Web/127824>) 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 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.
- **Personnel Expenditure Summary Form**
  - This form must document these costs based on actual time spent on grant related activities. (Note: These forms are not required if you have an alternate time reporting method pre-approved in writing by the Grant Manager.)

All forms listed above are available on the [CalRecycle Application and Grant Management Tools webpage](https://calrecycle.ca.gov/funding/tools/) (https://calrecycle.ca.gov/funding/tools/).

## **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.