



February 2017  
Department of Resources Recycling and Recovery

## **Beverage Container Recycling City/County Payment Program**

### **Program Guidelines**

#### **Fiscal Year 2016–17**

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**Submittal of a Beverage Container Recycling City/County Payment Program (Program) Application constitutes acceptance of these Guidelines as the controlling requirements for receiving, spending, and accounting for funds and for reporting. The on-line funding request application and these Guidelines shall constitute the Agreement.**

### **OVERVIEW AND STATUTORY AUTHORITY**

Pursuant to Public Resources Code (PRC) section 14581(a)(3)(A) of the California Beverage Container Recycling and Litter Reduction Act, the Department of Resources Recycling and Recovery (CalRecycle) is distributing \$10,500,000 in fiscal year (FY) 2016–17 to eligible cities and counties specifically for beverage container recycling and litter cleanup activities.

The goal of CalRecycle’s beverage container recycling program is to reach and maintain an 80 percent recycling rate for all California Refund Value beverage containers - aluminum, glass, plastic and bi-metal. Projects implemented by cities and counties will assist in reaching and maintaining this goal.

These Guidelines describe the application and administrative processes to implement the Program. Recipients are responsible and accountable for ensuring that expenditures are appropriate and that proper internal supporting documentation is maintained. To ensure full compliance with the processes and requirements, recipients must adhere to these Guidelines and the provisions set out in PRC 14581 et al.

### **TIMELINE AND CYCLE ACTIVITY**

<b>Date</b>	<b>Activity</b>
February 1, 2017	Funding Request Open Date
May 2, 2017	Funding Request Due Date
June 2017	Payment Awards and Beginning of Term
July - October 2017	Payments Distributed
June 29, 2019	Term End Date
September 3, 2019	Reporting Due Date

### **ELIGIBILITY**

Eligible applicants include cities, counties, or cities and counties in California, as identified by the California Department of Finance, unless otherwise determined by CalRecycle.

California Labor Code section 1782 will prohibit charter cities from receiving state funds or financial assistance for construction projects if those cities do not comply with sections 1770-1782 of the Labor Code. If any applicants or participating jurisdictions are charter cities or joint powers authorities that include charter cities, the lead participating jurisdiction must certify 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 jurisdiction is a charter city prohibited from receiving state funds for their project, the award will be terminated and any disbursed funds shall be returned to CalRecycle.

## **REGIONAL APPLICATION REQUIREMENTS**

Local governments may join together in a regional application in which two or more eligible jurisdictions join together for the purpose of project implementation. A Regional Lead Participant (Lead) must be designated to act on behalf of all participating jurisdictions. The Lead is the applicant/recipient who will be responsible for the performance of the Program and all required documentation. CalRecycle will direct all official correspondence and payments to the Lead. If a jurisdiction is a participant in a regional application, it may not apply individually.

## **FUNDING**

- \$10,500,000 is available for fiscal year 2016–17, subject to funding availability.
- Each city is eligible to receive \$5,000 or an amount calculated by CalRecycle, on a per capita basis, whichever is greater.
- Each county is eligible to receive \$10,000 or an amount calculated by CalRecycle, on a per capita basis, whichever is greater.

The calculation is based upon the population in the incorporated areas of a city, or a city and county, or the unincorporated area of a county as of January 1, 2016 (Department of Finance *E-1 Population Estimates for Cities, Counties and the State with Annual Percent Change - January 1, 2015 and 2016*. Sacramento, California, May 2016.)

## **TERM**

The term begins from the date of award and ends on June 29, 2019. Program expenditures may start no earlier than the date of award. Eligible costs must be incurred no later than June 29, 2019.

Recipients are notified by email once the awards are approved and will be provided the listing of the awarded amounts.

## **APPLICATION PROCESS**

Cities and counties may apply for Program funds by completing a Funding Request in the web-based City/County Annual Payment and Reporting System (CAPRS). Access to CAPRS is secure; therefore, the applicant must have a CalRecycle WebPass in order to log in.

- First time users of CAPRS must contact the CalRecycle Regional Representative and request access. After the request is received and approved, a WebPass invitation will be sent along with an email granting accessing to CAPRS.
- Returning users can immediately login into CAPRS.

**Note:** WebPass accounts are created for individuals, not organizations, and are tied to the individual's specific email address. If the individual's email address changes or becomes inactive, a new WebPass account is needed to access CAPRS. All

individuals must create their own password. Passwords should not be shared within the organization. Access cannot be granted to the on-line application unless the applicant is designated as a contact in CAPRS.

The components of the Funding Request are divided into tabs. To fill out a Funding Request, click on each tab and complete the sections in each tab as required. General instructions are on the top of each page. A complete Funding Request application includes a Funding Request Certification signed by the applicant's signature authority and a valid Resolution. Additional documents may be required. See the Authorizing Documents section.

Funding Requests must be submitted no later than 11:59 p.m. on **May 2, 2017**. The system will not allow any Funding Requests to be submitted after the deadline (PRC section 14581(a)(3)(E)). 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 Ms. Donnell Duclou at (916) 341-6658.

### **FUNDING REQUEST TAB**

This tab provides a summary of the funding status, eligible Program funds, due date, program requirements, checklist, contacts, addresses, documents, region information, and a link to this document, the Beverage Container Recycling City/County Payment Program Guidelines. It is the applicant's responsibility to ensure that all required documents, based on the individual or regional application, are submitted by the due date.

To begin, click the **Edit** button. Start with the **Funding Request Type** and use the drop down to select either **Individual** or **Regional**. If you selected **Regional** as the Funding Request Type, a new tab titled Participating Jurisdictions will be added to the row of tabs. This is where the participating jurisdictions are selected and their authorizing documents are uploaded.

### **CONTACTS TAB**

A contact may be the city or county recycling coordinator, lead agency or Joint Powers Authority. One staff person may serve as more than one contact. If the city or county would like to assign a person not currently identified as a contact, click on Jurisdictions on the left navigation menu in CAPRS, select the Jurisdiction Name, and follow the instructions to set-up a new user. The new user will also need a WebPass. Contacts may be updated before a Funding Request is submitted or during the application process by updating the Contacts tab in the Funding Request.

Contact types are as follows:

- **Signature Authority.** The person(s) authorized to sign CalRecycle documents, such as Funding Request Certification and Expenditure Reporting Certification, etc., as authorized by a board/council-adopted Resolution or Letter of Designation.
- **Primary Contact.** One person who has been authorized by the Signature Authority/Designee to manage and oversee the Program. This person will be

the first contact with whom the CalRecycle Regional Representative will communicate.

- **Secondary Contact.** The person(s) authorized (by the Primary Contact or Signature Authority/Designee) as the alternate person with whom the CalRecycle Regional Representative will communicate. (Not required)

## **ADDRESSES TAB**

A payment and a physical address are required. Payments will be mailed to the payment address. To comply with the requirements of Chapter 8400 of the State Administrative Manual (Warrants Payable to Counties), the county treasurer's address will be identified as the payment address for counties. If one address is used for more than one payment type, only enter the address once, and check the appropriate address types.

## **ACTIVITIES TAB**

Pursuant to PRC section 14581(a)(3)(C), these funds **shall not be used for activities unrelated to beverage container recycling or litter reduction.** Approved activities are listed in the Activities tab, by category, in the Funding Request. The **Other** field is provided to allow additional activities to be listed. These are subject to approval by CalRecycle.

Eligible activities include, but are not necessarily limited to:

- New or existing curbside recycling programs.
- Neighborhood drop-off recycling programs.
- Public education promoting beverage container recycling.
- Litter reduction and cleanup where the waste stream includes beverage containers that will be recycled.
- Cooperative regional efforts among two or more cities and counties.
- Other beverage container recycling programs.
- Supporting AB 341 Mandatory Commercial Recycling (MCR) requirements. (For additional information on MCR and definitions of "businesses" and "multi-family residential dwellings" as they relate to this regulation, see Mandatory Commercial Recycling).
  - Infrastructure for businesses to recycle beverage containers.
  - Support for new or existing beverage container recycling programs for multi-family residential dwellings.
  - Public education and outreach that includes a beverage container recycling component.

## **AUTHORIZING DOCUMENTS**

Payment program-specific examples can be found on our Resolution and Letter Examples webpage. Review your options carefully.

### **Resolution**

Any applicant that is subject to a governing body must upload a Resolution that authorizes specific payment program-related matters. A copy of the authorizing Resolution is a required document that must be uploaded no later than the due date or the application will be deemed incomplete and will be disqualified. Resolution

requirements vary for individual and regional applications. See the **Resolution and Letter Examples** link for more information.

Resolution for individual applicants:

Use the Payment Program **Individual Resolution** template.

- It must authorize submittal of the payment program application.
- It must identify the job title or his/her designee authorized as Signature Authority to execute all documents necessary to implement and secure payment.
- The Resolution can be effective until rescinded or specify an end date.

Resolution for regional applicants:

Use the Payment Program **Regional Lead Resolution** template.

- The Regional Lead Participant (Lead) must submit an approved Resolution that authorizes it to act as a lead for a regional program.
- It must attach a separate list of designated participating jurisdictions and authorize the Signature Authority to revise the list as necessary.
- It must identify the job title or his/her designee authorized as Signature Authority to execute all documents necessary to implement and secure payment.
- The Resolution can be effective until rescinded or specify an end date.

**Note:** The choice of the Signature Authority is important because the individual who holds the designated job title is responsible for signing all documents as long as the resolution is valid.

### **Letter of Authorization or Regional Participant Resolution**

For regional applications, the Lead must ask each of its participating jurisdictions to prepare either a Letter of Authorization or a Regional Participant Resolution. The Lead is responsible for uploading the documentation to their application by the due date.

Use the **Letter of Authorization** template or the **Regional Participant Resolution** template. Letters of Authorization and Resolutions may be valid until rescinded or a specific period of time.

### **Letter of Designation**

When authorized by Resolution, the Signature Authority may designate another person the authority to sign and submit required documents, such as Funding Requests and Expenditure Reports. The Letter of Designation must be uploaded to CAPRS and accepted by CalRecycle staff **prior** to the designee's exercise of his/her authority. If applicable to your application, use the Letter of Designation template and include the information below.

- It must be prepared on the applicant's official letterhead.
- Identify the job title of the designee and identify the scope of the designee's authority.

- It must contain a specific end date or state that it is valid until rescinded by the identified Signature Authority.
- It must be signed by the Signature Authority.

## **EXPENDITURE INFORMATION**

All eligible expenditures are subject to proportionate cost/rate to beverage container recycling activities (i.e., a flyer containing equal parts E-Waste, Oil, Household Hazardous Waste, and Beverage Container Recycling would be funded at a 25 percent proportionate rate.) The funding level for beverage container portions for activities will be approved on a case-by-case basis by a CalRecycle Regional Representative.

**Bins/Litter Reduction.** Please distinguish between litter reduction projects and waste management projects. Trash only receptacles are not considered litter reduction. Therefore, the receptacles are an ineligible expenditure. The purchase of multi-material recycling bins (to include beverage container recycling), permanently attached together, is an eligible expense and may be funded. Litter reduction activities must include beverage containers as part of the waste stream, and must be recycled.

**Advertising/Promotion.** If you plan to spend Program funds on advertising/promotion, submit the artwork, brochure, radio script, flyer, or poster to the assigned CalRecycle Regional Representative for your jurisdiction for approval prior to going to print/production. CalRecycle Regional Representatives are listed on the Funding Request page in CAPRS.

**Education/Outreach.** Education and outreach activities and materials are subject to proportionate cost/rate. Recipients must provide supporting documentation to the CalRecycle Regional Representative for approval. For example, a recycling guide costs \$5,000. The guide includes material topics such as oil, electronic waste, sharps, organics, cardboard, and beverage container recycling. The beverage container recycling portion is 1 of 4 pages of the entire guide. Therefore, staff would approve 25 percent (or \$1,250) in this case as an eligible expenditure.

**Acknowledgement.** Recipients are not required to acknowledge CalRecycle's support when activities or projects funded, in whole or in part, by this Agreement are publicized in any news media, brochures, articles, seminars or other type of promotional material.

**California Recycling Recovery Association Conference.** If you anticipate attending the California Recycling Recovery Association annual conference, or other conference related to beverage container recycling, please limit the expenditures to registration and travel for no more than two (2) staff. Please contact your CalRecycle Regional Representative before making travel plans in order to ensure that the trip is eligible for reimbursement. Travel expenses must follow the criteria for state travel expenses. The most current information related to travel expenses reimbursable by the state can be found at the [California Department of Human Resources](#) webpage.

**Personnel Hours.** If you are charging personnel hours, ensure they are auditable by hours. Program funding will only pay for direct time toward increasing beverage container recycling.

**Litter Clean-Up Event.** If you are sponsoring a litter cleanup event, in which beverage containers are part of the waste stream and are being recycled, Program funds may be used to pay for charges related to the cleanup. This may include supplies (i.e., bags, liners, grabbers, and gloves), personnel, and safety items (i.e., water, vests, and goggles). However, giveaways, incentives, food and/or promotional T-shirts are ineligible expenditures.

**Promotional Items/Stuff We All Get.** In accordance with the governor's directive, promotional items are ineligible expenses under CalRecycle's grant/direct payment programs. More information can be found at [Promotional Items/SWAG \(Stuff We All Get\)](#).

**Ineligible Activities/Items.** Any activity/items unrelated to beverage container recycling or litter reduction to include, but are not limited to:

- Recycled Content Products.
- Pet/BioBag Waste Bags.
- Monetary/Gift Card Rewards for Recycling Activities/Challenges.
- Memberships to Associations.
- Out of State Conferences.
- Trash Containers Only.
- Activities solely related to used oil, E-waste, household hazardous waste, organics, cardboard recycling, and waste.
- Items or services whose cost is covered by another CalRecycle Grant.

## **PAYMENTS**

CalRecycle will approve Funding Requests and authorize the State Controller's Office to make payments to each city and county. The warrant will arrive without a cover letter to the *city* or to the *county treasurer*. Payments must be placed into an interest bearing account. Tracking and reporting of interest earned (if any) on the payment is not required. All interest accrued and received from the Program shall be used only for eligible expenses related to the performance of this Agreement. Pursuant to PRC section 14581(a)(3)(F), CalRecycle may withhold payment to any city, county, or a city and county that has prohibited the siting of a certified recycling center at a supermarket site, caused a certified recycling center at a supermarket site to close its business, or adopted a land use policy that restricts or prohibits the siting of a certified recycling center at a supermarket site within its jurisdiction since January 1, 2000.

## **EXPENDITURE CHANGES**

Changes in original activities/expenditures are acceptable during the term. Please report any expenditure changes in activities/expenditures by entering actual costs and activities in the Expenditure Module.



## **REPORTING**

Expenditure reporting is now a requirement for ongoing eligibility for the Program. Recipients must spend the Program funds by the **September 3, 2019** reporting due date. Recipients must meet CalRecycle's online reporting requirements. Recipients may submit an Expenditure Report once all Program funds have been spent but no later than the reporting due date. Failure to meet this reporting due date may result in the denial of future Program funding and/or collection of unspent/unreported Program funds.

Report all expenditures through CAPRS. **Supporting documentation for all expenditures will be required.** Failure to account for funds and/or ineligible expenditures may result in requiring reimbursement from and/or forfeiture of Program funds. In addition, recipients may be denied future Program funding.

## **SEMI-ANNUAL REPORTING FOR AB 506**

If your jurisdiction indicated that it was participating in mediation mandated by AB 506, filed for bankruptcy or declared fiscal emergency, CalRecycle will request you submit a Semi-Annual Report. This report will track your progress as you expend your Program funds. You will be required to submit an Expenditure Report.

## **UNSPENT FUNDS**

Unspent Program funds at the end of the term must be reimbursed by check to CalRecycle within 45 days of that date. Notify your CalRecycle Regional Representative if you will be sending in a check. The check will need to be labeled as City County Payment Program Unspent Funds for FY (insert applicable fiscal year) and mailed to:

CalRecycle, Accounting  
P.O. Box 4025  
Sacramento, CA 95812-4025

If there are questions or other issues related to expenditures, work with your CalRecycle Regional Representative to resolve these issues. Program funds due to CalRecycle but left unpaid may result in a recipient not being eligible for future funding.

## **RECORDS RETENTION AND AUDIT CONSIDERATIONS**

Recipients are responsible and accountable for all Program funds; therefore, it is essential that adequate supporting documentation and a clear paper/audit trail are maintained. The accounting of Program funds must be maintained in a manner that provides clear and separate tracking of funds and related transactions for fiscal program management and audit purposes.

CalRecycle, the Department of Finance, the California State Auditor, or their designated representative(s) shall have the right to review and to copy any records and supporting documentation pertaining to the use of Program funds; and shall have the right to interview staff relevant to the audit. Examples of supporting documentation subject to audit include:

- Expenditure ledgers.
- Paid warrants.
- Travel logs.
- Payroll register entries.
- Time sheets.
- Contracts and change orders.
- Samples/pictures of items and materials developed with Program funds.
- Invoices, receipts, cancelled checks.

Supporting documentation must clearly identify all eligible expenditures related to beverage container recycling and litter cleanup activities. All such records shall be maintained for possible audit for a minimum of three (3) years after the Program term end date, or until completion of any action and resolution of all issues, which may arise as a result of any litigation, dispute, or audit, whichever is later.

### **TERMINATION FOR CAUSE**

In the event the recipient fails to comply with the requirements of these Guidelines at the time and in the manner herein provided, CalRecycle may terminate the Agreement. Recipients are encouraged to discuss any problems they may have in complying with these Guidelines with their CalRecycle Regional Representative to determine if CalRecycle can be of assistance.

### **INDEMNITY**

Recipient agrees to indemnify, defend and save harmless the state, CalRecycle, its officers, agents, and employees from any and all claims and/or losses accruing or resulting from the performance of the Program.

### **COMPLIANCE**

Recipient shall comply fully with all applicable federal, state, and local laws, ordinances, regulations, and permits.

### **HOW TO REACH US**

Your CalRecycle Regional Representative's contact information is in CAPRS on your Funding Request page. This is the best contact for any questions about the Program.

Department of Resources Recycling and Recovery  
Grants and Payment Unit 5  
1001 I Street, MS 13A  
Sacramento, CA 95814  
Telephone: (916) 322-0613  
Email: [citycounty@calrecycle.ca.gov](mailto:citycounty@calrecycle.ca.gov)