

**EXHIBIT B  
PROCEDURES AND REQUIREMENTS**

**RUBBERIZED PAVEMENT GRANT PROGRAM  
Fiscal Year 2018–19**

**Copies of these Procedures and Requirements should be shared with BOTH the Finance Department AND the staff responsible for implementing the grant activities.**

**TABLE OF CONTENTS**

Introduction .....	2
Milestones .....	2
Grants Management System (GMS) .....	2
Prior To Commencing Work .....	3
Grant Term .....	3
Permitting .....	4
Project Requirements .....	4
Eligible Costs .....	6
Ineligible Costs .....	6
Work Plan and Changes/Modifications .....	6
Acknowledgements .....	7
Reporting Requirements .....	7
Progress Report .....	8
Final Report .....	11
Payment Calculation Summary Form .....	13
Grant Payment Information .....	13
Payment Request and Documentation .....	14
Audit Considerations .....	16
Annual Survey .....	16

## INTRODUCTION

The Department of Resources Recycling and Recovery (CalRecycle) administers the Rubberized Pavement Grant Program. These Procedures and Requirements describe project and reporting requirements, report due dates, report contents, grant payment conditions, eligible and ineligible project costs, project completion and closeout procedures, records and audit requirements.

In a Regional Grant, the term “grantee” used throughout this document refers to the Regional Lead Participant (Lead). The Lead is designated to act on behalf of all participating jurisdictions (Participants). The Lead manages the grant, is responsible for the performance of the grant and all required documentation, and administer the grant funds to its Participants on its behalf

This document is attached to, and incorporated by reference, into the Grant Agreement.

## MILESTONES

**Table 1. Milestones**

Date	Activity
<b>Notice to Proceed Date</b>	<b>Grant Term Begins</b> on the date the Notice to Proceed is emailed.
<b>April 1, 2020</b>	<b>Progress Report Due</b>
<b>April 1, 2021</b>	<b>Final Report and final Payment Request Due</b> <b>Grant Term End</b>

## GRANTS MANAGEMENT SYSTEM (GMS)

GMS is CalRecycle’s web-based grant application and grant management system. Access to GMS is secure; grantees must log in using a WebPass. WebPass accounts are tied to a specific email address. If an email address changes, or if it becomes inactive, the grantee must create a new WebPass account to continue accessing GMS. Establish or manage a WebPass at [CalRecycle’s WebPass page](https://secure.calrecycle.ca.gov/WebPass) (<https://secure.calrecycle.ca.gov/WebPass/>).

### Accessing the grant

Grantees must [log into GMS](https://secure.calrecycle.ca.gov/Grants) (<https://secure.calrecycle.ca.gov/Grants>) using their WebPass. After login, locate the grant in the **My Awarded/Open Grants** table and select the **Grant Management** link. The Grant Manager assigned to your grant is located in the top left corner of the module. 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** – requests reimbursement.
- **Reports tab** – uploads required reports.
- **Documents tab** – uploads other grant documents that are not considered supporting documents to a payment request or a report. This section also provides access to documents that were uploaded within other sections of GMS.

Follow the instructions in GMS to work in the system. Use the information in the following sections to determine what reports, transactions, and supporting documents are required.

## Contact Updates

Access to the grant is limited to those listed in the **Contacts** tab of the **Application Module** with the 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(s) (or subcontractor) to commence work under this grant, the grantee shall submit to the Grant Manager a declaration from the contractor(s), signed under penalty of perjury, stating that within the preceding three (3) years, none of the events listed in [Section 17050 of Title 14](#) ([www.calrecycle.ca.gov/Laws/Regulations/Title14/ch1.htm#ch1a5](http://www.calrecycle.ca.gov/Laws/Regulations/Title14/ch1.htm#ch1a5)), California Code of Regulations, Natural Resources, Division 7, has occurred with respect to the contractor(s) or subcontractor(s).

If a (sub) contractor is placed on the [CalRecycle Unreliable List](#) (<http://www.calrecycle.ca.gov/Funding/Forms/>) after award of this grant, the grantee may be required to terminate that contract. Obtain the Reliable Contractor Declaration form (CalRecycle 168) from [CalRecycle's form web page](#) ([www.calrecycle.ca.gov/Funding/Forms/](http://www.calrecycle.ca.gov/Funding/Forms/)).

A scanned copy of the signed Reliable Contractor Declaration form must be uploaded 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 section above titled Grant Management System.

## GRANT TERM

The Grant Term begins on the date of the Notice to Proceed email. Grant-eligible program expenditures may start no earlier than the date indicated in the Notice to Proceed. The Grant Term ends on **April 1, 2021** and all eligible program costs must be incurred by this date.

The Final Report and final Payment Request are due on **April 1, 2021**. CalRecycle recommends reserving the period from March 1, 2021 to April 1, 2021 exclusively for the preparation of the Final Report and final Payment Request, though they may be completed earlier.

## **PERMITTING**

The grantee is responsible for ensuring that the entire project, not just the portion reimbursed by this Grant, is in compliance with all federal, state, and local laws and permitting requirements. The grantee is also responsible for ensuring that project contractors and subcontractors have all necessary permits and licenses to perform the work for which they are hired, including, but not limited to, permitting by the appropriate Air Pollution Control District, Air Quality Management District, or other local air quality agency when required. Failure to comply with permitting requirements may result in denial of payment under this Grant.

## **PROJECT REQUIREMENTS**

All projects are subject to the following requirements:

- The grantee will construct one or more Rubberized Asphalt Concrete (RAC) Hot-Mix or Rubberized Chip Seal project(s) at the location(s) specified in the approved grant application, unless otherwise approved by the Grant Manager (See Work Plan and Changes/Modifications section).
- Only California-generated waste tires, processed in California, shall be used in the crumb rubber portion of the project(s). Recycled end-of-life crumb rubber that meets all specifications and standards can be used, as appropriate, with prior written permission from the Grant Manager.
- The project(s) must be located in California.
- Projects must be owned and maintained by the applicant and accessible to the general public.
- Reimbursement will not exceed the amount stated on the Grant Agreement Cover Sheet (CalRecycle 110).
- Construction of the RAC portion of any project must commence on or after the date indicated in the Notice to Proceed and be completed by April 1, 2021.
- The binder material must contain a minimum of 300 pounds (equivalent to 15 percent by weight) of tire-derived crumb rubber per ton of rubberized binder. The binder may be either asphalt rubber/field blend or terminal blend.

Additionally, the following project requirements are specific to the individual project as indicated:

### **RAC Hot-Mix (Hot-Mix) Project**

- Project(s) must use a minimum of 2,000 tons of RAC hot-mix.
- If a grantee has not previously received a CalRecycle Pavement or RAC grant, appropriate grantee staff must attend a CalRecycle-sponsored training before beginning the project. Topics for the training are typically in one-hour modules and may include a general introduction to the program or a more detailed discussion regarding the RAC manufacturing and construction processes and procedures.

## Rubberized Chip Seal (Chip Seal) Project

- Project(s) must use a minimum area of 40,000 square yards of chip seal material.

## Reimbursement Rates

Table 2 provides reimbursement rates, as approved in the application, by grant category for both individual and regional grants. Regional grants will be reimbursed at the RAC-1 and/or Chip Seal rate, as applicable. Refer to your “Approved Project Summary & Calculation” document uploaded in GMS for your approved category and reimbursement rate.

**Table 2. Reimbursement Rates**

<b>Grant Category</b>	<b>Tier 1<sup>1</sup></b> (Los Angeles, Orange, Riverside, San Bernardino, and Ventura Counties)	<b>Tier 2<sup>2</sup></b> (All other counties)
RAC – 1 <sup>3</sup>	\$10 per ton	\$20 per ton
RAC – 2	\$7 per ton	\$14 per ton
RAC – 3	\$4 per ton	\$8 per ton
Chip Seal	\$0.50 per square yard	\$1 per square yard

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<sup>1</sup> Reimbursement is based on a **\$10** per ton base rate for hot-mix projects

<sup>2</sup> Reimbursement is based on a **\$20** per ton base rate for hot-mix projects

<sup>3</sup> If approved for full differential, reimbursement is based on the differential cost between the actual conventional and rubberized asphalt costs for hot-mix projects. Regional grantees receive the RAC – 1 rate for hot mix and the regular rate for chip seal. Unit Cost for conventional and rubberized asphalt can be determined by either:

- A contractor’s bid for the project (or alternate bid); or
- A previous paving project (or from a neighboring local agency) comparable in quantity and type of material (gap or open graded, type A, B, C) within the last year.

## **ELIGIBLE COSTS**

All grant expenditures must be for activities, products, and costs specifically included in the approved Project Summary & Calculation sheet. 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 include expenditures incurred and paid for eligible paving material delivered and installed during the Grant Term (from the date indicated in the Notice to Proceed through April 1, 2021).

## **INELIGIBLE COSTS**

Any costs not specifically included in the approved Project Summary and Calculation sheet and not directly related to the delivery and installation of the paving material and the approved grant project are ineligible for reimbursement. Contact the Grant Manager if clarification is needed. Ineligible costs include, but are not limited to:

- Costs incurred for projects that start construction of the RAC paving prior to the date indicated in the Notice to Proceed, or end construction after April 1, 2021.
- Projects utilizing crumb rubber material that is not made from only California-generated waste tires processed in California.
- Recycled end-of-life crumb rubber that does not meet all specifications and standards.
- Projects using less than the required amount of crumb rubber, as specified in Project Requirements.
- Slurry Seal material/application (whether or not they contain rubber). In a cape seal project, the slurry seal portion is not an eligible cost.
- Testing costs.
- Personnel costs, including fringe benefits.
- Overhead and/or indirect costs.
- Any other costs deemed unreasonable or unrelated to the purpose of the grant by the Grant Manager

## **WORK PLAN AND CHANGES/MODIFICATIONS**

Any proposed revision(s) to the Project Summary and Calculation sheet and/or Budget must be submitted in writing and pre-approved in writing by the Grant Manager prior to the grantee incurring the proposed expenditure. The request must include a revised Project Summary and Calculation sheet reflecting the change(s) from the Approved Project Summary and Calculation sheet that you obtain from the Grant Manager. The request must also include the reason for the change(s). Costs based on the proposed revisions may not be incurred until Grant Manager approval. If approved, the grant manager will upload the final revised Project Summary and Calculation and/or Budget to GMS. Proposed revisions may be submitted in conjunction with a Progress Report but cannot be submitted as part of the Progress Report. The approval document should be retained by the grantee for audit purposes. See Audit Record/Access section of the Terms and Conditions (Exhibit A).

For a regional grant, changes that would remove one or more participating jurisdictions from the grant will be evaluated on a case-by-case basis to determine whether the grant amount and/or reimbursement rate should be adjusted.

## ACKNOWLEDGEMENTS

The grantee shall acknowledge CalRecycle's support each time projects funded, in whole or in part, by this Agreement are publicized in any medium, including news media, brochures, or other types of promotional materials. 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.

By April 1, 2021, the grantee must list on their website, for a minimum period of one year, an acknowledgement of CalRecycle's funding and the waste tire diversion amounts for the project(s). The acknowledgement must include the following three required components:

1. Funded by grant from CalRecycle
2. CalRecycle Logo<sup>4</sup>
3. Number of California waste tires<sup>5</sup> diverted from the waste stream by this project

When the web site acknowledgement posting is problematic due to grantee-specific issues, the grantee may substitute signage as an alternative acknowledgement upon written pre-approval from the Grant Manager. The alternative must include the three required components listed above.

- [Rubberized Asphalt Concrete Signage](http://www.calrecycle.ca.gov/Tires/Grants/Resources/#Signage) (<http://www.calrecycle.ca.gov/Tires/Grants/Resources/#Signage>) placed in a prominent location at the project site(s), where it must be permanent for a minimum period of one year after project completion. If this alternative is used, a digital photograph of the signage at the project site must be provided with the final report.

## REPORTING REQUIREMENTS

A Progress Report and a Final Report are required by this Agreement; however, the Grant Manager may request a Progress Report 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.

All reports must be uploaded in GMS. For further instructions regarding GMS, including login directions, see the section above entitled, Grant Management System.

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<sup>4</sup> The acknowledgement of CalRecycle's support must incorporate the CalRecycle logo. Initials or abbreviations for CalRecycle shall not be used. Information regarding logos are available in the [Image Gallery web site](http://www.calrecycle.ca.gov/Gallery) (<http://www.calrecycle.ca.gov/Gallery>). To request permission to use the CalRecycle logo and receive copies of image files, please contact the [Office of Public Affairs](mailto:opa@calrecycle.ca.gov) ([opa@calrecycle.ca.gov](mailto:opa@calrecycle.ca.gov)) or contact your Grant Manager.

<sup>5</sup> To determine the number of tires diverted, refer to the Rubberized Pavement Certification Form (CalRecycle 739-TRP) or the Payment Calculation Summary (CalRecycle 748-TRP) for the calculation formula. This is typically calculated after construction.

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.

Reports must be current, include all required sections and documents, and must be approved by the Grant Manager before any Payment Request can be processed. Failure to comply with the specified reporting requirements may be considered a breach of this Agreement and may result in the termination of this Agreement or 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. Any problems or delays must be reported immediately to the Grant Manager.

**For a Regional Grant**, the Lead will be responsible for compiling all reporting documentation from its Participant(s).

## **PROGRESS REPORT**

The grantee must submit a **Progress Report** by **April 1, 2020**. This report should cover grant activities that occurred from the date indicated in the Notice to Proceed through **April 1, 2020**. The Progress Report must be submitted even if no work has started on the project. The Progress Report must be prepared in the format specified below and uploaded into the GMS system, see "Reporting Requirements"

The Progress Report must address the work completed during the reporting period and be accompanied by all required supporting documentation, including pre-construction photographs. The Progress Report must include:

### **Progress Report Requirements with No Payment Request**

1. Cover Page
  - Name of the grantee
  - Grant number
  - Amount of grant award
  - Dates of report coverage
  - Report preparation date
  - Disclaimer statement, as follows:  
"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."
2. Project Summary and Status



Provide a brief description of the progress of the rubberized pavement project(s) including:

- Approved, completed and in-process project(s)
- The timeline for completion of remaining project(s)
- Results Achieved
- Problems encountered or anticipated
- Provide a brief description of any changes to the project and/or schedule including:
  - 1) Changes in grantee contact information
  - 2) Changes or modifications to the original project

### **Progress Report Requirements with Payment Request**

#### **1. Cover Page**

- Name of the grantee
- Grant number
- Amount of grant award
- Dates of report coverage
- Report preparation date
- Disclaimer statement, as follows:

“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.”

#### **2. Table of Contents**

Identify report contents and corresponding page numbers

#### **3. Project Summary and Status**

Provide a concise Executive Summary of the project(s). Within the narrative of the report, the following information must be included:

- Amount of rubberized pavement material used (tons for hot-mix, square yards for chip seal)
- General Information (thickness of paving, type of mix – e.g. asphalt-rubber, type G, gap graded, open graded, dense graded, warm mix, etc.)
- Binder information – asphalt-rubber/field blend or terminal blend (include: asphalt cement type/grade, percent crumb rubber, percent binder in mix, gallons/yd<sup>2</sup>)
- Cost of material (cost per ton of hot-mix, cost per square yard of chip seal)
- Problems encountered
- Total pounds of crumb rubber used in project(s) Refer to the Payment Calculation Summary form (CalRecycle 748-TRP) to calculate total pounds. See “Payment Calculation Summary Form” section for more information.

For Hot-Mix Projects: the total pounds of crumb rubber can be derived by determining the amount (pounds) of crumb rubber per ton of hot mix and then multiplying this number by the total tons of hot mix used in the project(s).

The amount (pounds) of crumb rubber per ton of hot mix can be derived by multiplying the percent binder in the mix (usually between 7-8 percent for asphalt rubber) and the percent of crumb rubber in the binder [usually 15-20 percent for asphalt rubber (minimum of 15 percent for the grant project(s))] multiplied by 2,000 (pounds per ton).

For Chip Seal Projects: the total pounds of crumb rubber are derived by multiplying the amount (pounds) of binder used in the project(s) and the percent of crumb rubber in the binder [usually 15-20 percent for asphalt rubber (minimum of 15 percent for the grant project(s))].

4. Contractor Summary

List of all contractors and subcontractors that supplied rubberized asphalt materials for the project. For each contractor and subcontractor the following information must be included:

- Name of Firm
- Contact person
- Address
- Concise statement of work completed
- Time period in which the work was completed
- Amount paid
- A copy of the Reliable Contractor Declaration (CalRecycle 168) for each contractor and subcontractor at the beginning of the project

Additionally, provide the subcontractor<sup>6</sup> for the following (if applicable):

- Binder Supplier
- Hot-Mix/Chip Seal Manufacturer
- California Crumb Rubber Provider

5. Waste Tires Diverted (*uploaded separately in GMS*)

Total number of California waste tires diverted from the waste stream as a result of the project's completion. This number can be calculated when completing the Rubberized Pavement Certification form (CalRecycle 739-TRP) and the Payment Calculation Summary form (CalRecycle 748-TRP). For more details about these forms, refer to item C of the Supporting Documentation section in the Payment Request and Documentation section and the Payment Calculation Summary Form section. These forms are available at the [CalRecycle Grant Forms website](http://www.calrecycle.ca.gov/Funding/Forms/) (<http://www.calrecycle.ca.gov/Funding/Forms/>).

6. Photographs (*uploaded separately in GMS*)

Two digital photographs of the completed project. Pre-construction photographs are highly recommended, however, not mandatory.

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<sup>6</sup> Refer to your paving/prime contractor for this information.

7. Project Acknowledgement (*uploaded separately in GMS*)  
Include a copy of your internet web page (or alternative) project acknowledgement, including the web address (URL). If signage alternative is used, a digital photograph of the signage at the project site must be provided with the final report.

## FINAL REPORT

**The Final Report** is due **April 1, 2021**, however it may be submitted at any time after the project is completed, but must be submitted no later than **April 1, 2021**. This report should cover grant activities **from the Notice to Proceed through April 1, 2021**, or completion of project, whichever is sooner. **Failure to submit the Final Report with appropriate documentation by April 1, 2021, may result in rejection of the final Grant Payment Request and/or forfeiture by the grantee of any claims for reimbursement of otherwise eligible costs.**

**For a Regional Grant**, the Lead will be responsible for compiling all reporting documentation from its Participant(s).

The Final Report must be prepared in the format specified below and must be uploaded into the GMS system, see “Reporting Requirements” section for instructions; you may need to upload multiple documents to complete all the requirements listed below. If requested, the grantee shall make an oral presentation to CalRecycle. The Final Report must include the following:

1. Cover Page
  - Name of the grantee
  - Grant number
  - Amount of grant award
  - Dates of report coverage
  - Report preparation date
  - Disclaimer statement, as follows:  
“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.”
2. Table of Contents  
Identify report contents and corresponding page numbers.
3. Project Summary and Status  
Provide a concise Executive Summary of the project(s). Within the narrative of the report, the following information must be included:
  - Amount of rubberized pavement material used (tons for hot-mix, square yards for chip seal)
  - General Information (thickness of paving, type of mix – e.g. asphalt-rubber, type G, gap graded, open graded, dense graded, warm mix, etc.)
  - Binder information – asphalt-rubber/field blend or terminal blend (include: asphalt cement type/grade, percent crumb rubber, percent binder in mix, gallons/yd<sup>2</sup>)
  - Cost of material (cost per ton of hot-mix, cost per square yard of chip seal)

- Problems encountered
- Total pounds of crumb rubber used in project(s) Refer to the Payment Calculation Summary form (CalRecycle 748-TRP) to calculate total pounds. See “Payment Calculation Summary Form” section for more information.

For Hot-Mix Projects: the total pounds of crumb rubber can be derived by determining the amount (pounds) of crumb rubber per ton of hot mix and then multiplying this number by the total tons of hot mix used in the project(s).

The amount (pounds) of crumb rubber per ton of hot mix can be derived by multiplying the percent binder in the mix (usually between 7-8 percent for asphalt rubber) and the percent of crumb rubber in the binder [usually 15-20 percent for asphalt rubber (minimum of 15 percent for the grant project(s))] multiplied by 2,000 (pounds per ton).

For Chip Seal Projects: the total pounds of crumb rubber are derived by multiplying the amount (pounds) of binder used in the project(s) and the percent of crumb rubber in the binder [usually 15-20 percent for asphalt rubber (minimum of 15 percent for the grant project(s))].

#### 4. Contractor Summary

List of all contractors and subcontractors that supplied rubberized asphalt materials for the project. For each contractor and subcontractor the following information must be included:

- Name of Firm
- Contact person
- Address
- Concise statement of work completed
- Time period in which the work was completed
- Amount paid
- A copy of the Reliable Contractor Declaration (CalRecycle 168) required by Exhibit A – Terms and Conditions (Unreliable List) and filed for each contractor and subcontractor at the beginning of the project

Additionally, provide the subcontractor<sup>6</sup> for the following (if applicable):

- Binder Supplier
- Hot-Mix/Chip Seal Manufacturer
- California Crumb Rubber Provider

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<sup>6</sup> Refer to your paving/prime contractor for this information.

5. Waste Tires Diverted (*uploaded separately in GMS*)  
Total number of California waste tires diverted from the waste stream as a result of the project's completion. This number can be calculated when completing the Rubberized Pavement Certification form (CalRecycle 739-TRP) and the Payment Calculation Summary form (CalRecycle 748-TRP). For more details about these forms, refer to item C of the Supporting Documentation section in the Payment Request and Documentation section and the Payment Calculation Summary Form section. These forms are available at the [CalRecycle Grant Forms website](http://www.calrecycle.ca.gov/Funding/Forms/) (<http://www.calrecycle.ca.gov/Funding/Forms/>).
6. Photographs (*uploaded separately in GMS*)  
Two digital photographs of the completed project. Pre-construction photographs are highly recommended, however, not mandatory.
7. Project Acknowledgement (*uploaded separately in GMS*)  
Include a copy of your internet web page (or alternative) project acknowledgement, including the web address (URL). If signage alternative is used, a digital photograph of the signage at the project site must be provided with the final report.

### **PAYMENT CALCULATION SUMMARY FORM**

As part of the Payment Request submittal, a Payment Calculation Summary form (CalRecycle 748-TRP) must be uploaded in GMS. Complete the form, as appropriate. Enter locations of paving (list of streets) and limits of paving (point A to point B). Pounds of crumb rubber used and number of waste tires diverted can be calculated by completing this form. Samples of completed form are provided on the last three tabs of the document. Various options are displayed showing different ways to enter street names and group data for easy-to-follow calculations. The last tab (titled Page 1 Regional Sample) illustrates a sample for a **Regional Grant**. ABC County is the Lead and City of XYZ is the Participant, requesting reimbursement for a joint hot-mix project. The form is available at the [CalRecycle Grant Forms website](http://www.calrecycle.ca.gov/Funding/Forms/) (<http://www.calrecycle.ca.gov/Funding/Forms/>). Save and upload the completed form as an Excel file. Do not save as a PDF file.

### **GRANT PAYMENT INFORMATION**

1. Payment to the grantee for eligible grant expenses is made on a reimbursement basis only and for only those materials and services specified in the approved Project Summary and Calculation sheet. **Reimbursement will be determined by the actual project cost, not to exceed the grant award amount.**
2. Reimbursement may be requested only twice during the Grant Term. In conjunction with (or after) submission of the Progress Report and in conjunction with the Final Report.
3. The grantee must submit the required Progress Report/Final Report, and the Grant Manager must approve the report prior to, or concurrent with, submission of the Grant Payment Request.
4. 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.

5. Grant payments will only be made to the grantee. It is the grantee's responsibility to pay all contractors and subcontractors for purchased goods and services.
6. Ten percent of each approved Grant Payment Request will be withheld and retained until all conditions stipulated in the Agreement, including submission and Grant Manager approval of the Progress and/or Final Report, have been satisfied.
7. 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 a Grant Payment Request is approved by the Grant Manager.
8. The grantee must provide a [Reliable Contractor Declaration \(CalRecycle 168\)](http://www.calrecycle.ca.gov/Funding/forms/) (<http://www.calrecycle.ca.gov/Funding/forms/>) signed under penalty of perjury by the grantee's contractor(s) and subcontractor(s) in accordance with the "Reliable Contractor Declaration" provision of the Terms and Conditions (Exhibit A). The declaration must be received and approved by the Grant Manager prior to commencement of work. See "Reliable Contractor Declaration" provision 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.

Payment requests must be submitted in GMS. For further instructions regarding GMS, including login directions, see the section above entitled, Grant Management System. To submit a Grant Payment Request:

1. Go to the **Payment Request** tab.
2. Click on the **Create a Payment Request** button.
  - Choose **Reimburse** for the Transaction Type and enter the amount spent in each budget sub category.
  - When the transaction is complete, click the **Save** button.
  - After the transaction is saved, the **Upload Supporting Documentation** button will appear in the lower right corner.
3. Click the **Upload Supporting Documentation** button.
  - 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 this process until all required supporting documents as listed below are uploaded.
  - 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.)

**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

- A. A scanned copy of the **Grant Payment Request form** (CalRecycle 87) 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.

## B. Cost and Payment Documentation

Acceptable cost and payment documentation must include the following:

- a) Approved construction progress payment authorizations that must include the vendor's name and telephone number, address, description of goods or services purchased, amount of hot-mix or chip seal material produced for the project, amount due, and date. The claimed expenses should be highlighted and identified with applicable task number on each document. If approved construction progress payment authorizations cannot be provided, other documentations such as weight tickets, invoices, or receipts are adequate.
- b) Proof of payment may include:
  - i. copy of cancelled check(s) that shows an endorsement from the banking institution
  - ii. invoice(s) showing a zero balance, or stamped "paid" with a check number, date paid, and initials
  - iii. 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
  - iv. bank statement(s) along with a copy of the endorsed check or invoice showing the check number
  - v. copy of an electronic funds transfer confirmation
  - vi. copy of a credit card statement(s)

For a Regional Grant, the Lead will be responsible for compiling all payment documentation from its Participant(s).

- C. A scanned copy of the **Rubberized Pavement Certification form** (CalRecycle 739-TRP). You must provide verification that only California-generated waste tires, processed in California were used (in an appropriate amount) in the crumb rubber portion of the project by signing and uploading this form via GMS. This form will be completed by your Binder Supplier.

Provide copies of supporting documentation that validates only California-generated waste tires, processed in California were used for this grant project. Acceptable forms of supporting documentation include: **Certificate of Compliance**, **Certificate of Origin**, or **Bill of Lading**. Request your Crumb Rubber Provider to supply this document.

Refer to your paving/prime contractor to determine who your Binder Supplier and Crumb Rubber Provider is for the project(s).

All forms listed above can be downloaded from the [CalRecycle Grant Forms website](http://www.calrecycle.ca.gov/Funding/Forms) (<http://www.calrecycle.ca.gov/Funding/Forms>).

## **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. A longer period of records retention may be stipulated 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/or cancelled checks. Please refer to the Terms and Conditions (Exhibit A) for more information.

## **ANNUAL SURVEY**

Post-grant term Annual Surveys are encouraged by this Agreement to help assess your long-term satisfaction with the rubberized pavement projects funded by this Grant Agreement. The grantee must complete and submit an Annual Survey for the Rubberized Pavement Grant Program every year for five (5) years after the grant is closed.

You will be notified via e-mail once the [annual online survey](http://www.calrecycle.ca.gov/Tires/Grants/Pavement/default.htm) (<http://www.calrecycle.ca.gov/Tires/Grants/Pavement/default.htm>) is available.

**Note:** The link to the survey is only active during the survey period.