

**2007 GRANT PROPOSAL SOLICITATION
Alternative Fuel Incentive Program (AFIP)**

APPENDIX

**Sample Grant Summary and
Authorization Form**

California Air Resources Board
02/09/07

**Grant Summary and Authorization Form
Alternative Fuel Incentive Program (AFIP) (Pursuant to AB1811)
Fiscal Year 2007-08**

Project Title: _____

Grant Recipient Name: _____

Authorized Official: _____

AFIP Award: \$ _____

Title: _____

Total Project Cost: \$ _____

Address: _____

Time Period: xx/xx/07 – xx/xx/xx

Phone# _____

Grant Number: AFIP _____

The undersigned parties agree to the terms and conditions as set forth in this grant. The following documents are attached and incorporated as part of this grant and take precedence in the following order:

Exhibit A: Grant Provisions

Exhibit B: Work Statement incorporating the following attachments:

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The undersigned parties agree to comply with the requirements and conditions contained herein. The undersigned parties certify under the penalty of perjury that they are duly authorized to bind the parties to this grant.

California Air Resources Board:

Grant Recipient:

Signature of Authorized Official

Signature of Authorized Official

Name: Marie Lavergne
Title: Chief, Administrative Services Division

Name: _____
Title: _____

Date:

Date:

EXHIBIT A

Alternative Fuel Incentive Program Grant

Air Resources Board
Mobile Source Control & Stationary Source Divisions

GRANT PROVISIONS

1. GRANT PARTIES AND CONTACT INFORMATION

1.1 This grant is from the California Air Resources Board (herein after referred to as ARB) to (insert company name here).

1.2 The ARB Grant Administrators are Ms. Kathy Leuterio & Ms. Katrina Sideco. All administrative correspondence regarding this grant shall be directed to:

Ms. Kathy Leuterio
Mobile Source Control Division
Or Ms. Katrina Sideco
Stationary Source Division
Air Resources Board
P.O. Box 2815
Sacramento, California 95812
Phone: (916) 323-8966
Email: kleuteri@arb.ca.gov

1.3 The ARB grant manager is (name here). All technical correspondence regarding this project shall be directed to:

(name here)
Air Resources Board
Mobile Source or Stationary Source Division
P.O. Box 2815
Sacramento, California 95812
Phone: (916) xxx-xxxx
E-mail: (add address)

2. TIME PERIOD

2.1 Performance of work or other expenses billable to ARB under this grant may commence after June 30, 2007. However, this grant will not be considered valid, and expenses will not be payable, unless and until the grant is fully executed by ARB. The grant period shall end no later than June 30, 2009.

3. FINANCIAL MATTERS

Budget

- 3.1 The maximum amount of this grant is \$xxxx. Under no circumstance will ARB reimburse the grantee for more than this amount.
- 3.2 The budget for this project is shown in Exhibit B, Attachment A. Except as stated in 3.3, the cumulative grant disbursement for any line (cost) item for the entire project shall not exceed the corresponding figure therein under "AFIP Grant".
- 3.3 The total AFIP funding may be reallocated among cost items or tasks only with the prior approval of the ARB grant manager. The ARB will not unreasonably disapprove budget reallocations provided that they will allow the project to meet its stated goals.

Grant Disbursements

- 3.4 Requests for payment shall be made with the form "Grant Disbursement Request" (Exhibit B, Attachment E) and conform to the instructions therein. Grant payments shall be made only for reasonable costs incurred by the grantee and only when the milestones stipulated in Exhibit B, Attachment B, have been accomplished, documentation of accomplishment has been provided to ARB, and any associated deliverables have been provided to ARB. Payments shall not be made more frequently than monthly.
- 3.5 Grant payments are subject to ARB's approval of progress reports and any accompanying deliverables. (See Part 5 below.) A payment will not be made if the ARB grant manager deems that a milestone has not been accomplished or documented, that a deliverable meeting specifications has not been provided, that claimed expenses are not documented, not valid per the budget, or not reasonable, that the grantee has not met other terms of the grant.

The Chief of the Mobile Source Control and Stationary Source Divisions of ARB may review the grant manager's approval or disapproval of a grant disbursement. No reimbursement will be made for expenses that, in the judgment of the Division Chief of the Mobile Source Control or Stationary Source Division, are not reasonable or do not comply with the grant.

- 3.6 The grantee shall mail grant disbursement requests shall be mailed to the grant administrator.
- 3.7 The ARB will withhold payment equal to ten percent of each grant disbursement until completion of all work, submittal to ARB of the final report (including an electronic file in MS Word). It is the grantee's responsibility to submit a grant disbursement request for the withheld ten percent with the final report.

Audits

- 3.8 The ARB reserves the right to audit at any time during the duration of this grant the grantee's costs of performing the grant and to refuse payment of any reimbursable costs or expenses that in the opinion of the State's auditor are unsubstantiated or unverified. The grantee shall cooperate with the State's auditor, including but not limited to promptly providing all information and documents requested by the auditor, such as all financial records, documents, and other information pertaining to reimbursable costs, and any matching costs and expenses.
- 3.9 The grantee shall retain all financial records referred to above and provide them for examination and audit by the State for three years after final payment under this grant.

4. GRANT MONITORING

Meetings

- 4.1 Initial meeting: A meeting will be held between key project personnel and ARB staff, either at ARB offices in Sacramento or at the project site (at the option of the grant manager), before work on the project begins. The purpose of the first meeting will be to discuss the overall plan, details of performing the tasks, the project schedule, and any issues that may need to be resolved.

Review meetings: At least one review meeting will be held in Sacramento during the project. More may be required by the grant manager. Such meetings may be conducted by phone, if deemed appropriate by the grant manager.

Technical Monitoring

- 4.2 Any significant changes in the scope or schedule for the project shall require the prior written approval of the ARB grant manager and administrator.
- 4.3 The grantee shall notify the ARB grant manager and administrator, in writing, immediately if any circumstances arise (technical, economic, or otherwise), which might place completion of the project in jeopardy. The grantee shall also make such notification if there is a change in key project personnel (see Exhibit B, Attachment D).
- 4.4 In addition to progress reports (discussed in section 5), the grantee shall provide information requested by the grant manager that is needed to assess progress in completing tasks and meeting the objectives of the project.

5. REPORTING REQUIREMENTS

Progress Reports

- 5.1 The grantee shall submit written progress reports at a minimum of three-month intervals. The progress reports shall be provided in the format of Exhibit B, Attachment H.
- 5.2 Every grant disbursement request (Exhibit B, Attachment E) shall be accompanied (or preceded) by a progress report that documents the completion of a milestone specified in Ex. B, Att. B], including any special deliverables defined for that milestone.
- 5.3 If the project is behind schedule, the progress report must contain an explanation of reasons and how the grantee plans to resume the schedule.
- 5.4 The grantee shall e-mail the progress reports to the grant manager and the grant administrator. Progress reports that accompany grant disbursement requests shall also be mailed (postal) to the grant administrator.

Final Project Report

- 5.5 When the project is complete, the grantee shall submit a draft final report as described in "Guidelines for Final AFIP Reports", (Exhibit D). Upon approval of the draft final report by the grant manager, the grantee shall provide a written copy of the final version, plus an electronic file.

6. TERMINATION AND SUSPENSION OF PAYMENTS

- 6.1 The ARB reserves the right to terminate this grant upon thirty days written notice to the grantee, if the ARB determines that the project has not progressed satisfactorily during the previous three months and the grantee and ARB have been unable to agree on modifications. In case of early termination, the grantee will submit a grant disbursement request and a progress report covering activities up to, and including, the termination date, following the requirements in Sections 3 and 5 of these Provisions. Upon receipt of the grant disbursement request and progress report, a final payment will be made to the grantee. This payment shall be for all ARB-approved, actually incurred costs that in the opinion of ARB are justified. However, the total amount paid shall not exceed the total grant amount.
- 6.2 The ARB reserves the right to issue a grant suspension order in the event that a dispute should arise. The grant suspension order will be in effect until the dispute has been resolved or the grant has been terminated. If the grantee chooses to continue work on the project after receiving a grant suspension order, the grantee will not be reimbursed for any expenditures incurred during the suspension in the event ARB terminates the grant. If ARB rescinds the suspension order and does not

terminate the grant, ARB will reimburse the grantee for any expenses incurred during the suspension that are reimbursable in accordance with the terms of the grant.

7. DISPUTES

- 7.0 If, for any reason, a dispute arises during the performance of this grant, and the grantee and the ARB grant manager cannot reach a mutual agreement, the dispute will be referred to the ARB Division Chief (Mobile or Stationary Source) for final and binding resolution. The terms and conditions of this grant shall be interpreted in accordance with the laws of the State of California.

8. INTELLECTUAL PROPERTY

- 8.0 The State agrees to relinquish to the grantee all right, title, and interest in and to each patentable product, technology, developed or produced during performance of this grant. Proprietary data owned by the grantee shall remain with grantee throughout the term of this agreement and thereafter. The extent of ARB's access to the same and testimony available regarding the same shall be limited to that reasonably necessary to demonstrate, in a scientific manner to the satisfaction of the scientific persons, the validity of any premise, postulate or conclusion referred to or expressed in any deliverable hereunder.

9. INDEMNITY CLAUSE

- 9.0 The grantee agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, materialmen, laborers and any other person, firm or corporation furnishing or supplying work services, materials or supplies in connection with the performance of this grant, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by the grantee in performance of this grant.

EXHIBIT B, Attachment A

Budget Summary

Grantee: (Company name here)

Grant No.: 07-xx

Project: (title of project here)

Costs & Funding

| Direct Costs | AFIP Grant | All Other Sources | Total |
|-----------------------------------|-------------------|--------------------------|--------------|
| 1. Labor | 0 | 0 | 0 |
| 2. Fringe Benefits | | 0 | 0 |
| 3. Subcontractors and Consultants | 0 | 0 | 0 |
| 4. Equipment | 0 | 0 | 0 |
| 5. Travel and Subsistence | 0 | 0 | 0 |
| 6. Materials & Supplies | 0 | 0 | 0 |
| 7. Other Direct | 0 | 0 | 0 |
| Subtotal, Direct Costs: | 0 | 0 | 0 |
| Indirect Costs | | | |
| 5. Overhead | 0 | 0 | 0 |
| 9. Other Indirect | 0 | 0 | |
| Subtotal, Indirect Costs: | 0 | 0 | 0 |
| Total | 0* | 0 | 0 |

* not adjustable under any circumstance

Budget by Task

| | Task 1 | Task 2 | Task 3 | Task 4 | Task 5 | Task 6 | Project |
|-----------------------------|---------------|---------------|---------------|---------------|---------------|---------------|----------------|
| Direct -- AFIP-funded | 0 | 0 | 0 | 0 | | | 0 |
| Direct -- non-AFIP-funded | 0 | 0 | 0 | 0 | | | 0 |
| Indirect -- AFIP-funded | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Indirect -- non-AFIP-funded | 0 | 0 | 0 | 0 | | | 0 |
| TOTAL | 0 | 0 | 0 | 0 | | | 0 |

EXHIBIT B, Attachment B

Project Milestones

Grantee: (company name here)

Grant No.: 07-xx

Project Title: (title of project here)

| Milestone | Task | Deliverable (in addition to quarterly progress reports) | Duration |
|-----------|------|---|----------|
| 1 | 1 | | x months |
| 2 | 2 | | x months |
| 3 | 3 | | x months |
| 4 | 4 | Final report | date |

DRAFT

EXHIBIT B, Attachment C

Grantee's Project Schedule (Tasks)

| <u>Task #</u> | <u>Task Content</u> | <u>Scheduled Completion Date</u> <u>(weeks after project start)</u> |
|---------------|---------------------|--|
| 1 | | x |
| 2 | | x |
| 3 | | x |
| 4 | Final Report | x |
| | | x |

DRAFT

EXHIBIT B, Attachment D

Key Project Personnel

| Name | Position | Duties |
|------|----------|--------|
| | | |
| | | |
| | | |

DRAFT

EXHIBIT B, Attachment E

Grant Disbursement Request and Expenditures Summary

Grant No.:

Project Title:

Period covered:

Task # (or "summary"):

Please submit a separate form for each project task (defined in Exhibit B, Attachment C) that had expenses during the period, plus a summary form for total expenses in the period.

All expenses to be paid by AFIP must be assigned to a budget line item for which AFIP funds are allowed per Exhibit B, Attachment A (Budget Summary). Attach an itemization of labor charges, showing the numbers of hours spent by each professional member of the grantee's staff or in-kind partner's staff (regardless of the funding source). Provide invoices from subcontractors and identification of goods and services from in-kind supporters.

| Direct Costs | Expenses Charged to ICAT | Grantee's Expenses | Others' Expenses * | Total |
|-----------------------------------|---------------------------------|---------------------------|---------------------------|--------------|
| 1. Labor | | | | |
| 2. Benefits | | | | |
| 3. Subcontractors and Consultants | | | | |
| 4. Equipment | | | | |
| 5. Travel and Subsistence | | | | |
| 6. Materials & Supplies | | | | |
| 7. Other Direct | | | | |
| Subtotal, Direct Costs: | | | | |
| Indirect Costs | | | | |
| 8. Overhead | | | | |
| 9. Other indirect | | | | |
| Subtotal, Indirect Costs: | | | | |
| Total | | | | |

* in-kind contributions and expenses paid by funding partners

I certify that, to the best of my knowledge and belief, the information contained in the attached progress report, including the accounting of expenditures on the project as summarized above, is correct and complete and is in accordance with the grant. In addition, I hereby authorize the California Air Resources Board to make any inquiries to confirm details in the progress report.

Grantee's Signature

Date

EXHIBIT B, Attachment F

**2007 GRANT PROPOSAL SOLICITATION
Alternative Fuel Incentive Program (AFIP)**

Grantee's Application Package

California Air Resources Board
02/09/07

**Alternative Fuel Incentive Program (AFIP) (Pursuant to AB1811)
Fiscal Year 2007-08**

EXHIBIT B, Attachment G

**2007 GRANT PROPOSAL SOLICITATION
Alternative Fuel Incentive Program (AFIP)**

Grantee's Budget Report Form

California Air Resources Board
02/09/07

**Alternative Fuel Incentive Program (AFIP) (Pursuant to AB1811)
Fiscal Year 2007-08**

EXHIBIT B, Attachment H

Progress Report Form
(date)

Grant No.: Title:

Organization:

Report period:

List (by number) of all tasks that are complete:

Statement of work planned for this report period (copied from preceding report):

Work accomplished in this period (organized by task). For completed tasks, compare results to goals:

For any planned work or scheduled milestone that did not occur:

- Reasons for non-occurrence:
- Will the problem persist?:
- Can the work be accomplished in the next work period?
- Will the nature of milestones or the overall project schedule be affected? (Propose a new schedule, if needed.):

Please summarize any changes made during the period in the work plan, budget, or schedule:

Please describe any other current or foreseeable problems and their possible mitigation:

Work planned for the next reporting period (by task):

Please update these tables:

| Project Definition | | Milestones | |
|--------------------|-------------|------------|----------|
| Task ¹ | Description | Item | Due Date |
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| (add rows) | | | |

Progress vs. Plan

| Task ¹ | Planned ¹ | | | Current Status | | | |
|-------------------|----------------------|------------------------|----------------------------|----------------|--|---------------------------------------|--|
| | Completion date | AFIP labor budget (\$) | Total AFIP budget (\$) (3) | On schedule? | Labor billed to AFIP ² (\$) | AFIP invoices ² (total \$) | |
| 1 | | | | | | | |
| 2 | | | | | | | |
| 3 | | | | | | | |
| (add rows) | | | | | | | |

¹ as defined in the grant or subsequent agreement

² cumulative; since inception of grant

³ Enter one: "not started", "in progress", or "completed"

2. Please add a narrative as needed to present accomplishments and findings of note.

EXHIBIT C

**2007 GRANT PROPOSAL SOLICITATION
Alternative Fuel Incentive Program (AFIP)**

**Appropriate Solicitation for the Applicable
Project/Category**

California Air Resources Board
02/09/07

**Alternative Fuel Incentive Program (AFIP) (Pursuant to AB1811)
Fiscal Year 2007-08**

EXHIBIT D

**2007 GRANT PROPOSAL SOLICITATION
Alternative Fuel Incentive Program (AFIP)**

Guidelines for Final AFIP Reports

California Air Resources Board
02/09/07

**Alternative Fuel Incentive Program (AFIP) (Pursuant to AB1811)
Fiscal Year 2007-08**

GUIDELINES FOR FINAL AFIP REPORTS

- Format.* If all components of the final report are in a single Microsoft Word file or PDF file, the report may be delivered to ARB on an electronic medium. Otherwise, there should be one unbound, single-sided copy for photocopying.
- Font.* Any commonly used font is acceptable if it is at least as large as Arial 12.
- Binding.* The final report may be either spiral bound or stapled.
- Cover.* The ARB will provide a standard cover.
- Title.* The title should duplicate the title of the grant unless a change is approved by the ARB's grant manager.
- Page size.* 8 1/2" x 11"
- Large tables & figures.* Do not include foldouts or highly reduced tables or figures. Large tables and figures should be presented on consecutive 8 1/2" x 11" pages, each page containing one portion of the table or graph
- Color.* Black on white, only.
- Sections.* The final report should contain the following sections, in this order:
Title page
Disclaimer
Acknowledgments
Table of Contents
List of Figures (if the figure count exceeds 5)
List of Tables (if the table count exceeds 5)
Abstract
[body of report]
Appendices
- Title page.* The title page should include the grant number, grant title, grantee, date, and this statement: "Conducted under a grant by the California Air Resources Board of the California Environmental Protection Agency".
- Disclaimer.* (may be placed at the bottom of the title page)
"The statements and conclusions in this report are those of the grantee and not necessarily those of the California Air Resources Board. The mention of commercial products, their source, or their use in connection with material reported herein is not to be construed as actual or implied endorsement of such products."
- Acknowledgments.*

The last paragraph of this section should read as follows:

This report was submitted under Alternative Fuel Incentive Program grant number ___ from the California Air Resources Board.

Abstract. The abstract should state the purpose and scope of the project, describe the work performed, and present the results obtained. The length should not exceed 1/3 page.

The body of the report should contain the following sections:

INTRODUCTION:

This should be a very short section stating that the report is the final element of the AFIP grant to perform the particular project to demonstrate or develop the particular technology.

TECHNOLOGY:

Describe it and its expected role in emission control. Describe its performance as it was known before the AFIP project and as it has been demonstrated in the project.

AFIP PROJECT:

Describe the purposes for the project, the original plan, and what actually was accomplished. Compare accomplishments to goals. Discuss results that relate to the aspects of the technology that were emphasized in the original AFIP application.

STATUS OF THE TECHNOLOGY:

Describe the commercial readiness of the technology and the role of the project in advancing the status.

Appendices Use as needed to amplify and support the body of the report.

The ARB will not regard the final report as a confidential document. Do not include proprietary information.