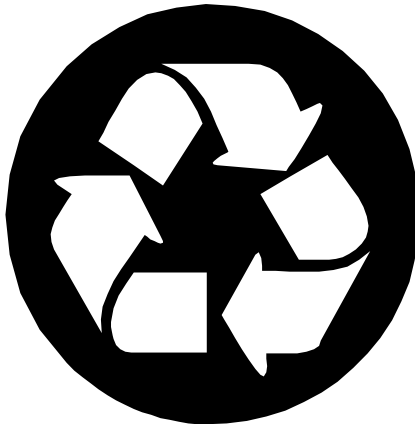


QUAD LAKES SOLID WASTE MANAGEMENT DISTRICT
(Bates, Benton, Cedar, Henry, Hickory, & St. Clair Counties)

FISCAL YEAR 2019
DISTRICT GRANT APPLICATION
GUIDANCE DOCUMENT



IF YOU HAVE ANY QUESTIONS, PLEASE CONTACT KRISTI AT:

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DISTRICT ALLOCATIONS

District Grants are funded by a tipping fee of \$2.11 per ton that is charged at every landfill in Missouri and every transfer station in Missouri that hauls its trash out of state. There is a slightly lower rate charged at landfills that only accept construction and demolition debris. With the passage of Senate Bill 225 in May of 2005 the funding formula for the money sent to the 20 solid waste management districts is allocated 40% based on population of the district at the last census, and 60% based on the amount of tipping fees collected within that district. Each district receives a minimum of \$95,000.00 each year. At least 50% of the funds received by each district must be allocated to subgrantees through a competitive grant program, with the remaining amount available to the district for implementing their comprehensive plan and for district operations. For FY2019 District grants, the District will be disbursing approximately \$60,000.00 in subgrants.

ELIGIBILITY INFORMATION

1. Eligible Applicants

Eligible applicants include any municipality, county, public institution, not-for-profit organization, private business or individual currently operating within the defined district boundaries or who will be operating within the district as a result of the project. Applicants will be required to list any prior grant funds received. Applicants are ineligible if they are directly involved in the selection and award of financial assistance under the administrative rule 10 CSR 80-9.050, or have a conflict of interest in the selection and receipt of such assistance. For the purpose of this application, a conflict of interest occurs when an applicant's employee, spouse or partner participates in the selection, award or administration of financial assistance under 10 CSR 80-9.050, and receives an award, contract, gratuity or favor from such participation. It is the practice of the QLSWMD Executive Board and Advisory Committee members to abstain from scoring or voting on a grant when a conflict of interest or the potential for a conflict of interest exists.

2. Eligible Projects

The following project categories will be considered for funding:

- *Waste Reduction/Source Reduction (WR)*: Practices which avoid or reduce the amount of waste produced by changing a product design, making consumer goods repairable and/or more durable, changing processing methods and/or consumer behavior and buying habits.
- *Research and Development/Reduction (RD)*: Development of new processes to reduce the amount of waste produced.
- *Collection/Processing(CP)*: Activities that recover or transport materials, or prepare materials for recycling markets.
- *Research and Development/Recycling (RD)*: Development of new processes for collecting, processing, remanufacturing or selling waste material as a new product.
- *Market Development (MD)*: Activities that stimulate or increase the demand for recovered materials.
- *Composting (CO)*: Activities that facilitate the controlled biological decomposition of organic solid waste, thereby reducing yard waste.
- *Energy Recovery/Incineration (ER)*: Energy recovery through combustion of waste.
- *Educational/Informational (ED)*: Programs to effectively inform and instruct the general public on waste management and waste reduction activities.

ELIGIBLE AND INELIGIBLE COSTS

- Eligible costs include (but may not be limited to):
 - Collection, processing, manufacturing or hauling equipment;
 - Materials and labor for construction of buildings;
 - Engineering or consulting fees incurred within the project period;
 - Equipment installation costs;
 - Laboratory analysis costs;
 - Salaries directly related to the project;
 - Development and distribution of educational materials;
 - Development and implementation of educational forums;
 - Overhead costs directly related to the project; and
 - Travel necessary for project completion
 - Professional services.

- Ineligible costs include (grant funds will not cover):
 - Operating expenses of local, county, and district governments, such as salaries and expenses that are not directly related to the project activities;
 - Costs incurred before the project start date or after the project end date;
 - Taxes;
 - Legal costs;
 - Contingency funds;
 - Land acquisition
 - Gifts
 - Disposal costs (projects that collect solid waste for disposal on a continuous basis)
 - Fines and penalties;
 - Food and beverage for district employees, board members, or subgrantees at nonworking meetings.
 - Memorial donations for board members, district employees, or subgrantees;
 - Office decorations
 - Lobbyists, pursuant to section 105.470, RSMo.

DISTRICT TARGET MATERIALS LIST

Evaluation points will be awarded if any of the following target materials are utilized in the process involved with the proposed recycling project. These points are part of the 20 available points on the Evaluation Form under "Applicability to District Plan".

<u>Points</u>	<u>Category</u>
12	1) Mixed waste of any two or more of the following items.
11	2) Household hazardous waste, organic food waste, yard waste
10	3) Tires (collection equipment) , materials made from recycled tires
9	4) Electronics
8	5) Glass
7	6) White goods/appliances, petroleum/waste oil for reuse purposes
6	7) Batteries (Lead-acid/household)
5	8) Paper, Cardboard, Magazines
4	9) Aluminum, miscellaneous non-ferrous metals
3	10) Metals
2	11) Plastics
1	12) School lab waste, Demolition waste

Missouri Policy on Resource Recovery

Projects should be consistent with the waste management hierarchy as described in the Missouri Policy on Resource Recovery. This hierarchy is as follows:

- Reduce the amount of solid waste created;
- Reuse, recycle and compost;
- Recover and use energy from solid waste; and
- Incinerate or dispose of in a sanitary landfill

Financial Assistance Agreement

After the selection process is completed, the district will enter into a financial assistance agreement (FAA) with approved applicants. It is important that applicants understand all obligations as identified in the FAA and its attachments prior to signing this document. Additional terms may be added. Approved applicants must comply in full with all terms of the Department of Natural Resources' *General Terms and Conditions*, including II. W. *Disadvantaged Business Enterprise Utilization*. A copy of the Missouri Department of Natural Resources' *General Terms and Conditions* and *Special Terms and Conditions* will be provided to applicants by email, or applicants can request a paper copy from QLSWMD. Before awarding funds to eligible applicants, the recipients must demonstrate that all applicable federal, state, and local permits, approvals, licenses or waivers required by law and necessary to implement the project have been obtained.

Accountability

- *Quarterly Reports:* Projects receiving financial assistance shall submit quarterly reports to the district by the reporting deadlines established in the financial assistance agreement. The reports shall contain the following:
 - Details progress on a task-by-task basis as described in the work plan, including
 - Volume or weight of waste diversion (waste recycled, composted or otherwise diverted from a landfill or incinerator) for each type of material recovered in the project, if appropriate;
 - Problems encountered in project execution;
 - Summary of expenditures;
 - Budget adjustments made within budget categories, with justifications;
 - Amendments to the financial assistance agreement; and
 - Other information necessary for proper evaluation of the progress of the project.

- *Final Report:* Projects receiving financial assistance shall submit a final report to the district within thirty (30) days of the completion date. The report shall contain the same information as described for quarterly reports, as well as a comparison of actual accomplishments to the goals established, and reasons why the goals were either not met or were exceeded.

- *Annual Report:* Projects receiving financial assistance shall submit an annual report for five years following the budget period. The annual report shall contain the same information described for quarterly reports.

- *Accounting System:* The recipient shall maintain an accounting system according to generally accepted accounting principles that accurately reflects all fiscal transactions, incorporates appropriate controls and safeguards, and provides clear references to the project proposal. Accounting records must be supported by source documentation such as cancelled checks, paid bills, payrolls, time and attendance records, contracts, and agreement award documents. QLSWMD claims a lien, which must be registered with the proper state agency, on any equipment purchased using more than \$5,000.00 in district grant funds for any one item. Most equipment liens are registered by filing a UCC-1 form with the Secretary of State, or a vehicle title with the Department of Revenue.

- *Retention and Custodial Requirements for Records:* The recipient shall retain all records and supporting documents for at least three (3) years from the closing of the grant, or longer if needed for any litigation, claim, negotiation or audit. Failure to comply with the rules for accountability listed above will result in a termination of the grant agreement. Termination of the grant agreement can either be achieved as a result of a cause or terminated by agreement.

Time Period

Funding may be requested for periods of up to twenty-four (24) months. Activities must be completed within the time frame specified in the grant award. Amendments to the financial assistance agreement that extend the project period, or to adjust the budget may be made if properly justified by the recipient and approved by the District’s Executive Board. A maximum of one (1) six (6) month extension may be allowed beyond the twenty-four (24) month completion period, given QLSWMD Executive Board approval. Any extension beyond two (2) years and six (6) months must have prior approval of the QLSWMD Executive Board and the Solid Waste Management Program. If diverting waste, the subgrantee is required by state law to report the tonnages of diverted waste for a period no less than twelve (12) months. Some special collection events may be exempt from reporting tonnages for twelve (12) months.

Expenditure of Funds

Expenditure of funds ***must be for costs incurred during the project period*** in accordance with the approved budget agreement. This means no expenditures may be made, or bids accepted before the start date named in the FAA. Recipients of Solid Waste Management Fund financial assistance are ***required to obtain bids*** for all purchases according to the schedule defined in the Revised Statutes of Missouri (RSMo) 34.040. To paraphrase this statute:

Purchases of:

- \$0 – \$2,999.99 Do not require bids.

- \$3000.00 - \$24,999.99 Require a minimum of three (3) competitive bids or proposals, but do not have to be advertised.

- \$25,000.00 or more Require a minimum of three (3) competitive bids or proposals, advertised in at least two daily newspapers at least five days before bid opening.

(In order to be reimbursed for items requiring a formal bid, the recipient must submit bid documentation to QLSWMD to show proof that multiple bids were solicited and/or proper notice was given.)

Application Review and Ranking

It is the responsibility of the QLSWMD Advisory Committee to review and rank district grant applications. Once the committee has reviewed and ranked the applications, a summary is then presented to the QLSWMD Executive Board. The Executive Board will only consider proposals that receive an average of fifty (50) points in conjunction with the Committee’s recommendations; and given the availability of grant funds.

DO NOT ASSUME those scoring your application understand what you are proposing to do, why you are proposing to do it, and what the measurable outcomes will be: STATE THESE THINGS EXPLICITLY!

Reimbursement

Grant payments can be made on a reimbursement basis or on a direct payment basis.

Reimbursements will be made in accordance with the terms of the financial assistance agreement, and the policies and procedures of QLSWMD. Documentation of expenditures is required and shall include invoices, contracts, canceled checks, monthly employee time records, mileage records, etc., as appropriate. If QLSWMD is entitled to a lien, the **lien must be filed before** any reimbursements are paid for the particular piece of equipment. If QLSWMD is entitled to a security interest on a certain purchase(s), proper documentation securing the District's interest must be obtained within thirty (30) days of the purchase.

To be eligible for reimbursement, recipients must be in compliance with all quarterly and final reporting requirements. Generally, a minimum of 15% of the grant award will be retained until submission and Executive Board approval of the final report. In the event a recipient requests that no grant funds be retained, it must be approved by the Executive Board and the Missouri Department of Natural Resources. Upon satisfactory completion of the scope of work as set forth in the agreement, completion of all necessary reporting, recording all required liens and any other requirements in the agreement, the retained grant funds due, if any, will be released.

Application Content and Support Documents Confidentiality

To the extent feasible and permissible by law, the district will honor an applicant's request that certain information submitted in an application remain confidential. The district will treat information as confidential only if the information is specifically marked or identified as confidential by the applicant. A letter must accompany the application specifically identifying the information requested to be kept confidential. If the application results in an award of financial assistance, the honoring of confidentiality shall not limit the district's right to disclose the results of the project to the public.

District Grant Application (all applications must include the following items to be considered for funding):

- ***Grant Application Checklist:*** This must be signed by an authorized person in your organization.
- ***Project Information:*** Give your project a name and briefly describe it (2 sentences or less). Identify what type of project you are proposing (i.e. waste/source reduction, composting, etc). Identify the type of entity that is applying (i.e. individual, non-profit, etc). Provide the physical and mailing addresses of the project location. Identify the specific waste you are proposing to divert from landfills and an estimation of how much will be diverted.
- ***Applicant Information:*** Provide the name and address of the applicant/entity that is applying. Must be the governing body, if applicable. Provide the federal id or social security number of the applicant. Identify who the authorized official for the applicant is and identify who will be the project manager. The project manager shall be the person responsible for ensuring compliance with requirements.
- ***Previous Funding:*** If you or your entity has received grant funds in the past, please provide the project's name and/or number and how much you received/were awarded.

- **Executive Summary:** The Executive Summary is the most important part of your application. Ensure executive summary is done thoroughly.
 - **Verification of Permits, Approvals, Licenses and Waivers:** Verify that all applicable federal, state and local permits, approvals, licenses or waivers necessary to implement the project have been obtained or are in the approval process. All permits, etc. must be in hand prior to signing the FAA. Information on needed state environmental permits can be obtained from this office and MDNR. A statement or demonstration of compliance with local zoning ordinances is required. Some examples of permits, licenses and other documentation needed where applicable: Business license, proper zoning, proof of 501 (c) (3) Federal tax status for non-profit organizations, NPDES (Clean Water Act) permit for compost sites over two (2) acres.
- **Project Work Plan:** Identify project tasks as task 1, task 2, etc., and provide an explanation of each.
- **Project Time Table:** Identify which month each task, as well as, expenditures will be completed/incurred. This is simply your estimation of when you see tasks getting done.
- **Project Personnel Information:** State who the key persons involved in the proposed project will be. Explain the project manager's qualifications (attach resume or describe education, experience, relevant job history, current job duties, training received, etc).
- **Project Budget:** Itemize the estimated costs for conducting the project, or supply the same information in a different format. Provide estimates for all major planned activities or purchases and provide supporting documentation of how each cost estimate was determined. Provide documentation of the availability of all funds listed in the budget. One quote is required for each line item over \$5,000.00. The quote may be a copy of a catalog, web site page, or letter on letterhead. It should not be a formal bid or proposal but it must be an independent confirmation of your cost estimate. Remember for budgeting purposes, allow for reasonable price increases between the time of application and the actual purchase. Supporting documents may be placed directly after the Project Budget page and explanation of costs or included as attachments at the end of the application
- **Applications Requesting \$50,000.00 or more:** For projects over \$50,000.00 provide the following supporting documents:
 - 1) A preliminary project design, engineering plans and specifications for any facilities and equipment required for the proposed project.
 - 2) A financial report including:
 - A three-year business plan containing a market analysis demonstrating that the applicant has secured the necessary supply of recovered materials and the demand for the end product necessary for sustained business activity
 - A description of project financing including projected revenue from the project
 - A credit history of the applicant and/or business if it is an existing business
 - Three years' previous financial statements or reports
- **Project Evaluation Procedure:** Provide a description of the evaluation procedures to be used throughout the project to quantitatively or qualitatively measure the success of the project. Use your projected diversion amounts or other goals as performance measures and indicate how and when progress will be measured. Identify other means of evaluating project (i.e. will project create jobs, will persons need training as a result of the project, etc).

FY 2018 Application Evaluation/Ranking Criteria:

Technical Requirements Possible Points – 15 Points Awarded _____

- A. Technical capability of the applicant and staff, if appropriate (*Does the applicant have the expertise required to successfully complete the project.*)
- B. Compliance with Federal, State or Local Requirements (*Are there permits, licenses, security interest or waivers required and if so have they been/will be attained? If they have been obtained, supporting documentation must be submitted with application.*)
- C. Availability of feedstock (*If using recovered materials, is there enough volume of material available to carry out the project and has the applicant secured an adequate source to provide feedstock.*)
- D. Technical feasibility (*Is the applicant capable of carrying out the technical aspects of the grant and is the project using proven technology.*)

Managerial Capability Possible Points – 20 Points Awarded _____

- A. Managerial capability of the applicant and staff, if appropriate (*Does the applicant have the managerial expertise to complete the project and fulfill the reporting requirements of the grant.*)
- B. Marketing strategy (*How effective will the marketing strategy be?*)
- C. Budget quality (*How well thought out and complete is the budget. Have all aspects of the project been included in the budget and are all expenditures reasonable and eligible?*)

Creation of Jobs/Business Activity Possible Points - 25 Points Awarded _____

- A. Project contributes to community-based economic development
- B. Adverse effect on existing private entities in the market segment/providing service to areas that have little to no services (*Application must include explanation of whether or not funding of the project will adversely affect other existing private businesses and if so, to what degree Points are deducted if adverse effect.*)

Applicability to District Plan Possible Points – 20 Points Awarded _____

- A. Conforms to District Goals (*See Attachment 1 of evaluation form*)
- B. Conforms to District Targeted Materials List (*See Attachment 1 of evaluation form.*)
- C. Promotes waste reduction or enhances existing services and/or recycling or results in an environmental benefit related to solid waste management through the proposed process
- D. Conforms to the integrated waste management hierarchy as described in the Missouri Policy on Resource Recovery

Project Performance Possible Points – 15 Points Awarded _____

- A. Ability to implement project in a timely manner (*Can the project be completed within the time frame allowed for district grants?*)

- B. Past performance, if applicable (*Has applicant received prior funding? If so, how well was their performance in regards to reporting, time frame, and budget.*)
- C. Measure of success (*Has the applicant adequately described a quantitative and/or qualitative measurement?*)

Financing

Possible Points – 20 Points Awarded _____

- A. Level of commitment for financing (*To what level has the applicant committed financial resources, in the form of matching funds, to the project outside of requested grant funds-Leveraging.*)
- B. Previous funding (*Were funds expended effectively? If it is felt that funds were not expended effectively, points will be deducted from the total score of the application.*)
- C. Sustainability (*Will the requested funds be used to enhance or sustain operations?*)

Universal Application

Possible Points – 5 Points Awarded _____

- A. Transferability of results (*Can the project, if successful, be easily duplicated elsewhere?*)

Cooperative Efforts

Possible Points – 10 Points Awarded _____

- A. Demonstrates public/private partnerships or cooperation among political subdivisions
- B. Number of beneficiaries (*Are there multiple beneficiaries?*)

Education

Possible Points – 10 Points Awarded _____

- A. Need for the information/education (*Does the local jurisdiction, region or state need the information that the project proposed to gather? Does the proposed project involve educational efforts?*)