

## WASTE REDUCTION, REUSE AND RECYCLING GRANT PROGRAM APPLICATION

**In FY 2018-2019, the Solid Waste Management Division of the Public Works and Utilities Department will distribute up to \$40,000 through a competitive grant process. Funding is contingent on approval of the Solid Waste Management Budget by the Mayor and City Council. Funds will be distributed on a reimbursement basis.**

### PURPOSE

To assist political jurisdictions, schools, non-profit organizations and businesses implement innovative waste reduction, reuse and recycling programs that significantly reduce the waste stream destined for land disposal. The Solid Waste Management Division has identified two priority solid waste issues for this grant period. Preference will be given to projects focusing on one of these priorities:

1. Construction Waste Reduction, Reuse and Recycling
2. Waste Reduction, Reuse and Recycling in the Commercial Sector (businesses, industries, institutions, schools, and multi-family housing complexes)

### ELIGIBILITY

- Political jurisdictions, schools, non-profit organizations and businesses in Lancaster County are eligible to apply. **Grants will not be awarded to individuals.**
- All grant activity must be conducted within Lancaster County.
- Grant funds are not intended to replace existing funding.
- Funds cannot be used to pay contractors for the collection of waste or recyclable materials.

### GRANT SIZE AND MATCHING FUNDS

Grant must conclude within one year of the funding award. Must have a minimum of 20% in-kind or cash match related. A maximum of \$40,000.00 is budgeted for the Grant Program with funding dispersed among grantees. Organizations can request up to \$20,000.

### GRANT TIMELINE

*October 5, 2018* Grant Application Deadline  
*December 31, 2018* Grant Awards Letters Mailed

If mailed, grant applications must be post-marked on or before October 5; a fax (402) 441-8735) or email ([recycle@lincoln.ne.gov](mailto:recycle@lincoln.ne.gov)) by 4:30 p.m. on October 5.

## **APPLICATION SIGNATURE**

An authorized representative of the political jurisdiction, school, non-profit organization or business must sign the application. The Solid Waste Management Division may verify such authorization.

## **FUNDING DECISIONS**

A review committee consisting of City staff and Lincoln citizens will review grant applications and make recommendations for grant awards and funding level to the Public Works and Utilities Director.

The review committee will review grant applications once annually and base recommendations on the published selection criteria included in this package. The Public Works and Utilities Department will make final decisions on grant awards and funding levels. Notification to applicants regarding project funding will be made within three months of the grant application submittal deadline.

## **ACCOUNTABILITY AND REPORTING REQUIREMENTS**

- Grantees will be required to keep records of all grant expenses including purchase orders, invoices and receipts to account for the use of all grant funds. In order to be reimbursed, Grantees must submit documentation with the “*Grant Status Report and Grant Reimbursement Request*” forms to the Solid Waste Management Division.
  - Late, inaccurate or incomplete reports will impact future grant funding.
- The Solid Waste Management Division reserves the right to visit a project site at any reasonable time and review expenditures of grant funds.
  - If through a review, it is determined that grant funds were spent inappropriately, the grantee must repay the misspent amount to the City.
- Grantees must submit quarterly reports as well as a final report to the Solid Waste Management Division. The following must be included in all reports:
  - Total expenditures (including documentation);
  - Amount of waste reduced, reused or recycled;
  - Summary of activities;
  - A project status report (in quarterly reports); and
  - A project evaluation (in final report).
- The Solid Waste Management Division will provide grant funds for expenses described in the application. Any programmatic or budgetary changes require a written request for a revision prior to the expenditure of funds. Grantees are allowed two revisions.

## **UNAUTHORIZED USE OF GRANT FUNDS**

The following expenses shall not be reimbursed with grant funds:

1. Any expenditures incurred outside the grant period;
2. Paying contractors for recycling collection service;
3. Litter collection programs or beautification projects;
4. Entertainment (including food and drink expenses);
5. Recognition expenses such as prizes, plaques, awards, certificates or trophies;
6. Paying contractors for waste collection service;
7. Stand-alone waste only containers;
8. Promotional giveaways (including tote bags, mugs, pens, pencils, etc.);

9. Newsletters, brochures, calendars, etc. that are not exclusively devoted to waste reduction, material reuse, recycling, composting and other solid waste management topics; and
10. Travel expenses

## EVALUATION CRITERIA

The following criteria will be considered in evaluating grant applications.

### *Conformance to Local Policies and Priorities*

1. **Conforms with Waste Management Hierarchy:** *priority is granted to projects which work toward implementing programs that follow the Waste Management Hierarchy (enclosed).*
2. **Reduces, reuses or recycles materials related to the two priority solid waste issues identified above.**
3. **Degree of waste reduction, reuse or recycling:** *criterion will be judged by the amount of waste reduction, reuse or recycling resulting through the proposed process or service over the short or long term.*

### *Cooperative Efforts/Community Impacts*

4. **Availability of Information/Service:** *criterion will be judged on the quality and accessibility of the method the project uses to disseminate information or services.*
5. **Need for service, information or market:** *criterion will be evaluated by the evidence documenting the need for: i) the proposed service, information or market or ii) for the strength of commitments from the end-markets.*
6. **Supply of Recovered Materials or Target Audience:** *criterion measures the strength of commitment for feedstock needed to complete a manufacturing or collection project or the documented availability of targeted materials or targeted audience in a waste reduction or education project, as documented by: letters of commitment, contracts or other verifiable documents.*
7. **Cooperative Efforts:** *criterion will be judged by the evidence of efforts to work cooperatively with local governments and other partner organizations, as documented by a letter.*
8. **Community-based economic development:** *criterion will be judged by the evidence of efforts to promote sustainable economic development.*
9. **Degree to which funding the project will impact existing entities:** *criterion will assess possible adverse impacts of project funding on existing entities in the market segment.*
10. **Transferability of results:** *criterion will be evaluated by the extent to which project innovations and successes may be applied elsewhere.*
11. **Education:** *criterion will be judged by the degree of community outreach which promotes the project and/or improves participation in waste reduction, reuse and recycling practices.*

### *Administrative Considerations*

12. **Completeness of Application:** *including project summary, budget form, time line, project narrative, qualifications and the required attachments enumerated in the application package.*
13. **Financial strategy, match, commitment and selected financial ratios:** *criterion will measure quality of budget and applicant's financial stability to successfully implement project.*

14. **Managerial Experience of Applicant:** *criterion measures the ability of the applicant to manage (i.e. personnel, financial administration, etc.) the project based on previous work experience and demonstrated expertise in the field. Are qualifications provided for those managing the project?*

*Technical Considerations*

15. **Technical Capability of Applicant:** *criterion measures the ability of the applicant to implement and operate the project based on previous work experience and demonstrated expertise in the field.*
16. **Project Implementation:** *criterion measures the technical feasibility of completing the project in a realistic time frame.*
17. **Compliance with Federal, State or Local Requirements (permits, waivers, licenses):** *criterion will evaluate the applicant's assessment of needed permits, waivers and/or licenses*

# INTEGRATED WASTE MANAGEMENT HIERARCHY

Most Preferred

**REDUCTION**

1. Cleaner production, sustainable consumption and prevention.

**REUSE**

2. Reusing waste in its current form.

**RECYCLING &  
COMPOSTING**

3. Processing waste to recover commercially valuable products.

**RECOVER**

4. Recovering energy from waste.

**RESIDUALS**

5. Safe disposal in a landfill.

Least Preferred

# WASTE REDUCTION, REUSE AND RECYCLING GRANT PROGRAM APPLICATION INSTRUCTIONS

## *APPLICANT MUST SUBMIT ORIGINAL AND SIX (6) COPIES OF GRANT APPLICATION*

1. **Application Cover Sheet.** Complete information on applicant organization including Federal Identification Number. Indicate the type of organization the applicant is as well as the type of project they are proposing. Enter the total dollar amount of the grant request. Only the authorized representative of the applicant organization should sign the cover page.
2. **Background.** Briefly explain experience of applicant organization, its project manager and key staff in relation to the proposed project.
3. **Project Summary.** Briefly describe the project and amount of funds requested.
4. **Project Narrative.** Complete each item 3.1 through 3.10 and provide sufficient detail to adequately explain your proposed project.
5. **Project Schedule/Timeline.** Describe major planned activities and tasks to successfully complete your proposed project. Include as applicable:
  - Anticipated dates for major planned activities and expenditures;
  - Bidding for services and/or equipment;
  - Training;
  - Publications and other outreach efforts;
  - Submittal of quarterly reports and the final report (required); and
  - All other related project tasks.
6. **Project Sustainability.** Describe how project would continue following grant funding.
7. **Project Budget.** Complete the Budget Form for the Grant Application.

**Match** – The Solid Waste Management Division requires cash or in-kind contributions equal to 20 percent of the Total Project Costs. To determine the amount of match needed:

Step 1. Divide requested grant amount by 0.8

Step 2. Subtract requested grant amount

Step 3. Remaining amount will be the total 20% match

**Example:** The applicant is requesting \$10,000 in grant funds from the Solid Waste Management Division.  $\$10,000/0.8 = \$12,500$  (Total Project Cost) -  $\$10,000$  (Grant Request Amount) =  $\$2,500$  (Total Required In-kind and Cash Match).

**Bidding** – purchases of supplies, equipment or services over \$1,500 should obtain quotes or bids from vendors prior to purchase.

**Documentation** - Expenses for all major activities and purchases must be supported by documentation showing how each cost estimate was determined. This would be in the form of written documentation such as quotes for consultant services or equipment, letters of commitment, web site and catalog pages, or previous receipts.

Provide detailed project costs. For example, if you want to request funds for public education efforts, clearly break down the expenses by task. Final approval could be delayed if this information is not included.

For projects requesting funds to support staff salaries, a breakdown of the hourly wage per project hours anticipated for each staff person is required. Please indicate whether the rate includes fringe and/or indirect benefits and if it does, include the percentage. Please note in the budget form.

**DOCUMENTATION OF MATCH FUNDS** – For salary match, a letter of commitment from the authorized official is required stating the organization’s commitment to provide staff salary with the specific dollar amount indicated. Breakdown of the hourly wage per project hours anticipated for each staff person is required. Please indicate whether the rate includes fringe and/or indirect benefits and if it does, include the percentage.

For other matches such as donations or in-kind services, documentation must be provided in the form of a letter with the specific dollar amount being provided and a signature of authorized representative of contributing organization.

8. **Project Results/Evaluation.** Explain how the success of the project will be measured quantitatively and qualitatively.
9. **Cooperation.** Identify any project partners and their role in the proposed project. Attach letters of support from partners indicating their contribution to project.

**WASTE REDUCTION, REUSE AND RECYCLING GRANT PROGRAM**  
**Application Cover Sheet**

Applicant \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ Zip \_\_\_\_\_

Project Manager/Title \_\_\_\_\_

Telephone \_\_\_\_\_

Email \_\_\_\_\_ Federal I.D. No. \_\_\_\_\_

- Applicant is:   \_\_\_ Political Jurisdiction  
                  \_\_\_ Non-profit Organization  
                  \_\_\_ School (Public, Private or Parochial)  
                  \_\_\_ Business

Project Title \_\_\_\_\_

Amount Requested \$ \_\_\_\_\_

Project Category: (Check One)

- |  |                                       |
|--|---------------------------------------|
| ___ WASTE REDUCTION - <b>WR</b>        | ___ COLLECTION/PROCESSING - <b>CP</b> |
| ___ COMPOSTING - <b>CO</b>             | ___ MARKET DEVELOPMENT - <b>MD</b>    |
| ___ EDUCATION - <b>ED</b>              | ___ ENERGY RECOVERY - <b>ER</b>       |
| ___ RESEARCH & DEVELOPMENT - <b>RD</b> | ___ RECYCLING - <b>RC</b>             |
| ___ MATERIAL REUSE - <b>MR</b>         |                                       |

I, the Authorized Representative, certify that

\_\_\_\_\_  
Name of Applicant Organization

- a. Possesses all necessary authority to undertake or participate in the proposed project;
- b. Holds or can acquire title to all lands or has the necessary easements and right-of-way for the project and related lands; and
- c. Grantee agrees to apply for and obtain any and all necessary permits, certifications, licenses, variances, and approvals required by any applicable law or regulations that relate to the project and conduct all activities related to the services in a lawful manner.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Title

\_\_\_\_\_  
Typed/Printed Name of Authorized Representative



## Grant Application (Cont'd)

Provide the following program information in the order listed. Please number pages and use no smaller than 10 point font. When completing the grant application, please type each item below prior to giving your response.

### 1. Background (1-3 paragraphs)

Briefly explain organizational mission and experience related to proposed project. If a business or non-profit, describe services or products currently offered and indicate number of years in business. Include qualifications of project manager and key staff involved in the project.

### 2. Project Summary (1 page)

2.1 In 100 words or less, describe the current problem(s) or issue(s) the proposed project Address(es).

2.2 In 300 words or less describe;

a. How the project will address the problem(s) or issue(s);

b. The amount of grant funding requested; and

c. The amount of in-kind and cash match funds that will be provided and its source.

### 3. Project Narrative (1-6 pages)

3.1 Describe how the project will be implemented. Include relevant details and refer to tasks using the completed time line in Section 4.

3.2 Describe the materials the project is targeting for waste reduction, reuse or recycling. For **education** projects, what behavior change(s) does the project intend to influence?

3.3 Describe the geographical area the project will serve.

3.4 Describe how the problem or issue the project addresses is currently being approached. Explain if your project will offer the same product, services, or educational strategies as other organizations or businesses in the area. Will the project collaborate or compete with these existing efforts?

3.5 Estimate the quantity (in pounds or tons) of materials the project will reduce, recover, or divert from the waste stream.

3.6 If this project is already in existence, describe how the quantity estimated compares to amounts that are currently being diverted.

3.7 Demonstrate that the project can secure both the necessary supply of recovered materials (feedstock) and end product markets necessary for sustained business activity. If the project relies on an outside source or company(s) to process the materials recovered, list the company(s) that the applicant has contacted to provide this service and include current letters of support acknowledging their involvement in the project specific to this application, their willingness to accept materials, and the fees paid or fees charged.

3.8 Explain how your waste reduction, reuse or recycling project or services will be marketed.

3.9 Estimate the number of individuals, schools, classrooms or businesses this project will reach.

3.10 Describe any federal, state or local permits, licenses or waivers required to complete this project. Attach copies, describe process for obtaining necessary permits, licenses or waivers, or provide an explanation as to why permits, licenses or waivers are not required for this project.

**4. Project Schedule/Timeline** (1-2 pages)

- 4.1 Describe schedule by a table or chart illustrating major planned activities, events, tasks and expenditures. Include submittal of quarterly reports and final report. Reports are due the last day of the month following the end of the calendar quarter. Expenses incurred prior to the execution of the Grant Assistance Agreement are not eligible for reimbursement.

**5. Project Sustainability** (1 paragraph- 1 page)

- 5.1 Include plans for sustainably funding the program in the future.

**6. Project Budget** (1 page)

- 6.1 Show the entire program budget using the attached format.

**7. Project Results/Evaluation** (1-2 paragraphs)

- 7.1 Describe the evaluation procedures that will be used to **quantitatively** measure the success or benefit of the project. Measurements should include estimated weight (in pounds or tons) or volume of waste reduced, reused or recycled. For **education** projects, measurements should include - for example - the number of schools or assemblies reached; businesses participating, etc.

- 7.2 Describe the evaluation procedures that will be used to **qualitatively** measure the success of the project. For example, participant or community surveys or evaluations that assess the quality of service and anecdotal stories reflecting project success can be used.

**8. Cooperation** (1 paragraph- 1 page)

- 8.1 List any cooperating organizations, including address, telephone, and name of contact person. Describe their role in the program and attach letters of support.

**Send original application in reproducible form (no staples or binding) to:**

Waste Reduction, Reuse and Recycling Grant Program  
Solid Waste Management Division  
5101 N. 48<sup>th</sup> Street  
Lincoln, NE 68504

Direct any questions to the Recycling Office at 402-441-7043 or [recycle@lincoln.ne.gov](mailto:recycle@lincoln.ne.gov)

## BUDGET FOR GRANT APPLICATION

Expenses	Grant	In-Kind Match (if applicable)*	Cash Match (if applicable)*	Total	Notes
Personnel**	\$	\$	\$	\$	
	\$	\$	\$	\$	
Equipment***	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
<b>Subtotal</b>	\$	\$	\$	\$	
Contractual Service (list each)	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
<b>Subtotal</b>	\$	\$	\$	\$	
Materials/Supplies***	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
<b>Subtotal</b>	\$	\$	\$	\$	
Advertising/Promotions	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
<b>Subtotal</b>	\$	\$	\$	\$	
Other	\$	\$	\$	\$	
	\$	\$	\$	\$	
	\$	\$	\$	\$	
<b>Subtotal</b>	\$	\$	\$	\$	
<b>TOTAL EXPENSES</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	

\* *Commitment of match funds must be included. For example if salary is used as match, a letter from director/CEO must be provided indicating staff support for the project. Letter should include the specific dollar amount that is being provided as match.*

\*\* *Salary must show hourly wage and estimated hours spent on project.*

\*\*\* *Materials and supplies include lower cost items that will likely need to be regularly replenished (such as collection bags). Equipment refers to items that have a longer useable life.*

***Expenses (both requested and match) for major activities or purchases, shall be supported by documentation showing how each cost estimate was determined in the budget notes below.***

***Budget Notes: (Attach additional pages, if needed)***

## GRANT APPLICATION CHECKLIST

**Before submitting, review your grant application using this checklist. Applications postmarked after October 5, 2018 or received via email or fax machine after 4:30 pm will not be considered for funding.**

- \_\_\_ Application form signed (pg. 1)?
- \_\_\_ Specific dollar amount requested (pg. 1)?
- \_\_\_ Provided original and six (6) copies of the grant application?
- \_\_\_ Cover sheet form and no more than twelve typed pages describing the program?
- \_\_\_ Does the program budget show a breakdown of expenses and funding in the required format?
- \_\_\_ Do the “projected results” include the long-term impact of the waste reduction, reuse, or recycling program?
- \_\_\_ Is all information requested on page 1 of the application form included?
- \_\_\_ Have you completed the appropriate pages of the grant application, filled in all the blanks, and provided the necessary information? The information on these pages must be submitted for your application to be complete. It is recommended that you retain a copy for your records.
- \_\_\_ Have you included your original application along with any attachments in a reproducible form (not stapled or bound)?
- \_\_\_ Is your application double-sided and printed on recycled-content paper?
- \_\_\_ Have you included your letter(s) of support?



## WASTE REDUCTION, REUSE AND RECYCLING GRANT PROGRAM GUIDELINES

Grant recipients are required to follow grant guidelines as outlined in this document.

### **Quarterly Status Report**

Grant recipients are required to submit a completed Quarterly Status Report for each calendar quarter during the grant year. It is important that organizations submit Quarterly Status Reports by the stated due dates. The Solid Waste Management Division will not send out reminder notices. Four Quarterly Status Reports must be submitted for the grant year. Each quarter of the year must have a completed Quarterly Status Report even if the grant recipient has not expended grant funds in a quarter or has expended all grant funds in a previous quarter.

<u>Calendar Quarter</u>	<u>Quarterly Report Due Date</u>
January – March	April 30
April –June	July 31
July – September	October 31
October – December	January 31

A copy of the Quarterly Status Report form is included as Attachment A. Retain this form as the original and make copies for each submittal. A complete Quarterly Status Report will include all the forms provided in Attachment A. These forms are:

- Quarterly Status Report form (2 pages) (Additional pages may be added, if needed).
- Account Sheet
- Equipment Inventory form
- Grant Reimbursement Request form

Failure to submit accurate and timely quarterly reports will impact future grant funding to the organization.

### **Final Report**

Grant recipients are required to complete the Final Report form on the grant project. A complete Final Report form is included in Attachment B. Retain this form and use it for your submittal. Final Reports are due the last day of February following the end of the grant year. No financial reporting is required as part of the final report; however, the grant recipient is asked to provide performance measure results from the project that were identified in the original grant application.

### **Accounting and Recordkeeping**

Grant recipients are required to keep financial records pertaining to the expenditure of grant, matching cash and in-kind funds. The following are some bookkeeping guidelines to assist in managing these records.

Separate Records: Keep separate accounting records for your grant award.

Use Checks: Grant related expenditures should be paid by check.

Canceled Checks: Obtain canceled checks from your bank as opposed to the carbon copy check system.

Invoices/Receipts: Retain invoices and/or receipts for all grant related expenditures, both grant funds and matching funds encumbered during the grant year.

Document all Matching Funds: Documentation must be maintained for all matching funds (cash match and in-kind match) reported during the grant year.

The following definitions and/or descriptions are provided to assist grant recipients.

*Expenditure of Funds Before Beginning of the Grant Year.*

Grant funds cannot be used for reimbursement of costs which were encumbered or expended before the beginning of the grant year. Matching funds encumbered or expended before the beginning of the grant year are not an eligible match.

*Reporting*

A grant recipient may encumber or incur grant expenses during a grant quarter without actually paying those expenses during the quarter. These types of expenses are considered encumbered expenses and should not be reported to the Department until the quarter in which the grant or matching funds are actually expended.

*Last Quarterly Report*

The last quarterly report for the grant year is October through December. The report is due January 31 the following year. All grant funding must be encumbered during the grant period. Funds encumbered during the quarter must be expended by January 31. The final Quarterly Status Report is the one time that encumbered funds may be reported. Funds not encumbered during the grant year or expended by January 31 shall not be paid to the grant recipient.

*Solid Waste Management Division Financial Review*

All grant recipients are subject to a review of grant, matching cash and in-kind funds. The Division will contact the grant recipient to establish and maintain financial records for the expenditure of grant funds, matching cash and in-kind funds.

*Matching Funds*

Grant recipients are required to report matching cash and in-kind funds contributed to the project on Quarterly Status Reports. During a financial review, the expenditures of matching funds, both cash and in-kind, will be verified. The Division strongly encourages grant recipients to establish and maintain financial records to include cash and in-kind funds contributed to the project. Including this information with records of grant funding expenditures will assist in the completion of the Quarterly Status Reports and in the financial review process.

*Invoices and/or Receipts*

Grant recipients are required to include a copy of all invoices and/or receipts for expenditure of grant funds with the Quarterly Status Report and the Grant Reimbursement Request form. Your financial

records for grant fund expenditures, matching cash and in-kind should include the original copy of the invoice and receipts or documentation of expenditure for review purposes. Receipts are required for personnel expenditures. Invoices/receipts/documentation for matching cash and in-kind funds will be verified during a Division financial review.

If equipment is purchased with grant funds, you must include a copy of the receipt for purchase with the appropriate Quarterly Status Report. The receipt should include the name and address of buyer and seller, equipment model and serial number, description of equipment, date of purchase, unit price, and total price of purchase and any other pertinent information regarding the equipment purchased.

### *Personnel*

The following documentation for personnel expenses is required:

- Copy of paycheck stubs itemizing all withholdings and the number of hours worked for each applicable employee.
- Contractual labor: a copy of the canceled check or electronic bank statement.

### **Unauthorized Use of Grant Funds**

Grant funds cannot be used for unauthorized expenditures.

Examples of expenses not allowed by the Waste Reduction, Reuse and Recycling Grant Program include, but are not limited to:

- Any expenditures incurred outside the grant period
- Paying contractors for recycling collection service
- Litter collection programs or beautification projects
- Entertainment (including food and drink expenses)
- Recognition expenses such as prizes, plaques, awards, certificates or trophies
- Paying contractors for waste collection service
- Stand alone waste only containers
- Promotional giveaways (including tote bags, mugs, pens, pencils, etc.)
- Newsletters, brochures, calendars, etc. that are not exclusively devoted to waste reduction, material reuse, recycling, composting and other solid waste management topics
- Travel expenses

The Division will allow grant funds to be used for appropriate bank service charges related to 'maintaining' your grant bank account, bank service charges should be expended from the "Contractual Services" budget category but only if your approved budget includes funding under that category.

### **Program Modifications**

Workplan and budget modifications may be necessary for the successful completion of a project or program. The Division has established a process for all grant recipients to follow when proposing program modifications.

Workplan and budget modifications are required when:

- Grant recipient has been awarded partial funding (if applicable); OR
- Grant recipient requests to modify an existing workplan and budget.

During the grant year a project may undergo changes that will require modifications to the existing program. **The grant recipient must submit written notification outlining the proposed workplan and budget modifications to the existing project or program prior to the expenditure of funds by the grantee.** This includes a request to transfer funds from one category to another. For Example: transferring funds from the Supply Category to the Personnel Category. The Solid Waste Management Division requires that proposed modifications remain within the scope of the original proposal. No more than two workplan and budget modifications may occur during the grant year.

Written notification should include:

- A completed Workplan/Budget Modification Request form (Attachment C).

Exception to Budget Modification Requests

Grantees may expend 10% over or under their originally approved budget categories without requesting a budget modification. As an example, the grantee over expends in the Personnel category and under expends in the other approved categories. A possible scenario follows:

Budget Category	Originally Approved Budget Amount	Actual Expenditure	Percent Change
Personnel	\$10,000	\$10,320	3.2%
Supplies	\$225	\$ 205	8.8%
Contractual Service	\$1,100	\$ 1,000	10.0%
Advertsing/Promotion	\$1,680	\$ 1,515	9.8%
Other	\$350	\$ 315	10.0%
Total	\$13,355	\$13,355	

In this scenario, you will notice that none of the categories changed by more than 10%, therefore, a budget modification request is not required.

As a reminder, this 10% flexibility is only on the originally approved budget amount identified on your Grantee Notification form.

No extensions in the grant year will be granted to the grant recipient.

**Department Funded Equipment**

*Usage*

Equipment purchased, in whole or in part, with Solid Waste Management Division funding shall be used only for the purchases approved by the Division during the expected service life of the equipment.

*Equipment Identification*

Any piece of equipment purchased, in whole or in part, with Solid Waste Management Division funding and costing \$500 or more is required to be permanently identified. When the grant obligations have been met and the grant is being closed-out, an identification tag will be forwarded to the grant recipient for each piece of equipment requiring identification. It is the grant



recipient's responsibility to place the identification tag on the piece of equipment as directed by the Division. During site visits, Division staff will verify that equipment is identified as required.

#### *Expected Service Life*

The Solid Waste Management Division will assign an expected service life to all equipment purchased in whole, or in part, with Division funds that has a value of \$500 or more. Equipment worth less than \$500 may be assigned an expected service life on a case-by-case basis. Expected service life of equipment will be determined on a quarterly basis upon receipt of Quarterly Status Reports and Equipment Inventory forms. The Division's acknowledgement of equipment purchased with grant funds includes the determination of expected service life and an identification tag for each piece of equipment.

#### *Ownership*

The Solid Waste Management Division shall maintain an ownership interest of all equipment purchased with grant funds during the expected service life of the equipment. The grant recipient shall gain unrestricted ownership after the expected service life period expires.

#### *Maintenance*

Grant recipients are responsible for all necessary and reasonable maintenance of Solid Waste Management Division funded equipment and may be held liable by the Division for any loss, damage, neglect or unreasonable deterioration of the equipment throughout the expected service life. During site visits, Division staff will verify that grant recipients are acting in a responsible manner in maintaining equipment purchased with grant funds.

#### *Insurance*

Grantee must provide City proof of coverage which covers the City's investment in personal property with a purchase value greater than \$5,000 or real property as it pertains to the Waste Reduction Reuse and Recycling Grant Program funds.

#### *Reporting*

Grant recipients who purchase equipment, in whole or in part, with grant funds are required to complete an Equipment Inventory form with each Quarterly Status Report. A new Equipment Inventory form should be used for each reporting quarter rather than adding on to Equipment Inventories from preceding quarters. This form is required only in quarters when equipment is purchased.

#### *Disposition*

Grant recipients must receive approval from the Solid Waste Management Division prior to the disposition of equipment purchased, in whole or in part, with Division funds throughout the expected service life of the equipment.

#### *Approved Sale*

Funds realized from the approved sale of equipment purchased with Solid Waste Management Division funds shall revert to the Division in an amount congruent with the grant-funded percentage of the equipment's original cost during the expected service life of the equipment.

### *Redistribution*

Any Solid Waste Management Division funded equipment which is no longer being used by the grant recipient for the approved purposes and intent for which it was obtained, may be redistributed by the Division to another eligible applicant during the service life of the equipment.

### *Equipment Titles*

Grant recipients purchasing equipment, in whole or in part, with Solid Waste Management Division funds shall place the grant recipient's name on equipment titles.

### *Equipment Inventory Annual Updates*

After the conclusion of the grant year, it is the responsibility of the grant recipient to maintain a listing of all equipment purchased with Solid Waste Management Division grant funds and to respond to Division requests for progress reports or annual updates during its expected service life. The Division will initiate all requests for progress reports or annual updates as needed.

## **Solid Waste Management Division Recognition**

### *Newsletters and Pamphlets*

Grant recipients should recognize funding from the Solid Waste Management Division on all published materials, such as newsletters, pamphlets and guides, related to a Division funded project or program or activity. However, the grant should not be considered a "contribution" or a "donation" and the Division prefers not to be identified as a donor in any publication or acknowledgements from your organization.

Grant recipients should include the following phrase in printed materials:

**"Funding provided through the Waste Reduction, Reuse and Recycling Grant Program, City of Lincoln, Department of Public Works and Utilities, Solid Waste Management Division."**

## **Solid Waste Management Division Site Visits**

Solid Waste Management Division staff will schedule periodic site visits throughout the grant year and, if applicable, throughout the expected service life of equipment purchased with grants funds. During these site visits, Division staff will review the following:

- General appearance, working order, and Solid Waste Management Division identification of equipment;
- How the grant funded equipment has affected the grant recipient's overall ability to collect and/or process recyclable materials;
- Amounts of materials collected/processed with grant funded equipment;
- General accomplishments of the grant project or program;
- General appearance of site/facility;
- Problems or concerns;
- Future activities;
- Compliance with permitting requirements; and
- Other information as deemed necessary by the Solid Waste Management Division.

The Division staff will typically contact a grant recipient to set up the site visit. In addition to meeting with the grant recipient to discuss the status of the grant project or program, the Division staff will view all grant funded equipment and facilities.

Staff will take photos, verify that grant funds were expended as approved and reported and verify that equipment is identified as required by the Solid Waste Management Division. After the site visit, a follow-up letter is sent to the grant recipient acknowledging the Division's site visit and, if applicable, addressing any concerns with the grant program.

**Proof of Insurance**

Grantee must provide City proof of coverage naming the City as an additional insured as approved by City under an insurance policy. Grantee shall maintain General Liability Insurance during the life of the Grant Agreement, naming and protecting Grantee and City of Lincoln, its officials, employees and volunteers as insured, against claims for damages resulting from (a) all acts or omissions, (b) bodily injury, including wrongful death, (c) personal injury liability, and (d) property damage which may arise from operations under this Agreement whether such operations by Grantee and Grantee's employees, or those directly or indirectly employed by Grantee.

**Grant Conditions and Penalties**

Grant recipients are required to comply with the Grant Agreement and program guidelines. A violation of the guidelines or Grant Agreement may result in withdrawal of grant funds, reimbursement of improperly expended funds, forfeiture of Division funded property, ineligibility for future funding, or any combination of the above.

**ATTACHMENT A**  
**QUARTERLY STATUS REPORT AND FORMS**

**WASTE REDUCTION, REUSE AND RECYCLING GRANT PROGRAM  
QUARTERLY STATUS REPORT**

Page \_\_\_\_ of \_\_\_\_

Grant No. \_\_\_\_\_ Project  
Name: \_\_\_\_\_

Project Manager: \_\_\_\_\_

Project Period: from \_\_\_\_\_ to \_\_\_\_\_

Project Quarter:     **1 2 3 4** (circle one)

---

**Please complete and return to:**

Waste Reduction, Reuse and Recycling Grant Program  
Solid Waste Management Division  
5101 North 48<sup>th</sup> Street  
Lincoln, NE 68504  
(402) 441-7043

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- 1. Please detail progress and problems for this quarter in relation to the project workplan and time line as provided in the Grant Application and Grant Agreement. (Use additional pages, if needed.)**

**2. Please complete tonnage portion if applicable to this quarter:**

<b>Waste Item Diverted</b>	<b>Tonnage Diverted during Previous Grant Quarters</b>	<b>Tonnage Diverted this Quarter</b>	<b>Total Tonnage Diverted</b>
<b>TOTALS:</b>			

**3. If project does not divert material indicate other measurable indicators and change that has occurred during the quarter:**

<b>Progress Measure Indicator</b>	<b>Total Measure for Previous Grant Quarters</b>	<b>Measure for this Quarter</b>	<b>Total Year to Date Measure Change</b>

Prepared by: \_\_\_\_\_ Date: \_\_\_\_\_

**Please attach completed Account Sheet, Equipment Inventory form, and Grant Reimbursement Request form for the Quarter and Necessary Support Documentation (invoice copies, canceled check copies or electronic bank copies, etc.)**



**WASTE REDUCTION, REUSE AND RECYCLING GRANT PROGRAM  
EQUIPMENT\* INVENTORY**

Grant No. \_\_\_\_\_ Project Name: \_\_\_\_\_

Project Manager: \_\_\_\_\_

Project Period: from \_\_\_\_\_ to \_\_\_\_\_

Project Quarter:     1 2 3 4 (circle one)

---

**Please complete and return to:**

Waste Reduction, Reuse and Recycling Grant Program  
Solid Waste Management Division  
5101 North 48<sup>th</sup> Street  
Lincoln, NE 68504  
(402) 441-7043

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<b>Equipment Description/ Model and Serial Number</b>	<b>Equipment Cost</b>	<b>Date Purchased</b>	<b>Status/Condition</b>
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\*Any piece of equipment purchased, in whole or in part, with Solid Waste Management Division funding.



# WASTE REDUCTION, REUSE AND RECYCLING GRANT PROGRAM GRANT REIMBURSEMENT REQUEST

**Lincoln Solid Waste Management Division**  
5101 North 48th Street  
Lincoln, NE 68504  
(402) 441-7043

Internal Use Only:	
Comments	
JDE #	

**GRANTEE:** \_\_\_\_\_ **PROJECT:** \_\_\_\_\_  
**ADDRESS:** \_\_\_\_\_ **GRANT** \_\_\_\_\_  
 \_\_\_\_\_ **AMOUNT:** \_\_\_\_\_  
 \_\_\_\_\_ **DATE:** \_\_\_\_\_  
 \_\_\_\_\_

Project Manager:	Grant Number:
Federal I.D. Number:	Billing Period:

**PART A: EXPENSES** (Total Expenses Less in-kind and Cash Match = Grant Reimbursement Request)  
 Categories: Personnel, Equipment, Contractual Services, Material & Supplies, Advertising/Promotion, Other

Budget Category	Description	Total Expense	Matching Funds		Grant Funds
			In-Kind	Cash	
<b>Total</b>					
<b>Percentage</b>		100%			

**PART B: EXPLANATION OF EXPENDITURES**

**I certify to the best of my knowledge and belief that the data above are correct and that all outlays were made in accordance with the grant agreement and that payment is due and has not been previously requested.**

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Print Name/Title

**Attach copies of all invoices listed above: canceled checks or electronic bank copies.**

**ATTACHMENT B**  
**FINAL REPORT FORM**

# WASTE REDUCTION, REUSE AND RECYCLING GRANT PROGRAM

## FINAL REPORT

Recipients of Solid Waste Management Division grant funds are required to submit a final report of the project. Final reports are due February 28<sup>th</sup> after the close of the project.

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**Please complete and return to:**

Waste Reduction, Reuse and Recycling Grant Program  
Solid Waste Management Division  
5101 North 48<sup>th</sup> Street  
Lincoln, NE 68504

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Grant Number:

Project Manager:

Project Name:

Project Period:

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1. **Describe the project goals. How do the results of the project compare with the stated goals in the application?**

2. **What was the total solid waste diversion over the project period and how much do you expect to divert in the next twelve-month period? If the project does not divert material from landfill disposal, identify other measures used to evaluate the project and how these measures changed as a result of this project and how do you expect these measures to change in the next twelve-month period.**

**3. Describe the factors that either allowed or prevented achievement of project goals and objectives set forth in the approved agreement.**

**4. What were the results of your evaluation procedures? (Section 7 of the Application)**

**5. Describe both positive and negative lessons learned from the project.**

**6. If you were to attempt this project again, what information would you want to know at the beginning of the project and what would you do differently to obtain better results?**

**7. Discuss the benefits derived by your organization in receiving this grant and whether or not it is economically feasible to continue with this project.**

**8. If applicable, indicate the number of new jobs created as a result of your project.**

**9. If applicable, how much revenue was generated during the project period as a result of the grant funds, both gross and net?**

**10. Are there any other comments you would like to share?**

Signature of Authorized Representative \_\_\_\_\_ Date \_\_\_\_\_

**ATTACHMENT C**

**WORKPLAN AND BUDGET MODIFICATION REQUEST FORM**

# WASTE REDUCTION, REUSE & RECYCLING GRANT PROGRAM WORKPLAN/BUDGET MODIFICATION REQUEST FORM

(NOTE: Use this form as your **original** and make copies as needed.)

Grantee: \_\_\_\_\_

Grant Number: \_\_\_\_\_

Proposed Grant Budget Modifications:

Categories: Personnel, Equipment, Contractual Services, Materials & Supplies, Advertising/Promotion, Other

Modification Number	Funding Amount	Previous Budget Category	New Budget Category
1. Transfer	\$ _____	From _____	To _____
2. Transfer	\$ _____	From _____	To _____
3. Transfer	\$ _____	From _____	To _____
4. Transfer	\$ _____	From _____	To _____
5. Transfer	\$ _____	From _____	To _____
6. Transfer	\$ _____	From _____	To _____
7. Transfer	\$ _____	From _____	To _____
8. Transfer	\$ _____	From _____	To _____
9. Transfer	\$ _____	From _____	To _____
10. Transfer	\$ _____	From _____	To _____

In the space below, briefly describe your reason(s) for requesting the Grant Budget Revision listed above and changes in your workplan.

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\_\_\_\_\_  
Authorized Representative Signature

\_\_\_\_\_  
Date