

Program Guidelines Public Participation Grants

2021-2023

By

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For the

Solid Waste Management Program

Washington State Department of Ecology

Headquarters Regional Office

Olympia, Washington

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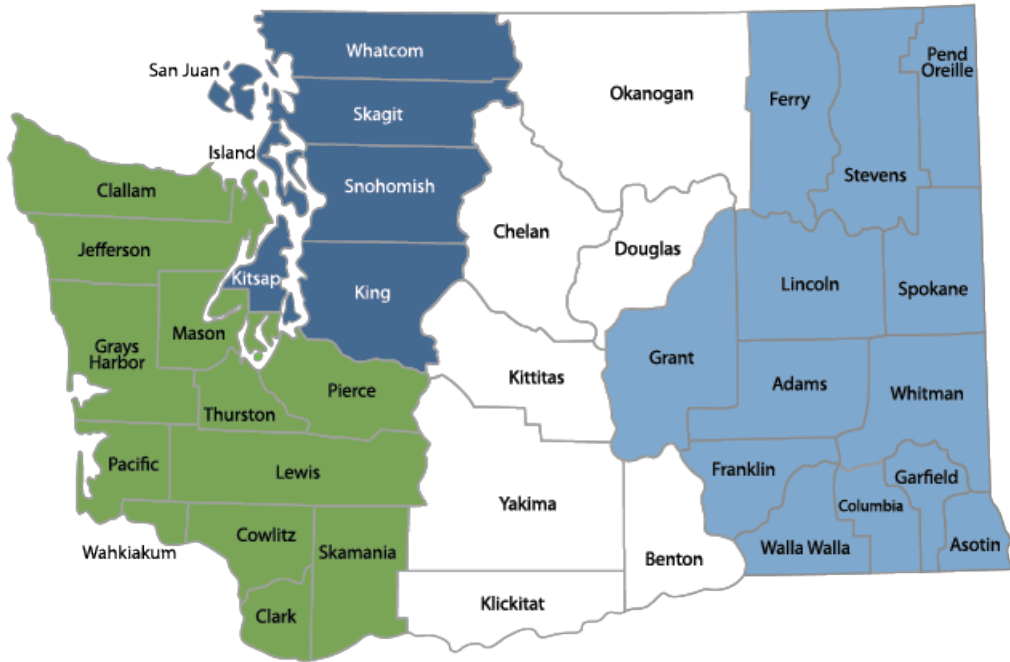
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¹ www.ecology.wa.gov/contact

Department of Ecology's Regional Offices

Map of Counties Served



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|---|---|---------------------------------------|---------------------------------------|
| Southwest Region 360-407-6300 | Northwest Region 425-649-7000 | Central Region 509-575-2490 | Eastern Region 509-329-3400 |
|---|---|---------------------------------------|---------------------------------------|

| Region | Counties served | Mailing Address | Phone |
|---------------------|--|---|--------------|
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DEPARTMENT OF
ECOLOGY
State of Washington

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Part I: Introduction

A. Purpose

The Washington State Department of Ecology's (Ecology) Public Participation Grant (PPG) program is a competitive grant program that provides up to \$60,000 per year to eligible individuals and not-for-profit public interest organizations. The purpose of these grants is to facilitate public participation in the investigation and remediation of contaminated sites and to facilitate the implementation of the state's solid and hazardous waste management priorities.

The authority and method of funding for the PPG program are in [chapter 70A.305 RCW, Hazardous Waste Cleanup-Model Toxics Control Act \(MTCA\)](#)². MTCA requires that one percent of the revenue from the Hazardous Substance Control tax fund these grants. The state currently plans to allocate approximately \$3.4 million to the PPG program for the 2021-23 biennium.

These guidelines provide information about Public Participation Grants (PPGs) including eligibility requirements, application procedure, and the criteria Ecology uses to evaluate and award grants. They also provide information to help you manage your grant if awarded. All grant applicants should read and understand these guidelines along with the [Administrative Requirements for Recipients of Ecology Grants and Loans Managed in EAGL](#)³ before entering into a grant agreement with Ecology.

B. Program updates

Starting in the 2021-23 funding cycle, the Solid Waste Management (SWM) program is incorporating a [Risk Assessment Process](#) for all grant programs. This process will decrease the workload for recipients and staff when Ecology assesses a recipient as low risk.

C. Eligibility requirements

The PPG Program will award funding to either of the following:

- Individuals who may be adversely affected by a release or threatened release of a hazardous substance; or,
- Not-for-profit public interest organizations based in the State of Washington.

Individuals who consider applying should consult with a financial advisor since their funding may be subject to federal and/or state taxation.

² <https://app.leg.wa.gov/RCW/default.aspx?cite=70A.305.180>

³ <https://apps.ecology.wa.gov/publications/SummaryPages/1701004.html>

The following individuals and organizations will *not* be eligible for PPG funding:

- Any person potentially liable for a release of a hazardous substance, as defined by [RCW 70A.305.040](#).⁴
- Local governments, including any political subdivision, regional governmental unit, district, municipal, or public corporation, including cities, towns, and counties. This includes any department within a city, town, special purpose district, or county.
- Federal and state governments or agencies.
- Federally recognized Indian tribes, as a governing body with the following exceptions:
 - Individual tribal members who may be affected by the release or threatened release of a hazardous substance; and,
 - Not-for-profit tribal organizations.
- Public and private universities.
- Any organization located outside of Washington State.

Multiple applications and fiscal sponsors

EAGL will limit applicants to one application, however; organizations may request additional applications for the following reasons:

1. They are acting as a “fiscal sponsor” for another organization, or
2. They may have more than one project they want to implement.

Some organizations may be capable of implementing a project but may not have the resources to administer a grant. In these cases, another organization may act as a fiscal sponsor of the implementing organization. Fiscal sponsors submit the application and sign the grant agreement. Fiscal sponsors may also submit payment requests and progress reports on the sponsored organization’s behalf. This is usually the extent of their involvement in the project.

The PPG application asks both organization and project related questions. The organization's questions will be primarily concerning the fiscal sponsor. The implementing organization must be identified in the project and task descriptions. The implementing organization must also be listed as an additional signatory on the Recipient Contacts form.

Ecology may limit the number of grants given to one applicant if the total funds requested by all applicants exceed the biennial budget. This limit will apply to the organization implementing the projects. This will not apply to fiscal sponsors unless they sponsor multiple projects for one organization.

Ecology strives to include and respect cultural, racial, ethnic, sexual orientation, and gender identity diversity. Ecology prohibits unlawful discrimination based on race, color, creed, religion, sexual orientation, age (40 years of age or older), disability, pregnancy, honorably discharged veteran or military status, or genetic information, within the scope of employment, volunteering, or doing business with Ecology. Unlawful discrimination violates Ecology policy and expectations of personal integrity and respect for others.

⁴ <https://app.leg.wa.gov/rcw/default.aspx?cite=70A.305.040>

D. Program priorities

Priority consideration for PPGs are given to applicants who meet any of the following criteria:

- Facilitate public participation in hazardous substance release sites.
- Facilitate public participation in highly impacted or low-income communities.
- Have not received PPG funding since July 1, 2017.

Applicants may qualify for any or all of these priorities and will receive additional points in the application evaluation process.

E. Project categories

PPG will fund two basic types of projects:

- Contaminated site projects (used interchangeably with hazardous substance release sites).
- Waste management projects.

Contaminated site projects

These projects encourage public involvement in the investigation and cleanup of contaminated sites. To receive priority consideration as a hazardous substance release site, a project must fall into at least one of these three categories:

- Involve a site on Ecology's Hazardous Sites List or Confirmed and Suspected Contaminated Sites List. You will find the lists here:
- [Hazardous Sites List⁵](#).
- [Confirmed and Suspected Contaminated Sites List⁶](#).
- Involve a hazardous waste facility undergoing remedial action under the Resource Conservation and Recovery Act. For a list of these sites, see [Dangerous Waste Cleanup Sites⁷](#).
- Involve a site on the U.S. Environmental Protection Agency's (EPA) National Priorities List (Superfund). To view Washington state sites on the EPA's National Priorities List online, see [National Priorities List-WA⁸](#).

The following activities are typical for cleanup oversight projects:

- Contracting with an expert to translate technical jargon into "plain talk" or analyze data and methods for the public.
- Coordinating, participating in, or holding public forums where the site owner and the enforcement agency (Ecology or EPA) can discuss concerns about activities at the site.
- Publishing or broadcasting a site history or examining the impacts of past, current, and possible future activities there.

⁵ <https://ecology.wa.gov/Spills-Cleanup/Contamination-cleanup/Cleanup-sites>

⁶ <https://apps.ecology.wa.gov/cleanupsearch/reports/cleanup/contaminated>

⁷ <https://ecology.wa.gov/Spills-Cleanup/Contamination-cleanup/Cleanup-sites/Dangerous-waste-facility-cleanup>

⁸ <https://www.epa.gov/superfund/national-priorities-list-npl-sites-state#WA>

- Displaying photographs, maps, topographical models, or hydrogeologic models of the site at pertinent public events or in high-traffic public areas.
- Advertising special events related to decisions about the site.

Waste management projects

The PPG program funds projects that implement the state’s solid and hazardous waste priorities. Your project must clearly identify a waste problem. The project must have measurable goals that offer practical ways to prevent, solve, or reduce the problem. The project must measure the outcome of those goals.

The waste management priorities related to both solid and hazardous waste are, in descending order:

Hazardous waste:

1. Waste reduction.
2. Waste recycling.
3. Physical, chemical, and biological treatment.
4. Incineration.
5. Solidification/stabilization treatment.
6. Landfill.

Solid waste:

1. Waste reduction.
2. Recycling, with source separation of recyclable materials as the preferred method.
3. Energy recovery, incineration, or landfill of separated waste.
4. Energy recovery, incineration, or landfill of mixed municipal solid wastes.

As the state’s highest priority, waste reduction projects will receive extra points in the evaluation process. The following are examples of waste reduction projects for both solid and hazardous waste:

- Repair events.
- Reducing single use plastic products.
- Reducing toxics in products and processes.
- Food waste prevention.

Please see the [Washington State Solid and Hazardous Waste Plan](https://ecology.wa.gov/Regulations-Permits/Plans-policies/Washington-state-waste-plan)⁹ for more examples of waste management projects.

⁹ <https://ecology.wa.gov/Regulations-Permits/Plans-policies/Washington-state-waste-plan>

Part II: Definitions

Agreement means the formal, written contractual document that details the terms and conditions, scope of work, budget, and schedule of the grant that is signed by the authorized signatories of the recipient and Ecology.

Agreement effective date means the earliest date on which eligible costs can be incurred.

Agreement expiration date means the latest date on which eligible costs can be incurred.

Agreement signature date means the date the agreement is signed by the Ecology authorized signatory.

Amendment means an agreement that details the changes or revisions to the terms and conditions of the grant that is signed by the authorized signatories of Ecology and the recipient.

Application means an EAGL document used by the applicant to request funding assistance from a funding program.

Authorized signatory means a person designated by the recipient or by Ecology to sign a grant agreement and amendments.

Backup documentation means documents to support all expenditures reported on a payment request.

Benefits mean the cost of employment fees/taxes required by law and paid by the employer, such as social security, Medicare, pension/retirement, health insurance, state industrial insurance, and unemployment insurance. Benefits are part of the recipient's salary and benefit cost when calculating the indirect charge for a project.

Bid means a written offer to provide materials, supplies, services, and/or equipment in reply to a formal solicitation, such as an Invitation for Bid or Request for Bid.

Biennium means a 24-month fiscal period, starting July 1 of an odd-numbered year and ending June 30 of the following odd-number year.

Budget means planned expenditures by task for a project.

Cash expenditures mean any cash expended by the recipient, regardless of the source of the funds, for project-related costs, including:

- Direct costs of goods and/or services.
- Salaries and benefits of recipient employees.
- Indirect costs.
- Payments made to contractors.

Closeout means the process by which all administrative matters relative to a grant are reconciled in order to close the file.

Closeout report means a data form that collects information about the accomplishments of a closing grant from Ecology's perspective. Some of the data is collected at the task level and some is collected at the agreement level.

Competitive solicitation means a documented process of soliciting bids or proposals from a sufficient number of bidders to assure equal and open competition according to state laws or an entity's procurement policies, and resulting in an award selection based on predetermined criteria.

Contract means a written and legally binding agreement that has the principal purpose of procuring, by purchase or lease, goods or services for the direct benefit of the project.

Contractor means any entity whose payment comes directly from the recipient for goods or services received under a contract.

Cost means a charge made to a project (cash expenditures). PPG does not allow in-kind contributions.

Data Universal Numbering System (DUNS) means a system developed and regulated by Dun and Bradstreet that assigns a unique numeric identifier to a single business entity.

Deliverable means an item or activity identified in an agreement that requires completion by the recipient before Ecology approves reimbursement or completion.

Eligible cost means a cost that meets all eligibility criteria established in the terms of the agreement and funding program guidelines.

Emergency means an occurrence warranting public participation that occurs after the deadline for grant applications such as:

- An unforeseen release of a hazardous substance at an existing site or a newly discovered site.
- An unanticipated decision by Ecology concerning remedial action at a site or publication of a remedial investigation/feasibility study or risk assessment.
- Discovery of a technical assistance need that was not foreseeable before the grant application period.

Emergency grant means a public participation grant in the hazardous substance category for an emergency as defined in this guideline.

Equipment means tangible, personal property having a useful life of more than one year and an acquisition cost of more than \$5,000 per functional unit.

Expenditure means a payment made by the recipient for project related costs. Expenditures are categorized by type of cost.

Federally recognized Indian tribal government means the governing body or governmental agency of any Native American Indian tribe, band, nation, or other organized group or community certified by the Secretary of the Interior as eligible for the special programs and services provided through the Bureau of Indian Affairs.

Financial manager means the person responsible for the financial, administrative, and project management aspects of an agreement.

Funding opportunity means funding that is available to applicants.

Funding program means a financial assistance program with a distinct set of requirements that provides grant or loan funding to eligible applicants.

Grant means an award of financial assistance given to a recipient to carry out work for a public purpose or public good authorized by law, and including certain requirements.

Grant amount means the maximum dollar amount of financial assistance for reimbursement to the recipient. The terms of the agreement clarify what is eligible for reimbursement.

Lobbying means attempting to influence the passage or defeat of any legislation by the legislature or the adoption or rejection of any rule, standard, rate, or other legislative enactments of any state agency under the state Administrative Procedure Act, chapter 34.05 RCW. Lobbying does not include an organization's act of communicating with the members of that organization unless the communication's purpose is to influence legislation.

Local government means a county, municipality, city, town, township, municipal corporation, quasi-municipal corporation, local public authority, conservation district, school district, special district, intrastate district, council of governments (whether or not incorporated as a nonprofit corporation under state law), any other regional or interstate government entity, or any agency or instrumentality of a local government.

Outcome means the environmental result, effect, or consequence that will occur from carrying out a program or activity related to the goal or objective of a grant or loan.

Output means an environmental activity or effort and associated work products related to the goal or objective completed by a specified date.

Overhead costs means a term often used interchangeably with Indirect Costs. Costs that benefit more than one activity or cost objective of the recipient (including grant project), that cannot be easily or readily directly assigned to an objective of the project.

Overtime means employee hours in excess of the Fair Labor Standards Act.

Payment request/progress report (PRPR) means a data entry form used to report agreement expenditures and/or progress by task.

Personal property means property of any kind except real property. It includes tangible (having physical existence) or intangible (such as patents, inventions, and copyrights).

Prior authorization means written documentation authorizing the recipient to incur eligible project costs before the execution of the agreement.

Program manager means the manager of Ecology's Solid Waste Management program.

Project means a specific, connected set of activities that are eligible for funding and have explicit objectives and a predetermined cost. One or more grants or loans may fund a project.

Recipient means an entity approved to receive a grant from one or more funding programs.

Recipient billing contact means the person designated by the recipient to be the main contact for billing issues related to the grant or loan.

Recipient project manager means the person designated by the recipient to be the main contact for project management issues related to the grant or loan program.

Scope of work means the objectives, tasks, and deliverables to be accomplished under an agreement.

Statewide vendor number means a number issued by the Office of Financial Management's Statewide Payee Desk. A statewide vendor number is required for recipients to receive a disbursement.

Supplies means all tangible personal property other than tools or equipment necessary to carry out a scope of work with a useful life of less than one year and an acquisition cost of less than one thousand dollars.

Suspension means the temporary withdrawal of the authority to obligate previously awarded project funds pending either corrective action or agreement termination.

Task means an activity that needs to be accomplished within a defined period of time or by a deadline.

Task goal means a description of why the task is necessary. It further defines successful completion with a task outcome.

Task outcome means the environmental result, effect, or consequence that will occur from carrying out the task.

Technical advisor means responsible for one or more of the following: technical review of a proposed agreement; technical evaluation of applications; review and approval of interim and final technical deliverables when needed and at the request of the project manager.

Termination means the action of ending an active agreement between parties and the permanent withdrawal of the authority to obligate previously awarded project funds before the agreement expiration date.

Terms of agreement means all requirements of the grant or loan, whether in statute, regulations, administrative requirements, program requirements, or the agreement document.

- **Agreement - specific terms and conditions** means terms and conditions that apply only to a specific agreement.
- **General terms and conditions** means terms and conditions that apply to all Ecology grants and loans.
- **Special terms and conditions** means terms and conditions that apply only to agreements under a specific funding program.

Third party means an entity that is not part of the grant agreement.

Tools means tangible (having physical existence), personal property with a useful life of more than one year, and an acquisition cost of less than \$5,000 per functional unit.

Total cost means the total cost of the project. Some costs may not be eligible under the agreement.

Total eligible cost means the total cost of the project that is eligible under the agreement.

Part III: Grant Project Development

These guidelines will help you plan, describe, and complete a successful PPG project. Not every suggestion below is relevant to both contaminated site and waste management projects.

A. PPG Project Elements

A successful project begins with careful, thorough planning. The essential elements are the same for most PPG projects. Successful projects:

- Focus on a specific, manageable waste problem or contaminated site.
- Have clearly defined goals and measurable outcomes that demonstrate public benefit.
- Use educational materials and activities that match their audiences. This could include the translation of materials into other languages.
- Promote awareness and motivate action.
- Involve the whole community.

PPG projects should:

- Identify the causes, sources, and effects of pollution on all members of a community, regardless of ethnicity or socio-economic status.
- Help citizens provide informed feedback during public comment periods on site cleanup documents.
- Teach citizens to become aware of how their activities affect the environment.
- Encourage citizens to adopt responsible practices in their homes, schools, and businesses to prevent, reduce, or clean up pollution.

All projects must provide substantial and measurable public benefit and improve public participation through education and outreach. The projects must have well-defined activities that result in positive behavior change related to the problem.

Identify the problem or issue

What exactly is the problem? Focus on a specific problem, one that affects your home, workplace, or community. The problem can affect people in your industry or profession, locally or statewide.

Identify possible solutions

To help recognize your project's potential, put your project into the context of the existing conditions. This will help you clarify the circumstances of the environmental problem and your role. Select people with the potential influence and interest to identify solutions. Select those who will support your project. Be objective in your evaluation of your ability to implement a proposed solution.

- Do you have adequate skills, knowledge, and capacity?
- Are you collaborating with other individuals or groups?
- Can you complete the project between July 1, 2021, and June 30, 2023?
- Does your solution address the problem?

Implement the project

Tasks and Activities

Tasks contain specific activities you complete to move toward your project goals. Each project will have two tasks:

Task 1: Project administration. The activities in this task are strictly limited to the preparation of required submittals such as payment requests, progress reports, and final closeout reports.

Task 2: Project Name. Task 2 will include all of the other activities that will be conducted as part of your project. When developing your project:

- Relate each activity to a specific project goal.
- Make each activity precise but flexible enough to adapt to changes if needed.
- Allot sufficient time for each activity. As you complete each activity, you can use it to measure progress toward meeting the project goals.
- Determine the cost for each activity.

Project description

- Show quantifiable measures that support the project goals.
- Describe how you will document and measure behavior change.
- Clearly describe the benefit to the environment and the public.
- Show a direct return on the investment of public funds.
- Show how you can accomplish tasks within project timelines.

B. Measuring Results

Ecology wants each PPG project to achieve the best possible measurable results for the time, money, and effort invested. Projects may include both outputs and outcomes.

Outputs refer to measurable quantitative or qualitative activities, efforts, deliverables, or work products that the applicant proposes to undertake during the project period. All applicants must clearly identify their outputs in the scope of work. Grant recipients are required to submit quarterly status reports about their progress towards achieving outputs throughout the project.

Examples of outputs include:

- Pounds of hazardous materials reduced through pollution prevention or source reduction.
- Number of individuals reached with an education and outreach campaign.
- Number of oil spill prevention kits distributed to small businesses.

Outcomes refer to the result, effect, or consequence that will occur from carrying out the activities or outputs of the project. Outcomes may be environmental, behavioral, health-related, or programmatic, should be quantitative, and may not necessarily be achievable during the project period.

A PPG project should include at least one short-term outcome including, but not limited to: increased learning, knowledge, skills, attitudes, and motivation, and should be achievable during the project. Examples of short-term outcomes are:

- Increased resources to benefit highly impacted communities.
- Increased access to information and tools that increase understanding of an issue.
- Decreased use of pesticides.

C. Project Budget

Every grant agreement has a predetermined budget detailing how the funds will be spent. Ecology and the recipient negotiate the predetermined budget before signing the agreement. The budget will outline individual costs by task. Task 1-Project Administration is a required task that covers the recipient's costs of administering the project. This task is developed by Ecology.

Each agreement will only have one additional task (Task 2). The recipient develops this task. The task description should outline clearly what activities will take place and how the task funds will be used. Will they cover staff salaries, travel, supplies, or other costs?

Determine your task cost by estimating the cost per task of the following:

- Coordinating and supervising project staff. Salary and benefits may not exceed \$50 per hour. Staff time is limited to 40 hours per week unless prior approval by Ecology is given. This does *not* apply to contracted work such as technical experts.
- Renting space and audio-visual equipment for any grant-sponsored event.
- Compiling and printing materials, or adapting and copying materials.
- Mailing, delivering, and distributing material.
- Advertising.
- Bookkeeping, reporting, and evaluating.
- Contracting for technical assistance.
- Travel.
- Any other anticipated expenses.

Project Cost Categories

Project costs occur under three categories described below:

- *Eligible costs* may be allowed for a project funded through Ecology.
- *Conditionally eligible costs* are allowable only under certain conditions.
- *Ineligible costs* are not reimbursable.

Grant funds may be used only to reimburse eligible cash expenditures. Eligible cash expenditures are reimbursable, in whole or in part, with grant funds. The recipient cannot receive reimbursement in excess of actual cash expenditures. Grant funds may not be used for financial gain to the recipient.

To be eligible, a cost must be:

- Necessary and reasonable for efficient completion of the project. Necessary costs are determined by the nature and scope of the project as detailed in the agreement terms.
- Authorized or not prohibited under federal, state, or local laws and regulations.
- Conformed to the project budget and any other financial limitations in the agreement terms.
- Incurred on or after the effective date of the agreement and on or before the expiration date.
- Adequately documented and supported by invoices, timesheets, or other required documentation.
- Consistent with standard business practices.
- Billed to one project only. Costs split between projects are acceptable, but the billing cannot have the same cost billed to two separate projects.

Eligible Costs

In general, the following costs are eligible:

Accounting - establishing and maintaining accounting and other information systems required to manage the project.

Advertising - advertising media includes newspapers, magazines, radio, television programs, direct mail, exhibits, trade papers, etc.

Only the following advertising purposes are eligible:

- Recruiting personnel needed for the project.
- Soliciting bids to procure project-related goods and services.
- Advising the public about a project activity.
- For other purposes specifically provided for in the agreement.

Communications - project-related costs incurred for paper and electronic communications, including, but not limited to local telephone systems and service, mobile phone service, voicemail, long distance, toll-free, facsimile (fax), private branch exchange (PBX), website design and maintenance, web communication interfaces (for example Skype and WebEx),

internet access, postage, messenger service, and other similar expenses. Websites must be solely dedicated to the project. Recipients may not use websites to solicit organizational donations.

Compensation for services - wages, salaries, and benefits - paid currently or accrued - for services rendered under the agreement, including compensation for the recipient's employees, for consultants, or other necessary services. Such compensation is eligible if it is:

- Is reasonable for the services rendered and consistent with compensation paid for similar work in the recipient's labor market.
- Complies with local, state, or federal laws or rules governing procurement.
- For services rendered that are not compensated by any other governmental entity, recipient, or sub-recipient.

Education and outreach - Activity generally associated with education or outreach can include, but is not limited to, presentations, workshops, tours (of sites or facilities), demonstrations, exhibits, and displays. Education and outreach includes associated materials such as brochures, flyers, CDs, and other marketing materials (see Advertising).

Equipment rental - rental charge, if the total project cost does not exceed the fair market value of the equipment, and the costs are consistent with rental rates in the recipient's market.

Printing and reproduction - materials such as forms, reports, manuals, publications, peer reviewed journals, or informational literature relating to the project.

Supplies - purchased items necessary to complete the project. Purchases charged to the project have to be at their actual cost after deducting all cash discounts, trade discounts, rebates, and allowances received by the recipient.

Taxes (or payments in lieu of taxes) - taxes related to the project.

Transportation of goods - shipping and handling freight, express, postage, and other transportation costs relating to goods purchased or moved.

Travel expenses - In-state transportation, lodging, subsistence, and related travel cost items incurred by recipient's employees while in travel status on official business necessary for the project. Ecology must approve out of state travel in writing.

Entering into an Ecology grant agreement means the recipient agrees to follow state travel requirements. Travel reimbursements cannot exceed state rates. For state travel regulations, see [Chapter 43.03 Revised Code of Washington \(RCW¹⁰\)](#); and [Chapter 10 of the State Administrative and Accounting Manual \(SAAM\)¹¹](#) from the Office of Financial Management.

Travel costs are either on an actual basis or according to state per diem and mileage rates. The charged method used applies to an entire trip and charges must be consistent with the recipient's policies and procedures.

Contractor travel costs are reimbursed at the current state rates.

¹⁰ <http://app.leg.wa.gov/RCW/default.aspx?cite=43.03>

¹¹ <http://www.ofm.wa.gov/policy/10.htm>

Conditionally eligible costs

Conditionally eligible cost reimbursements require prior written approval by Ecology unless identified as eligible in the agreement. Requests for conditionally eligible costs must be approved in writing.

In general, the following categories of costs may be conditionally eligible:

Advisory councils - advisory councils or committees established according to federal or state requirements to carry out the project.

Childcare - childcare expenses if needed for community events or meetings. This is for the public only and not for the recipient's childcare needs.

Conferences and meetings - facility or meeting room rental, registration fees, supplies, speaker costs, contracts with facilitators, etc., when the primary purpose of the conference and meeting is necessary for the project.

Computers and other electronic devices - hardware, software, and/or licenses directly related to the project. Includes laptop computers, cameras, tablets, recorders, projectors, and other electronic devices. Includes rental costs, use allowances, or the acquisition cost.

Expedite/rush charges - special (urgent, overnight, next day) shipping charges or other services directly related to the project that were necessary for performance of the project.

Light refreshments - light refreshments served at a conference, seminar, or meeting, when specifically provided for an event that relates to the project. Light refreshments include nonalcoholic beverage and edible items commonly served between meals, such as tea, coffee, soft drinks, juice, doughnuts, cookies, sweet rolls, pieces of fruit or cheese, but not when served as a substitute for meals.

Overtime compensation - straight salaries and benefits for employee hours in excess of 40 per week. Overtime will only be reimbursed when there is written prior approval by Ecology.

Overtime differential - overtime may be eligible only when 100 percent of an employee's time is spent on tasks specific to the project.

Rental of office space - privately or publicly owned buildings, if the costs do not exceed the rental costs of similar facilities in the same area.

Training and education - Recipients' training for employee development that directly benefits the project.

Stipends - Stipends paid to participants in focus groups for gathering information related to the project.

Ineligible Cost Categories

The following costs are ineligible:

Alcohol - See “light refreshments” under eligible expenses.

Bad debts - any losses arising from uncollectible accounts and other claims and related costs.

Contributions to a contingency reserve - any funds set aside by the recipient to reimburse unanticipated expenses.

Depreciation - of facilities or equipment.

Entertainment - amusements, social activities, and any related incidental costs, including meals, beverages, lodging, rentals, transportation, and gratuities.

Fines and penalties - costs resulting from violations of, or failure to comply with, federal, state, or local laws.

Illegal costs - costs incurred as a result of procurement practices, not in compliance with state or federal procurement laws may be ineligible and not reimbursed at the sole discretion of Ecology.

Interest and other financial costs - interest on debt, bond discounts, cost of financing and refinancing operations, and legal and professional fees except when authorized by federal or state legislation.

Late/past due fees - incurred by failing to pay vendor invoices, permit fees, or to return items in a timely manner.

Legal expenses - related to claims against Ecology.

Legislative expenses - salaries and other expenses of members of the state Legislature or similar local governmental bodies (for example, county boards), if incurred in the members’ official capacity.

Lobbying - expenses related to lobbying activities.

Maintenance equipment purchases - equipment purchased for maintenance or upkeep of project land or a building site (for example lawnmowers, snow removal equipment, shovels, and brooms).

Maintenance and repair - maintenance and repair work that adds to the permanent value of the property or appreciably extends its designed life.

Meals - See “light refreshments” under eligible expenses.

Other project costs –Costs that are determined to be ineligible for one project may not be charged to another project.

Personal injury compensation - or damages arising out of the project, whether determined by adjudication, arbitration, negotiation, or otherwise.

Types of costs- direct and indirect

Direct costs

Direct costs are costs identified specifically with a particular objective of the project, such as:

- Compensation of employees for the time worked on the project.
- Cost of materials, equipment, and supplies purchased for the project.
- Cost of services specifically used for the project.
- Cost of approved capital expenditures used specifically for the project.
- Costs of services furnished for the project by other entities.
- Costs identified as eligible or approved conditionally eligible.

The recipient must compute the direct charges in the same way they calculate costs related to any other recipient activity. For instance, if the recipient's motor pool normally bills vehicle mileage back to individual jobs, then the same method will apply to mileage related to the project. Otherwise, the cost must be included in indirect cost.

Indirect costs

Indirect costs, sometimes called overhead costs, are business or operational costs incurred for a common purpose. They are not directly connected with a specific project. Indirect costs include costs incurred by the recipient and may include costs incurred by others who supply goods, services, or facilities to the recipient, such as:

- Utilities for a facility used for both project-related and non-project-related recipient activities.
- Maintaining a department that provides services to a project, as well as other recipient activities (for example, a warehouse or mailroom).
- Supervisory staff or management who oversee project activities and other, non-project related recipient activities.

There is no universal rule for classifying certain costs as either direct or indirect. A cost may be indirect with respect to some of the recipient's functions but be considered direct with respect to a particular project. Each cost item must continue throughout the project either as a direct or indirect cost.

Examples

Communication is included in the indirect rate, and the intention is to cover the basic telephone and cell phone charges associated with maintaining contact with the recipient. However, long distance calls associated directly with the project may be direct billed.

Insurance is included in the indirect cost (for example, the project portion of the recipient's regular fire and liability insurance). Insurance policies for a specific project may be directly billed.

Recipients may charge a maximum indirect rate of 30 percent of salaries and benefits for the recipient's employees for time worked specifically on the project, subject to Ecology approval.

Costs normally included in the indirect rate

The following costs may be included in the indirect rate:

- **Communication** - includes line charges for telephone, cell phone, pagers, and fax machines; internet service; and postage charges.
- **Fuel consumed** - to generate power or provide heat.
- **Insurance** - fire, casualty, theft, bonds, liability, etc.
- **Internal interfund services** - costs to other recipient departments for services rendered jointly to the project and other recipient activities.
- **Office furnishings and operating supplies** - office furnishings, stationery/supplies, forms, cleaning supplies, etc.
- **Operating rentals and leases** - rental costs for facilities or equipment that are shared by the project and other recipient activities (for example, buildings or copy machines).
- **Utility services** - water, electric, gas.

Part IV: Application and evaluation process

A. Submitting your application

To apply for a grant, you must complete and submit an application in the [Ecology Administration of Grants and Loans \(EAGL\)](#)¹² online grant management system. Make sure you read and understand all of the application instructions. A copy of the instructions will be included with the application in EAGL. The PPG Program will accept applications from 8:00 a.m., **March 30, 2021** through 5:00 p.m., **April 29, 2021**.

Current EAGL users

[Log in to your Secure Access Washington \(SAW\) account](#)¹³ and the system will direct you to EAGL.

New SAW or EAGL users

If you do not already have one, you must create a Secure Access Washington (SAW) account. You may not “share” a SAW account with another person or organization. You also need to complete an EAGL registration form. Please see the detailed instructions, including a how-to video, for [registering as a new SAW and/or EAGL user](#)¹⁴.

Once you have your SAW account and Ecology’s EAGL staff validates you as a new user, you will have access to EAGL. Please note that it may take up to three business days for Ecology to approve your user request. You will also have to register for a [statewide vendor number](#) to complete the application.

EAGL assigns the first person to register for your Organization as the role of “Authorized Official”. For subsequent EAGL registrations, the system notifies the Authorized Official that you are a new user. The Authorized Official must assign your role in the EAGL system and add you to the appropriate Applications/Agreements and subdocuments before you can access them.

Your Ecology PPG grant officer’s title is Funding Program Administrator in EAGL.

Funding Program Administrators:

- Negotiate with the recipient to develop the grant budget, scope of work, and performance schedule.
- Act as the central agency contact for the recipient.
- Review costs for eligibility, monitor project progress, and approve payment requests.
- Respond to budget deviation and determine appropriate action.
- Provide technical assistance and coordinate the review and approval of recipient work products.

¹² <https://ecology.wa.gov/About-us/How-we-operate/Grants-loans>

¹³ <https://secureaccess.wa.gov/ecy/eagl>

¹⁴ <https://ecology.wa.gov/About-us/How-we-operate/Grants-loans>

Once PPG Fund Coordinators have reviewed applications for eligibility, they may request additional or clarifying information about items mentioned in your application.

You may submit applications for multiple projects. However, Ecology may limit recipients to one grant if the amount of funding requested by all applicants exceeds the biennial budget. Ecology may also fund only a portion of the amount requested in an application.

Cost reimbursement and Statewide Vendor Number

Recipients receive payment through the Washington State Office of Financial Management's Statewide Payee Desk. To receive payment, you must [register as a statewide vendor](#)¹⁵ by submitting a registration form and an IRS W-9 form. If you have questions about the vendor registration process, contact the Statewide Payee Help Desk at 360-407-8180 or email PayeeRegistration@ofm.wa.gov.

New Organizations Not Registered in EAGL

Please be aware that it can take up to 15 days or longer to get a statewide vendor (SWV) number. This number is a required field for the organization to register in EAGL. Organizations must register in EAGL before an application is available. You can check the [Statewide Vendor Number Lookup](#)¹⁶ to see if your organization already received one.

Returning Organizations Registered in EAGL

Most applicants for this funding opportunity apply under an organization already registered in EAGL. During the funding period, if your organization changes its bank account or experiences staff turnover, you need to contact the Office of Financial Management (OFM) to update the information. Additionally, recipients cannot edit their own SWV number in EAGL and this number needs to be accurate in order for you to receive payment. If your SWV number changes, contact your Ecology Grant Manager immediately with the new number. They will request an update from the EAGL System Administrator and notify the Ecology fiscal staff.

Ecology fiscal staff gets the SWV number from your organization's information in EAGL during the beginning of the grant period and uses it when approving disbursement of payments. If you experience difficulty receiving payments, confirm your organization's statewide vendor number in EAGL is correct.

B. Application screening and evaluation

Screening checklist

Ecology uses a screening checklist to determine whether your application meets eligibility criteria. If you fail to meet any of these conditions, you will not be eligible for funding. All eligible applications will be evaluated.

¹⁵ <https://ofm.wa.gov/it-systems/statewide-vendorpayee-services>

¹⁶ <https://ofm.wa.gov/it-systems/accounting-systems/statewide-vendorpayee-services/statewide-vendor-number-lookup>

The following questions will be used in the application screening:

- **Was the application submitted on time?**

Applications must be successfully submitted in EAGL by the deadline in order to be evaluated. Late applications are not eligible.

- **Is the applicant either an individual who is adversely affected by a release or threatened release of a hazardous substance or a not-for-profit organization?**

The applicant must be an individual who is adversely affected by a release or threatened release of a hazardous substance or a not-for-profit public interest organization. Individuals applying will be required to provide three letters of support and/or three references with their application. Ecology employees cannot be references or provide letters of support. Not-for-profit organizations must provide documentation of registration with the Secretary of State.

- **Does the project facilitate public participation in the investigation and remedying of a release of a hazardous substance or implementation of the state's solid and hazardous waste management priorities?**

Application evaluation

All eligible applications will be evaluated against the following criteria:

- Whether the applicant meets one or more of the priority considerations. Meeting any or all of the priority considerations will result in additional points in the application scoring process.
- The extent to which the individual applicant, or the community served by the not-for-profit organization, is impacted by the hazardous substance release or waste management issue addressed by the project.
- The extent to which the applicant has demonstrated the ability to manage grant funds.
- Past performance under a public participation grant. For the 2021-23 cycle, PPG recipients from the 2019-2021 cycle will be evaluated on this criterion. Recipients will be scored on timeliness of payment requests and rate of spending funds. Impacts from COVID-19 may be considered in this evaluation.
- The extent to which the applicant has demonstrated the ability to measure the project's outcomes.
- The degree to which the public participation activity will promote or implement the state solid and hazardous waste management priorities.

Evaluation criteria and scoring:

The evaluation scorecard is broken into two parts. A total of 90 points is possible. The program's Fund Coordinator will answer categories 1-5. The Fund Coordinator may request assistance from the agency's Environmental Justice coordinator on questions 1.2-1.3.

A committee of Ecology employees will evaluate Category 6: Scope of Work. These are the evaluation criteria:

Category 1: Priority consideration

Criteria 1.1: Facilitates public participation in a hazardous substance release site

Note: If your project is evaluated using this criterion, the score for criterion 1.5 will be left blank.

State cleanup sites (MTCA or RCRA) will receive points based on the site's ranking using the Washington Ranking Method (WARM). You can find a site's ranking on the [Hazardous Sites List](#)¹⁷ or the [Confirmed and Suspected](#)¹⁸ [Contaminated Sites List](#). Sites are ranked from one through five with one being the highest risk. Sites that have not been ranked will be considered "fives".

- The following points will be given according to their WARM ranking:
 - 1=10 points
 - 2=7 points
 - 3=5 points
 - 4=3 points
 - 5=1 point

Sites on the National Priority List (Superfund) will receive points based on the site score. A NPL site score can be found on the [National Priorities List-WA](#)¹⁹.


- The following points will be given according to their NPL site score:
 - 60=10 points
 - 50-59=7 points
 - 40-49=5 points
 - 30-39=3 points
 - 0-29=1 point

¹⁷ <https://ecology.wa.gov/Spills-Cleanup/Contamination-cleanup/Cleanup-sites>

¹⁸ <https://fortress.wa.gov/ecy/tcpwebreporting/Default.aspx>

¹⁹ <https://www.epa.gov/superfund/national-priorities-list-npl-sites-state#WA>

Criteria 1.2: Facilitates public participation in a highly impacted community

Ecology will use Department of Health's (DOH) [Washington Tracking Network \(WTN\)](https://fortress.wa.gov/doh/wtn/WTNIBL/)²⁰ Environmental Health Disparities (EHD) index to determine which communities are considered highly impacted communities. Select "Environmental Health Disparities" to load a statewide map. Then select the "locate yourself" icon  and enter the zip code where your project is located. Find the EHD index rank for your location on the legend on the right.

This will be used for projects that are centered in a specific geographic location. For the purposes of screening and evaluating PPG applications for 2021-23 funding, communities that receive a ranking of at least eight on the WTN EHD index will be considered highly impacted.

- The following points will be given according to their WTN EHD index:
 - 10=10 points
 - 8-9=5 points
 - ≤7=0 points

Criteria 1.3: Facilitates public participation to low-income and/or limited English speaking populations

If your project is not located in a specific geographic location, you may still qualify for additional points if your project focuses on low-income and/or limited English speaking populations. Low-income means households where the household income is less than or equal to twice the federal poverty level.

- The following points will be given:
 - Project includes engagement with identified low-income and/or limited English speaking populations=5 points
 - Project focused on the general public=0 points

You may qualify for either 1.2 or 1.3 or both.

Criteria 1.4: Has not received PPG funding in the last two biennia

For the 2021-2023 application, the last two biennia are the 2017-2019 and 2019-2021 funding cycles.

- The following points will be given:
 - No (has not received funding)=5 points
 - Yes (has received funding)=0 points

Criteria 1.5: Implements state's solid and hazardous waste priorities

Note: If your project is evaluated using this criterion, the score for criterion 1.1 will be left blank.

²⁰ <https://fortress.wa.gov/doh/wtn/WTNIBL/>

Criteria 1.5 is not one of the three priority considerations so it doesn't receive as many points as the contaminated site projects. This is here to help prioritize the waste management applications. The only waste management projects that will get added points are those that focus on waste reduction and prevention.

- The following points will be given:

Project implements the number one state priority of waste reduction.

Yes=5

No=0

Category 2: Extent of individual or organizational impacts

Criteria 2.1: Community support

We ask applicants to show community support by providing either letters of contribution or letters of support from the targeted community. Letters of contribution will be from other organizations that are your project partners or are contributing financially to the project. Letters of support are general letters supporting the project. Letters of support can be from anyone outside your organization except for Ecology staff.

- The following points will be given based on the type of letter received. There is a maximum of five points possible. Multiple letters do not result in additional points. If you submit a letter of contribution and a letter of support, you will be given the maximum score of five points:

Letters of contribution=5 points (maximum possible)

Letters of support=3 points

Category 3: Managing grant funds

These are broken out into three sections based on the applicant and only one section is evaluated: organizations with an annual budget greater than \$500,000; organizations with an annual budget less than \$500,000; and individuals. This acknowledges the difference between large organizations and smaller ones or individuals. You will be providing the answers to these questions in your application.

Criteria 3.1: Annual Budget > \$500K

- The following points will be given:

3.1.1 Has the applicant had any of the following in the last year: formal audit, formal annual review, or board oversight by a qualified financial professional?

Yes=4

No=0

3.1.2 Does the board of directors meet at least quarterly?

Yes=3

No=0

3.1.3

Does the applicant have a formal set of bylaws?

Yes=3

No=0

Criteria 3.2: Annual Budget < \$500K

- The following points will be given:

3.2.1

Does the applicant have dedicated accounting staff or contract out financial services?

Yes=4

No=0

3.2.2

Does the board of directors meet at least quarterly?

Yes=3

No=0

3.2.3

Does the applicant have a formal set of bylaws?

Yes=3

No=0

Criteria 3.3: Individual

- The following points will be given:

3.3.1

Is the applicant requesting <\$30,000?

Yes=4

No=0

3.3.2

Has the applicant ever managed grant funding?

Yes=3

No=0

3.3.3

Does the applicant have adequate accounting software or use a certified financial professional?

Yes=3

No=0

Category 4: Past PPG Performance

The rule requires Ecology to include past PPG performance in the evaluation process. We are only evaluating the 2019-21 cycle recipients here. These points are negative points.

Criteria 4.1: Payment request timeliness.

- The following points will be deducted from your score:
All payment requests were submitted on time in the previous biennium?
No=(3) points
Yes=0 points

Criteria 4.2: Spending rate

- The following points will be deducted from your score:
60% of funds were expended by end of Q6, December 31.
No = (3)
Yes = 0

Category 5: Project Budget

These questions are designed to show that the applicant has read and understands the program rules and guidelines.

- The following points will be given:

Criteria 5.1

Budget complies with WAC, program guidelines, and agency administrative requirements.

Yes=5
Partial=3
No=0

Criteria 5.2

Is it reasonable given the timeframe and budget?

Yes=5
Partial=3
No=0

Category 6: Scope of Work

A committee of Ecology employees will score this section. Evaluators will initially score each application independently. The committee will then meet to discuss their scores. Evaluators may adjust their scores as a result of the discussion.

- The following scores will be given:

Criteria 6.1

Application clearly describes the problem, the work to be conducted, the specific target audience, and the desired outcome.

4 of 4=15
3 of 4=10
2 of 4=5
0-1 of 4=0

Criteria 6.2

Project focuses on, and clearly describes an unmet need.

Yes=5
Partial=3
No=0

Criteria 6.3

Application includes and clearly describes measurable outputs or outcomes.

Yes=5
Partial=3
No=0

Criteria 6.4

Application describes how this project will change environmental attitudes/behavior.

Yes=5
Partial=3
No=0

Criteria 6.5

Task deliverable information includes specific target dates.

Yes=5
Partial=3
No=0

Application Scoring and Ranking

There are a total of 90 points possible. The final, average score of all evaluators is added to the Fund Coordinator's score to reach the total score for each application. The applications are ranked in order of the total score from highest to lowest. Ecology will develop a ranked list of all applications. Grants are awarded to the highest-ranking applications within the established program funding. In the case of a tie score, the applications will be ranked according to the priority considerations in the following order:

1. Projects in highly impacted or low-income communities.
2. Hazardous waste site projects.
3. New applicants.

The maximum grant award will be \$60,000 per year for a maximum of \$120,000 for the two-year cycle. Conditions for receiving the second year of funding are outlined in the agreement's [Special Terms and Conditions](#).

C. Selection announcement

After selecting grants for funding, Ecology will contact all applicants. Unsuccessful applicants will have the opportunity to schedule a one-hour post-selection assessment. During this time, applicants may review their scores and ask questions to strengthen future applications.

Ecology will publish a list of all applicants, a description of the proposed projects, and the amount awarded to each recipient.

D. Risk Assessment

Solid Waste Management (SWM) grant programs have elected to use questions from a combination of stock assessments provided by the Association of Government Accountants. Base Risk Assessment

Before an agreement is offered, all SWM grant programs will ask the same assessment questions to determine a base risk level for each SWM grant recipient. The base risk level determines the *minimum* level of recipient oversight a grant manager is responsible to provide for the duration of the agreement.

After the base risk assessment is determined, the funding program may ask additional assessment questions. The recipient's level of risk will not decrease but could increase as a result of these additional questions.

Once determined, the level of oversight may be indicated in the agreement template either in a scope of work or an agreement special term and condition. Risk may be reassessed throughout the biennium as circumstances change.

Base Risk Assessment Questions (Yes responses indicate risk)

All SWM grant recipients will be assessed on the following:

1. Recipient changes in key management, grants, or financial staff since last agreement. Y/N
2. Recipient is a government or a not-for-profit that has been operating for less than five (5) years or an individual that has never been a recipient. Y/N
3. Excluding governments that voluntarily relinquished all their funds in the previous two biennia, recipient has not received funding or submitted untimely reports for reimbursement and work progress. Y/N
4. In the previous two biennia, recipient relationship with funding program staff is not open or responsive. Y/N
5. Since their last agreement, the recipient received an audit finding that involved questioned costs. Y/N

Assessment Results

Base Risk Level is Low

- Answer is no to all five (5) questions.
- Answer is yes to question 3 and no to the remaining questions.
- Answer is yes to question 5 and the questioned costs were between \$1 and \$9,999.

Base Risk Level is Medium

- Answer is yes to question 1, 2, 4, or 5.
- Answer to question 3 does not affect risk at this level.
- Answer is yes to question 5 and the questioned costs were between \$10,000 and \$39,999.

Base Risk Level is High

- Answer is yes to at least three (3) of these questions, 1, 2, 4, or 5.
- Answer to question 3 does affect risk at this level.
- Answer is yes to question 5 and the questioned costs were at least \$40,000 or greater.

Risk Levels Defined

Some of the oversight described below can be remedied through additional conditions added to the agreement document.

At a minimum, grant managers must manage each recipient to the level of risk identified for that recipient, keeping in mind that an assessment of risk can change during the agreement period based on known factors and changes in circumstances.

Low risk recipients

Examples of oversight for low risk recipients include but are not limited to:

- Communicate in writing, the required back-up and frequency the recipient must submit, if any. If you aren't requiring back-up documentation, explain why. This will circumvent the Agency requirement that all costs requested for reimbursement are supported by a payable invoice (back-up documentation provided by the recipient) and satisfy audit requirements.

Stock language for the written communication:

Example 1

Recipient is assessed as low risk, and therefore is required to submit payable invoices and time-accounting to support all costs itemized for reimbursement in Q1. Upon subsequent assessments, the grant manager will notify the recipient if additional information is needed through the end of the grant period.

Example 2

Recipient is assessed as low risk, and therefore is only required to submit payable invoices and time-accounting to support all costs itemized for reimbursement in Q1 and Q5. Recipient must make available back-up and time-accounting for remaining quarters upon Ecology request.

- Grant managers must review all required backup to
 - Ensure the math and the total requested for reimbursement are correct.
 - Confirm incurred costs are eligible and within the grant period.

Medium risk recipients

Examples of oversight for medium risk recipients are the same as low risk recipients, plus grant managers may also want to specify one or more of the following requirements:

- Additional documentation, such as photographs.
- Site visits or a schedule for site visits.
- Monthly check-ins on progress.
- Prior approvals before incurring costs.

Stock language for the written communication:

Example 1

Recipient is assessed as medium risk, and therefore is required to submit payable invoices and time-accounting to support all costs itemized for reimbursement in Q1. Upon subsequent assessments, the grant manager will notify the recipient if additional information is needed through the end of the grant period, including scheduling site visits.

Example 2

Recipient is assessed as medium risk, and therefore is only required to submit payable invoices and time-accounting to support all costs itemized for reimbursement in odd numbered quarters, Q1, Q3, Q5, and Q7. Recipient must make available back-up and time-accounting for remaining quarters upon Ecology request. Recipient must acquire Ecology's written approval before incurring costs for travel.

High risk recipients

Recipients that are assessed as high risk must submit payable invoices for all costs requested for reimbursement, including time-accounting backup. Grant managers may also require in the written communication that the recipient obtain Ecology technical assistance before incurring costs.

Stock language for the written communication:

Example

Recipient is assessed as high risk and therefore is required to submit payable invoices and time-accounting to support all costs itemized for reimbursement. Upon subsequent assessments, the grant manager will notify the recipient of any changes to the requirement through the end of the grant period, including scheduling site visits.

Consequences for Recipients' Failure to Comply

Failure to comply with Ecology's written requirements resulting from a risk assessment can include but are not limited to:

- Withhold payment until compliance or performance improves.
- Deny all or part of the cost for activity/action not in compliance.
- Suspend or terminate the award, in whole or in part.
- Documented performance in an evaluation that leads to consideration of reduced funding in the future.
- Take other actions that may be legally available.

Through monitoring, an assessment of risk can change during the agreement period based on known factors and changes in circumstances. When this happens, the grant manager will communicate the change in writing with the recipient and upload the notification in EAGL.

Additional Assessment Questions by Individual SWM Grant Programs

Individual SWM grant programs have opted to ask additional questions that could change the recipient's assessed base risk level. The final level of oversight performed by the grant manager is determined by the recipient's risk level after all base risk assessment questions plus individual grant program questions are answered.

If the recipient was assessed as high risk under the base risk assessment questions, answers to the following questions will not change the risk level for that recipient. In this case, the grant manager performs oversight equal to high risk. If the base risk level is medium or low, the risk level elevates to the next level when the answer to two or more of the additional questions is yes.

Public Participation Grants (PPG) (Yes responses indicate risk)

PPG recipients are assessed using these additional questions:

1. The number of tasks in the new agreement are greater than two (2). Y/N
2. The entity does not have a financial management system in place to track and record the program expenditures, such as QuickBooks, Visual Bookkeeper, Socrates Media, Peachtree, or a Custom Proprietary System. Y/N
3. Does the entity have or previously had lawsuit(s) filed against them? *If yes, list all pending and/or previous lawsuits with detailed information regarding who filed the lawsuit, the reason for filing, and the final judgment rendered.* Y/N
4. In the two previous biennia, did the recipient have a PRPR returned for modifications more than four (4) times in the biennium? Y/N

Part V: Grant Management

This section provides basic information about grant management common to all PPG agreements. It will help you comply with certain administrative requirements for reimbursement, reporting, records retention, and progress monitoring, and closing grants.

A. Writing the agreement

An agreement is a formal, written, contractual document, between Ecology and the recipient that details all of the agreement terms and conditions. It describes the performance expectations and rights of the parties. The agreement is the primary source document for the relationship between the parties.

After an award offer, Ecology and the recipient negotiate the scope of work, performance schedule, budget, and any agreement-specific or special terms and conditions of the agreement. Ecology drafts the agreement and forwards it to the recipient for review and signature. The recipient should ensure the information is correct before signing the agreement.

The agreement contains the following sections:

Title section

- **Agreement number:** EAGL assigns an agreement number, which appears at the top of the agreement. This number must be included on all grant or loan correspondence.

Agreement title and introductory paragraph: This section identifies the funding program (PPG) and the parties to the agreement.

General information

Provides the project title, cost information, share amounts, effective date, expiration date, project type, short and long project descriptions, and the overall goal.

- **Effective date:** The earliest date on which eligible costs begin unless the agreement allows otherwise. Cost reimbursement does not begin until all parties sign the agreement. The agreement may have an effective date before the signature date. Any costs incurred after the effective date but before the signature date are at the recipient's risk.
- **Expiration date:** The last date on which eligible costs can be incurred.

Recipient information

Identifies the recipient individual or organization and contact information from EAGL.

Ecology information

Identifies Ecology contacts for the agreement.

Authorizing signatures page

The recipient must sign this page and return two signed originals of the complete agreement to Ecology. Upon signature by Ecology, the agreement becomes a binding agreement. Signatures must be by the authorized representatives of all parties to the agreement. The signature page does not need to be notarized.

Scope of work

Contains a performance schedule with tasks and deliverables related to project objectives and outcomes and required reporting dates used to monitor progress.

Budget

Includes the project budget, fund source, the amount for each task, match or in-kind amounts, and loan terms, if applicable. The negotiated agreement is based on a budget that includes at least two tasks. Project Administration is a required task that covers the recipient's costs of administering the project. Total maximum budget cannot be exceeded unless an amended agreement is in place.

Agreement-specific Terms and Conditions (if applicable)

Describes any unique terms or conditions that apply to a particular agreement. These terms and conditions may add to or change other Terms and Conditions of the agreement.

Special Terms and Conditions

Detailed requirements, restrictions, or conditions specific to PPG agreements. These terms and conditions may add to or change other Terms and Conditions of the agreement. Special Terms and Conditions for the 2021-2023 PPG agreements are as follows:

- For original Agreement budgets in excess of \$60,000, funding for the 2nd fiscal year of the biennium is contingent upon the following:

1. Quarterly payment requests and progress reports through the 1st fiscal year of the biennium were submitted.
 2. Expenditures in the 1st fiscal year were at least 80 percent of the Spending Plan total for that period.
 3. Completion of all deliverables listed for the 1st fiscal year.
- RECIPIENT must timely communicate to ECOLOGY any delays that significantly change the Spending Plan. ECOLOGY reserves the right to terminate the Agreement for RECIPIENT non-performance as reflected in the Spending Plan. RECIPIENT'S administrative performance may be used when evaluating future applications for Public Participation Grants.
 - RECIPIENT must submit within thirty (30) days after the expiration date of this Agreement, all financial (including payment requests), performance, and other reports required by this Agreement. ECOLOGY shall have the right to deny reimbursement of payment requests received after this date.

Ecology will conduct a risk assessment of all Public Participation Grants recipients. The level of risk determines the level of oversight required by Ecology throughout the biennium. If the recipient's performance or project circumstances change, Ecology may reassess risk and notify the recipient of any changes to administrative requirements.

General Terms and Conditions

General requirements, approved by the State Office of the Attorney General, that are contained in all Ecology grant agreements.

B. Managing your agreement

You should communicate regularly with your grant's financial manager. The financial manager may call or e-mail you periodically to check in or may make an onsite visit.

Regular contact between you and your grant's financial manager allows the financial manager to respond to grant related questions and issues. For example, if a recipient has encountered difficulty carrying out the scope of work described in the grant agreement, the financial manager and recipient can work together to make adjustments.

Regular communication with your grant's financial manager results in sharing valuable information. Effective communication also assists financial managers in managing PPG funds throughout the state.

Review the [Administrative Requirements for Recipients of Ecology Grants and Loans Managed in EAGL](#).²¹ This document establishes the administrative requirements for all grants and loans administered by Ecology in EAGL. The PPG guidelines may be more stringent than the administrative requirements found in EAGL. If you do not find answers to your questions in either of these documents, contact your grant’s financial manager for assistance.

Material review and approval

Prior to production and distribution of any document or material, you must submit a copy of the draft to your grant’s financial manager for their review and approval. Ecology approves materials based on the accuracy of technical information and the materials’ compliance with the grant agreement. Ecology may take up to ten days to complete the review; however, the review is typically complete in one or two days.

When a recipient produces materials for public distribution such as reports, technical documents, education/outreach, publications, or brochures using funding from Ecology, the recipient is required to **acknowledge** in those materials, Ecology’s support. The PPG program uses all or a portion of the following language: *This product is funded through a Public Participation Grant from the Department of Ecology. The content was reviewed for grant consistency but is not necessarily endorsed by the agency.*

Ecology’s logo should not be used without Ecology prior approval.

²¹ <https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html>

C. Payment Requests and Progress Reports (PRPR)

Ecology is required to pay a request for reimbursement within 30 days of receiving a complete payment request/progress report (PRPR). The 30-day clock starts when the PRPR is submitted (time stamped in EAGL); the clock stops when the PRPR is returned for modifications and then restarts at 0 when modifications are submitted.

Payment reimbursement overview

- The grant is not a cash award. Once you perform a task and you have paid or received a bill or invoice for the related costs, you can request reimbursement or payment. You may request reimbursement or payment as often as once a month while the project is underway. A progress report submission must happen at least quarterly, *regardless of whether a payment request accompanies it or not.*
- PPG grants do not require matching funds. These grants can pay 100 percent of the grant eligible costs of the project.
- Costs eligible for reimbursement or payment must meet the following conditions:
 1. They fall within the program guidelines.
 2. They move the PPG project toward the goal defined in the grant agreement.
 3. They are backed up with appropriate documentation such as copies of receipts, vendor invoices, timesheets, and payroll records.
 4. They appear specifically in the grant agreement.
 5. They have prior approval from the financial manager for compliance with the grant agreement.
- You may not spend more than \$60,000 per year. Ten percent of your funds will be withheld until the final payment request and recipient closeout report is received,

Progress reports

You must submit a corresponding progress report as part of each payment request. Your grant's financial manager cannot process a payment request without a progress report.

Progress reports allow financial managers to:

- Crosscheck information with the itemized expenses in a payment request.
- Verify compliance with the terms of the agreement.
- Determine PPG eligibility.
- Learn how the project is proceeding.

In certain circumstances, you may not have a payment request to submit for a calendar quarter. However, you are still required to submit a progress report for that quarter.

Submitting payment requests and progress reports (PRPR)

Ecology requires that all grant recipients participate in training on submitting PRPRs in the EAGL system before the grant cycle begins. Your grant's financial manager will contact you with the details.

You need the following supporting documents for all PRPRs:

- Copies of receipts.
- Invoices.
- Timesheets (Form E, ECY 060-12) and payroll records.

You must submit a complete payment request at least once per quarter, but no more often than once per month.

Ecology will process complete payment request packages within 30 days of receipt. Incomplete payment request packages will cause delays in reimbursement.

You must register as a statewide vendor in order to receive payment reimbursement. Washington State's Office of Financial Management issues all payments. OFM maintains a central vendor file for Washington State agency use to process vendor payments. You can complete the registration process [online](#)²². This registration process also allows you to sign up for direct deposit payments, also known as electronic fund transfers (EFT).

If you have questions about the vendor registration process or setting up direct deposit payments contact the OFM Statewide Payee Help Desk at (360) 407-8180 or PayeeRegistration@ofm.wa.gov.

Final payment requests

A final payment request and the Recipient Close Out Report (RCOR) must be submitted within 45 days of the agreement budget reaching \$0 or by July 30 of Quarter 8, whichever comes first. Ecology may not be able to reimburse final requests that are received after July 30.

²² <https://ofm.wa.gov/it-systems/accounting-systems/statewide-vendorpayee-services>

D. Maintaining your grant file

The list below provides information regarding required file contents. If you have questions about grant file management, contact your grant's financial manager.

Required grant file contents:

- Copy of your grant agreement, all amendments, and any other modifications.
- Budget information regarding the award.
- Backup documents- expenditure information such as:
 - Cash receipts.
 - Invoices.
 - Timesheets (Form E, ECY 060-12 or a similar form).
 - Payroll records.
- Copies of any accounting records such as applicable journal vouchers for payments, refunds, transfers, and adjustments, including backup documentation. These are often the best source of information for tracking grant accounting problems and how the problems are resolved.
 - Copies of any federal reporting forms such as taxes.
- If your project earns income, documentation showing how you recorded the income in the accounting records and how you applied it toward the grant projects.
 - Copies of all products produced through the grant, including but not limited to:
 - Advertisements.
 - Brochures.
 - Fact sheets.
 - Posters.
 - Copies of grant-related documents, notes, and information about the grant agreement, including correspondence.
- Phone numbers and addresses for contacting personnel about the grant agreement.

For auditing, you must retain records for a minimum of three years from the day that you submit your last payment request.

Audits

All grants are subject to audit. Ecology has the right to audit the grant project for three years after the project has officially ended. Ecology may also audit the grant project, invoices, and backup documentation at any time during the project. If an audit identifies issues, you must correct them. If Ecology identifies problems on invoices, you must review and correct all previous invoices. This could include repayment of grant funds or adjustments to subsequent billings to reimburse Ecology for overpayments.

E. Amendments

After your grant's financial manager establishes the grant budget, you may consider an amendment to change the scope of work of the agreement or to increase or decrease the budget. However, Ecology does not promise or guarantee such amendments.

If a change is needed, you must request the change in writing or email to your grant officer. Once approved, the amendment process can begin in EAGL.

F. Grant renewal

PPG agreement renewals are a requirement to receive the second year of funding. Performance monitoring is Ecology's ongoing review process of your performance to ensure accountability and to determine whether your grant will be renewed after the first year. Your grant's financial manager monitors performance through your PRPRs.

Ecology will evaluate the recipient's performance using the information submitted with their PRPR including:

- Timeliness of submittals.
- Completion and accuracy of payment requests.
- Communication with your financial manager.
- Progress in project completion.

Your performance will be evaluated quarterly even if you are submitting PRPRs monthly.

G. Termination and suspension

The general terms and conditions of the agreement provide a complete description for when termination and suspension conditions apply. An agreement may be terminated or suspended in whole or in part if:

- The recipient does not start the project within four months after the effective date of the agreement, or by the date mutually agreed upon in writing.
- The recipient fails to comply with a term or condition of the agreement, whether stated in statute, regulation, plan, application, program guidelines, or award.
- Funding from state, federal, or other sources is withdrawn, reduced, or limited in any way for the grant or loan program. In such cases, Ecology may decide to renegotiate if funding becomes unavailable, or cancel the agreement.
- The recipient's authority to commit funds to the project is withdrawn. In such cases, Ecology may request repayment of all or part of the funds already disbursed, or take other remedies that may be legally available.
- The parties agree to termination or suspension for the convenience of the parties.

If there is a material compliance failure, Ecology will take one or more of these actions:

- Temporarily withhold cash payments, pending correction of the deficiency.
- Disallow all or part of the cost of the noncompliant activity or action.
- Request repayment of all or part of the funds already disbursed to the recipient.
- Withhold further awards.
- Take other legally available remedies.

In taking any of these actions, Ecology will provide an opportunity for hearing, appeal, or other administrative proceeding that the recipient is entitled to under the agreement.

H. Closing out a PPG agreement

A final PRPR and the Recipient Close Out Report (RCOR) must be submitted within 45 days of the agreement budget reaching \$0 or by July 30 of Quarter 8, whichever comes first. Your grant's financial manager will then take steps to close your agreement. The financial manager:

- May conduct a final on-site visit or evaluation of work accomplished.
- Will complete an Ecology Closeout Report. This officially closes the grant.

Final project report

Recipient Closeout Reports summarize the entire project and its outcomes, and include the following:

- A description of the problem addressed by the grant.
- The purpose of the project.
- The project results and outcomes achieved.