# Funding Program Guidelines
# Waste Reduction & Recycling Education (WRRED) Grant Program

## 2023-2025 Biennium

# Publication Information

This document is available on the Department of Ecology's website at:
https://apps.ecology.wa.gov/publications/SummaryPages/2307050.html

## Related Information

- Publication 23-07-051: 2024 WRRED – EAGL Application Instructions[1]
- Publication 23-01-002: Administrative Requirements for Recipients of Ecology Grants and Loans (Yellow Book) July 2023[2]

# Contact Information

**Solid Waste Management Program**

Headquarters Office
P.O. Box 47600
Olympia, WA 98504-7600
Phone: 360-407-6000
**Website[3]:** Washington State Department of Ecology

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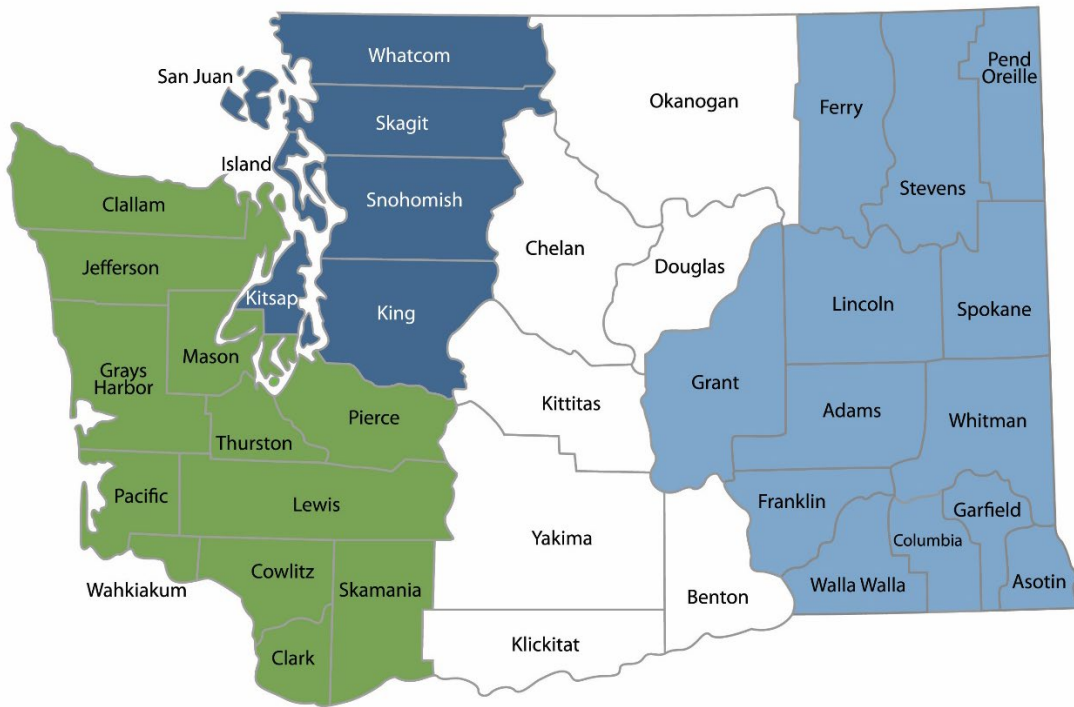[1] https://apps.ecology.wa.gov/publications/SummaryPages/2307051.html
[2] https://apps.ecology.wa.gov/publications/summarypages/2301002.html
[3] www.ecology.wa.gov/contact

# Department of Ecology's Regional Offices

## Map of Counties Served



| | | | |
|---|---|---|---|
| **Southwest Region** 360-407-6300 | **Northwest Region** 206-594-0000 | **Central Region** 509-575-2490 | **Eastern Region** 509-329-3400 |

| Region | Counties served | Mailing Address | Phone |
|---|---|---|---|
| **Southwest** | Clallam, Clark, Cowlitz, Grays Harbor, Jefferson, Mason, Lewis, Pacific, Pierce, Skamania, Thurston, Wahkiakum | P.O. Box 47775 Olympia, WA 98504 | 360-407-6300 |
| **Northwest** | Island, King, Kitsap, San Juan, Skagit, Snohomish, Whatcom | P.O. Box 330316 Shoreline, WA 98133 | 206-594-0000 |
| **Central** | Benton, Chelan, Douglas, Kittitas, Klickitat, Okanogan, Yakima | 1250 West Alder Street Union Gap, WA 98903 | 509-575-2490 |
| **Eastern** | Adams, Asotin, Columbia, Ferry, Franklin, Garfield, Grant, Lincoln, Pend Oreille, Spokane, Stevens, Walla Walla, Whitman | 4601 North Monroe Spokane, WA 99205 | 509-329-3400 |
| **Headquarters** | Statewide | P.O. Box 46700 Olympia, WA 98504 | 360-407-6000 |

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**2023-2025 Biennium**

Solid Waste Management Program

Washington State Department of Ecology

Olympia, WA

**August 2023 | Publication 23-07-050**

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# About the Waste Reduction & Recycling Education (WRRED) Grant Program

## Our Mission and Goals

Ecology's Waste Reduction and Recycling Education (WRRED) grant program provides funding to qualified local governments and nonprofit organizations for local or statewide education programs designed to help the public with litter control, waste reduction, recycling, or composting, or for the implementation of a contamination reduction and outreach plan (CROP).

This competitive grant program provides up to $60,000 in state dollars, plus 25 percent matching funds from the recipient, for a project maximum of $80,000.

For the 2023-2025 biennium (January 1, 2024—June 30, 2025), Ecology anticipates a total of $700,000 in state dollars will be available for the WRRED grant program.

## Who We Are

### Grant Managers

Ecology grant managers are the main contacts for recipients. They negotiate and administer agreements from application to close out. They provide technical assistance about WRRED and Ecology's Administration of Grants and Loans (EAGL) online system.

### Grants Technical Assistance Lead

The grants technical assistance lead is the main contact for Ecology grant managers for grant WRRED eligibility questions and EAGL technical assistance and supports the Statewide Grants Coordinator to develop program policy and oversee the administration of SWM Grant Programs.

### Statewide Grants Coordinator

The statewide grants coordinator oversees administration of all SWM grant programs. This position was established to ensure consistency throughout the state. The fund coordinator works with Ecology grant managers and the Grants Technical Assistance Lead on developing program policy and supports the grants technical assistance lead with EAGL and WRRED eligibility questions.

### SWM Management Liaison

Ecology's Solid Waste Management (SWM) Program Management Team assigns one of its members as liaison to the WRRED team. The liaison coordinates information flow between the WRRED team and the program management team and generally supports overall function of the WRRED team.

# How to Contact Us

Table 1. Ecology Contact Information

| Name | Ecology Address | Contact Information | Role |
|------|-----------------|---------------------|------|
| Grant Managers | Headquarters PO BOX 37600 Olympia WA 98503 | See webpage[4] for up to date contact information. | • Recipient 1st point of contact for grant management and EAGL assistance |
| Alaina Robertson, Grants Technical Assistance Lead | Headquarters PO BOX 37600 Olympia WA 98503 | 360-706-4048 alaina.robertson@ecy.wa.gov | • EAGL technical assistance lead<br>• Backup to Ecology grant managers |
| Tami Ramsey, Statewide Grants Coordinator | Headquarters PO BOX 37600 Olympia WA 98503 | 360-628-4261 tami.ramsey@ecy.wa.gov | • Policy lead<br>• Backup to Grants Technical Assistance Lead |
| Kelsey Dunne, Management Liaison | Headquarters PO BOX 37600 Olympia WA 98503 | 360-485-8378 kelsey.dunne@ecy.wa.gov | • Management oversight |

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[4] www.ecy.wa.gov/WRRED

# 2023-2025 Proposed Timeline

The biennial budget for WRRED comes from the State of Washington.

Table 2 WRRED Schedule for 2023-2025

| Date | Action |
|---|---|
| August 1, 2023 | Ecology grant managers are available to assist with eligibility and application questions. |
| September 5, 2023 8:00 a.m. | Application period opens. Guidelines and application forms available. |
| October 3, 2023 5:00 p.m. | Application period closes. |
| November 7, 2023 | Anticipated award decision date. |
| January 1, 2024 | Agreement effective date, regardless of Ecology signature date. |
| January 1, 2024 - Ecology Signature Date on Agreement | Costs incurred in this period are called "retroactive costs" and are eligible for reimbursement. |
| Due dates: April 30, 2024 (Q3) July 30, 2024 (Q4) October 30, 2024 (Q5) January 30, 2025 (Q6) April 30, 2025 (Q7) July 30, 2025 (Q8) | Submit a complete payment request and progress report (PR/PR) package in accordance with the reporting assessment provided by your grant manager. Quarters 1 & 5 cover July through September; quarters 2 & 6 cover October through December; quarters 3 & 7 cover January through March; and quarters 4 & 8 cover April through June. |
| October 1- December 31, 2024 | Ecology and recipient work together to confirm budget needs for remainder of biennium. |
| March 15, 2025 | Target date to initiate last amendments. |
| May 1, 2025 | Target date for Ecology to receive all recipient signed amendments. |
| June 30, 2025 | Agreement end date and last date to incur eligible costs for reimbursement. |
| July 30, 2025 | Recipient due date for all close out information, including a RCOR and final PRPR. |

# Part I – INTRODUCTION

## A. Purpose statement

Ecology's Waste Reduction and Recycling Education (WRRED) grant program provides funding to local governments and nonprofit organizations for local or statewide education programs designed to help the public with litter control, waste reduction, recycling, or composting, or for the implementation of a contamination reduction and outreach plan (CROP).

## B. Governing Laws and Rules

In 1998, the Legislature dedicated 20% of monies from chapter 82.19 RCW, Waste Reduction, Recycling and Litter Control Account (WRRLCA) to provide financial assistance to county governments for litter and illegal dump cleanup and prevention through Ecology's Community Litter Cleanup Program (CLCP). During the 2015 session, the Legislature authorized Ecology to use part of these dedicated funds to fund the Waste Reduction and Recycling Education (WRRED) grants program. Ecology's Solid Waste Management Program determines the amount of funding available for WRRED each biennium.

## C. Definitions

For a more complete list of definitions, refer to *Administrative Requirements for Recipients of Ecology Grants and Loans* (Yellow Book)[2].

**ACTIVITY** - Work performed to help complete a task and its expected outcome(s).

**AGREEMENT** - The formal, written contractual document that details the terms and conditions, scope of work, budget, and schedule for of the grant or loan, that is signed by the authorized signatories of the recipient and Ecology.

**AGREEMENT EFFECTIVE DATE** - The earliest date on which eligible costs can be incurred.

**AGREEMENT EXPIRATION DATE** - The latest date on which eligible costs can be incurred.

**AGREEMENT SIGNATURE DATE** - The date the agreement is signed by the Ecology authorized signatory.

**AMENDMENT** - An agreement that details the changes or revisions to the terms and conditions of the grant or loan that is signed by the authorized signatories of Ecology and the recipient.

**APPLICATION** - Forms prepared by Ecology in EAGL and used by a nonprofit or local government to request funding from the WRRED program.

**AUTHORIZED OFFICIAL** - Title of a recipient's system role in EAGL, which allows a user to manage organization information, assign organization user roles, and initiate, edit, and submit applications and reports.

**AUTHORIZED SIGNATORY** - A person designated by the recipient or by Ecology to sign a grant or loan agreement and amendments.

**BACKUP DOCUMENTATION** - Documents to support all expenditures reported on a payment request.

**BENEFITS** - 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 salary and benefit cost when calculating the indirect charge for a task.

**BIENNIUM** - A 24-month fiscal period, starting July 1 of an odd-numbered year and ending June 30 of the following odd-numbered year.

**CASH EXPENDITURE** - Regardless of the source of the funds, any cash spent by the recipient for task-related costs, including:

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

**CASH MATCH** - Expenses paid by the recipient for task-eligible costs. Expenditures may include direct costs of goods and services, recipient salaries and benefits, indirect costs,  and payments made to contractors.

**CLOSE OUT** - The process reconciling all administrative matters relative to a grant or loan to close the file.

**COMPOSTING -** The biological degradation and transformation of organic solid waste under controlled conditions designed to promote aerobic decomposition. Natural decay of organic solid waste under uncontrolled conditions is not composting.

**CONTAMINATION –** When inappropriate materials are present in a co-mingled recycling container.

**CONTRACTOR** - Title of a recipient's system role in EAGL that allows a user to initiate and edit applications. A contractor is also any entity who is paid directly by the recipient for goods or services received under a contract.

**COST INCURRED DATE** - The date a purchased item is delivered or a service is performed.

**DELIVERABLE** - Item or activity identified in an agreement that must be completed by the recipient before Ecology approves reimbursement or completion. Deliverables may or may not have a due date.

**EAGL -** Ecology's administration of grants and loans. This is Ecology's web-based system used to apply for, manage, track, monitor, and close out grants and loans issued by Ecology.

**ECOLOGY CLOSE OUT REPORT** - Data form in EAGL, completed by Ecology, which collects information about the accomplishments at the end of an Agreement from Ecology's perspective.

**ECOLOGY SHARE** - The maximum dollar amount of financial assistance that may be reimbursed to the recipient under the terms of the agreement.

**ELIGIBLE COST** - Costs that meets all criteria established in the agreement and funding program guidelines.

**ENVIRONMENTALLY PREFERABLE PURCHASING** - Also known as sustainable procurement, EPP is the purchase of products or services that have a lesser or reduced effect on human health and the environment when compared with competing products or services that serve the same purpose.

**EQUIPMENT** - Tangible, personal property with a useful life of more than one year and an acquisition cost of at least $5,000 per functional unit or system.

**EXPENDITURE** - See CASH EXPENDITURE.

**FISCAL YEAR** - A 12-month fiscal period, which starts July 1 and ends June 30.

**FOOD RECOVERY** - The processing of inedible food waste to extract value from it, through composting, anaerobic digestion, or for use as animal feedstock.

**FOOD RESCUE –** The process of collecting surplus food and donating it to organizations that serve people who need it.

**FOOD WASTE** -  Waste from fruits, vegetables, meats, dairy products, fish, shellfish, nuts, seeds, grains, and similar materials that result from the storage, preparation, cooking, handling, selling, or serving of food for human consumption.

**INDIRECT RATE** - Costs incurred but not readily identifiable with an activity. The maximum indirect rate for WRRED grants is 30 percent of salary and benefits.

**IN KIND CONTRIBUTIONS** - Property or services that benefit a task and are contributed to the recipient by a third party without direct monetary compensation. Includes interlocal costs, donated or loaned real or personal property, and volunteer services.

**IN KIND OTHER -** A type of contribution where the third party contributing is not a government entity.

**LOCAL CONTRIBUTION** - The required portion of task-eligible costs borne by the recipient as cash expenditures or in-kind other and is sometimes referred to as "match."

**LOCAL GOVERNMENT** - Any political subdivision, regional governmental unit, solid waste disposal district, municipal, or public corporation, and includes cities, towns, and counties. The term encompasses but does not refer specifically to departments within a city, town, or county.

**LOCAL HAZARDOUS WASTE PLAN** - The plan to manage moderate-risk waste that a local government is required to prepare under RCW 70A.300.350.

**LOCAL SOLID WASTE MANAGEMENT PLAN** - The written plan to manage solid waste that a local government is required to prepare under RCW 70A.205.040. This plan may include a separate local hazardous waste plan.

**MATCH:** See LOCAL CONTRIBUTION.

**ORGANIC MATERIALS** - Organic materials include any solid waste that is a biological substance of plant or animal origin capable of microbial degradation. Organic materials include, but are not limited to, manure, yard debris, food waste, food processing wastes, wood waste, and garden wastes.

**ORGANIC MATERIALS MANAGEMENT** - Organized activity that includes but is not limited to composting, anaerobic digestion, and other conversion technologies such as bioenergy, and biofuels.

**OUTCOME** - 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** - An activity or effort and associated work products related to the goal or objective that will be provided by a specified date.

**OUTREACH** - An activity generally associated with outreach can include, but is not limited to, education, presentations, workshops, tours (of sites or facilities), demonstrations, exhibits, and displays, and their associated materials such as brochures, flyers, CDs, and other marketing materials.

**PAYMENT REQUEST PROGRESS REPORT (PR/PR)** - Data entry forms in EAGL to report agreement expenditures and/or progress by task.

**PROJECT INCOME** - Funds received by the recipient and directly generated by a task or earned only because of the task during the period of the agreement. Project income must be reported, and unless expressed otherwise in the agreement, must be credited to the WRRED task budget on the next payment request.

**PROJECT – Sometimes also referred to as task,** are a specific set of activities that are eligible for funding.

**READER** - Title of a recipient's system role in EAGL that allows a user to only view applications and reports. Readers do not receive system notifications generated by EAGL.

**RECIPIENT -** An entity that has been approved to receive a grant or loan from one or more funding programs.

**RECIPIENT BILLING CONTACT** - The person designated by the recipient in the agreement as the main contact for fiscal issues. The billing contact often has the title of Recipient Financial Officer in EAGL.

**RECIPIENT CLOSE OUT REPORT** - Data form in EAGL, completed by the recipient, and summarizes information about the accomplishments at the end of an agreement from the recipient's perspective.

**RECIPIENT FINANCIAL OFFICER** - Title of a recipient's system role in EAGL that allows a user to initiate and submit payment request/progress reports. This role may complete Payment Request forms but cannot enter any information on the Progress Report form.

**RECIPIENT PROJECT MANAGER** - Title of a recipient's system role in EAGL that allows a user to edit applications and initiate and submit certain reports. This role cannot enter any information on the Payment Request form.

**RECIPIENT SHARE** - The percentage of the total eligible costs that will be contributed by the recipient – through cash or in kind. For WRRED, this is the 25% match requirement.

**RECYCLABLE MATERIALS** - Solid wastes that are separated for recycling or reuse, including, but not limited to, papers, metals, and glass, that are identified as recyclable material pursuant to a local comprehensive solid waste plan.

**RECYCLING** - Transforming or remanufacturing waste materials into usable or marketable materials for use other than landfill disposal or incineration. Recycling includes processing waste materials to produce tangible commodities.

**RETROACTIVE COSTS** – Eligible costs incurred between the Agreement effective date of the Agreement and before the Ecology signature date on the Agreement.

**SCOPE OF WORK** – The objectives, tasks, and deliverables to be accomplished under an agreement.

**SOLID WASTE, WASTE MATERIALS OR WASTES** – All putrescible and non-putrescible solid and semisolid wastes including, but not limited to, garbage, rubbish, ashes, industrial wastes, swill, sewage sludge, demolition and construction wastes, abandoned vehicles or parts thereof, contaminated soils and contaminated dredged material, and recyclable materials.

**SOLID WASTE HANDLING** – Collection, transportation, treatment, storage, use, processing, other management, or final disposal of solid wastes, including the recovery and recycling of

materials from solid wastes, the recovery of energy or material resources from such wastes or the conversion of the energy in such wastes to more useful forms or combinations.

**SPENDING PLAN** – A data entry form in EAGL used to report the recipient's expected and actual spending by quarter.

**STATE SHARE** – Ecology share. The maximum dollar amount of financial assistance that may be reimbursed to the recipient under the terms of the agreement. For WRRED, the maximum state share is $60,000 per agreement.

**STATEWIDE VENDOR NUMBER –** a number issued by the Office of Financial Management which is required for recipients to receive a disbursement.

**SUPPLIES –** 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 $5,000).

**TERMS AND CONDITIONS –** All requirements of the grant or loan, whether in statute, regulations, administrative and program requirements, or the agreement document.

- **AGREEMENT-SPECIFIC TERMS AND CONDITIONS**: Terms and conditions that apply only to the agreement.
- **GENERAL TERMS AND CONDITIONS**: Terms and conditions that apply to all Ecology grant and loan agreements.
- **SPECIAL TERMS AND CONDITIONS**: Terms and conditions that only apply to specific grant programs.

**TOOLS –** Tangible personal property having a useful life of more than one year and an acquisition cost of less than $5,000 per unit.

**TOTAL ELIGIBLE COST** – The amount authorized under the agreement, which includes both Ecology's and recipient's share.

**UNSPENT FUNDS** – For the purposes of this funding program, unspent funds are money that a recipient estimates within six (6) months of the agreement end date that it cannot spend.

**WASTE PREVENTION** – To reduce the amount of solid waste generated or resources used, without increasing toxicity, in the design, manufacture, purchase, or use of products or packaging. "Pure" waste prevention does not include recycling or composting. Often used similarly to **source reduction** and **waste reduction**.

**WASTE REDUCTION –** Reducing the amount or toxicity of waste generated or reused materials. Often used similarly to source reduction and waste prevention.

# D. Acronyms and abbreviations

CROP        Contamination Reduction and Outreach Plan

CLCP        Community Litter Cleanup Program

EAGL        Ecology's Administration of Grants and Loans

Ecology     Washington State Department of Ecology

ECY         Washington State Department of Ecology

EFT         Electronic Funds Transfer

EPR         Equipment Purchase Report

PR/PR       Payment Request/Progress Report

RCOR        Recipient Close out Report

RCW         Revised Code of Washington

SAW         Secure Access Washington

SWM         Solid Waste Management program

WAC         Washington Administrative Code

WRRED       Waste Reduction and Recycling Education Grants

WRRLCA      Waste Reduction, Recycling, and Litter Control Account

# Part II – PROGRAM ADMINISTRATION

The WRRED team appreciates the time you spend reviewing these *Guidelines*, which explain the administration, and promote the success of this program. We encourage you to contact us with any questions. Thank you!

## A.    Guidelines

The WRRED guidelines describe program requirements and the application process. All recipients of Ecology grants and loans are responsible for complying with applicable accounting and auditing requirements as defined within state laws and rules. Recipients must also comply with requirements as defined in the Administrative Requirements for Recipients of Ecology Grants and Loans[2] (Yellow Book).

## B.    Ecology's Administration of Grants and Loans (EAGL)

EAGL is a web-based application that Ecology uses to manage the entire lifecycle of an agreement from application to termination. Applicants apply for WRRED through EAGL, or in rare circumstances, another process defined by Ecology. Accessing EAGL requires the person is authorized in their Organization's account through EAGL's public interface, and has an Ecology approved EAGL registration through Secure Access Washington (SAW)[5].

## C.    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[6] 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[7] 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

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[5] https://secureaccess.wa.gov/myAccess/saw/select.do

[6] https://ofm.wa.gov/it-systems/statewide-vendorpayee-services

[7] https://ofm.wa.gov/it-systems/accounting-systems/statewide-vendorpayee-services/statewide-vendor-number-lookup

employee 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 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 contact.

The Ecology fiscal contact 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 have trouble receiving payments, confirm your organization's statewide vendor number in EAGL is correct.

# D.  Funding source and availability

Ecology anticipates $700,000 in state share will be available for the WRRED grant program in the 2023-2025 biennium (January 1, 2024—June 30, 2025).

This competitive grant program awards up to $60,000 in state dollars, plus 25 percent matching funds from the recipient, for a maximum grant award of $80,000.

The minimum grant award for this program is $15,000. To meet this minimum, all requests must be for at least $11,250 in state dollars, plus $3,750 in matching funds, to be considered.

## Insufficient funds to fulfill terms

Ecology's ability to make payments is contingent on funding availability. If state funding is withdrawn, reduced, or limited in any way after an agreement is signed and before its completion, Ecology may need to do one of the following:

- Terminate the agreement, in whole or part.
- Renegotiate the agreement, subject to new funding limitations or conditions.
- Suspend performance of the agreement until Ecology determines the funding insufficiency is resolved.

Ecology will make a reasonable attempt to provide notification of funding changes as soon as possible.

Ecology's policy is to reimburse eligible costs incurred by the recipient through the effective date of termination or suspension of the agreement. Reimbursed costs are agreed to by Ecology and the recipient. Reimbursement will never exceed Ecology's total responsibility under the agreement and any amendments.

# E. Indirect rate

The standard indirect rate for WRRED is 30 percent. Indirect rate, also known as overhead, is the rate that recipients apply to salaries and benefits that are charged to the task. This rate is

eligible to cover business or operational costs incurred for a common purpose that is not directly connected with a specific task , such as the cost of utilities for a facility used for both task-related and non-task-related recipient activities.

# F.  Period of performance

WRRED grant agreements are funded for up to 18 months. The agreement period of performance starts January 1, 2024 and ends June 30, 2025.

# G. Lifecycle of an agreement in EAGL

The lifecycle of an agreement in EAGL includes:

- Application
- Agreement
- Amendment
- Payment Request and Progress Reporting (PR/PR)
- Close Out

These *Guidelines* expand on specifics of the agreement lifecycle.

# H. Environmentally preferable purchasing (EPP)

State agencies, local governments, and private companies have many opportunities to reduce the impact of their operations through environmentally preferable purchasing (EPP), also known as sustainable procurement. Ecology encourages recipients consider sustainable procurement. By purchasing environmentally preferable goods and services, governments and businesses can reduce the impact of their operations, potentially save money, and influence manufacturers and vendors to offer goods and services that are safer and more climate friendly. Washington state agencies are directed to increase environmental purchasing by both executive order and legislation[8].

# I.  Tips for success

General requirements for all Ecology-administered grants can be reviewed in the Administrative Requirements for Recipients of Ecology Grants and Loans[2] *(Yellow Book)*. The WRRED *Guidelines* may be stricter in specific areas and will take precedence in WRRED-related decisions.

The following is a list of suggestions that should help recipients meet Ecology's administrative performance expectations:

- Regularly communicate with Ecology grant managers.
- Understand the scope of work for each Task.

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[8] https://ecology.wa.gov/Waste-Toxics/Reducing-recycling-waste/Environmentally-preferable-purchasing

- Follow all the terms of your agreement.
- Refer to these *Guidelines*.
- Refer to Ecology's [Administrative Requirements for Recipients of Ecology Grants and Loans](#)[2] *(Yellow Book)* for contracting and procurement procedures.
- Create reminders for reporting deadlines and important dates.
- Attend and participate in Ecology provided trainings.
- Create and maintain files for supporting documentation, to track your WRRED work and for records retention.

## File management and records retention

Ecology requires recipients to maintain a file of all agreement-related information for at least three years from the date Ecology closes the agreement.

The recipient should organize agreement financial records to provide an audit trail for all expenditures and keep all paper records in a common file. The date an agreement is closed in EAGL is the start date of the three-year retention period.

### Paper records

Required WRRED file contents include:

- Signed agreement and all signed amendments.
- Signed contracts related to the agreement or amendment(s).
- Any RFPs and contract award documents.
- Property/equipment documents when applicable, such as Ecology purchase approvals and recipient's inventory control.
- Outputs/deliverables (advertisements, brochures, fact sheets, surveys and reports).
- Written correspondence (maintain an electronic file for electronic correspondence).
- Engineering documentation and field inspection reports of all construction work.

### Electronic records

Electronic records follow the same record retention policy as paper records.

## Audits

Ecology reserves the right to audit the agreement files for three years after closing the agreement. The State Auditor reserves the right to examine all files pertaining to the agreement, if selected for audit.

## Outputs or publications – Ecology acknowledgement or use of logo

When grant recipients produce reports, technical documents, publications, brochures, and other outreach materials using Ecology funding, they are required to acknowledge Ecology's financial assistance. If a task is not supported by Ecology in any way other than through financial assistance, recipients should note Ecology support but refrain from using the Ecology logo.

The following is an example of an acknowledgement that meets grant requirements: "Support provided in part by a grant from the Washington State Department of Ecology."

Recipients of an Ecology grant cannot use the agency logo unless the task work and or materials are developed in conjunction with or for Ecology, or if Ecology has agreed to co-distribute the material. When approved for use, the logo must be used consistent with Ecology publications rules and requirements.

Unauthorized use of the Ecology logo may result in termination of a grant agreement.

# Part III – PROGRAM CHANGES

A summary of changes to the WRRED program from the previous biennium are listed here.

## A. DocuSign

DocuSign is now available for grant signatures, though you are not required to use this process. Ecology is not accepting hard copy documents for processing.

You may continue with the existing process of downloading your agreement from EAGL and routing it for wet signature(s). If so, you must return a PDF copy of the signed and dated agreement to Ecology by email. The email must also include the required approval language.

Regardless of either signature process used, Ecology must receive a signed and dated agreement within 60 days of the EAGL auto-generated "Agreement Requires Signature". This email is sent to those in the role of authorized official for your organization.

Once executed, a copy of the signed agreement is available through EAGL for reference.

## B. Reporting Assessment Policy

In the 2021-23 funding cycle, a Risk Assessment policy was piloted for all funding opportunities managed through the Solid Waste Management (SWM) program. This policy was intended to decrease the reporting burden for recipients. SWM has modified the policy based on feedback and will continue to implement it in current and future funding cycles. Significant modifications to the policy include:

- Changed the policy name to "Reporting Assessment Policy".
- Changed the terminology from "high, medium, or low risk" to "standard reporting or reduced reporting."
- Added option for a recipient to choose to participate in the assessment. Recipients that choose not to participate default to the standard reporting requirement.

A copy of the updated policy can be viewed in Appendix A.

## C. Number of Tasks

A WRRED application is limited to one task. Limiting applications to one task streamlines recipient reporting and financial management in EAGL. A task may include different activities that work toward implementing the task goal and outcomes. All work in a task must be completed during the grant period.

# PART IV – COORDINATION AND ELIGIBILITY

## A. Eligible applicants

WRRED funds are available to the following groups:

- Non-profit organizations based in the State of Washington.
- Local governmental agencies, including cities and counties, in the State of Washington.

The following groups and organizations are not eligible:

- For-profit businesses or any other profit-seeking enterprises.
- State government agencies.
- Federal government agencies.
- Federally recognized Indian tribes or other sovereign nations.
- Public or private vocational or technical schools, colleges, or universities.
- Any organization or agency located outside of Washington State boundaries.

Any ineligible organization that wishes to conduct the types of activities eligible under this grant program is encouraged to partner with an eligible organization. For example, a school partnering with their local city, county government, or non-profit organization to conduct outreach to their student body.

## B. Eligible work and criteria

A WRRED application is limited to one task. Limiting applications to one task streamlines recipient reporting and financial management in EAGL. A task may include different activities that work toward implementing the task goal and outcomes. All work in a task must be completed during the grant period.

Eligible work educates the public on litter control, waste reduction, recycling, or composting, and can involve the implementation of a Contamination Reduction and Outreach Plan (CROP) as required under RCW 70A.205.045, the Sustainable Recycling Act.

The work should primarily focus on the products taxed under chapter 82.19 RCW, Waste Reduction, Recycling, and Litter Control Account (WRRLCA) for priority consideration.

Items taxed under RCW 82.19.020 are:

- Food for human or pet consumption.
- Groceries.
- Cigarettes and tobacco products.
- Soft drinks and carbonated waters.
- Beer and other malt beverages.
- Wine.
- Newspapers and magazines.
- Household paper and paper products.

- Glass containers.
- Metal containers.
- Plastic or fiber containers made of synthetic material.
- Cleaning agents and toiletries.
- Nondrug drugstore sundry products.

Work may include, but is not limited to, the following:

- Environmental workshops and educational activities.
- Implementation of a contamination reduction and outreach plan (CROP).
- Community-wide outreach or information campaigns.
- Information hotlines.
- Repair cafes.
- Special materials collection events targeting common recycling contaminants.
- Outreach at special events (county fairs, Earth Day, etc.).

## Eligible costs

Refer to Ecology's *Administrative Requirements for Recipients of Ecology Grants and Loans[2] (Yellow Book),* Part III, for a full explanation of eligible criteria, allowable costs, unallowable costs, and conditionally allowable costs.

Allowable costs in WRRED may include, but are not limited to:

- Advertising.
- Salaries and benefits.
- Education and outreach.
- Materials and supplies.
- Travel expenses.
- Printing and reproduction.
- Indirect costs.

Individual scopes of work or other terms of the grant agreement may restrict the categories or amounts of costs that are allowed.

## Ineligible costs

In addition to unallowable costs detailed in *Administrative Requirements for Recipients of Ecology Grants and Loans (Yellow Book),* Part III, D, ineligible costs include, but are not limited to:

- Litter and illegal dump cleanup and disposal costs.
- Costs incurred before the effective date or after the expiration date of the agreement.
- Overtime differential unless an employee spends 100 percent of their time on activities specific to the grant and it is approved by Ecology in advance.
- Components of tasks that are funded by a Local Solid Waste Financial Assistance agreement and/or a Public Participation Grant agreement.
- Undocumented costs.

# C. Local contribution requirements

WRRED recipients are required to contribute 25 percent of the agreement's total eligible cost as a match. This match is the recipient's share of the agreement, and can be made through cash expenditures and in-kind other contributions, or a combination of the two. For a cost to qualify as match, it must be eligible under the agreement and funding program guidelines.

The applicant's intent to use an in-kind match should be stated in the application. Ecology will confirm the contribution meets requirements and prepare the agreement accordingly.

## Cash Expenditures

Cash expenditures are expenses paid by the recipient for task-eligible costs. Expenditures may include direct costs of goods and services, recipient salaries and benefits, indirect costs, and payments made to contractors.

Cash Expenditures as a contribution must be:

- Eligible task costs paid by the recipient.
- Costs not reimbursed elsewhere by Ecology.

## In-kind Other

In-kind other match contributions are made to the task by non-government entities that are not reimbursed by the recipient. In-kind other may include:

- Volunteer services.
- Employee services donated to work in a task.
- Donated or loaned equipment, real and personal property, and goods or services

EAGL automatically reimburses a percentage equal to the amount of in-kind match contributed. Reimbursements will not reflect 100% of the approved expenditures until the entire in-kind match is met.

Please refer to the Match documentation section in Part VIII for more information about match eligibility and supporting documentation requirements.

# D. Reimbursement eligibility

All costs submitted for reimbursement must meet requirements and be supported by backup documentation approved by Ecology.

Eligible cash expenditures are reimbursable, in whole or in part, with agreement funds. Only eligible cash expenditures and approved in-kind other contributions may be used to meet the local contribution requirement (25%). The recipient may not receive reimbursement for costs that exceed actual cash expenditures to date. Funding through Ecology's grants and loans may not be used for a financial gain to the recipient.

The scope of work in each agreement generally identifies the costs Ecology expects the recipient to charge to a specific task. These costs should be necessary and reasonable to complete the task (as determined by the Ecology grant manager), must be allowable as identified in Ecology's [Administrative Requirements for Recipients of Ecology Grants and Loans](2) (Yellow Book), and must not be specifically excluded from WRRED.

# Part V – DEVELOPING A SUCCESSFUL APPLICATION

## A. Application preparation

Ecology provides detailed instructions for how to navigate the application process in EAGL, including tips for completing the forms. You can find the [EAGL Application Instructions](#)[1] for WRRED here, on the [WRRED webpage](#)[9], and in your application in EAGL after you've initiated it.

Ecology may announce the period of application through our email subscription list. Subscribe through the [GovDelivery email system](#)[10] to receive our emails and announcements.

Applicants are encouraged to review the Application Instructions and these Funding Guidelines in detail before developing their application. This sets the applicant up for success to ensure that their application:

- Meets eligibility criteria.
- Meets match requirements (25% of the total eligible cost).
- Meets evaluation criteria.

### Pre-application technical assistance

Applicants may [contact WRRED grant staff](#) during the application process to discuss eligibility and for technical support.

## B. Scope of work

Your answers to the application questions will help Ecology evaluate the application, and if awarded, develop a scope of work. Successful applications provide clear, thoughtful responses that address the [evaluation criteria](#) and the details described in this section.

### Scope of work components

Your application should clearly include the following main scope of work components: activities, deliverables, outcomes, and goals.

**Activities:** This is the work that will be accomplished with the requested budget. It should include the who, what, when, where, and how the recipient implements the work.

**Deliverables** are the items produced under the agreement. These are tangible evidence of the work done and align the activity's progress with meeting the expected outcomes. This can include reports, workshops, outreach materials, evaluations, and other relevant products.

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[9] https://ecology.wa.gov/wrred
[10] https://public.govdelivery.com/accounts/WAECY/subscriber/new?topic_id=WAECY_151

**Outcomes** are the measurable results of your work. Outcomes can be estimated based on the planned activities and schedule, and should be measured and reported on throughout the agreement period. Your application should also indicate how you plan to measure these outcomes to track success.

**Goals** are the big picture benefits or changes you anticipate as a result of meeting your estimated outcomes. All applications should include a goal statement that identifies an unmet need and how the work will address it.

Keep the following in mind:

- Categorize your task work into activities.
- Determine the cost for each activity and a plan to track spending.
- Align your activities with a schedule that provides sufficient time to complete the planned work.
- Identify key deliverable(s) for each activity and target dates for their completion.
- Identify and estimate at least one measurable outcome and how it will be measured.
- Relate each activity to a specific goal.

## C. Biennial funding priorities

Your application should address how the work and costs meet the priority criteria outlined for the biennium. In 2023-25, additional points are given to applications that clearly focus on any of the following:

- Item or items taxed under chapter 82.19 RCW.
- Reducing the contamination of recyclables and or organics for composting. May include Contamination Reduction Outreach Plan implementation.
- Preventing food waste.
- Providing outreach and education about one of the following:
  - Reuse, and or assisting in reuse activity
  - Plastic product bans
  - Compost labeling requirements
  - Organics Diversion
- Facilitating public outreach related to waste reduction and recycling in highly impacted communities or low-income populations.

# D. Biennial specific question

In addition to the biennial funding priorities, there is also a biennial specific application question that all applicants must address. The biennial-specific question for 2023-2025 is:

**Can the task work begin on January 1, 2024?**

Please address plans and any support already in place to begin work upon the agreement effective date of January 1, 2024. If you are not ready to immediately proceed, please explain why not, and your plan to ensure readiness.

Plans and support may include dedicated staff, resources, contracts, work plans, community support, and additional funding sources that are already in place or in consideration.

# E. Community investments and partnerships

Ecology encourages working with county and city agencies and citizen groups to develop a scope of work. This approach helps the task obtain the greatest possible environmental benefit for the resources invested. Agencies and groups that may be interested include:

- Community groups.
- Private sector.
- Health departments.
- Schools.
- Public works or solid waste departments.
- Solid waste advisory committees.
- Civic groups.
- Youth groups.
- Others involved in local litter control, recycling, and composting programs.

## Meeting local contribution requirements

The in-kind value of community investments and partnerships can be used to help meet the match requirements for this grant.

The applicant's intention on using in-kind as match should be identified and clearly described in the application so that Ecology can verify it meets eligibility requirements. Please review Part IV – In Kind Other and Part VIII – Match documentation in these Guidelines for guidance when identifying how you will meet the local contribution requirements in your application.

## Community support

Applicants can show community support by providing either a letter of contribution or a letter of support from the targeted community.

**Letters of contribution** are from other organizations that are your project partners or are contributing to the work in a meaningful capacity.

**Letters of support** are general letters supporting the work. Letters of support can be from anyone outside your organization except for Ecology staff.

# PART VI – APPLICATION AND EVALUATION

## A. Accessing an application

Application forms are available through the EAGL system (or in rare instances, another process provided by Ecology). Applicants must register in Secure Access Washington and EAGL before they can access a WRRED applications in EAGL. More information about EAGL registration can be found here in Part II – Program Administration. General instructions for navigating the EAGL system are accessible through Ecology's grants and loans website[11].

Application instructions for WRRED in 2023-25 are provided in a separate document and can also be found in the EAGL system with the funding opportunity and your application.

Secure Access Washington's toll-free customer support is available 24 hours a day, seven days a week at 888-241-7597.

## B. Submitting an application

Included in the Application Instructions document are detailed instructions for "submitting an application" in EAGL. After completing all application forms, you must change the status of your application to "submit." This formally submits your application to Ecology. The status of your application must be "submitted" by 5:00 p.m. on October 3, 2023, or it may not be considered.

Give yourself plenty of time before 5:00 p.m. on the due date to deal with any system errors that may arise when you attempt to submit your application through EAGL.

## C. Application screening

### Screening checklist

Applications will receive an initial screening before Ecology accepts the application for evaluation. The criteria Ecology uses in the initial review is applied in the following order:

1. Is the applicant a (1) local government or (2) not-for-profit public interest organization?

2. Does the program implement a contamination reduction and outreach plan or help the public with litter control, waste reduction, recycling, reuse, or composting?

3. Is the project currently funded under another Ecology grant program?

Ecology will deny the application if any of the screening criteria are not met. Ecology will evaluate and score all applications that meet the screening requirements.

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[11] https://ecology.wa.gov/about-us/payments-contracts-grants/grants-loans

# D. Application evaluation

The evaluation scorecard in EAGL is completed for each application that passes screening. The evaluation criteria for each Category in the scorecard is explained in this section.

The evaluation scorecard is broken into three parts. A total of 80 points is possible.

- Lead Evaluator scores categories 1 and 2 and may request assistance from the agency's Environmental Justice coordinator on criteria 1.5.
- Evaluation Committee of Ecology staff will evaluate Category 3.



Screenshot 1. Evaluation Scorecard in EAGL

# Evaluation criteria

**Category 1: Priorities**

Ecology's lead evaluator will score this section.

**Criteria 1.1:**

Work focuses primarily on an item or items taxed under chapter 82.19 RCW.
Yes = 5, No = 0

**Criteria 1.2:**
Task goal is to reduce the contamination of recyclables/organics for composting. May include Contamination Reduction Outreach Plan implementation.
Yes = 5, No = 0

**Criteria 1.3:**
Task goal is to prevent food waste.
Yes = 5, No = 0

**Criteria 1.4:**
Work focuses on providing outreach and education about one of the following:

1) Reuse, and or assisting in reuse activity
2) Plastic product bans
3) Compost labeling requirements
4) Organics Diversion

Yes = 5, No = 0

**Criteria 1.5:**
Work facilitates public outreach related to waste reduction and recycling in highly impacted communities or low-income populations.

The following points will be given:

- Focus community has an environmental health index of 8 (80%) or higher = 5 points
- Focus community has an environmental health index of 6 (60%) to 7 (70%) or only a portion of the focus community has an index of 8 (80%) or higher = 3 points
- Focus community has an environmental health index of 5 or less = 0 points

Applicants should use one of the following environmental justice indexes to demonstrate applicable impacts:

- The Environmental Protection Agency's EJScreen[12]

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[12] https://www.epa.gov/ejscreen

- The Centers for Disease Control's [Environmental Justice Index](link)[13]
- The Department of Health's (DOH) Washington Tracking Network [Environmental Health Disparities map](link)[14]

**Criteria 1.6:**
Biennial Specific Question:
Can the task work begin on January 1, 2024?

Yes = 5, Partial = 3, No = 0

The recipient is not immediately ready to proceed if they still need to complete necessary planning and preparation steps. Partial points can be awarded if the application identifies a clear plan to ensure readiness by the agreement effective date.

**Category 2: Fund Coordinator**

Ecology's lead evaluator will score this section.

**Criteria 2.1:**
Task and budget comply with WAC, program guidelines, and agency administrative requirements.
Yes = 5, No = 0

**Criteria 2.2:**
Spending plan is realistic and aligns with the task's workplan, expected costs, and deliverable schedule.
Yes = 5, No = 0

**Criteria 2.3:**
Application clearly states how the 25 percent recipient match will be met.
Yes = 5, No = 0

**Criteria 2.4:**
Applicant has demonstrated community support for the work.

The following points will be given:

- Letter of contribution = 5
- Letter of support = 3
- No letter = 0

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[13] https://www.atsdr.cdc.gov/placeandhealth/eji/index.html
[14] https://doh.wa.gov/data-and-statistical-reports/washington-tracking-network-wtn/washington-environmental-health-disparities-map

Applicants can show community support by providing either a letter of contribution or a letter of support from the targeted community. Letters of contribution are from other organizations that are your project partners or are contributing to the work in a meaningful capacity. Letters of support are general letters supporting the task. Letters of support can be from anyone outside your organization except for Ecology staff. The maximum possible score for this criterion is 5 points. Please upload any letters to the "Uploads" section of the application.

**Category 3: Evaluators**

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

**Criteria 3.1**
Project has a clear goal that addresses an unmet need.
Yes = 5, Partial = 3, No = 0

**Criteria 3.2:**
Application defines a specific audience for their work and a targeted plan to engage them.
Yes = 5, Partial = 3, No = 0

**Criteria 3.3:**
Scope of work clearly describes the activities and work to be completed.
Yes = 5, Partial = 3, No = 0

**Criteria 3.4:**
Deliverables for each activity are well-defined and include specific target dates.
Yes = 5, Partial = 3, No = 0

**Criteria 3.5:**
Applicant describes project costs charged to the grant, and how the costs are aligned with the scope of work.
Yes = 5, Partial = 3, No = 0

**Criteria 3.6:**
Applicant identifies measurable outcomes, and a plan to track and evaluate success.
Yes = 5, Partial = 3, No = 0

# E. Award selection

## Application scoring and ranking

Ecology averages the final scores of each evaluator to reach the total score for each application. Applications are ranked in order of the total score. Ecology will make grant offers in the order of rank within the limits of available funds. Ecology may fund all or portions of eligible grant applications. Ecology has the right to limit funding based on past performance.

The maximum grant award is $60,000 in state share, and the minimum grant award is $11,250 in state share, per application.

## Award announcement

After the ranked list is approved, Ecology will contact all applicants. Target date to announce awards is November 7, 2023. The effective date of an award is January 1, 2024.

# PART VII – AGREEMENTS AND AMENDMENTS

## A. Negotiations and formal offer

An agreement is a formal, written, contractual document, between Ecology and the recipient that details all 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.

Ecology will work with the recipient to prepare the agreement. WRRED grant managers will draft a scope of work for each task based on information gathered from the application, and through negotiating details with the applicant.

WRRED grant managers will contact the applicant to confirm the details the task's scope of work and task budget, confirm the recipient's signing preference, and inquire about participation in the reporting assessment. WRRED grant managers will then take the appropriate internal steps to prepare the agreement as a formal offer.

Costs that are incurred by the recipient **prior to the effective date of the agreement** are not eligible for reimbursement.

At the recipient's own discretion and risk, costs may be incurred **after the effective date of the agreement** and before the agreement is signed by Ecology. These costs are referred to as "retroactive costs" and are eligible for reimbursement, so long as they meet WRRED eligibility criteria.

## B. Reporting assessment

In the 2021-23 funding cycle, the Solid Waste Management (SWM) program began incorporating a Risk Assessment policy for all grant programs, not including one-time-grants. This policy is intended to decrease the workload for recipients and Ecology grant managers when Ecology assesses a recipient as low risk. In 2023-25 the policy is called Reporting Assessment. Modifications were made to the policy based on feedback and a copy is provided in Appendix A.

## C. Returning the signed agreement (or amendment)

### Signature process

DocuSign is now available as a platform for signing the agreement, though recipients are not required to use this process. Ecology grant managers will confirm with the recipient by email prior to offering the agreement for signature, asking if they want to use DocuSign .

Recipients choosing not to use DocuSign may continue with the existing process of downloading the agreement from EAGL and routing it for wet signature(s). When using this option, you must return a PDF copy of the entire signed and dated agreement to Ecology by

email, and the email must include the required approval language provided by your grant manager. Ecology continues not to accept hard copy documents for processing.

Whether using DocuSign or the existing signature process, Ecology must receive a signed and dated agreement within 60 days of the EAGL auto-generated **Agreement Requires Signature** email, which is sent to those assigned the role of authorized official for the recipient. This email is Ecology's official notification that an agreement is being formally offered and ready for the recipient to sign.

If the recipient has not contacted Ecology or returned a signed agreement within four months of the EAGL auto-generated **Agreement Requires Signature** email, Ecology may rescind the agreement offer.

A copy of the executed agreement is accessible through EAGL for reference and recordkeeping.

## D. Unrequested funds

Unrequested funds are funds that remain after awards are determined and all eligible applicants are funded. In the unlikely event that this would occur, Ecology reserves the right to develop a fair and equitable process by which the unrequested funds are distributed.

## E. Unspent funds

### Determining "unspent"

Ecology monitors spending throughout the agreement period and works with recipients to reduce budgets as needed.

When a budget amount is determined excessive for the remaining work and time in the agreement period, both parties can agree to amend the agreement to reduce the budget. This process is called a budget decrease or deobligating funds. Ecology refers to the deobligated funds as "unspent".

Ecology uses the following methodology to confirm agreement budgets are excessive:

- Ecology grant managers send a statewide email to recipients in October of Quarter 6.
- Ecology grant managers works with individual recipients to get a written response by mid-November of Quarter 6.

During this process, Ecology may discover the remaining budget in an agreement is not enough to cover the costs a recipient has already incurred or expects to incur for the remainder of the agreement period. Only recipients that were not granted the maximum grant amount are considered for increased funding to cover those costs.

# F. Amendments

Any change to an agreement may require an amendment, which must be in writing and signed by all parties before it becomes effective.

Due to internal administrative deadlines, scope changes including new activities under existing tasks, must be amended into agreements before September 30, in quarter 5.

Additionally, Ecology may be unable to entertain an amendment request after December in Quarter 6. All amendments must be returned to Ecology, signed by the recipient no later than May 1 in Quarter 8.

The Authorized Official(s) for your organization will receive an EAGL auto-generated **Amendment Requires Signature** email. This is Ecology's official notification that an Amendment is being offered and is ready for recipient signature. WRRED grant managers may follow this notification with reminders. See Section C above and follow the same process for an amendment.

## Changes that require an amendment

- Scope of work or the objectives of the project.
- Agreement budget, whether for an increase or decrease.
- Funding, whether for an increase or decrease.
- Special Terms and Conditions, or agreement-specific Terms and Conditions.

## Administrative Changes – no amendment required

Administrative changes such as telephone numbers, addresses, or contact persons for either Ecology or the recipient, do not require an amendment. The recipient must maintain up-to-date organization and contact information. The recipient may update its contact information at any time in EAGL.

## Reobligating unspent funds

Ecology considers the following criteria when reobligating "unspent" funds:

- Reobligated funds <u>cannot</u> result in a recipient exceeding the maximum grant award. For WRRED, the maximum grant award is $80,000 in total eligible cost, or $60,000 in state share.
- Recipients that were granted the maximum award amount <u>cannot</u> receive unspent funds. Only recipients that were granted <u>less than</u> the maximum award are eligible to receive unspent funds.
- Reobligated funds can only increase an agreement budget up to and <u>not exceeding</u> the maximum grant award.

- The recipient must be in good standing for their administration of WRRED in the biennium. Good standing may include administrative performance in the current biennium.

Eligible recipients will be offered unspent funds in the order of their application ranking. Additional criteria to determine redistribution must be documented, and includes but may not be limited to recipient's:

1. Response to Ecology's unspent email.
2. Administrative performance in communicating with the Ecology grant manager, timely submittal of PR/PRs, and task work progressing as expected.
3. Classification by Department of Health's (DOH) Washington Tracking Network (WTN)[15] Environmental Health Disparities (EHD) index that determines highly impacted communities.
4. History of spending.

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[15] https://fortress.wa.gov/doh/wtn/WTNIBL/

# PART VIII – PAYMENT REQUESTS

## A. General information

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

### PR/PR due dates

A complete PR/PR is due 30 days after the last day of each quarter as shown in the following table.

Please note that WRRED recipients are not required to submit progress reports for Quarters 1 and 2, since they are both prior to the agreement effective date of January 1, 2024. The first progress report will be for work done in Quarter 3.

Table 3. Request for reimbursement deadlines

| Quarters | 1 & 5 | 2 & 6 | 3 & 7 | 4 & 8 |
|---|---|---|---|---|
| Months in each Quarter | Jul – Sep | Oct – Dec | Jan – Mar | Apr – Jun |
| Payment Request due date | October 30 | January 30 | April 30 | July 30 |

### Cost reimbursement

Ecology disburses payments on a cost-reimbursement basis. This means a recipient must incur the cost before it becomes eligible for reimbursement. A cost is incurred on the date the recipient receives the item or that the service is performed, and the cost incurred date must be identified and documented by a payable invoice. For items that are delivered, a recipient can manually identify the delivery date on the invoice. For example:

- You order a print job on March 15; the cost-incurred date is the date that job is delivered and, in your possession, – NOT the date you ordered it or the date you paid for it or the date on the invoice. A "certification", such as a note on the invoice when the item is in the hands of the recipient, meets our needs for the required backup documentation.
- You hire a contractor to design and facilitate workshops; the dates of cost incurred are the dates the contractor works – NOT the date they invoice for the work.

## Cost incurred dates

- *Date incurred* start date must be on or after the agreement effective date.
- *Date incurred* end date must be on or before the oldest billing period end date entered in the PR/PR.
- *Date incurred* end date must also be on or before the agreement expiration date.

# B. Initiating a Payment Request / Progress Report in EAGL

Each PR/PR has a title/name corresponding to a particular quarter of the biennium. A PR/PR is available to be initiated for six months, beginning the first day of the quarter it is named for, through the last day of the next quarter. You may start the PR/PR within the quarter of the PR/PR title, but you do NOT have to complete it within that time period. Once started, that PR/PR will be available to you until it is submitted.

Keep in mind, you can submit costs that were incurred before the start of the titled quarter (in case you need to pick up costs that may have been missed from a previous quarter, or you didn't receive a bill in time to claim it on the PR/PR submitted for the time period the work was done).

You may have eligible expenditures that fall outside the date range provided in the title/name. If those costs were incurred after the dates of agreement effective and before the agreement expiration, EAGL will allow you to include them in the request. Choose the title/name that best fits the quarter you are requesting reimbursement in.

For recipients that receive late invoices in the 3rd month of the quarter, with the exception of a final PR/PR due July 30, these invoices can be itemized in subsequent PR/PRs; you are not restricted to submitting invoices in just the period a cost was incurred.

# C. Payment request fields

Recipients must complete the Payment Request form each quarter of the agreement period when there is a budget balance, even if there are no expenditures to report, unless the reporting assessment indicates otherwise.

At the top of this form, some fields will automatically populate.

| Payment Request Number: | 2 | * Final: | ◯ Yes ⦿ No |
|---|---|---|---|
| Billing Period Start Date: | 4/1/2022 | * Billing Period End Date: | 6/30/2022 |
| Cumulative Expenditure Entered: | $1,616.13 | Cumulative Expenditure Approved: | $1,616.13 |

Ecology Project Manager Approval:

☑ I have reviewed the progress report and expenditures. To the best of my knowledge, the work performed and the costs incurred are reasonable, necessary, and consistent with the scope of work.

Approved by: Laura Busby on 6/22/2022

\* Do you have expenditures to report?    ⦿ Yes ◯ No

Screenshot 2. Top of the Payment Request form

## Final

The only time "Yes" is selected as "Final" is when the budget balance of the agreement is $0 or the recipient intends to close out the agreement. Otherwise, select "No" on all payment request forms. Whatever you select on the payment request form must match your selection on the progress report form.

## Billing period end date

The date entered cannot be later than the agreement expiration date and should represent the end of the quarter or the latest cost incurred end date entered in the Expenditures table.

## No expenditures

When there are no expenditures to report, the recipient completes the following steps on the Payment Request form:

1. Identify if the payment is final.
2. Enter the billing period end date.
3. Select "No", there are no expenditures to report.
4. Save the form.

## Expenditures to report

When there are expenditures to report, the recipient enters the required data in the Expenditures table and uploads the required documents to support each cost.

## Expenditures table

### Drop down boxes

Drop down boxes for almost all cells are included in the table. It is important the recipient select the correct category option for the expenditure. Collecting accurate data that supports the WRRED program is only possible when the correct "Item Category" is selected and when the recipient itemizes "Item Category" costs accurately. The ten "Item Category" options, along with an explanation of qualifying costs under each option, are as follows:

- **Salaries** - select when the cost is only recipient salaries or wages.
- **Benefits** - select when the cost is only recipient benefits (not combined with recipient salaries or wages). Note: Benefits are 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. Fringe benefits, such as a car or clothing allowance, are a separate cost category and should not be included in the benefit rate.
- **Salaries/Benefits** - select when the cost is a combination of recipient salaries or wages AND benefits.

- **Indirect** - select when charging for indirect. WRRED indirect is 30 percent of the recipient salaries/benefits itemized on the same Expenditures table. Charging for indirect costs are optional throughout the agreement period.
- **Contracts** - select when expenses are associated with a legally-binding, written agreement between the recipient and contractor for the rendering of professional services. You must also provide a copy of the signed contract for Ecology review prior to reimbursement of contractor-related costs.
- **Goods and Services** - select when expenses are associated with purchase of a product or service, material, or supplies.
- **Travel** - select when costs are associated with lodging, meals, mileage, vehicle rental, parking, ferry, and toll fees. Registration costs are itemized under Goods and Services. For current state travel rates, see OFM's travel rates[16] that tend to adjust in January and October, so check back as needed.
- **Equipment** - select when the expense is a tangible, personal property having a useful life of more than one year and an acquisition cost of at least $5,000 per functional unit or system including tax and shipping. If the item has a useful life of less than one year and cost less than $5,000 per functional unit or system, itemize under Goods and Services.
- **Property** - select when the cost is associated with purchase of land, including crops and mineral rights, land improvements, structures, and appurtenances to them, but exclude moveable machinery and equipment.
- **Other** - select when the cost does not fit under any previous category options, such as Use Tax.

# D. Supporting documentation

Recipients must upload documentation that supports each cost itemized in the Expenditures table unless the reporting assessment indicates otherwise. These documents may be grouped into a single file or uploaded separately, preferably in the personal data file (PDF) format.

Documentation must be presented in the same order as the costs itemized on the Expenditure table. The only exception is for time accounting documentation; this documentation may be a stand-alone PDF that supports costs in more than one task. Upload supporting documentation in the Uploads link accessed through the Payment Request form.

Supporting documentation includes, but may not be limited to:

- Goods and Services
  - Copies of receipts or payable invoices that confirm the date of goods received or services performed.
- Required verification forms, such as:

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[16] https://www.ofm.wa.gov/accounting/administrative-accounting-resources/travel

- o Meeting/conference agendas attended during travel status (when travel is charged).
  - o Certificate of completion for trainings (when training is charged).
- Time Accounting
  - o Payroll/Labor Distribution Report for recipient W2 employees is required and must include:
    - Total employer costs for employee*(for the report period)
    - Total employee hours worked (for the report period)
    - Report period identified
    - Report run date and who ran the report
  - o Time and Effort report/Time Sheet is required and must include:
    - Employee name
    - Hours worked by date and task



Screenshot 3. Example labor distribution report



Screenshot 4. Example time sheet

All time is reimbursed at the employee's regular rate of pay unless the employee works 100 percent of a 40-hour work week on WRRED, then overtime is eligible for reimbursement.

*For time accounting, note that total employer costs for employee includes benefits and overtime for the period, and paid leave time. Paid leave is eligible for reimbursement based on the percent of time the employee worked on grant funded tasks in the same period.

# E. Match documentation

The recipient must provide proper documentation to support their match. Without documentation demonstrating that the match requirement has been met, the recipient will not

be fully reimbursed for expenditures. All eligible costs used for match must be reported and incurred within the effective dates of the agreement.

## Cash match

Cash match must be an eligible project cost paid by the recipient. When a recipient uses only cash match, EAGL reimburses 75 percent of approved expenditures on each payment request to account for the match.

## In-kind match

EAGL automatically reimburses expenses at a percentage reflective of the amount of in-kind match contributed. Reimbursements will not reflect 100 percent of the approved expenditures until the entire in-kind match is met.

In-kind match must be supported by acceptable documentation and be verified through records. Examples of acceptable documentation and records include (but are not limited to):

- Time and effort records (time sheets and work logs).
- Description of work performed.
- Meeting attendance records.
- Travel vouchers.
- Valuation of donated or loaned equipment.
- Use-cost comparison.

## Valuation of donated service and real property

Donated services or real property may be used for in kind match purposes. The recipient cannot make any reimbursement or payment related to the donation, and donated services or properties cannot be charged to a project as a direct or indirect cost.

Ecology reserves the right to make the final determination of the value of a donated service or property used for a match and can request additional documentation to support the determined value. If the contributor of the donated service or property does not provide an invoice or documentation, it still must be documented by the recipient. A monetary value placed on the service or property must be fair and reasonable and agreed on by Ecology.

## Donated/volunteer labor and services

Labor and services donated or volunteered by a third party (not the recipient or contracted under the agreement) can be used as in-kind match. The recipient must not make any reimbursement or payment related to the donation for it to qualify as an in-kind match.

The value of in-kind matches is determined by the actual hours donated towards the project, and must be assessed as follows.

- A third party (not the recipient or a contractor) donates the services of its employee to the project at no charge to the recipient, and the services are in the employee's normal line of work (for example, an engineer provides engineer drawings):
  - The work is valued at the employee's regular rate of pay.
- An adult voluntarily provides unpaid labor or services to the project:
  - The work is valued at $15 per hour.
- A minor voluntarily provides unpaid labor to the project:
  - The work is valued at 85 percent of $15 per hour ($12.75).

The following applies when using donated/volunteer labor and services as match:

- Donated volunteer labor must be documented by a time record that is signed by the volunteer coordinator and approved by the recipient.
- Volunteer labor for adults and youth is allowed by the Fair Labor Standard Act, however, some restrictions may apply.
- Volunteers' travel expenses cannot be used as match. If a third party reimburses its employees for travel expenses related to the project, those costs are eligible match contributions on the part of the third party.
- Time spent by state employees performing their official duties is not considered volunteer labor.

## Property donated by the recipient

The recipient may use the current market value of real property, equipment, or supplies it donates as match.

If any part of the donated property was acquired with Ecology funds, only the non-Ecology share of the property is eligible as a match, unless it is allowed in the agreement. If any part of the donated property was acquired with federal funds, only the non-federal share of the property is eligible.

## Property donated by a third party

The recipient may use real property, equipment, or supplies donated by a third party as a project as match if the title of the property is transferred to the recipient. Only the portion of the property that is used for the project may be used as a match.

- Example: The project requires obtaining one acre of land. Land is donated as part of a five- acre parcel. Only the current fair market value of the one acre can be used as match.

## Property loaned by a third party

The recipient may use the value of loaned property as match if part of the agreement's purpose is to support activities that require the use of property for the project.

If a third party donates the use of property but retains title, the donation will be valued at the current fair market rental rate of the property. The rental amount (use allowance) over the period of the agreement may not exceed the purchase amount for the property.

**Example:** A piece of equipment (for example, a vehicle) was donated to the project, but was not a part of the agreement. The vehicle will be used for six months for employee travel. The match value of the vehicle is determined by the actual use of the vehicle on the project. The fair market rental rate for the vehicle for six months is the basis for the match value.

## Contributions not eligible

- **Costs used as match on another project**. No expenditures or in-kind contributions used as match on one project may be used as match on another project.
- **Costs paid by the same funding source**. A match that comes from the same funding source (WRRCLA) or from another WRRED agreement is ineligible.
- **Other Ecology grant funds**. The recipient must ensure they can use funds from other grants as an in-kind contribution, and that they are not funded by Ecology. Funds from Local Solid Waste Financial Assistance (LSWFA), Public Participation Grants (PPG), or the Community Litter Cleanup Program (CLCP) cannot be used as match towards a WRRED grant.
- **Costs financed by penalties and/or fines**. The recipient cannot use income received from penalties and fines as match.
- **Costs financed by project income**. Income generated from the project cannot be used as match unless expressly permitted in the agreement.
- **Services or property financed by income earned by contractors**. No costs of services or property supported by contractor earned income may count as match unless expressly permitted in the agreement.

# F. Ecology review and approval

Ecology grant managers either approve, modify, or deny each cost itemized in the Expenditures table. They rely on the agreement, backup documentation provided with the PR/PR, these *Guidelines*, and Administrative Requirements for Recipients of Ecology Grants and Loans[2] *(Yellow Book)* to make the determination. The Ecology grant manager may contact the recipient for help making the determination, may return the PR/PR for modifications, or may make the decision to deny the cost in whole or in part. In the latter case, the Ecology grant manager will enter a brief explanation in the Comment field on the Expenditures table for that line item.

# G. 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 payment requests that are received after July 30 if they do not include the required EAGL reports, and when costs are not supported by the required documentation.

# PART IX – PROGRESS REPORTING

## A. General information

It is an agency requirement for all recipients of Ecology grants and loans to submit a progress report each quarter unless your Reporting Assessment indicates otherwise. EAGL ties a progress report to a payment request, which means that both must be submitted together. If you do not incur expenses during a quarter, you are still required to submit a progress report. See Progress Report Fields.

Ecology monitors task progress to ensure compliance with the terms and conditions of the agreement. Reporting is done in EAGL. For general EAGL information related to progress reporting, consult the User Manual under My Training Materials found at the top of any page in EAGL.

## B. Reporting timeline

Ecology requires recipients to complete progress reports and submit one with each payment request, or at least quarterly, even if there are no expenditures to reimburse (unless your Reporting Assessment indicates otherwise). If there are expenditures in a period that the recipient expects reimbursed, the recipient must submit for reimbursement. When the recipient receives invoices late, they can itemize them on the next PR/PR submitted. Waiting for invoices is not an acceptable excuse for submitting late PR/PRs.

Quarterly periods start with the first three months of the biennium and run for eight quarters over two years. Due dates for submitting a progress report are 30 days after a quarter ends.

Please note that WRRED recipients are not required to submit progress reports for Quarters 1 and 2, since they are both prior to the agreement effective date of January 1, 2024. The first progress report will be for work done in Quarter 3.

Table 4. Progress reporting deadlines

| Quarters | 1 & 5 | 2 & 6 | 3 & 7 | 4 & 8 |
|---|---|---|---|---|
| Months in each Quarter | Jul – Sep | Oct – Dec | Jan – Mar | Apr – Jun |
| Progress Report due date | October 30 | January 30 | April 30 | July 30 |

## C. Progress report fields

The Progress Report form is not WRRED-specific and therefore includes fields that WRRED does not require the recipient to complete. EAGL auto-populates some fields in the form. The fields WRRED recipients are required to complete, and a brief explanation for how to complete them, are listed below.

The recipient completes a Progress Report form at least quarterly (unless your Reporting Assessment indicates otherwise), even when not requesting reimbursement of expenditures in the quarter. This helps communicate to Ecology that you are still an active recipient.

For each field on this form, a brief explanation is provided for what to enter, including when there are no expenditures requested for reimbursement in the quarter.

## Final

The only time "Yes" is selected as "Final" is when the budget balance of the agreement is $0 or the recipient intends to close out the agreement. Otherwise, select "No" on all progress reports. Whatever you select on the progress report must match your selection on the payment request form.

## Percent complete

The "Percent Complete" relates to the scope of work for each task, not the percentage of funds spent overall.

It is cumulative throughout the agreement period, which means this number increases with each Progress Report. The only exception is when no request for reimbursement was made for the same period. In this case, the "Percent Complete" would remain the same as on the previous report or be "0" if it's the first Progress Report.

## Summary of accomplishments for this reporting period

If there are no expenditures requested for reimbursement in the quarter, please enter the following or modify it to accurately reflect your situation:

- "Task progress is on schedule as expected"
- "No expenditures, no task work this period"

Otherwise, for every Task Title, provide a brief description of the work accomplished. If tasks were broken out by activity, then you must provide the report by activity. Check your agreement to confirm if tasks were broken out by activity.

## General comment

This field is optional and can be used to enter information you feel is important to share. If you run out of character space in the Summary of accomplishments, expound on accomplishments here.

## Upload supporting documents

Upload copies of WRRED outputs created or published during the reporting period like outreach materials, newsletters, signage, photos, etc. or any other documents that illustrate the work accomplished. The upload feature is found near the bottom of the Progress Report form.

Do not upload financial supporting documents here.

# D. List of required forms

## Equipment Purchase Report

If any piece of equipment or property is purchased in the quarter, the recipient must submit an Equipment Purchase Report (EPR). One EPR must be submitted for each piece of equipment or property purchased.

This form is only for equipment that has a useful life of more than one year and is valued at $5,000 or more. The value can include tax, shipping, and installation costs. In some circumstances, Ecology may request that a recipient submits this form for a purchase that has a useful life of more than one year but a value of less than $5,000, like electronics.

See Section 13 of the EAGL User Manual located in EAGL at the top of any screen for more information to complete and submit the report.

## Form D: Contractor Participation Report

The recipient is responsible for completing the Form D: Contractor Participation Report with each PR/PR. Follow the instructions or follow the links provided on the form.

## Recipient Close Out Report

The recipient must submit this report concurrent with the first PR/PR that zero's out the recipient's agreement budget, or by July 30, 2025, whichever comes first. If the recipient spends out before the unspent process begins and does not intend to seek additional funds, Ecology will process the report and close out the agreement. If the recipient intends on seeking additional funds, Ecology will delay processing the report.

# PART X – PURCHASING AND CONTRACTS

## A. General requirements

The recipient may procure goods and services related to performance under a WRRED agreement. See Administrative Requirements for Recipients of Ecology Grants and Loans[2] *(Yellow Book)*, Part V – Purchasing and Contracts for an overview of procurement requirements for goods and services, public works, and architectural and engineering services.

## B. General principles

The recipient must use procurement practices that are consistent with state laws and rules and, when applicable, federal law. This ensures fair, legal, and open competition. Ecology may ask the recipient to provide documentation that it followed all applicable laws and requirements.

## C. Cost basis of a contract

The cost basis for a contract can be either cost-reimbursement, unit price, fixed-price, time and materials, or any combination of these four methods. No contracts may be written for "cost-plus-a-percentage-of-cost" or "percentage of construction cost."

# PART XI – CLOSE OUT

## A. General information

At agreement expiration or after your agreement budget is spent, all final documents become due, and Ecology approves them before the agreement can be closed. Final documents to submit include:

- Final PR/PR
- Recipient Close Out Report
- Any other required documentation as identified in the agreement

All final documents must be submitted within 45 days of spending out or no later than July 30 in Quarter 8, whichever comes first.

Ecology grant managers will review and, as necessary, work with the recipient to approve the final documents.

After Ecology completes and submits the Ecology Close Out Report, the agreement is officially closed when the status is Agreement Closed.

## B. Completing the Recipient Close Out Report

The Recipient Close Out Report (RCOR) is an Agency-wide form that cannot be edited by individual grant programs. It contains fields that WRRED does not require the Recipient to complete, though the form must be completed by the recipient and submitted concurrent with their final PR/PR. WRRED-specific guidance for completing each section of the RCOR is provided below.

### Summary of accomplishments

Under Summary of Accomplishments, provide a brief description of the work completed with the spent budget.

| Task Title | Summary of Accomplishments* | Actual Outcome* |
|---|---|---|
| Multifamily Outreach Toolkit | The Multifamily Recycling toolkit was updated, translated to Spanish, and distributed to properties in Jungle County, WA.<br><br>Graphics were designed using behavior change principles and recycle right messaging. This graphic was included on the tote bag along with the recycle right guide.<br><br>Property manager checklist and resident letters updated, see attachment for full list of Multifamily Recycling Toolkit.<br><br>412 of 2000 | - 10,000 Multifamily Recycling Toolkits delivered to 90 properties.<br>- 90 property managers consulted about recycling right.<br>- 3 pre-contamination audits completed at multifamily properties.<br><br>198 of 2000 |

Screenshot 5. Example for summarizing accomplishments

## Actual outcome

In this field, paste a summary of the outcome information for each activity from the tracking sheet you created at the onset of the agreement period. If you did not create this tool,

- Refer the Task Expected Outcomes listed in your Agreement to know the outcomes you were expected to track
- Open each progress report to capture the outcomes you summarized each quarter by activity
- Compile the information and provide the summary in this field

## Lessons learned

This field is provided for you to enter information you feel is important to share. If you run out of character space, you can upload additional information using the "Upload Supporting Documents" feature at the bottom of the form.

## List of documents prepared under this agreement.

If documents were core to a task or activity identified in your agreement's scope of work, list them in this field. If they weren't already uploaded in a PR/PR, please also upload copies of each document listed using the "Upload Supporting Documents" feature at the bottom of the form.

## General comment

This field is provided for you to enter information you feel is important to share. If you run out of character space, you can upload additional information using the "Upload Supporting Documents" feature at the bottom of the form.

If you need further assistance in completing the RCOR, please contact your Ecology grant manager. They can email you a copy of detailed instructions, including where to find the form in EAGL.

# APPENDIX A. REPORTING ASSESSMENT POLICY

## Solid Waste Management Grant Programs

Solid Waste Management (SWM) Reporting Assessment Policy was created to potentially reduce the level of financial reporting. Absent this policy, all recipients of Ecology grants and loans are managed at the highest reporting level (standard level). This policy provides SWM grant program recipients and their Ecology grant managers an opportunity for reduced work.

Assessment questions come from a combination of stock assessments provided by the Association of Government Accountants.

## Policy Opt-out Feature

Due to the nature of nonprofit organizations and the built-in renewal process for PPG, all recipients of PPG and nonprofit recipients of WRRED grants are exempt from this policy and required to report at the standard level.

Other SWM grant recipients may choose to decline an assessment and must report at the standard level. SWM grant recipients who opt-in for an assessment and are assessed at a reduced reporting level could experience a reduction in administrative burden when it comes to the frequency of submitting PR/PRs and or uploading documentation to support itemized costs for reimbursement.

## Base Reporting Assessment

SWM grant managers will ask the same assessment questions to determine a base reporting level for each SWM grant recipient. The base level determines the *minimum* level of recipient reporting.

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

Once determined, the level of reporting may be indicated in a formal email that includes a copy of the assessment. This email is also uploaded in EAGL for each agreement. Level of reporting may be reassessed throughout the biennium as circumstances change.

Base Assessment Questions (Yes responses indicate increased reporting)

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 nonprofit 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 Reporting Level is Standard*
*   Answer is yes to all five (5) questions.
*   Answer is yes to at least three (3) of these questions, 1, 2, 4, or 5.
*   Answer is yes to question 5 and the questioned costs were more than $39,999.

*Base Reporting Level is Reduced*
*   Answer is no to all five (5) questions.
*   Answer is yes to question 3 and two (2) of these questions, 1, 2, 4, or 5.
*   Answer is yes to question 5 and the questioned costs were less than $40,000.

## Reporting Levels Defined

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

Reduced reporting – administrative instructions for recipient

1.  When the agreement budget is zero or by July 30, 2025, whichever is sooner, RECIPIENT must submit a final PR/PR and Recipient Close Out Report (RCOR).
2.  When costs incurred in a quarter are less than $4,000, RECIPIENT may opt to combine those costs in the next PR/PR. **Exception**: Final PR/PRs must be submitted when the agreement budget is zero or by July 30, 2025, whichever is sooner.
3.  RECIPIENT is required to itemize costs for reimbursement in the Payment Request form for Quarters [**quarters are determined by the SWM grant manager**].
    o   RECIPIENT may exercise the option to combine costs in the next PR/PR as described in administrative instruction 2 under reduced reporting.
    o   When exercising administrative instruction 2, RECIPIENT must
        ▪   Update the Spending Plan (if applicable) to $0 for that quarter, and update amounts for remaining quarters.
        ▪   Update the Outcomes Data Collection form (if applicable) with zeros for the quarter, shifting outcomes achieved to remaining quarters that correspond with the amount requested for reimbursement.
4.  RECIPIENT is required to submit backup documentation [**flexibility is determined by the SWM grant manager**].
    o   Submitting backup documentation for any other PR/PR is optional.

- o   SWM grant managers are not required to review backup documentation that is not required to be submitted.
- o   RECIPIENT must maintain a file and be able to provide all backup or additional backup documentation upon SWM grant manager request.

<u>Standard reporting – administrative instructions for recipient</u>

1. RECIPIENT must submit a PR/PR for every quarter until the final PR/PR is submitted.
2. RECIPIENT must submit backup documentation with every PR/PR when costs are itemized for reimbursement.
3. RECIPIENT must update the Spending Plan and complete the Outcomes Data Collection table for each quarter and concurrent with submittal of PR/PRs.
4. When the agreement budget is zero or by July 30, 2025, whichever is sooner, RECIPIENT must submit a final PR/PR and Recipient Close Out Report (RCOR).
5. RECIPIENT must maintain a file and be able to provide additional backup documentation upon request.

## Consequences for Recipients' Failure to Comply

Failure to comply with Ecology's written administrative instructions resulting from the reporting 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, reporting can change during the agreement period based on known factors and changes in circumstances. When this happens, the grant manger 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 reporting level. The final level of reporting is determined by the recipient's level after all base reporting assessment questions plus individual grant program questions are answered.

If the recipient was assessed as standard reporting under the base assessment questions, answers to the following questions will not change the reporting level for that recipient. If the base assessment was for reduced reporting, the reporting level becomes standard reporting when the answer to at least two (2) of the additional questions is yes.

## Community Litter Cleanup Program (CLCP)

There are no additional questions for CLCP recipients.

## Ramp Litter Cleanup Program (RLCP)

There are no additional questions for RLCP recipients.

## Local Solid Waste Financial Assistance (LSWFA) (Yes responses support increased reporting)

LSWFA recipients are assessed using these additional questions:

1. The number of tasks in the new agreement are greater than two (2). Y/N
2. Does the recipient have a history of returning funds greater than 5 percent <u>or</u> closing an agreement with a budget balance greater than 5 percent (of the awarded or amended amount)?
3. In the two previous biennia, the recipient did not meet an acceptable level of outcomes under the circumstances. Y/N
4. In the two previous biennia, did the recipient have a PR/PR returned for modifications more than four (4) times in the biennium? Y/N

## Public Participation Grants (PPG)

There are no additional questions for PPG recipients.

## Waste Reduction and Recycling Education (WRRED) (Yes responses support increased reporting)

WRRED recipients are assessed using these additional questions, except nonprofit recipients of WRRED grants are exempt from this policy and required to report at the standard level:

1. The number of tasks in the new agreement are greater than two (2). Y/N
2. In the two previous biennia, did the recipient have a PR/PR returned for modifications more than four (4) times in the biennium? Y/N