

2019 Grant Manual

Recycling and Litter Prevention Program



**Ohio Environmental Protection Agency
Laurie A. Stevenson, Director**

Ohio Environmental Protection Agency

DEFA - Recycling & Litter Prevention Program
Contact Information

Marie Barnett, Grants Administrator
marie.barnett@epa.ohio.gov Phone: 614-705-1019

Travis Limbert, Grants Coordinator
travis.limbert@epa.ohio.gov Phone: 614-644-2827

Katie Courtright, Supervisor
kathleen.courtright@epa.ohio.gov Phone 614-705-1147

Dave Foulkes, Environmental Specialist
david.foulkes@epa.ohio.gov Phone 614-644-3118

Kelsey Heyob, Environmental Specialist
kelsey.heyob@epa.ohio.gov Phone 614-705-1013

50 West Town Street, Suite 700
P.O. Box 1049
Columbus, Ohio 43216-1049

www.recycleohio.gov



Printed on recycled paper

TABLE OF CONTENTS

Introduction	1
Relationship of the Agency to the Grantee	1
Grant Administration	1
Accounting System	1
Audits.....	2
Contract/Sub-Grant Agreement	2
Separate Account	3
Matching Funds	3
Initial Payment	3
Close Out.....	4
Contracts, Purchases and Personnel Policies	4
Equipment and Site Improvement Disposition	4
Site Visits, Assistance and Meetings	5
Advertising Policies	5
Record Keeping	6
Final Reports	6
Timetable of Reports	7
Final Report Forms	8-16

INTRODUCTION

This manual will serve as your guide for managing your Ohio Environmental Protection Agency (Agency) Recycling and Litter Prevention grant. The manual provides specific policies in effect to administer the grant project. Although these policies address all management requirements, the Agency reserves the right to make exceptions to these requirements when circumstances warrant.

As part of all grant agreements, this manual is to be used in conjunction with the following documents:

- Original Application Package
- Grant Agreement (contract)

Any individuals involved with or responsible for managing the grant program should be familiar with the above documents. By signing the grant agreement, the grantee agrees to follow all policies and procedures in this manual.

RELATIONSHIP OF THE AGENCY TO THE GRANTEE

The Grantee is required to designate an authorized official to administer the grant. The Grantee and Cooperating Enterprise are required to sign all documents and is directly responsible for the overall grant. Grantees/Cooperating Enterprises will follow all policies and procedures in this manual, maintain fiscal and program accountability and ensure that no grant expenditures exceed the budgeted amounts. At no time will the total amount of a grant be increased.

GRANT ADMINISTRATION

Accounting System

The Grantee must use an accounting system that complies with “generally accepted accounting principles.” Grantees must record the receipt of funds by type and source, and the expenditure of funds by approved line items. Local government accounting systems that comply with standards and procedures published by Ohio’s state auditor will meet the Agency’s accounting standards. The accounting system must provide a timely and accurate record of transactions and must produce reports that correspond with appropriate receipts and disbursements, the expended and unexpended balance for each line item, invoices, proof of payment (voided checks, credit card statements, Auditor’s reports, etc.) and the total funds expended and the unexpended.

Audits

Grant-related financial records of Grantees/Cooperating Enterprises are subject to Agency, state, and local government audits and must be maintained for a period of **six years** after the grant close out. Audits may result in adjustments to the amount of reimbursement and may require repayment to the Agency of any improperly expended or unaccounted grant funds. In the event of a special audit, the Grantee/Cooperating Enterprise will be responsible for the actual cost of the audit. The Agency, in conjunction with the auditor’s office will determine said

costs. The auditors will require review of, but not limited to, the following information while on official audits:

- All purchase orders, invoices, proof of payment documents and vouchers that involve grant and matching funds
- Listing of equipment purchased with grant and matching funds
- Internal accounting ledgers and/or journals showing grant and matching expenditures
- A chart of accounts that identifies the fund and/or account from which grant and matching expenditures are made
- Copies of all reports required by this grant manual and the grant agreement

The Agency in conjunction with the auditor's office will on an annual basis, perform risk assessments that identify grantees requiring an audit in the coming year. If the original intent of the grant is not satisfied, or if multiple infractions exist, these actions could raise the risk assigned to your organization and result in such an audit. Therefore, it is imperative that all grants be conducted in compliance with grant guidance, all eligible grant expenditures are supported by documentation, and the original intent of the grant is sufficiently satisfied.

Contract/Sub-Grant Agreement

The Grantee is required to enter into a contract with any approved contractor to sub-grant grant funds for eligible purposes, as identified in the approved budget. The Grantee is required to ensure that contracts or sub-grants awarded for the establishment of project-related facilities by a contractor include provisions, guaranteeing the availability of suitable land or property, in or on which to operate. In addition, the Grantee/Cooperating Enterprise must obtain any necessary licenses, permits or inspections required by a governmental agency. The property must be maintained in compliance with all directives given by health, safety or fire officials, resulting from regular or special inspections by those agencies. In addition, the Grantee/Cooperating Enterprise must maintain sufficient insurance on any property for which grant funds have been expended to improve the property site, or to help re-establish the physical plant of the operation in case of fire, theft or other destructive occurrence. The Grantee/Cooperating Enterprise must maintain insurance in an amount sufficient to cover the replacement value of any grant-funded equipment. For Market Development Grants (MDG) and Scrap Tire Grants (STG), this section applies to both the Grantee and the Cooperating Enterprise. MDG and STG Grantees and Cooperating Enterprises shall submit all appropriate financial documents, including shipping and receipt documents, invoices, proof of payment documents, contracts and term reports, prior to the transfer of any grant funds.

Separate Account

ORC Section 3736.03 and the grant agreement require all Grantees to create and maintain a separate account for grant funds received, and cash donations (ORC Section 5733.064) received for their grant program. This separate account must remain open throughout the effective dates of the grant agreement and during whatever additional time is necessary to close out all charges and payments related to the grant.

All interest earned on the separate account must be deposited into the same account. These monies will be used to support recycling or litter prevention projects and may be used any time during or after the effective date of the grant award. Monies generated from any grant-funded activity are not required to be deposited into the separate account. The Grantee must document all cash donations received for the grant project as to the amount, name, and address of the donor, and the date each donation was received. The Grantee must use cash donations received for tax credit purposes pursuant to ORC Section 5733.064 for any purpose identified under ORC Section 3736.02, and in a manner consistent with the same. The donations may be used any time on or after the effective date of the grant award.

Matching Funds

Community and Litter Grant (CLG) projects require a financial contribution equal to twenty five percent (25%) match of the grant award. Matching funds for CLG projects must be a cash contribution directly related to the project. Matching funds will be accounted for in the same manner as grant funds.

Market Development Grant (MDG) projects require a financial contribution equal to one hundred percent (100%) match of the grant award. The match must be a cash contribution or line of credit dedicated to the funded project. Matching funds will be accounted for in the same manner as grant funds.

Scrap Tire Grants (STG) projects require a financial contribution equal to one hundred percent (100%) match of the grant award. The match must be a cash contribution or line of credit dedicated to the funded project. Matching funds will be accounted for in the same manner as grant funds.

Initial Payment

Upon approval of the grant agreement and subject to cash availability, the agency provides each grantee with an initial electronic payment to cover approved grant expenses. In projects involving a Cooperating Enterprise, the initial payment shall be held by the Grantee and not forwarded to the Cooperating Enterprise until all expenditures have been completed and the appropriate invoices and proof of payment is documented. A final payment will be withheld to reconcile the grant account at the end of the grant period or at the close-out of the grant. In addition, any grant-related expenditure made prior to the effective date of the grant agreement will not be reimbursed.

Close Out

Grants will be closed out after the Agency receives and approves the completed final report and has an opportunity to witness the project equipment in operation. The maximum grant period for the CLG is 12 months. The maximum grant period for the MDG and STG is 24 months; however, the Grantee may request to fiscally close out the grant earlier than the deadline established in the executed grant agreement. The close out request requires submission of all Agency grant close out reports. The final report is due no later than 45 days after the grant expiration date.

Following submission and approval of the completed final report, the Agency will authorize a final electronic payment for the grantee. If the initial electronic payment exceeded the total

grant project expenditures, a final payment will not be issued and unused grant funds must be returned to the Agency within 45 days of close out notification, or the Agency may forward the matter to the Ohio Attorney General's Office for collection services. Checks submitted to the Agency should be made payable to "Treasurer, State of Ohio".

For Community and Litter Grants, if the total grant project expenditures equal a lesser amount than what was proposed in the budget, the match may be proportionately reduced. Grantees may calculate the match required for a project with reduced actual costs using the following formula:

Grant + Match = Total Project Cost

Total Project Cost/1.25 = Grant Funds, then Total Project – Grant Funds = Match

For Market Development and Scrap Tire Grants, if the total project expenditures equal a lesser amount than what was proposed in the budget, the dollar amount of the Grantee's match funds required may be reduced to the equivalent of the reduced grant funds.

Close Out Reports are requested in electronic format and may be submitted to recycle@epa.ohio.gov

Contracts, Purchases and Personnel Policies

The Grantee will abide by its local procurement regulations or standards for contract agreements, provided that the standards set forth in the grant agreement are followed. A written agreement is required between the Grantee and the service provider where personal services greater than \$1,000 (one thousand dollars) will be paid for with grant funds. The written agreement will be fully executed before the provision of any service, and a copy will be retained in the Grantee's financial records for audit purposes.

Grant funds will not, without prior written approval from the agency, be obligated after the termination date of the grant. In addition, grant funds will not be used to supplant or to replace any existing funding for grant projects.

Equipment and Site Improvement Disposition

The Grantee/Cooperating Enterprise will maintain records reflecting each purchase made by the Grantee/Cooperating Enterprise for a piece of equipment costing more than \$300 acquired through this grant. During the three-year period from the date the Grantee/Cooperating Enterprise expends \$3,000 or more of grant funds to purchase any equipment or on-site improvements, the Grantee/Cooperating Enterprise will not change the original approved use of the equipment, without obtaining prior written approval of the Agency. The Grantee/Cooperating Enterprise may not transfer the equipment to another party as a gift without cost. The Grantee/Cooperating Enterprise may not sell the equipment acquired through this grant, except with the written approval of the Agency. During the three-year period, the Grantee/Cooperating Enterprise must obtain written approval from the Agency, prior to making any change to the equipment, transferring the equipment to another person or entity, or selling the equipment to another person or entity, if that equipment was obtained through this grant. Any request for such approval must contain the rationale and basis for the proposed change, transfer or sale. If the Grantee/Cooperating Enterprise obtains approval and sells a piece of equipment originally acquired through this Grant during the three-year period,

the Grantee shall reimburse the Agency with the proceeds of the sale up to the amount of the cost of the piece of equipment. The Grantee/Cooperating Enterprise shall submit checks to the Agency made payable to “*Treasurer State of Ohio*”, and send the check to the same address as provided in this manual for the submittal of reports within forty-five (45) days of the approved sale of the equipment in accordance with the following schedule:

1. Within one year of the date the Grantee/Cooperating Enterprise received the equipment or site improvement, the Grantee/Cooperating Enterprise will repay to the Agency **ninety percent (90%)** of any expended funds granted by the Agency for the originally approved purchase of the equipment or site improvement.
2. During the second year after the date the Grantee/Cooperating Enterprise received the equipment or site improvement, the Grantee/Cooperating Enterprise will repay to the Agency **seventy percent (70%)** of any expended funds granted by the Agency for the originally approved purchase of the equipment or site improvement.
3. During the third year after the date the Grantee/Cooperating Enterprise received the equipment or site improvement, the Grantee/Cooperating Enterprise will repay to the Agency **fifty percent (50%)** of any expended funds granted by the Agency for the originally approved purchase of the equipment or site improvement.
4. Following the third year after the date the Grantee/Cooperating Enterprise received the equipment, the Grantee/Cooperating Enterprise may dispose of the equipment in a manner consistent with local regulations and without the approval of the Agency.

Enhanced Assistance: Compliance Check and Site Visits

Prior to release of grant funds, staff will perform a review of Agency records to ensure the Grantee/Cooperating Enterprise is compliant with all applicable rules and regulations. Release of grant funds may be withheld if the compliance check identifies any issue(s).

Agency staff may visit the Grantee/Cooperating Enterprise during the grant period and up to three years thereafter. These site visits will be scheduled in advance and provide the Agency with knowledge of the Grantee's/Cooperating Enterprise's progress toward meeting project objectives.

Enhance Assistance site visits will help ensure compliance with current facility operations; provide the grant recipient with the compliance assistance they may need to operate in an environmentally acceptable manner. In addition, site visits allow staff to observe how grant funded activities promote recycling in Ohio and use this information for programmatic improvements and developing priorities.

Advertising Policies

Content Standards: Content will be in good taste. Nudity, sexual suggestion and derogatory references to persons based on sex, ethnicity, religion, color, creed or handicap are prohibited. Materials will positively reflect on the grantee and the Agency. Content will not threaten individual freedoms. Copyrighted and trademarked material cannot be used without written permission from the owner. A funding credit line (FCL) is a statement that explicitly gives funding credit to certain parties. If no local contribution is made, no funding credit will be given

to the grantee, their local officials or donors. Funding credit may be given to both parties when the Agency and the grantee share the project cost. Any advertising that does not meet the requirements of the Advertising Policy will not be reimbursed.

Note: *The Agency will not reimburse the expenditure of grant funds to support advertising that incorporates quotes or names of any individual(s) running for office or for any political purposes.*

The following funding credit line or Ohio EPA logo will be used on all advertising such as billboards, tabloid-style inserts and standard print journal advertising. This FCL will also appear on other printed materials such as brochures, flyers, newsletters, pamphlets, posters, etc.



Funded by the Ohio Environmental Protection Agency

RECORD KEEPING

Both Grantees/Cooperating Enterprises must maintain adequate records in the format prescribed in this grant manual. Such records must document all allowable expenses. The Grantee will monitor and report project performance for all grant-supported projects to assure that projects are accomplished, and funds are properly expended. Maintaining accurate and comprehensive records is considered part of the grant application review criteria and can positively or negatively affect future grant funding for communities and their Cooperating Enterprises.

FINAL REPORTS

Each grant has a set of final reports that are found at the end of this manual. Grantees/Cooperating Enterprises should make sure that the appropriate grant summary is completed for each individual grant. After the final report is processed and approved, the Agency provides each grantee with a letter stating the effective date of the approved report.

Project Summary

The Project Summary lists the accomplishments of the Grantee/Cooperating Enterprise and updates the status of a grant per the original application. This should include any pre-approved project and budget modifications.

Recycling Activity Materials Summary

The Recycling Activity Materials Summary includes project-specific questions regarding pounds of materials collected for recycling, and pounds of materials utilized in a manufacturing process.

Financial Summary

The Financial Summary identifies expenditures toward approved projects. The Agency approves or disapproves expenditures according to the approved grant budget. The official

project budget figures can be found in the Grantee's original grant application. All final report documents must be submitted even if no expenses were incurred during a particular year.

Equipment Summary

The Cooperating Enterprise must provide to the Grantee an Equipment Summary report that lists each piece of equipment purchased in full, or in part, with grant funds that costs \$300 or more. The Grantee will submit the Equipment Summary included in the final report to Ohio EPA.

Advertising Attachments

Grantees must attach copies of all grant-funded advertisement, including printed advertising/material and scripts of all radio advertising, in the final report.

TIMETABLE OF REPORTS

Grant/Final Reports	Reporting Period Covered	Due Dates
Community and Litter Grant	July 1, 2019 – June 30, 2020	Aug. 15, 2020
Market Development Grant & Scrap Tire Grant	July 1, 2019 – June 30, 2021	Aug. 15, 2021

Grantees may submit Final Reports electronically to recycle@epa.ohio.gov or a via mail to:

Ohio Environmental Protection Agency

DEFA - Recycling & Litter Prevention
 Attention: Kelsey Heyob
 50 West Town Street, Suite 700
 P.O. Box 1049
 Columbus, Ohio 43216-1049



Close Out Report

Grantee:
 Cooperating Enterprise:
 Grant Year: 2019
 Grant Type:
 Fund Number (Ohio EPA Only):
 Date Submitted:

Total Grant Award	=	\$
Total Match Committed	=	\$
Initial Grant Payment	=	\$
Total Grant Expended	=	\$
Total Match Expended	=	\$
Total Project Cost	=	\$
Amount Due to Grantee	=	\$
Amount Due to Ohio EPA	=	\$

Check One:

- According to the records submitted and attached, the grantee is eligible to receive and should be issued payment in the amount of \$_____**

- According to the records submitted and attached, the grantee is to issue payment to Ohio EPA made payable to Treasurer State of Ohio in the amount of \$_____**

Proof of payments and invoices are required (e.g. credit card, copy of canceled check, P.O.) Grantees will list each piece of equipment purchased in full, or in part, with grant funds that costs \$300 or more. Include the listed information for each piece of equipment. Attach proof of payments and invoices.

Final Report Submitted by Signature Date

(Ohio EPA Only) Grants Administrator Signature Date

(Ohio EPA Only) Environmental Supervisor Signature Date

FINAL REPORT
Project Summary Form

Grantee: _____ Date: _____

Cooperating Enterprise: _____

Grant Type: _____

Project Goals and Objectives:

Market Impact: Since your grant award, describe the progress, success, failure, etc., related to your project. Describe how it may have impacted material markets in Ohio.

Location and Physical Plant: Describe any site improvements made during this reporting period. List any equipment purchased or installed. Describe any project-related problems with the location or facility.

Project Marketing: Describe any activities that have been conducted to promote or increase the awareness of the project.

Additional Information or Comments: If needed, please use this space to record any additional information that is pertinent to the project or provide comments or suggestions.

**FINAL REPORT
Project Summary Form**

Grantee: _____ Date: _____

Cooperating Enterprise: _____

Grant Type: _____

Advertisement:

Type of Advertising	Number of Units	Cost Per Unit	Match Funds Spent	Grant Funds Spent	Total Cost
Brochure					
Newspaper					
Posters					
Radio					
Other:					
Totals					

Please attach copies to the Final Report of all grant-funded advertisement, including printed advertising/material and scripts of all radio advertising.

FINAL REPORT
Materials Summary Form

Grantee: _____ Date: _____

Cooperating Enterprise: _____

Grant Type: _____

Materials Collected	Tons Collected <i>(through the grant-funded activity)</i>
Appliances	
Carpet & Padding	
Commingled Material	
Construction & Demolition Debris	
Deconstruction Material	
Glass	
Electronics	
Mattresses	
Metals – Ferrous	
Metals – Non-Ferrous	
Organic (food) Material	
Paint	
Paper - Cardboard (OCC)	
Paper – All Other	
Plastics	
Scrap Tires	
Wood – non-C&DD material	
Other -	
Other -	
Totals:	

**FINAL REPORT
Financial Summary Form**

Grantee: _____ Date: _____

Cooperating Enterprise: _____

Grant Type: _____

Project Type:		Grant Funds Spent:	Match Funds Spent:
Equipment: <i>(provide brief description of purchases)</i>		\$	\$
Other: <i>(provide brief description of purchases)</i>		\$	\$
Personal Services Contract: <i>(provide brief description of services)</i>		\$	\$
Total		\$	\$

FINAL REPORT Equipment Summary Form

Grantee: _____ Date: _____

Cooperating Enterprise: _____

Grant Type: _____

All grantees will list each piece of equipment purchased in full, or in part, with grant funds that costs \$300 or more. Include the listed information for each piece of equipment. Attach proof of payments and invoices.

Equipment Type:		Model Year:
Model #:		Delivery Date:
Serial / ID #:		Grant Year Obtained:
Equipment Location:		
Total Grant Spent: \$	Total Match Spent: \$	Total Spent: \$
Equipment Type:		Model Year:
Model #:		Delivery Date:
Serial / ID #:		Grant Year Obtained:
Equipment Location:		
Total Grant Spent: \$	Total Match Spent: \$	Total Spent: \$
Equipment Type:		Model Year:
Model #:		Delivery Date:
Serial / ID #:		Grant Year Obtained:
Equipment Location:		
Total Grant Spent: \$	Total Match Spent: \$	Total Spent: \$
Equipment Type:		Model Year:
Model #:		Delivery Date:
Serial / ID #:		Grant Year Obtained:
Equipment Location:		
Total Grant Spent: \$	Total Match Spent: \$	Total Spent: \$

DATA SUMMARY FORM (CLG GRANT ONLY)

Grantee:

County:

--

--

Cleanup Areas (Indicate total number)

Roadsides		Parks	
Playgrounds		Waterways	
Streets/sidewalks		Public land/vacant lots	

Cleanups Summary (Indicate total amounts)

Miles of streets/highways/trails		Number of junk cars	
Miles of rivers/lakes/shore		Number of tires collected	
Number of illegal dumpsites		Pounds of recyclables collected	
Bags of litter/debris collected		Number of communities	

Media/Education Summary (Indicate total number)

Ads purchased with grant funds		Number of education presentations	
Ads donated		Number of education participants	
News articles		Facebook/Twitter hits	
Printed materials			

Cleanup Volunteers/Community Investment Summary (Indicate total number or cash value)

Number of volunteers		Donated goods/services/contributions	
Number of hours worked		Government/department/agency costs	
Total value of volunteer hours using federal minimum wage of \$7.25/hr.			

MATERIALS SUMMARY FORM (MARKET DEVELOPMENT ONLY)

Grantee: _____ Date: _____

Cooperating Enterprise: _____

Grant Type: _____

<i>Material Specification</i>	<i>Tons of Material Per Year</i>	<i>Percent Increase in Operation's Use of Material</i>
	TPY	%

Number of jobs created: _____

Number of jobs retained: _____

MATERIALS SUMMARY FORM (SCRAP TIRE GRANT ONLY)

Grantee: _____ Date: _____

Cooperating Enterprise: _____

Grant Type: _____

Scrap Tire Material Specification	Tons of Material Per Year	Percent Increase in Operation's Use of Material
	TPY	%

Number of jobs created: _____

Number of jobs retained: _____