

DEPARTMENT OF  
**ECOLOGY**  
State of Washington

# **Funding Program Guidelines Local Solid Waste Financial Assistance**

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**2021-2023 Biennium**

Solid Waste Management program  
Washington State Department of Ecology  
Olympia, Washington  
May 2021, Publication 21-07-016

## Publication Information

This document is available on the Department of Ecology's website at:  
<https://apps.ecology.wa.gov/publications/summarypages/2107016.html>

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<sup>1</sup> [www.ecology.wa.gov/contact](http://www.ecology.wa.gov/contact)

# Department of Ecology's Regional Offices

## Map of Counties Served



<b>Southwest Region</b> 360-407-6300	<b>Northwest Region</b> 425-649-7000	<b>Central Region</b> 509-575-2490	<b>Eastern Region</b> 509-329-3400
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Region	Counties served	Mailing Address	Phone
<b>Southwest</b>	Clallam, Clark, Cowlitz, Grays Harbor, Jefferson, Mason, Lewis, Pacific, Pierce, Skamania, Thurston, Wahkiakum	PO Box 47775 Olympia, WA 98504	360-407-6300
<b>Northwest</b>	Island, King, Kitsap, San Juan, Skagit, Snohomish, Whatcom	PO Box 330316 Shoreline, WA 98133	206-594-0000
<b>Central</b>	Benton, Chelan, Douglas, Kittitas, Klickitat, Okanogan, Yakima	1250 W Alder St Union Gap, WA 98903	509-575-2490
<b>Eastern</b>	Adams, Asotin, Columbia, Ferry, Franklin, Garfield, Grant, Lincoln, Pend Oreille, Spokane, Stevens, Walla Walla, Whitman	4601 N Monroe Spokane, WA 99205	509-329-3400
<b>Headquarters</b>	Across Washington	PO Box 46700 Olympia, WA 98504	360-407-6000



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# About Local Solid Waste Financial Assistance

## Our mission and goals

Local Solid Waste Financial Assistance (LSWFA) supports local government implementation of eligible projects identified in their local solid and hazardous waste management plans, and local enforcement of solid waste handling laws and rules. LSWFA requirements are balanced with Ecology's statewide goals and with local needs. Goals in the State Solid and Hazardous Waste Plan may direct local plans, though local plans determine the use of LSWFA in the jurisdiction.

## 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 LSWFA and Ecology's Administration of Grants and Loans (EAGL) online system.

### Grants Technical Assistance Lead

The grants lead is the main contact for Ecology grant managers, providing assistance with EAGL and supports the fund coordinator with LSWFA eligibility questions.

### Statewide Fund Coordinator

The fund coordinator oversees administration of the LSWFA program. This position was established to ensure consistency throughout the state. The fund coordinator works with Ecology grant managers and the LSWFA work group on developing program policy, is the main point of contact for LSWFA eligibility questions, and supports the grants technical assistance lead with EAGL.

### SWM Management Liaison

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

### LSWFA Work Group

Communication and feedback between local governments and Ecology is a vital component of the LSWFA process. The LSWFA work group is comprised of eight local government representatives. Four of the members are from Eastern Washington and four are from Western Washington. The members represent recipients of solid waste enforcement (SWE) and planning and implementation (P&I) financial assistance.

## How to Contact Us

Grant Managers	Ecology Address	Ecology Phone/Email	Assigned jurisdiction
Canming Xiao	Central Regional Office 1250 West Alder Street Union Gap WA 98903	509-575-2842 <a href="mailto:canming.xiao@ecy.wa.gov">canming.xiao@ecy.wa.gov</a>	Benton, Chelan, Douglas, Kittitas, Klickitat, Okanogan, Yakima
Paula Wesch	Eastern Regional Office 4601 N Monroe Spokane WA 99205	509-329-3545 <a href="mailto:paula.wesch@ecy.wa.gov">paula.wesch@ecy.wa.gov</a>	Adams, Asotin, Ferry, Garfield, Grant, Lincoln, Pend Oreille, Stevens
Steven Gimpel	Eastern Regional Office 4601 N Monroe Spokane WA 99205	509-329-3592 <a href="mailto:steven.gimpel@ecy.wa.gov">steven.gimpel@ecy.wa.gov</a>	Columbia, Franklin, Spokane, Walla Walla, Whitman
Diana Wadley	Northwest Regional Office PO Box 330316 Shoreline WA 98133-9716	425-429-4639 <a href="mailto:diana.wadley@ecy.wa.gov">diana.wadley@ecy.wa.gov</a>	King and San Juan counties, plus some King County cities (including Seattle)
Carolyn Bowie	Northwest Regional Office PO Box 330316 Shoreline WA 98133-9716	425-698-3722 <a href="mailto:carolyn.bowie@ecy.wa.gov">carolyn.bowie@ecy.wa.gov</a>	Island, Kitsap, Skagit, Snohomish, and Whatcom counties, plus some cities in King County
David Pater	Southwest Regional Office PO BOX 47775 Olympia WA 98504	360-790-5771 <a href="mailto:david.pater@ecy.wa.gov">david.pater@ecy.wa.gov</a>	Clallam, Cowlitz, Grays Harbor, Jefferson, Pierce, Skamania
Olivia Carros	Southwest Regional Office PO BOX 47775 Olympia WA 98504	360-995-3980 <a href="mailto:olivia.carros@ecy.wa.gov">olivia.carros@ecy.wa.gov</a>	Clark, Lewis, Mason, Pacific, Thurston, Wahkiakum
Others	Ecology Address	Ecology Phone/email	LSWFA Program Assistance
Tami Ramsey, Fund Coordinator	Headquarters PO BOX 37600 Olympia WA 98503	360-628-4261 <a href="mailto:tami.ramsey@ecy.wa.gov">tami.ramsey@ecy.wa.gov</a>	<ul style="list-style-type: none"> <li>• Policy lead</li> <li>• LSWFA eligibility</li> <li>• Backup to Ecology grant managers</li> </ul>
Kelsey Dunne, Grants Technical Assistance Lead	Headquarters PO BOX 37600 Olympia WA 98503	360-485-8378 <a href="mailto:kelsey.dunne@ecy.wa.gov">kelsey.dunne@ecy.wa.gov</a>	<ul style="list-style-type: none"> <li>• EAGL technical assistance lead</li> <li>• Backup to Ecology grant managers</li> </ul>
Peter Lyon, Management Liaison	Headquarters PO BOX 37600 Olympia WA 98503	360-407-6381 <a href="mailto:peter.lyon@ecy.wa.gov">peter.lyon@ecy.wa.gov</a>	<ul style="list-style-type: none"> <li>• Management oversight</li> </ul>

## 2021-2023 Proposed Timeline

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

Table 1 LSWFA Schedule for 2021-2023

Date	Action
January 1, 2021	Pre-application and consultations with potential recipients begins.
May 25, 2021 8:00 a.m.	Application period opens; guidelines, FINAL allocation table, and application forms available. Ecology can begin processing applications and drafting agreements. Recipient technical assistance available.
June 22, 2021 5:00 p.m.	Application period closes. Formal offers may begin after the State Budget is passed and before July 1, 2021; however, the earliest Ecology will sign an agreement is July 1, 2021.
July 1, 2021	Agreement effective date, regardless of Ecology signature date.
July 1, 2021 - Ecology Signature Date on Agreement	Costs incurred in this time frame are called “retroactive costs” and should be requested for reimbursement in the first PRPR submitted.
Due dates: October 30 January 30 April 30 July 30	Submit a complete payment request and progress report (PRPR) package at least quarterly, including updating the Spending Plan and Outcomes Data Collection form. Quarters 1 & 5 run from July through September; quarters 2 & 6 run from October through December; quarters 3 & 7 run from January through March; and quarters 4 & 8 runs March through June.
October 1- December 31, 2022	Ecology and recipient work together to confirm budget needs for remainder of biennium (unspent process).
March 15, 2023	Target date to initiate last amendments.
May 1, 2023	Target date for Ecology to receive all recipient signed amendments.
June 30, 2023	Agreement end date.
July 30, 2023	Recipient due date for all close out information, including a final PRPR.

# PART I - INTRODUCTION

## A. Purpose statement

The purpose of Local Solid Waste Financial Assistance (LSWFA):

- Provide financial assistance for local solid and hazardous waste planning.
- Promote regional solutions and intergovernmental cooperation for eligible projects.
- Promote efficient implementation of programs contained in local solid and hazardous waste management plans.
- Help local governments prevent or minimize environmental contamination through compliance with state and local solid and hazardous waste laws and rules.

## B. Governing laws and rules

The Washington Legislature authorized a financial assistance program under the Model Toxics Control Act, [Chapter 70A.305 RCW](#)<sup>2</sup> to support local solid and hazardous waste planning and implementation, and to enforce rules and regulations governing solid waste handling. The Department of Ecology administers LSWFA through [chapter 173-312 Washington Administrative Code \(WAC\)](#)<sup>3</sup>.

### List of governing laws

- [RCW 82.21.030, Pollution tax](#)<sup>4</sup>
- [Chapter 70A.305.180 RCW, Model toxics control operating account](#)<sup>5</sup>
- [Chapter 70A.205 RCW, Solid Waste Management – reduction and recycling](#)<sup>6</sup>
- [Chapter 70A.214 RCW, Waste Reduction](#)<sup>7</sup>
- [Chapter 70A.224 RCW, Used Oil Recycling](#)<sup>8</sup>
- [Chapter 70A.300 RCW, Hazardous Waste Management](#)<sup>9</sup>

## C. Definitions

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

**AGREEMENT** - The formal contractual document that details the terms and conditions, scope of work, budget, and schedule for LSWFA-funded projects. The agreement is executed by the authorized signatories of the recipient and Ecology.

**AGREEMENT EFFECTIVE DATE** - The start date of an agreement and the earliest date on which eligible costs can be incurred.

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<sup>2</sup> <https://app.leg.wa.gov/rcw/default.aspx?cite=70A.305>

<sup>3</sup> <http://apps.leg.wa.gov/WAC/default.aspx?cite=173-312>

<sup>4</sup> <http://apps.leg.wa.gov/RCW/default.aspx?cite=82.21.030>

<sup>5</sup> <https://apps.leg.wa.gov/rcw/default.aspx?cite=70A.305.180>

<sup>6</sup> <https://apps.leg.wa.gov/rcw/default.aspx?cite=70A.205>

<sup>7</sup> <https://app.leg.wa.gov/rcw/default.aspx?cite=70A.214>

<sup>8</sup> <https://app.leg.wa.gov/rcw/default.aspx?cite=70A.224>

<sup>9</sup> <https://app.leg.wa.gov/rcw/default.aspx?cite=70A.300>

**AGREEMENT EXPIRATION DATE** - The end date of an agreement and the latest date on which eligible costs can be incurred.

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

**AMENDMENT** - An agreement that details changes or revisions to the terms and conditions of the original agreement that is signed by the authorized signatures of both Ecology and the recipient.

**APPLICATION** - Forms prepared by Ecology in EAGL and used by a local government to request financial assistance from the LSWFA program.

**AUTHORIZED ENCAMPMENT** - A publicly owned site specifically established as a place for people experiencing homelessness to camp.

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

**AUTHORIZED SIGNATORY** - A person or persons designated to sign an agreement and any Amendments on behalf of the recipient and Ecology.

**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 project.

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

**CAPITAL EXPENDITURE** - Funds spent to acquire capital assets or make additions, improvements, modifications, replacements, rearrangements, reinstallations, renovations, or alterations to capital assets that materially increase their value or useful life. Examples of assets include a building, equipment, vehicle, and machinery. Capital purchases must increase LSWFA project productivity, and require prior written approval before purchase.

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

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

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

**CONDITIONALLY EXEMPT SMALL QUANTITY GENERATOR (CESQG)** - A dangerous waste generator whose dangerous wastes are conditionally exempt from regulation under chapter [70A.300 RCW](#), Hazardous waste management, solely because the waste is generated or accumulated in quantities below the threshold for regulation and meets the conditions prescribed in WAC [173-303-070](#).

**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.

**COORDINATION** - Notification by the local government (with primary responsibility for maintaining the local solid waste plan) that financial assistance is available for solid and hazardous waste planning and implementation. Notification must be provided to local solid waste plan signatories and the local government that is required by chapter 70A.300 RCW to adopt the local hazardous waste plan. Coordination also includes consultation between local governments where the partnering local government requests financial assistance through a primary responsible local government for the purposes of determining its project eligibility and a budget.

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

**CULTURAL RESOURCES** - Physical evidence or place of historical human activity: A site, object, landscape, structure landscape, or natural feature of significance to a group of people traditionally associated with it.

**CULTURAL RESOURCES REVIEW** - May be required through the State Environmental Policy Act (SEPA), under Section 106 of the Federal National Historic Preservation Act (for federally funded agreements), or Washington State Executive Order 05-05 Archeological and Cultural Resources.

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

**DEOBLIGATED FUNDS** - For the purposes of this funding program, deobligated funds are the downward adjustment of a previously incurred obligation and may be reobligated within the same period of original appropriation.

**DISPOSAL SITE** - A facility where final or interim disposal of solid waste occurs, including a transfer station, but not a drop box facility.

**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** - A form for collecting information about the completion of tasks or deliverables.

**ELIGIBLE APPLICANT** - The local government with primary responsibility for maintaining its Ecology-approved local solid waste plan, or a partnering local government that complies with coordination requirements, or a jurisdictional health department authorized to adopt the local solid waste ordinance.

**ELIGIBLE COST** - Costs that meet 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.

**HOUSEHOLD HAZARDOUS WASTE (HHW)** - Any waste that exhibits the properties of dangerous wastes but is exempt from regulation under chapter 70A.300 RCW, Hazardous waste management, solely because the waste is generated by households. Household hazardous waste can also include other solid waste identified in the local hazardous waste management plan prepared pursuant to chapter 70A.300 RCW, Hazardous waste management.

**INTERLOCAL AGREEMENT** - An agreement between the recipient and another government developed in accordance with chapter 39.34 RCW, Interlocal Cooperation Act.

**INDEPENDENT CITY** - A city that has an Ecology-approved local solid waste plan, used a solid waste advisory committee (SWAC) or a SWAC-like entity to develop the plan, and can provide for solid waste disposal sites wholly within its jurisdiction.

**INDIRECT RATE** - Also known as overhead, the LSWFA approved rate is 30 percent.

**IN-KIND INTERLOCAL** - In-kind contributions made to a project by another government under a valid written agreement between the recipient and the other government that details the work to be accomplished, the goods and services to be provided, and the value thereof. If the recipient reimburses another governmental entity for any portion of its contributions, the amount paid to the other entity is not an interlocal cost. It is a cash expenditure on the part of the recipient. Only the non-reimbursed portion of the other governmental entity's contributions is an interlocal cost.

**JURISDICTION** - A specific geographic area containing a defined legal authority, such as the boundary lines of a county or city.

**JURISDICTIONAL HEALTH DEPARTMENT** - A city, county, city-county or district public health department.

**LANDFILL** - A disposal facility or part of a facility at which solid waste is permanently placed in or on land including facilities that use solid waste as a component of fill.

**LOBBYING** - The act of influencing or attempting to influence an officer or employer of a government agency, a legislator, an officer or employee of the Legislature, or an employee of an individual legislator who has the power to influence funding decisions. Lobbying does not include an organization's act of communicating with its members, unless the communication is for influencing legislation.

**LOCAL CONTRIBUTION** - The required portion of project-eligible costs borne by the recipient as cash expenditures or in-kind interlocal 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.

**MODERATE RISK WASTE (MRW)** - Solid waste that is limited to conditionally exempt small quantity generator (CESQG) waste and household hazardous waste (HHW) as defined in Chapter 173-350 WAC.

**MUNICIPAL COMPOSTING** - Composting activities that use a collection system (e.g. self-haul), consistent with chapter 173-350 WAC. These activities turn urban waste such as yard debris, woody debris, and food waste into a valuable soil amendment. Home composting and agricultural composting are not municipal composting.

**ORGANIC MATERIALS** - 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. A quantitative and measurable change as a result of doing the task.

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

**PRIMARY LOCAL GOVERNMENT** - A local government with a department-approved solid waste plan that was developed using a solid waste advisory committee (SWAC), and has the primary responsibility for maintaining that plan, excluding an Independent City.

**PARTNERING LOCAL GOVERNMENT** - A local government that does not have the primary responsibility for maintaining the local solid waste plan, and may become an eligible applicant for solid and hazardous waste planning and implementation financial assistance through coordination with a primary responsible local government.

**PAYMENT REQUEST PROGRESS REPORT (PRPR)** - 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 project, or earned only as a result of the project during the period of the agreement period. Project income must be reported, and unless expressed otherwise in the agreement, must be credited to the LSWFA project budget on the next payment request.

**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** - A local government that is awarded local solid waste financial assistance.

**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.

**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.

**REOBLIGATED FUNDS** - For the purposes of this funding program, reobligated funds are the obligation of deobligated funds for a different authorized use.

**RELINQUISHED FUNDS** - For the purposes of this funding program, relinquished funds are funds that the Primary, through coordination, releases to another government before submitting their application.

**RESTORATION** - The process of assisting the recovery of an ecosystem that has been degraded, damaged, or destroyed.

**RETROACTIVE COSTS** - Project-eligible costs incurred between the effective start date of the agreement and before the department signature date on the agreement.

**RISK ASSESSMENT** - An ongoing process that includes identifying and analyzing risks to achieving Ecology objectives, and deciding how to respond.

**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 ADVISORY COMMITTEE (SWAC)** - The local committee as described in and required by RCW [70A.205.110](#); and the SWAC-like entity required by the department for independent cities requesting financial assistance. The SWAC or SWAC-like entity must actively assist and participate in development of a new plan, and the development or maintenance of existing plans in order to meet financial assistance eligibility requirements under this chapter.

**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 AND OUTCOMES DATA COLLECTION FORM** - A data-entry form in EAGL used to report the recipient's expected and actual spending by quarter. It also includes a table that identifies the agreed upon measures and expected outcomes, and is used by the recipient to report actual outcomes 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.

**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).

**SWAC-LIKE ENTITY** - See SOLID WASTE ADVISORY COMMITTEE.

**TASK INCOME** - See Project Income.

**TASK OUTCOME** - A quantitative and measurable change as a result of doing the task.

**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 share of 75 percent and the recipient's share of 25 percent.

**UNREQUESTED FUNDS** - For the purposes of this funding program, unrequested funds are money that the Primary does not request and did not relinquish. If another government, through coordination, does not apply for the full amount relinquished to them by the Primary, these funds may be returned to the Primary before treated as unrequested funds.

**UNSHELTERED HOMELESS** - Someone who lives in a place that is not meant for human habitation, such as those sleeping under bridges, on sidewalks, or in unauthorized encampments.

**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.

## D. Acronyms and abbreviations

AD	Anaerobic Digestion
BMP	Best Management Practice
CESQG	Conditionally Exempt Small Quantity Generator
Department	Washington State Department of Ecology
Ecology	Washington State Department of Ecology
EAGL	Ecology Administration of Grants and Loans online system
ECOR	Ecology Close Out Report
ECY	Washington State Department of Ecology
EPP	Environmentally Preferable Purchasing
EPR	Equipment Purchase Report
GAAP	Generally Accepted Accounting Practices
HHW	Household Hazardous Waste
HWMP	Hazardous Waste Management Plan

IMP	Planning and Implementation grants
IPM	Integrated Pest Management
JHD	Jurisdictional Health Department
LSWFA	Local Solid Waste Financial Assistance
LSWFA WG	Local Solid Waste Financial Assistance Work Group
MRW	Moderate Risk Waste
MTCA	Model Toxics Control Act
OFM	Office of Financial Management
OMB	Office of Management and Budget
ORG	Organics
P&I	Planning and Implementation grants
PBT	Persistent Bio-accumulative Toxins
PDF	Personal Data File
PLG	Partnering Local Government
PMT	Program Management Team - SWM
Primary	Local government with primary responsibility
PRPR	Payment Request Progress Report
RCOR	Recipient Close Out Report
RCW	Revised Code of Washington
SQG	Small Quantity Generator
SWAC	Solid Waste Advisory Committee
SWE	Solid Waste Enforcement grants
SWM	Solid Waste Management program
SWMP	Local Solid Waste Management Plan
WAC	Washington Administrative Code
WRR	Waste Reduction and Recycling

## PART II – PROGRAM ADMINISTRATION

The LSWFA 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

These LSWFA Guidelines describe program requirements and the application process. They are written to facilitate understanding and compliance with chapter 173-312 WAC. All recipients of financial assistance 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 these Guidelines and with the [Administrative Requirements for Recipients of Ecology Grants and Loans](#)<sup>13</sup> (*Yellow Book*) published at the time an agreement is offered by Ecology.

### 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 LSWFA 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 is registered in EAGL through [Secure Access Washington \(SAW\)](#)<sup>10</sup>.

### 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](#)<sup>11</sup> 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](mailto: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](#)<sup>12</sup> to see if your organization already received one.

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<sup>10</sup> <https://secureaccess.wa.gov/myAccess/saw/select.do>

<sup>11</sup> <https://ofm.wa.gov/it-systems/statewide-vendorpayee-services>

<sup>12</sup> <https://ofm.wa.gov/it-systems/accounting-systems/statewide-vendorpayee-services/statewide-vendor-number-lookup>

## 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 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 in order for you to receive payment. If your SWV number changes, contact your Ecology grant manager immediately with the new number. They will request an update from the EAGL System Administrator and notify the Ecology fiscal 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 experience difficulty receiving payments, confirm your organization's statewide vendor number in EAGL is correct.

### D. Funding source and availability

Financial assistance is awarded within the limits of available funds through legislative allocation. Ecology's obligation to reimburse eligible costs is contingent upon the availability of funds. The legislature has the authority to identify alternative fund sources.

Funding for Local Solid Waste Financial Assistance (LSWFA) comes from the Model Toxics Control Operating Account (MTCA-Op). This law, passed by voter initiative in 1988, established a tax on first possession of hazardous substances in the state, RCW 82.21.030.

### Insufficient funds to fulfill terms

Ecology's ability to make payments is contingent on availability of funding. In the event funding from state sources is withdrawn, reduced, or limited in any way after an LSWFA agreement is signed by Ecology, and prior to completion or expiration date of that agreement, Ecology may need to terminate the agreement, in whole or part. Ecology may renegotiate the agreement, subject to new funding limitations or conditions. Ecology may also elect to suspend performance of the agreement until Ecology determines the funding insufficiency is resolved.

Ecology will make a reasonable attempt to provide notification 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. In no event will Ecology's reimbursement exceed Ecology's total responsibility under the agreement and any amendments.

## E. Formula for allocating state financial assistance

Ecology generates a DRAFT table of allocated amounts based on the Governor's proposed budget, and publishes a FINAL table as an appendix in these guidelines shortly after the final State budget is approved. Calculations for available financial assistance is based on funding allocated by the legislature for LSWFA each biennium using the following parameters.

### Solid Waste Enforcement

A portion not less than 20 percent of the total allocation each biennium or a minimum of \$2.925 million, whichever is greater, is set aside for the enforcement of rules and regulations adopted under chapter [70A.205 RCW](#)<sup>6</sup>.

### Planning & Implementation

When the overall allocation for LSWFA is above \$14.625 million in a biennium, 80 percent of the total allocation is for eligible planning and implementation projects. Below \$14.625 million, planning and implementation will receive an amount minus the \$2.925 million minimum set aside for solid waste enforcement.

## F. Local contribution requirements

Recipients of local solid waste financial assistance are required to contribute 25 percent of project-eligible costs as cash expenditures and/or in-kind interlocal. The applicant's intent to use in-kind interlocal must 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 project-eligible costs. Expenditures may include direct costs of goods and services, recipient salaries and benefits, indirect costs, and payments made to contractors.

The expenses must be:

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

### In-Kind Interlocal

In-kind Interlocal contributions are those made to a project by another government under a valid written agreement.

The written agreement must be between the recipient and another local government, and detail the work to be accomplished, the goods and services to be provided, and the value of those contributions. If the recipient reimburses the other governmental entity for any portion of its contributions, the amount paid to the other entity is not an interlocal cost; it is a cash expenditure on the part of the recipient. Only the portion of the other governmental entity's contribution that is not reimbursed is considered an interlocal cost.

Additional conditions include:

- Ecology has reviewed the written interlocal agreement and confirmed the contributions are eligible.
- The costs would be deemed eligible if incurred by the recipient.
- The recipient must not reimburse the other government for its contribution.
- The costs are reported as in-kind interlocal on in the Payment Request form in EAGL.
- Expenditures are documented in the same way as costs incurred by the recipient.

## Contributions Not Eligible

- Costs used as in-kind 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 local contribution that is paid from another LSWFA agreement is ineligible.
- Other Ecology grant funds. The recipient should check funding program guidelines or their Ecology contact person and the agency issuing the other grant to ensure funds from the other grant can be used as a local contribution for the LSWFA agreement.
- Income received from penalties and fines cannot be used as local contribution.
- Revenue or project income generated from the project cannot be used as local contribution unless expressly permitted in the agreement. Ecology expects revenue or project income will be itemized as a credit in the Payment Request unless expressed otherwise in the agreement.
- Services or property financed by income earned by contractors, unless expressly permitted in the agreement.

## G. Indirect rate

Starting in 2021-23, the standard indirect rate for LSWFA increased from 25 to 30 percent. Indirect, also known as overhead, is a rate applied to recipient salaries and benefits charged to the task. This rate is eligible to cover business or operational costs incurred for a common purpose and not directly connected with a specific project, such as utilities for a facility used for both project-related and non-project-related recipient activities.

[Administrative Requirements for Recipients of Ecology Grants and Loans](https://apps.ecology.wa.gov/publications/SummaryPages/1701004.html)<sup>13</sup> (*Yellow Book*) does not require proof of federal indirect rate for state grant recipients as a precursor to receiving the 30 percent indirect rate.

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<sup>13</sup> <https://apps.ecology.wa.gov/publications/SummaryPages/1701004.html>

## H. Period of performance

Financial assistance is obligated for a maximum period of two (2) years. This period aligns with the state fiscal biennium that begins July 1 of an odd-numbered year and ends two (2) years later on June 30.

## I. Lifecycle of an agreement in EAGL

The lifecycle of an agreement in EAGL includes:

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

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

## J. 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](#)<sup>14</sup>.

## K. Tips for success

General requirements for all Ecology-administered grants can be reviewed in the [Administrative Requirements for Recipients of Ecology Grants and Loans](#)<sup>13</sup> (*Yellow Book*). The LSWFA *Guidelines* may be more stringent in specific areas, and will take precedence in LSWFA-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.
- Follow all the terms of your agreement.
- Refer to these *Guidelines*.
- Refer to Ecology's [Administrative Requirements for Recipients of Ecology Grants and Loans](#)<sup>13</sup> (*Yellow Book*) for contracting and procurement procedures.
- Create reminders for reporting deadlines and important dates.

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<sup>14</sup> <https://ecology.wa.gov/Waste-Toxics/Reducing-recycling-waste/Environmentally-preferable-purchasing>

- Attend and participate in Ecology provided trainings.
- Create and maintain a LSWFA file.

## **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 retention period.

## **Paper records**

Required LSWFA file contents include:

- Signed agreement and all signed amendments.
- Signed interlocal agreements and 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).
- Correspondence (maintain an electronic file for electronic correspondence).

Engineering documentation and field inspection reports of all construction work.

## **Electronic records**

Electronic records have the same record retention as their paper versions.

## **Outputs or publications - Ecology acknowledgement or use of logo**

When a recipient produces material for public distribution such as reports, technical documents, education/outreach, publications, or brochures using funding from Ecology, the recipient is required to **acknowledge** in those materials, Ecology's support. An example acknowledgement could be something like, "Support provided in part by the Washington State Department of Ecology." Ecology's logo should not be used without Ecology prior approval.

## **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.

## PART III – PROGRAM CHANGES

A summary of changes to the Local Solid Waste Financial Assistance program from the previous biennium are listed here.

### A. Ecology's budget request

Ecology requested additional funding in the 2021-23 Biennium to support local governments combat solid, hazardous, and infectious waste generated by homeless encampments and implement the local recycling contamination reduction and outreach plans.

Beginning in the 2021-23 Biennium, an additional \$14 million is provided for a total of \$24 million ongoing funding to local solid waste financial assistance.

Applicants are encouraged to use the additional funds to address their current emerging needs along with other solid waste management and enforcement activities.

### B. Risk assessment

Starting in the 2021-23 funding cycle, the Solid Waste Management (SWM) program is incorporating a Risk Assessment Process for all grant programs, not including one-time-grants. This process will decrease the workload for recipients and Ecology grant managers when Ecology assesses a recipient as low risk. A copy of the process is provided in [Appendix F](#).

### C. Minimum grant amount

Starting in 2021-23, the minimum state share amount for grants to PLGs is \$20,000.

- This will not prevent a PLG from the use of LSWFA funds, it just means the Primary would include in the Primary's LSWFA agreement, the work and budget of the PLG if the work costs less than \$20,000.
- One of the benefits to the Primary for including the work and budget of PLGs in their agreement is to retain control of those dollars rather than relinquishing it. For example, if the Primary's agreement includes one task exclusive to work performed by the Primary and another task includes all work performed by PLGs, the Primary can amend the agreement to move funds between tasks to accommodate changes in work and performance. Or the funds are absorbed by another PLG under the PLG task without an amendment, if the task scope of work includes more than one PLG.

## D. Indirect rate

Recipients may now request reimbursement of indirect at a rate up to 30 percent.

Starting in the 2021-23 Biennium, the LSWFA program indirect rate is set at 30 percent to align with other grant programs managed through the Solid Waste Management program. Recipients will no longer be required to provide documentation proving their federally approved indirect rate.

## E. Recipient performance evaluation

After two biennia of testing the process and forms, the LSWFA program anticipates 2021-23 will be the first biennium to generate a score that reflects the recipient's performance. The LSWFA Performance Evaluation form was modified from the 2019 version to accommodate necessary functionality. These changes were made in order to generate a score in early Q8 (April) that aligns with the timing of drafting new agreements for the coming biennium. Scores in the 2019-21 Biennium are not accurately reflective of the recipient's performance in that biennium.

The 2021-23 version of the form includes Q8 at the front of the table that is representative of the final quarter information from the previous biennium. If the recipient did not have an agreement in the previous biennium, answers for Q8 will default to the best scenario for each criterion. This functionality allows a score to generate in Q7 for the current biennium.

The Q8 answers from the previous biennium and answers in Q1-Q7 for the current biennium calculate a final score for the current biennium. At the end of the table, Q8 answers do not factor into the final score for the current biennium and do transfer to the next biennium's performance evaluation form where they become the previous biennium's Q8 answers.

Form changes from 2019 to 2021 include: Q8 as described above; two criteria were eliminated and replaced with one piloted criterion; a calculation error for criterion 10 was fixed; the pilot section was eliminated. There were no changes to criteria weight or value. See [Performance Evaluation](#).

## F. Prioritizing local solid waste management plans

Grant managers may pursue prioritizing the use of LSWFA toward the maintenance of a Local Solid Waste Management Plan (Plan) over using the funds for other eligible projects when the Plan is no longer in current condition.

Ecology's Solid Waste Planners will determine if a Plan is no longer current. Planners are responsible for communicating and providing planning technical assistance to local governments to ensure their Plans are kept in current condition.

## G. Homeless encampment response

Homeless encampment response is now a standard task eligible to all recipients. A strict scope of work template was developed. LSWFA grant managers are prepared to draft the task with any recipient interested. We encourage recipients to spend the additional funds it receives to clean up solid, hazardous, and infectious waste generated by homeless encampments. See [Project eligibility and criteria](#) for more information.

## H. Recycling verification forms replaced

LSWFA grant managers attempted to implement the use of these forms in the 2019-21 Biennium. It was challenging for grant managers and recipients to collect information and the forms were not used as anticipated.

Starting in 2021-23, the forms are no longer required. In lieu of the form, a special term and condition was added to the agreement template.

LSWFA considers management can include but is not limited to collection, sorting, handling or transportation of recyclable materials for recycling or reuse. Recycling activity can include the intent to collect recyclable materials for the purpose of recycling or reuse. Recycling activity is usually labeled as a specific “activity” such as Drop Box Program or Collection Event and typically falls under the standard task title of Recycling Operations but can be scoped under other Task Titles. Recyclable materials exclude organic materials and household hazardous wastes as defined in chapter 173-350-100 WAC because there is no systemic problem with the management of those materials at this time, unlike the materials impacted from China’s policy change.

### **Special term and condition (STC)**

“If the scope of this Agreement includes recycling activity managed or performed by the RECIPIENT at a recycling center (such as a transfer station or drop box location) or other locations, Ecology will not reimburse disposal costs for materials collected or advertised as collected for recycling/reuse or marketed for recycling/reuse under this Agreement, unless approved in writing by Ecology. RECIPIENT must immediately notify ECOLOGY when the RECIPIENT becomes aware that disposal of materials occurred or may occur due to the market conditions for recycled/reused materials. ECOLOGY may deny new costs or require repayment of costs already reimbursed or remove the task from the Agreement or terminate the Agreement.”

## I. Standardizing outcomes

The LSWFA team would like to support the use of outcomes data to improve grant program performance such as sharing case studies, developing scopes of work and best management practices, and publishing end-of-biennium reports that show statewide programs and results by type and region.

Standardizing task titles has helped to capture this information. Taking it one-step further to standardize outcomes is intended to improve data collection and tell a complete story. This data can then be used by stakeholders, including grant recipients, local governments, agency employees, and legislators to evaluate the value and benefit of the LSWFA program and make better informed decisions.

Starting in 2021-23, we are asking all recipients to track and report their employee hours charged to implement Task work. We also combined three MRW metrics into one: MRW collected and managed. Also, the LSWFA team are proposing to work with stakeholders in the coming biennium to standardize more outcomes for future biennia.

For more information on standard outcomes, see [Appendix E](#).

## J. Relinquished funds

Relinquishing funds happens at the start of the biennium. The LSWFA team heard feedback from impacted recipients and the program is implementing a change.

Starting in 2021-23, relinquished funds that are not requested by the partnering local government (PLG) or independent city in their application can be returned to the Primary. In circumstances of a budget reduction due to poor performance by a PLG or independent city, the funds can also be returned to the Primary. The Primary must decide immediately if it will absorb the unclaimed funds or Ecology will redistribute them as unrequested funds. If the unrequested amounts have already been determined, the funds may be redistributed as “[unspent](#)”.

## K. Memberships – eligibility

Requirements about memberships are not included in the [Administrative Requirements for Recipients of Ecology Grants and Loans](#)<sup>13</sup> (*Yellow Book*).

Starting in 2021-23, LSWFA grant managers will verify the membership makes sense for the task on a case-by-case basis. If it does, they will include it as an eligible cost in the agreement, and approve it as a direct cost for reimbursement.

## L. Unspent criteria – statewide

Over the past several biennia, the amount of money available for redistribution through the unspent process has been minimal, likely due to an overall decrease in funding for LSWFA. In anticipation of a return of full LSWFA funding, the LSWFA team are developing criteria that all regions would use when assessing redistribution. See [Reobligating unspent funds](#).

## PART IV –COORDINATION AND ELIGIBILITY

### A. Coordination requirements

Coordination requirements are specific to the applicant. Every eligible applicant for planning and implementation LSWFA are required to coordinate. Eligible applicants for solid waste enforcement financial assistance are exempt from coordination requirements.

To comply with coordination requirements, each applicant must complete the coordination form and instructions provided by Ecology in the application process. Ecology may deny applications that do not meet the requirements.

#### Primary Local Government Applicant

The Primary Local Government Applicant (Primary) must:

- Notify signatories to its local solid waste plan that financial assistance is available.
- Notify the local government, required by chapter 70A.300 RCW to adopt the local hazardous waste plan, that financial assistance is available.
- Complete the coordination form and follow the instructions provided by Ecology in the application process.

A partnering local government and independent city have the right to ask the Primary for a portion of its available funds; however, the Primary is not obligated to comply with the request.

When a Primary identifies the portion of its funds a partnering local government or independent city can apply for, those funds are identified through the coordination form and are no longer available to the Primary. This action is referred to as *relinquished funds*.

Relinquished funds that are not requested by the partnering local government or independent city in their application can be returned to the Primary. The Primary must decide immediately and before their agreement is offered, if it will reclaim these funds or Ecology will redistribute them as unrequested funds. If the unrequested amounts have already been determined, the funds may be redistributed as “unspent”.

#### Partnering Local Government Applicant

When a partnering local government (PLG) applies for a portion of a primary local government’s available funds (Primary), it must:

- Coordinate with the Primary to determine an amount it may be allowed to request directly through the application process with Ecology.
- Complete the coordination form and instructions provided by Ecology in the application process.

As stated above, the Primary is not obligated to comply with any requests made by a partnering local government for a portion of the Primary’s available funds.

After a PLG completes its coordination requirements, Ecology will work directly with the applicant to negotiate the agreement. From this point forward, it is the responsibility of the PLG (not the Primary) to meet the terms and outcomes in their agreement. The performance of the PLG in no way is a reflection of the performance of the Primary.

## **Jurisdictional Health Department Applicant**

Jurisdictional health departments (JHDs) that apply for solid waste enforcement financial assistance are exempt from coordination requirements. JHDs that apply for planning and implementation financial assistance are considered a partnering local government and must comply with the coordination requirements for a partnering local government.

## **Independent City**

A city that meets the qualifications of an independent city is not required to coordinate with its primary local government (Primary) when applying for its per capita amount which is based on the city percentage of the county population, and is identified on the allocation table for that city.

An independent city is not eligible to request additional funds during the application process because LSWFA does not recognize independent cities as a Primary, as it is defined in these guidelines; however, an independent city may receive a portion of the Primary's available funds as described below.

An independent city may relinquish a portion or all of its per capita amount back to the Primary; the independent city may not relinquish to another partnering local government. Any portion available to the independent city not applied for by the city and not relinquished to the Primary becomes "unrequested" money.

An independent city may receive a portion the Primary's available funds when the following conditions are met:

- Independent city is applying for its full per capita amount based on the city percentage of the county population, AND funds relinquished to the independent city exceed the city's percentage of the county population, and
- Per WAC 173-312-080(2)(b)(ii)(B), Ecology, the Primary, and all other signatories to the county solid waste management plan agree the independent city may receive more than its per capita amount.

Similar to a PLG, an independent city must coordinate with the Primary to determine the relinquished amount it may receive.

As stated above, the Primary is not obligated to provide a portion of the Primary's available funds to an independent city.

## B. Eligible applicants

Eligible applicants for LSWFA are limited to:

- Local governments with primary responsibility for maintaining their Ecology-approved local solid waste plan (Primary).
- Partnering local governments that comply with coordination requirements (PLG).
- Jurisdictional health departments authorized to adopt the local solid waste ordinance (JHD).

### Planning and Implementation (P&I) financial assistance

Applicants eligible for P&I financial assistance are limited to primary local governments (Primary).

Eligibility for planning financial assistance may extend to

- Local governments required by [chapter 70A.205 RCW](#)<sup>6</sup> to adopt the local hazardous waste plan when the local government applies for planning financial assistance as a *partnering local government*.
- A city to write its initial solid waste management plan under the following conditions, the city:
  - Is preparing to become an *independent city*.
  - Applies for planning financial assistance as a *partnering local government*.
  - Provides for disposal site(s) wholly within its jurisdiction.
  - Writes the plan with the participation of a *SWAC-like entity*.

Eligibility for implementation financial assistance may extend to a *partnering local government* when it complies with coordination requirements.

### Solid Waste Enforcement (SWE) financial assistance

Applicants eligible for SWE financial assistance are limited to jurisdictional health departments.

The jurisdictional health department must be in possession of an adopted solid waste ordinance under RCW 70A.205.100 or be in the process of adopting the ordinance. The ordinance must meet the minimum requirements of chapter 173-350 WAC, and where applicable, must also meet the minimum requirements of chapter 173-351 WAC.

## C. Project eligibility and criteria

### General eligibility statement

Local Solid Waste Financial Assistance supports local programs in accordance with chapters 70A.205, 70A.214, 70A.224, and 70A.300 RCW.

Programs include local hazardous and solid waste planning, and plan maintenance, implementation of eligible activity in those plans, and enforcement of rules and regulations governing solid waste handling.

These programs are designed to prevent or minimize environmental contamination resulting from improper management or disposal of solid waste, and can include programs for resource recovery.

Beginning in the 2021-23 Biennium, additional ongoing funding is provided for the LSWFA program. Applicants are encouraged to use the additional funds to clean up solid, hazardous, and infectious waste generated by homeless encampments, implement local recycling contamination reduction and outreach plans, along with other solid waste management and enforcement activities.

### New eligible project – homeless encampment response

Ecology is expanding project eligibility to include a homeless encampment response project. Ecology recognizes homelessness is a complex problem, and that local and state governments are creating programs to provide shelter, temporary housing, food, and other services to address the problem.

LSWFA may be used for projects to clean up and dispose of solid waste from homeless encampments located on publicly owned land. LSWFA funds including funds typically for SWE are eligible to implement this project.

### Funding eligibility

Local governments interested in using LSWFA to perform this work should ensure pertinent information is included in the local solid waste management plan.

Planning and Implementation (P&I) and Solid Waste Enforcement (SWE) funds are eligible for use.

### Eligible work

Eligible cleanup work is limited to encampments on publicly owned lands. Infrastructure and purchased services are considered on a case-by-case basis. Eligible work can include but is not limited to recipient employees and or contractors perform:

- Response planning and implementation; cleanup.
- Coordination/collaboration with other governments and agencies.
- Investigations, inspections, locate, and follow-up.
- Infrastructure, purchased services, such as:

- Provide and service portable toilets.
- Provide garbage collection.

## Eligible costs

Eligible costs can include but are not limited to:

- Purchased services, including contracts.
- Supplies (determined case-by-case and specifically identified in the agreement).
- Cleanup, including transportation and disposal of materials from encampments (cleanup of used syringes is included but does not include costs associated with a syringe exchange program).
- Recipient employee time and or contracts.

## Outcome measures

Outcome measures can include but are not limited to:

- Pounds of garbage cleaned up and disposed, must also track and report:
  1. Number of sites cleaned up.
  2. Number of cleanups (count each time the same site is cleaned).
    - Pounds of bicycle parts recycled, number of carts returned.
    - Square footage of area cleaned, track and report critical areas separately.

## Ineligible costs

This funding opportunity is specific to addressing homeless encampment cleanup. Costs not eligible for reimbursement include, but are not limited to:

- Cameras, fences, or signage.
- Landscape or beautification, including ground/soil restoration after cleanup or in preparation to receive the homeless at a new site/location.
- Syringe collection program for the purpose of preventing illegal discarding of used syringes in public places (this program is eligible as a stand-alone task).
- Programs/projects where funding is provided elsewhere or by other governments and agencies such as cleanup of contaminated ground/soil through Remedial Action Grants or cleanup funded by the state departments of Transportation, Commerce, and Health.
- Cleanup of illegal dump sites not specifically associated with the homeless (funds for illegal dump cleanup are available through Ecology's Community Litter Cleanup Program).
- Costs to move an existing homeless encampment to a new location (costs to set up infrastructure at the new location may be eligible and will be determined on a case-by-case basis).
- Costs to create an authorized encampment, such as purchasing or leasing property, and preparing a new location to receive people experiencing homelessness.

See [Appendix D](#) for an example scope of work.

## Funding priority

One of LSWFA's main purposes is to provide support for maintaining local solid and hazardous waste plans and to implement eligible projects identified in those plans. LSWFA grant managers may pursue prioritizing the use of LSWFA toward the maintenance of a Local Solid Waste Management Plan (Plan) that is no longer in current condition over the use of funds for other eligible solid waste projects.

- To stay current, a Plan must be locally adopted and approved by Ecology by the end of the sixth year of its implementation.
- Current condition also refers to the completeness and accuracy of a Plan's contents. If major changes have occurred during the implementation period of a Plan, local governments are expected to revise their Plans to reflect those changes.
- Solid Waste planners are responsible for providing technical assistance to local governments to help ensure their Plans are kept in current condition. This includes notifying them when a Plan revision is required.

Financial assistance reserved for local solid waste planning and implementation (P&I) is used to develop or maintain the Ecology-approved local solid or hazardous waste management plans, and to implement eligible programs identified in those plans.

Eligible solid waste programs in statutory order of priority are:

- Local HW plans and programs.
- Local SW plans and programs.

Financial assistance reserved for local solid waste enforcement (SWE) programs is used to enforce rules and regulations adopted under chapter 70A.205 RCW. There is no statutory priority for SWE programs. SWE programs may use LSWFA for homeless encampment response.

## D. Reimbursement eligibility

Eligible cash expenditures are reimbursable, in whole or in part, with agreement funds. Only eligible cash expenditures and interlocal in kind contributions may be used to meet the local contribution requirement. The recipient may not receive reimbursement in excess of actual cash expenditures. Ecology grant and loan funds 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 grant manager), must be allowable as identified in Ecology's [Administrative Requirements for Recipients of Ecology Grants and Loans](#)<sup>13</sup> (Yellow Book), and must not be specifically excluded from LSWFA.

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

See [Part VIII – Payment Request](#). See also [Appendix B](#) for a list of ineligible costs and exceptions.

# PART V – APPLICATION AND SCREENING

## A. Application preparation

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 LSWFA applications in EAGL. General instructions for navigating the EAGL system are accessible through [Ecology's website](#)<sup>15</sup>.

Application instructions for LSWFA in 2021-23 are provided in a separate document and are also located on every page in the EAGL agreement.

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

Ecology may announce the period of application through the ListServ, ECY-SOLID-WASTE-FINANCIAL-ASSIST, or another service available to Ecology. To subscribe to this ListServ, visit [listserv.ecology.wa.gov](mailto:listserv.ecology.wa.gov).

### Pre-application technical assistance

Ecology recommends a pre-application conference as a first step in applying for financial assistance. LSWFA grant managers will listen to your ideas and work with you to confirm eligibility. This step may help reduce the time it takes you to apply for LSWFA funding. It may also reduce the time between when you apply and when Ecology offers the agreement.

### Scope of work

Your answers to the application questions will help Ecology develop a scope of work. The scope of work must include:

- Work to be performed.
- Who will perform the work.
- Costs an applicant expects reimbursed.
- A measurable outcome.
- Summarized work plan/timeline and/or deliverables.
- Spending plan.

### Available budget

A copy of the final allocation table is in [Appendix A](#). The LSWFA Work Group recommended a fixed amount and cap that Ecology used to calculate the amounts available to each local government identified on the table.

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<sup>15</sup> <http://www.ecy.wa.gov/>

## Planning & Implementation (P&I)

A maximum total amount of 80%, includes a fixed amount of \$160,000 for each county, excluding cities listed on the table; and a per capita amount based on the county percentage of state population or the city percentage of the county population (King and Spokane county populations are reduced by populations for cities of Seattle and Spokane, respectively).

## Solid Waste Enforcement (SWE)

A minimum total amount of \$2.925M, includes a fixed amount of \$37,500 for each jurisdictional health department (JHD), except multi-county JHDs divide a single \$37,500 fixed amount by the number of counties within the JHD; a per capita amount relative to each JHDs population; and a cap of \$225,000 per JHD, including multi-county JHDs.

## B. Submitting an application

To apply for a grant, you must complete and submit an application through the Ecology Administration of Grants and Loans (EAGL) online grant management system. Application instructions are linked on the [LSWFA webpage](#),<sup>16</sup> on every screen in EAGL, and provided upon request.

The applicant must upload all required documents and submit a complete application by the due date identified in the announcement.

An application for LSWFA includes a commitment by the applicant to meet the local contribution requirements. The person identified in the application as the authorized signatory for the applicant agrees to this commitment upon submitting the application.

## Application screening

### Initial screening

Applications must pass Ecology's initial review before Ecology screens individual projects for eligibility. The criteria Ecology uses in the initial review is applied in the following order:

1. Did the applicant comply with coordination requirements?
2. Is the applicant eligible for financial assistance?
3. Is the application complete?
4. Does the project or program:
  - Maintain a local hazardous or solid waste management plan?
  - Implement a local hazardous or solid waste program identified in the plan?
  - Enforce rules and regulations governing solid waste handling?

Ecology may deny the application or return it for modifications, depending on the results of the initial screening.

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<sup>16</sup> <https://ecology.wa.gov/About-us/How-we-operate/Grants-loans/Find-a-grant-or-loan/Coordinated-prevention-grants>

## Project evaluation

After initial screening, Ecology will further evaluate each project in the application and may work with the applicant to assess eligible activity and costs while drafting the scope of work. You can find examples of eligible activity in [Appendix C](#).

There are three basic tests to help Ecology determine if LSWFA is an eligible funding source to support a project and reimburse costs. The project:

1. Is identified in the local hazardous or solid waste management plan.
2. Meets local need.
3. Can produce a measurable outcome.

Once Ecology confirms a project is eligible, LSWFA grant managers can begin drafting the scope of work. Planning and enforcement projects are likely to be drafted first.

Implementation projects require more scrutiny. Ecology will scope a project so that the expected outcome is achieved by the end of the agreement period, and will negotiate a budget that both parties agree is sufficient to complete the scope of work.

# PART VI – AGREEMENTS AND AMENDMENTS

## A. Negotiations and formal offer

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

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

LSWFA grant managers will contact the applicant to confirm the details in each task’s scope of work and each task budget. LSWFA grant managers will then take the appropriate internal steps to prepare the agreement as a formal offer.

To help expedite the signature process, Ecology may offer agreements after the State’s Operating Budget is enacted and before July 1, of the new biennium.

Ecology cannot reimburse costs a recipient incurs **prior to the effective date of the agreement** which is usually July 1, of the new biennium. Recipients may incur costs after the effective date of the agreement and before the agreement is signed by Ecology at the discretion and risk of the recipient. These costs are referred to as “retroactive” and are eligible for reimbursement.

Agreements returned signed by the recipient will be held until Ecology can legally sign the agreement, which is anticipated to be July 1, of the new biennium.

## B. Returning the signed agreement

The Authorized Official(s) for your Organization will receive an EAGL auto-generated **Agreement Requires Signature** email. This is Ecology’s official notification that an agreement is being offered and is ready for recipient signature. LSWFA grant managers may also send an email follow-up reminding you of the following:

1. Review the Recipient Contacts form before printing.
  - You can find this form by selecting *View Forms* on the Application Menu screen under the option *View, Edit and Complete forms*
  - Open the Recipient Contacts form listed under the gray banner, *Application Forms*, and edit as needed. Save the form.

2. Confirm EAGL roles before printing.
  - It is important that each member of your Organization who needs access to your agreement and or subdocuments are assigned the correct role in EAGL.
  - The Authorized Official for your Organization can add people and edit roles in the system by selecting View Management Tools on the Application Menu screen under the option Access Management Tools.
    1. Select ADD/EDIT PEOPLE.
    2. Use the Search feature to add a new person, or view the current people already assigned to activate, deactivate and or change a role.
      - To “activate”: Check the box to the left of their name, assign a role by selecting it from the drop down menu under the ‘Role’ column, and enter a start date under the ‘Active Dates’ column. Save your work.
      - To “deactivate”: **Do not uncheck the box.** Simply enter an end date in the Active Dates column. Save your work.
      - To “change a role”: Simply select a different role from the drop down menu.
      - Save your work.
3. Print Two Copies of the agreement and sign in blue ink\*.
  - Under the gray banner, *Agreement Forms*, select the  icon.
  - Print two copies of the agreement, sign and date both.
  - Ecology will return one original to you.
4. Mail both signed and dated original agreements to Ecology within 60 days. If more time is needed, contact us before 60 days to agree on a later date. The agreed upon date must be in writing. To help expedite the process, Ecology suggests you mail the agreements directly to Headquarters:

USPS  
 Attn: Tami Ramsey  
 Department of Ecology  
 Solid Waste Management  
 PO Box 47600 Olympia WA 98504

FED EX  
 Attn: Tami Ramsey  
 Department of Ecology  
 Solid Waste Management  
 300 Desmond Drive Lacey WA 98503

\*In rare circumstances, Ecology may require documents signed through an eSignature process and forwarded through email as a PDF copy. In these instances, Ecology will provide instructions.

If the recipient has not contacted Ecology or returned a signed agreement within four months of the EAGL auto-generated **Agreement Requires Signature** email (which is Ecology’s official notification that an agreement is being offered and is ready for recipient signature), Ecology may rescind the agreement offer.

## C. Unrequested funds

“Unrequested funds” are funds not requested by the Primary Local Government (Primary) or a Partnering Local Government (PLG) in their initial application.

Unrequested funds are redistributed at the onset of the biennium. Requesters make their request on the Additional Funds and Coordination form before submitting their application.

The only:

- Opportunity to request these funds is through the application process on the Additional Funds and Coordination form.
- Eligible requester is the county local government with primary responsibility for solid waste management and jurisdictional health department with primary responsibility to enforce solid waste rules and regulations.

Ecology will make every effort to increase agreements with “unrequested funds” before changing the status of the agreement to Agreement Requires Signature. When this is not possible, agreements must be amended to increase the budget with “unrequested funds”.

### Qualifications for receiving unrequested funds

1. You are a Primary and the full amount available to you, as identified on the allocation table, was claimed by you and or a PLG through coordination. You cannot be considered for unrequested funds if the full award available to you was not requested in the first place.
2. You are a PLG that can answer yes to each of the following conditions:
  - The PLG’s Primary does not apply for LSWFA or requests \$0.
  - A valid interlocal agreement between the Primary and PLG provides the PLG authority to act as lead and fiscal agent to apply for and administer grants on behalf of the Primary.
  - The PLG manages elements of the solid waste system the same as if the Primary were lead, including primary responsibility for maintaining the local solid waste management plan.
  - The PLG must request the full amount available to the Primary as identified on the Allocation Table.
3. Your request was entered on the Additional Funds and Coordination form during the application process and an amount in state share was identified.

- Note: PLGs that meet the criteria above, answer “yes” on the Additional Funds and Coordination application form that you are the county local government or jurisdictional health department listed on Ecology's LSWFA allocation table and finishes completing the additional funds section.

## **Redistribution of unrequested funds**

Ecology tracks applicants requesting additional funds and confirms they meet the qualifications to receive them. Through the screening process, Ecology follows up with all Primary’s that did not request their full allocation to confirm the amount requested is accurate.

Unrequested funds retain their original designation, P&I and SWE. Ecology confirms the total unrequested amount by original designation and then calculates the amount of unrequested available for redistribution.

Ecology contacts the qualified recipient to confirm they will accept the additional amount offered. These recipients may use unrequested funds to create a new task in the agreement and or may elect, through coordination, to relinquish a portion of the additional funds to a PLG.

The Primary may relinquish to an independent city when the following conditions are met:

- Independent city is applying for its full per capita amount based on the city percentage of the county population,
- Funds relinquished to the independent city exceed the city's percentage of the county population, and
- Per WAC 173-312-080(2)(b)(ii)(B), Ecology, the Primary, and all other signatories to the county solid waste management plan agree the independent city may receive the additional funds.

The Primary may relinquish to another Primary when the following conditions are met:

- Boundaries of a partnering local government (PLG) overlap more than one primary county border; PLG in common.
- One of these primaries with the PLG in common manages the PLGs work in their agreement with Ecology.
- One or more of the other primaries with the PLG in common want to relinquish a portion of their funds for use by the PLG in common.
- The primary managing the PLGs work in their agreement with Ecology may accept relinquished funds from one or more of the other primaries with the PLG in common and must only use them to reimburse eligible costs incurred by the PLG in common.

The unrequested funds are added to the initial agreement before the formal offer or through a formal amendment if the agreement was already executed. Recipients accepting these funds can choose to experience a slight delay in receiving the initial agreement offer and avoid a formal amendment. The delay allows for the process to be completed.

## D. 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 sends 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. Additionally, we may discover the agreement budget is enough but task budgets need to be redistributed to cover task costs in the remainder of the period. See [Reobligating unspent funds.](#)

## E. Amendments

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. LSWFA grant managers may follow this notification with reminders. See [Section B](#) above, and follow the same process for an amendment.

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

**Exception:** When the recipient is unable to spend out an existing task budget and is performing on-going work that is LSWFA eligible but not an existing task in the agreement, this task may be added to the agreement in order to retain the funds in the jurisdiction.

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.

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

## 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.
- Redistribution of budgets between tasks. See [LSWFA and the budget deviation](#) for an exception.
- Special Terms and Conditions, or agreement-specific Terms and Conditions.

## LSWFA and the budget deviation

### How does LSWFA handle it?

For the reasons stated below, Ecology is instructing the recipient to:

- Notify your grant manager before itemizing costs in excess of a task's remaining budget when there are two tasks in the agreement.
- Not itemize costs in excess a task's remaining budget when there are at least three tasks in the agreement.

Ecology will determine the appropriate next steps on a case-by-case basis and cannot allow, under any circumstances, a budget deviation if changes require an amendment. See [Changes that require an amendment](#).

When an amendment is not required, Ecology may instruct the recipient to itemize costs in excess of a task's remaining budget and allow the deviation to occur in a final PRPR if it helps spend out the remaining agreement budget.

When Ecology allows the deviation, the grant manager must note the budget changes in a spreadsheet designated by the Fund Coordinator.

### How does the EAGL function work?

Without warning or permission, a system functionality built into EAGL allows the recipient to itemize costs in excess of a task's budget, and allows for Ecology to approve them. Though, the system will never allow reimbursement of costs in excess of Ecology's agreement share, a budget deviation can automatically occur in each PRPR capping the total of deviations when 10 percent of the total agreement budget is reached.

### Why is this function problematic?

This functionality can be problematic for agreements with more than one task because the deviation is automatic:

- A budget deviation can unexpectedly short another task budget without your knowledge or approval.
- Task budgets identified in the Agreement do not align with the amount of funds spent in each Task which causes inaccurate EAGL reporting data related to task budgets.

## 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 unrequested funds

Unrequested funds that are not added to the initial agreement before the formal offer must be added through the amendment process. [See Redistribution of unrequested funds.](#)

## Reobligating unspent funds

Ecology considers the following criteria when reobligating “unspent” funds:

- The recipient must be in good standing for their administration of LSWFA in the biennium. Good standing means the recipient’s budget was not reduced due to poor performance in the previous biennium and may include administrative performance in the current biennium.
- Unspent funds are first offered in the Ecology region of origin and then statewide, and retain their original designation, IMP or SWE.
- Criteria used by each region in determining redistribution must be documented and includes but may not be limited to recipients’:
  1. Response to Ecology’s *unspent* email.
  2. Administrative performance in communicating with the Ecology grant manager, timely submittal of PRPRs, and task work progressing as expected.
  3. Classification by Department of Health’s (DOH) [Washington Tracking Network \(WTN\)](#)<sup>17</sup> Environmental Health Disparities (EHD) index that determines highly impacted communities.
  4. History of spending.
- Funds may not be used to create a new Task in the agreement.  
**Exception:** When the recipient is unable to spend out an existing task budget and is performing on-going work that is LSWFA eligible but not an existing task in the agreement, it may add this new task to the agreement in order to retain the funds in their jurisdiction.
- Funds that remain after statewide consideration, regardless of original designation, will become available using criteria and a process recommended by the LSWFA Work Group and approved by Ecology.

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<sup>17</sup> <https://fortress.wa.gov/doh/wtn/WTNIBL/>

# PART VII – 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. EAGL ties a progress report to a payment request which means that both must be submitted. 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, if there are no expenditures to reimburse. 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 PRPR submitted. Waiting for invoices is not an acceptable excuse for submitting late PRPRs.

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.

Table 2 Progress reporting deadlines

Quarters	1 & 5	2 & 6	3 & 7	4 & 8
Months in each Quarter	July – September	October – December	January – March	April – June
Progress Report due date	October 30	January 30	April 30	July 30

## C. Progress report fields

The Progress Report form is not LSWFA-specific and therefore includes fields that LSWFA does not require the recipient to complete. EAGL auto-populates some fields in the form. The fields LSWFA 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, even when not requesting reimbursement of expenditures in the quarter. This helps communicate to Ecology that you are still an active recipient.

A brief explanation is provided in each field for what to enter when there are no expenditures requested for reimbursement in the quarter.

## Final

The only time “Yes” is selected for “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.

## Percent Complete

The “Percent Complete” relates to the scope of work for each task, and may or may not align with 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.

Below is an example of how to format an MRW Collection and Management task, broken into two activities: Used Oil Collection program and Integrated Pest Management program.

<b>*By Task Progress</b>	
Task Title	Summary of accomplishments for this reporting period
MRW Collection and Management	<p>Activity - Used Oil Collection Program: all 8 county sponsored locations were managed this period; used oil from DIY oil changes was collected and properly managed.</p> <p>Activity - Integrated Pest Management Program: 2 active ingredient reviews were completed this period (see attached reports for more detail).</p>

Screenshot 1 Example format in the progress report for tasks broken out by activity

Below is an example of how to format a SWE task broken into two activities: Solid Waste Facilities/Sites (Permitted/Exempt) and Solid Waste Investigation, Assistance, Enforcement.

<b>* By Task Progress</b>	
Task Title	Summary of accomplishments for this reporting period
Solid Waste Enforcement	<p>Activity - Solid Waste Facilities/Sites (Permitted/Exempt): facility inspections were completed, copies of all inspection reports are uploaded below.</p> <p>Activity - Solid Waste Investigation, Assistance, Enforcement: complaints were received, responded to and closed.</p>

Screenshot 2 Example format in the progress report for tasks 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 LSWFA 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.

If facility inspections are required, as identified in the agreement scope of work for solid waste enforcement tasks, upload them here.

### D. List of required forms

Besides the Payment Request and Progress Report form, a list of the forms a recipient is required to complete and submit, and a brief description of each is provided below. Information for how to complete EAGL forms can be found in the User Manual under My Training Materials found at the top of any page in EAGL. Information for how to complete forms that are specific to LSWFA will be included in the description.

## Spending Plan and Outcomes Data Collection

### Outcomes Data Collection

Outcomes are reported each quarter and correspond with the costs identified on the Payment Request form.

The Outcomes Data Collection Section of this form is set up by Ecology during the agreement Initiated status. Ecology, in collaboration with the recipient, enters the overall expected outcome for each individual measure identified.

After the agreement is active, the recipient is responsible to enter data for each measure in each quarter. It must be done in conjunction with submitting a PRPR. The recipient is asked to only report the outcomes achieved in the quarter with 100% of the approved costs itemized on the Payment Request form for the same quarter. Enter a zero (0) if no outcomes were achieved for that measure in the period. Please do not enter data that was already accounted for in another period.

General measurements and conversions to assist the recipient in reporting accurate data are available in the [Measurement Standards for Solid Waste and Recovered Materials](#)<sup>18</sup>. This publication is updated regularly.

### Spending Plan

The recipient must complete the spending plan portion of the Spending Plan and Outcomes Data Collection form as part of the application process, and then keep it current throughout the agreement period because Spending Plan reports are generated monthly and utilized by the Solid Waste Management's budget manager to estimate disbursement amounts by month.

The recipient selects the task title from the drop down list in the form. The task's total eligible cost is then expressed by an amount the recipient expects to spend each quarter. The last column sums each task's total eligible cost for a Grand Total. The Grand Total is also the agreement budget and must equal the total eligible cost shown in red just above the table.

1. Recipients can request reimbursement in a subsequent quarter for costs it incurred in earlier quarters, within the agreement effective period. In this case, include these costs in the subsequent quarter.
2. When no costs are incurred in the quarter or they are included in a subsequent quarter, enter \$0.
3. When an agreement effective date is later in the biennium or the budget for a task is spent-out early, enter \$0 for these quarters.
4. After submitting a PRPR, update the Spending Plan with the actual total requested for reimbursement for each task. Ecology will adjust the amount if approved costs are different.
5. Save the form.

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<sup>18</sup> <https://apps.ecology.wa.gov/publications/SummaryPages/1507004.html>

## **Equipment Purchase Report**

If equipment is purchased in the quarter, the recipient submits one Equipment Purchase Report (EPR) for each piece of equipment or property 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. See Section 13 of the EAGL User Manual located in EAGL at the top of any screen, if more information is needed to complete and submit the form.

## **Form D: Contractor Participation Report**

The recipient is responsible for completing the Form D: Contractor Participation Report with each PRPR. Follow the instructions on the form or refer to Section 12 of the EAGL User Manual if more information is needed to complete and submit the form.

## 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 (PRPR). The 30-day clock starts when the PRPR is submitted (time stamped in EAGL); the clock stops when the PRPR is returned for modifications and then restarts at 0 when modifications are submitted.

#### Cost-reimbursement

Ecology disburses payments on a cost-reimbursement basis. This means a recipient must incur the cost before it becomes eligible for reimbursement. An incurred cost is the date the recipient receives the item or the service is performed. The recipient must also be in possession of a payable invoice that identifies the date an item was received or the service was performed. 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 build an enclosure at your MRW facility; the dates of cost incurred are the dates the contractor works – NOT the date they invoice for the work.

#### Costs 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 PRPR.
- *Date incurred* end must also be on or before the agreement expiration date.

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

Each PRPR has a title/name that refers to a particular quarter of the year. A PRPR is available for six months—beginning the first day of the quarter it’s named for, through the last day of the following quarter. You may start the PRPR within the time period of the PRPR title, but you do NOT have to complete it within that time period. Once started, that PRPR will be available to you until it’s submitted.

Keep in mind, you can have costs earlier than the start of the titled quarter (in case you need to pick up costs that may have been missed or you didn’t receive a bill in time to claim it on the PRPR 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. As long as 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 3<sup>rd</sup> month of the quarter, with the exception of a final PRPR due July 30, these invoices can be itemized in subsequent PRPRs; you are not restricted to submitting invoices in just the period a cost was incurred.

## C. Payment Request form

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.

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.

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

Table 3 Request for reimbursement deadlines

Quarters	1 & 5	2 & 6	3 & 7	4 & 8
Months	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun
PRPR Due Date	October 30	January 30	April 30	July 30

## 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 LSWFA 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 follows along with an explanation of what qualifies under each option:

- **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. LSWFA indirect is 30 percent of the recipient salaries/benefits itemized on the same Expenditures table. Charging for indirect costs are optional and the option must be consistently exercised 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](#)<sup>19</sup> 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.

## Supporting documentation

Recipients must upload documentation that supports each cost itemized in the Expenditures table. These documents may be grouped into a single file or several files, and are most often provided in the personal data file (PDF) format. Documentation must follow the same order as 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.

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<sup>19</sup> <https://www.ofm.wa.gov/accounting/administrative-accounting-resources/travel>

Documentation includes, but may not be limited to:

- Copies of receipts or payable invoices that confirm the date of goods received or services performed.
- Any verification forms required.
- Time accounting reports that include:
  1. Rate of pay or a report that shows the total an employee costs the employer in the period worked, such as a labor distribution report.

paTran		Project Expense Transaction Detail Report						Page: 2	
11/7/2018	4:21PM	County		4/1/2018 through 9/30/2018					
Project/Grant # sw03180		Local Solid Waste Financial Assistance							
Date	Reference	Description	Account #	Labor	Benefits	Materials	Other	Total	
Project/Grant Total: sw03180 Local Solid Waste Financial Assistance				1,415.29	320.16	22.68	73,519.14	75,277.27	

Screenshot 3 Example labor distribution report

2. Time accounting or time sheet that shows the hours an employee worked by date and task. All time is reimbursed at the employee’s regular rate of pay unless the employee works 100% of their time on the task. For example, the following report is for an employee who works on one task in the agreement:

pyActHstSumDet		Activity History Summary/Detail Report							
11/7/2018	3:41:00PM	County		From 4/1/2018 Through 9/30/2018					
Emp #	Employee Name	Hour Type	Date	Src	Hours	Rate	Amount	Acct # / PA #	
Emp #:	MARK (Continued)								
	MARK	r	06/23/2018	W	8.00	0.0000	341.23	PA# E sw03180.5	

Screenshot 4 Example time accounting report

## Ecology review and approval

LSWFA grant managers approve, modify or deny costs itemized in the Expenditures table. They rely on the agreement, these *Guidelines*, and [Administrative Requirements for Recipients of Ecology Grants and Loans](#)<sup>13</sup> (*Yellow Book*) to make the determination. A grant manager may contact the recipient for help in the determination, or may return the request for modifications, or may make the decision to deny the cost in whole or in part. In the latter case, the grant manager will enter a brief explanation in the Comment field on the Expenditures table for that line item.

## Final payment requests

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

# PART IX – PURCHASING AND CONTRACTS

## General Requirements

The recipient may procure goods and services related to performance under an LSWFA agreement. See [Administrative Requirements for Recipients of Ecology Grants and Loans](#)<sup>13</sup> (*Yellow Book*), Part V – Purchasing and Contracts for an overview of procurement requirements for goods and services, public works, and architectural and engineering services.

## 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.

## 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 X – RECIPIENT PERFORMANCE

Ecology is responsible for administering the LSWFA program, which is periodically reviewed by the State Auditor. Ecology monitors recipient performance to ensure that overall allocation for LSWFA is spent and spent within the regulatory limits of the program. Performance is monitored through project progress, spending, and close out reports to confirm:

- The scope of work described in the executed agreement is performed.
- All activity in the agreement is performed in an effective, timely manner, and according to the schedule and budget in the executed agreement.
- Recipients comply with the scope of work and terms of the agreement, as well as [Administrative Requirements for Recipients of Ecology Grants and Loans](#)<sup>13</sup> (*Yellow Book*) and these *Guidelines*.

LSWFA grant managers may conduct onsite visits during the course of the agreement period. After an onsite visit, Ecology will complete and submit a Site Visit Report in EAGL.

### Performance evaluation

#### Goals for performance monitoring

Ecology has two goals for evaluating recipient performance in the biennium to: 1) Ensure the total allocation for LSWFA is spent; and 2) Highlight administrative areas needing improvement so that we increase efficiency in grant administration for both the recipient and Ecology. The Performance Evaluation Form was developed with the Local Solid Waste Financial Assistance Work Group and is used to track minimum performance standards from quarter to quarter.

At any time in the agreement period if the recipient or Ecology determine the remaining budget is unlikely to be fully spent, Ecology will work with the recipient to decrease the agreement budget through an amendment. These funds are referred to as “unspent” and will be redistributed to another agreement before the end of the biennium. See Unspent funds.

#### LSWFA Performance Evaluation form

This form is located in the EAGL system. The grant manager completes the Performance Evaluation form for each quarter, usually in coordination with each submitted Payment Request/Progress Report (PRPR). Instructions for completing the form include:

- A default “Yes” is selected for criteria 1-7 in each quarter when a PRPR was not required for that quarter, such as agreements with a later effective date or an agreement that spends out early.
- If a “No” is selected, the grant manager must explain why in the corresponding Ecology Comments box.
- When the recipient spends out early and it has been determined they will not receive additional funds through the unspent process, the grant manager completes criteria 10 and 11 in Q8, regardless of which quarter the recipient spent out.

Ecology encourages PRPRs are submitted no more frequently than quarterly. If a recipient submits monthly or bi-monthly, the grant manager updates the same quarter of the evaluation form for each PRPR submitted for that quarterly period. Submitting PRPRs more frequently than quarterly means the recipient is evaluated more than one time for the same quarter. In this case, the grant manager will:

- Not change a previously entered “No” in the quarter.
- Explain in the corresponding Ecology Comments box, the number of PRPRs submitted for the quarter.

Recipients are able to see quarterly evaluation results and are encouraged to provide comments on the form found by selecting View Forms from the Application Menu screen. Recipients are encouraged to confirm their evaluation is accurate and to comment in the corresponding comment box for recipients.

The Fund Coordinator is responsible to ensure grant managers are trained in how to complete the form, and that each form is complete by the end of the biennium and before final scores are collected.

## **Evaluation results**

Full funding is achieved when a score of 140 or more is reached. A recipient’s budget in the next biennium could be reduced up to 10 percent if a score of at least 140 points is not achieved in the current biennium. Scores below 140 do not automatically trigger a budget reduction in the next biennium.

Ecology will carefully examine all scores below 140 points and anticipates partnering with the LSWFA Work Group to help formulate a recommendation.

## **Performance criteria and scoring**

The updated criteria and scoring process are the result of Ecology’s collaboration with the LSWFA Work Group.

Scoring is weighted to prioritize spending all funds in an agreement. A recipient can reach 140 points if they spend the entire agreement budget. The recipient can also reach 140 points if they don’t spend the agreement budget, but meet the other performance criteria. Scores may be below 140 points when the recipient does not spend the agreement budget and also does not meet the other performance criteria.

## **Request reconsideration**

If a recipient’s budget is reduced, they will be notified after the application period for funding is closed. A recipient may request within seven (7) calendar days of the notification, that Ecology reconsider the decision. The request must be submitted in writing and detail the reasons for the request.

## **What happens to the funds**

Funds that are the subject of a budget reduction due to poor performance by a partnering local government or an independent city are first offered to the Primary. The Primary must decide immediately and before their agreement is offered, if it will reclaim these funds or Ecology will redistribute them as unrequested funds. If the unrequested amounts have already been determined, the funds may be redistributed as “unspent”.

## PART XI – CLOSE OUT

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 PRPR
- Recipient Close Out Report

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

LSWFA 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 Inactive.

### Completing the Recipient Close Out Report (RCOR)

The RCOR is an Agency-wide form that cannot be edited by individual grant programs. It contains fields that LSWFA does not require the Recipient to complete, though, the form must be completed by the recipient and submitted concurrent with their final PRPR. The following guidance is provided for recipients of LSWFA:

1. **Summary of Accomplishments.** For every task Title in the Report, provide a brief description of the work accomplished with the LSWFA budget. If tasks were broken out by activity, provide the summary by activity as shown in the following example:

Task Title	Summary of Accomplishments*	Actual Outcome*
MRW COLLECTION AND MANAGEMENT	<p>Mobile Collection Events: coordinated 4 events.</p> <p>Paint Recovery and Diversion: partnered with 10 local paint stores to offer residents a point of return for unused latex paint.</p> <p>Integrated Pest Management: contractor held 4 workshops to provide TA and training related to IPM.</p> <p>Green Cleaning Workshops: through the Master Recyclers program, 8 green cleaning workshops were held.</p>	<p>140 tons of HHW were properly managed; 600 pounds of hazardous waste was identified in 15 school science labs for proper management.</p>

Screenshot 5 Example format for summarizing accomplishments by activity

2. **Actual Outcome.** In this field, use the data from the Outcomes Data Collection table in your “Spending Plan and Outcomes Data Collection form”. Provide it in totals. See the screenshot above for how to enter the actual outcome.

3. **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.
4. **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 PRPR, please also upload copies of each document listed using the “Upload Supporting Documents” feature at the bottom of the form.
5. **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 grant manager. They can email you a copy of detailed instructions, including where to find the form in EAGL.

# APPENDICES

[Appendix A. FINAL 21-23 Allocation Table](#)

[Appendix B. Ineligible costs and exceptions](#)

[Appendix C. Examples of eligible activity](#)

[Appendix D. Scope – Homeless Encampment Response](#)

[Appendix E. Outcomes Guidance](#)

[Appendix F. Risk Assessment Process](#)

# Appendix A. FINAL 2021-23 Allocation Table

**Local Solid Waste Financial Assistance  
Solid Waste Management Program  
FINAL 2021-23 Biennium Allocation Table**

*Updated 5.18.21*



The FINAL allocation table reflects Washington State's enacted Operating Budget that includes an additional \$14M (ongoing) for a total of \$24M for Local Solid Waste Financial Assistance in the 2021-23 Biennium.

COUNTY	2020 POPULATION <sup>1</sup>	SOLID WASTE PLANNING & IMPLEMENTATION (P&I)			SOLID WASTE ENFORCEMENT (SWE)			TOTAL LSWFA
		FIXED AMOUNT	PER CAPITA P&I	TOTAL P&I	FIXED AMOUNT	PER CAPITA SWE	TOTAL SWE	
ADAMS	20,450	\$160,000	\$34,617	\$194,617	\$37,500	\$25,552	\$63,052	\$257,668
ASOTIN	22,640	\$160,000	\$38,324	\$198,324	\$37,500	\$28,288	\$65,788	\$264,112
BENTON <sup>3</sup>	205,700	\$160,000	\$348,198	\$508,198	\$18,750	\$127,517	\$146,267	\$654,465
CHELAN <sup>3</sup>	79,660	\$160,000	\$134,844	\$294,844	\$18,750	\$99,533	\$118,283	\$413,127
CLALLAM	76,770	\$160,000	\$129,952	\$289,952	\$37,500	\$95,922	\$133,422	\$423,374
CLARK	499,200	\$160,000	\$845,019	\$1,005,019	\$37,500	\$187,500	\$225,000	\$1,230,019
COLUMBIA	4,185	\$160,000	\$7,084	\$167,084	\$37,500	\$5,229	\$42,729	\$209,813
COWLITZ	110,500	\$160,000	\$187,048	\$347,048	\$37,500	\$138,067	\$175,567	\$522,616
DOUGLAS <sup>3</sup>	43,750	\$160,000	\$74,058	\$234,058	\$18,750	\$54,665	\$73,415	\$307,472
FERRY <sup>3</sup>	7,910	\$160,000	\$13,390	\$173,390	\$12,500	\$9,883	\$22,383	\$195,773
FRANKLIN <sup>3</sup>	96,760	\$160,000	\$163,790	\$323,790	\$18,750	\$59,983	\$78,733	\$402,523
GARFIELD	2,225	\$160,000	\$3,766	\$163,766	\$37,500	\$2,780	\$40,280	\$204,046
GRANT	100,130	\$160,000	\$169,495	\$329,495	\$37,500	\$125,110	\$162,610	\$492,105
GRAYS HARBOR	74,720	\$160,000	\$126,482	\$286,482	\$37,500	\$93,361	\$130,861	\$417,343
ISLAND	85,530	\$160,000	\$144,781	\$304,781	\$37,500	\$106,868	\$144,368	\$449,148

<b>JEFFERSON</b>	32,190	\$160,000	\$54,489	\$214,489	\$37,500	\$40,221	\$77,721	\$292,210
<b>KING</b>	1,499,700	\$160,000	\$2,538,611	\$2,698,611	\$37,500	\$187,500	\$225,000	\$2,923,611
<b>CITY OF SEATTLE <sup>2</sup></b>	761,100	\$0	\$1,288,349	\$1,288,349				\$1,288,349
<b>KITSAP</b>	272,200	\$160,000	\$460,765	\$620,765	\$37,500	\$187,500	\$225,000	\$845,765
<b>KITTITAS</b>	48,140	\$160,000	\$81,489	\$241,489	\$37,500	\$60,150	\$97,650	\$339,139
<b>KLICKITAT</b>	22,770	\$160,000	\$38,544	\$198,544	\$37,500	\$28,451	\$65,951	\$264,494
<b>LEWIS</b>	80,250	\$160,000	\$135,843	\$295,843	\$37,500	\$100,271	\$137,771	\$433,613
<b>LINCOLN</b>	11,050	\$160,000	\$18,705	\$178,705	\$37,500	\$13,807	\$51,307	\$230,012
<b>MASON</b>	65,650	\$160,000	\$111,129	\$271,129	\$37,500	\$82,028	\$119,528	\$390,657
<b>OKANOGAN</b>	43,130	\$160,000	\$73,008	\$233,008	\$37,500	\$53,890	\$91,390	\$324,398
<b>PACIFIC</b>	21,840	\$160,000	\$36,970	\$196,970	\$37,500	\$27,289	\$64,789	\$261,758
<b>PEND OREILLE <sup>3</sup></b>	13,850	\$160,000	\$23,445	\$183,445	\$12,500	\$17,305	\$29,805	\$213,250
<b>PIERCE</b>	900,700	\$160,000	\$1,524,656	\$1,684,656	\$37,500	\$187,500	\$225,000	\$1,909,656
<b>SAN JUAN</b>	17,340	\$160,000	\$29,352	\$189,352	\$37,500	\$21,666	\$59,166	\$248,518
<b>SKAGIT</b>	130,450	\$160,000	\$220,819	\$380,819	\$37,500	\$162,994	\$200,494	\$581,313
<b>SKAMANIA</b>	12,220	\$160,000	\$20,685	\$180,685	\$37,500	\$15,269	\$52,769	\$233,454
<b>SNOHOMISH</b>	830,500	\$160,000	\$1,405,825	\$1,565,825	\$37,500	\$187,500	\$225,000	\$1,790,825
<b>SPOKANE</b>	425,110	\$160,000	\$719,603	\$879,603	\$37,500	\$187,500	\$225,000	\$1,104,603
<b>CITY OF SPOKANE VALLEY <sup>2</sup></b>	97,490	\$0	\$165,026	\$165,026				\$165,026
<b>STEVENS <sup>3</sup></b>	45,920	\$160,000	\$77,731	\$237,731	\$12,500	\$57,376	\$69,876	\$307,607
<b>THURSTON</b>	291,000	\$160,000	\$492,589	\$652,589	\$37,500	\$187,500	\$225,000	\$877,589
<b>WAHIAKUM</b>	4,210	\$160,000	\$7,126	\$167,126	\$37,500	\$5,260	\$42,760	\$209,887
<b>WALLA WALLA</b>	62,580	\$160,000	\$105,932	\$265,932	\$37,500	\$78,192	\$115,692	\$381,624
<b>WHATCOM</b>	228,000	\$160,000	\$385,946	\$545,946	\$37,500	\$187,500	\$225,000	\$770,946
<b>WHITMAN</b>	50,480	\$160,000	\$85,450	\$245,450	\$37,500	\$63,074	\$100,574	\$346,023
<b>YAKIMA</b>	258,200	\$160,000	\$437,067	\$597,067	\$37,500	\$187,500	\$225,000	\$822,067
<b>TOTALS</b>	<b>7,656,200</b>	<b>\$6,240,000</b>	<b>\$12,960,000</b>	<b>\$19,200,000</b>	<b>\$1,312,500</b>	<b>\$3,487,500</b>	<b>\$4,800,000</b>	<b>\$24,000,000</b>

<b>Total 2021-23 Biennium proposed budget:</b>	<b>\$24,000,000</b>
SW Planning & Implementation	<b>\$19,200,000</b>
P&I - Fixed Amount	\$6,240,000
P&I - Per Capita	\$12,960,000
SW Enforcement - \$2.925M or 20% total LSWFA budget	<b>\$4,800,000</b>
SWE - Fixed Amount	\$1,312,500
SWE - Per Capita	\$3,487,500
<b>TOTAL</b>	<b>\$24,000,000</b>

**Notes:**

(1) Population data from the Office of Financial Management - data as of April 1, 2020: <http://www.ofm.wa.gov/pop/april1/default.asp>.

(2) Cities listed on this table have an Ecology approved independent solid waste management plan consistent with RCW 70A.205.040(3)(a). The dollar figure given for cities is based on per capita only. It is allowable for a city and a county to negotiate a differing dollar amount; not to exceed the total allocated for the county.

(3) Multi-county jurisdictional health authorities include: Ferry, Pend Oreille and Stevens; Benton and Franklin; and Chelan and Douglas.

\*\*Calculations for SWE: Maximum amount of 20% of the proposed total, a fixed amount of \$37,500 for each jurisdictional health department (JHD), except multi-county JHDs divide a single \$37,500 fixed amount by the number of counties within the JHD; a per capita amount relative to each county's population; and a cap of \$225,000 per JHD, including multi-county JHDs.

\*\*Calculations for P&I: Maximum amount of 80% of the proposed total, a fixed amount of \$160,000 for each county; a per capita amount relative to each county's population except for listed city per capita is subtracted. No cap.

## Appendix B. Ineligible costs and exceptions

The following activities and related costs are identified as ineligible for reimbursement with LSWFA. Some are ineligible based on statute, while others are ineligible based on LSWFA policy.

Under narrow circumstances, there are exceptions to certain ineligible costs. Exceptions require Ecology to consider requests on a case-by-case basis, which make it difficult to provide definitive examples, or decisive explanations. Where we could, examples of exceptions are provided, following the bulleted ineligible cost and marked as “**Exception:**”. Please contact your grant manager for more information.

### A. High performance buildings

Ecology interprets high performance buildings as those structures incorporating sustainable or “green” practices that meet certain construction and/or equipment standards that are proven to save energy, water, air, land, material, and human resources. Ecology supports the concepts and results of green building practices; however, the costs associated with these practices are not eligible for LSWFA.

### B. State legislated product stewardship programs

Costs covered by these programs are not eligible for LSWFA reimbursement (costs not covered by these programs remain LSWFA eligible for reimbursement):

- Collection and recycling of electronics and peripherals covered under the E-Cycle Washington Program.
- Collection and recycling of mercury-containing lights covered under the LightRecycle Washington Program.
- Collection, recycling and or disposal of products covered under the PaintCare program.

For more detailed information and guidance, Ecology has prepared a [Frequently Asked Questions document](#) located on the LSWFA webpage.

### C. Disposal and clean-up costs

- Disposal of material collected for recycling.
- Disposal of solid waste.  
**Exception:** Cleanup and disposal performed under a Homeless Encampment Response task.  
**Exception:** Incidental garbage, or non-recyclable material from a collection event or facility operations or that ends up in a drop box, may be eligible for reimbursement under these conditions:
  1. Agreement must include an MRW or recycling operations task.
  2. The cost for disposal does not exceed 10 percent of the task budget.
  3. The garbage is considered incidental to operations.

Note: An example of incidental garbage could be a bag or box or any other type of packaging the customer used to transport the material they dropped off at the facility or event.

- Containers purchased for collecting solid waste for disposal.
- Cleanup and disposal of illegal dumps, including illegal dumps in a recycling drop box and on the property where recycling drop boxes are located.
- Disposal of used oil that is not contaminated.

Note: Ineligible costs extend to disposing of lab packs that contain used oil that is not contaminated. Many facilities use Chlor-d-tect test to determine whether or not used oil is contaminated. However, the Chlor-d-tect test is only an indicator and not sensitive enough to detect the presence of PCBs in used oil. Therefore, Ecology and the Environmental Protection Agency recommend that facilities send used oil samples to an accredited lab (and receive lab results) prior to pumping it from collection tanks. Knowing definitively whether the used oil is contaminated or not will help the facility avoid increased costs and potential penalties. Guidance on used oil specifications can be found in [WAC 173-303-515\(4\)](#).

**Exception:** Laboratory testing and management of oil determined to be contaminated through laboratory or field testing are eligible.

- Disposal of materials covered under the PaintCare program.

Note: Ineligible costs are extended to disposal of containers that include both PaintCare materials and non-PaintCare materials.

- CESQG recycling and disposal.

**Exception:** Education and outreach to promote the local CESQG program are eligible costs.

**Exception:** During normal hours of operating an MRW program, the recipient employee managing HHW may also handle CESQG and charge a fee for the service. It is Ecology's expectation that these fees, if charged, are itemized as revenue in the PRPR to help offset the costs.

## D. Landfills

- Solid waste incinerator feasibility studies, construction, maintenance, and/or operation.
- New landfill construction or landfill expansion; or landfill upgrading at an operating facility to meet the requirements of chapters 173-350 and 173-351 WAC.
- Landfill closure as required by chapters 173-350 and 173-351 WAC.

## E. Biosolids management

Biosolids managed under chapter 173-308 WAC.

Note: Chapter 173-350 WAC, Solid Waste Handling Standards, is not applicable to these biosolids, because biosolids are not a solid waste.

For this reason, costs associated with biosolids feasibility studies, trainings, compliance, and monitoring are not eligible for reimbursement through LSWFA.

**Exception:** If a facility permitted under chapter 173-350 WAC accepts biosolids in its operations, employee time is eligible for reimbursement only when the employee is monitoring the facility for compliance, including reviews of operations plans and permit renewals. **Exception:** An activity regulated under chapter 173-350 WAC, accepts biosolids in its operations; employee time is eligible when employees are operating the facility.

## F. Solid and hazardous waste expenses

- Solid and hazardous waste expenses not directly related to compliance with state solid and hazardous waste laws and rules.
- Managing out-of-state waste.

## G. Water related expenses

- Projects designed to address restoration of Puget Sound, funded in a competitive grant process, that are in conflict with the action agenda developed by the Puget Sound Partnership under RCW 90.71.310. Ecology cannot provide LSWFA that is prohibited under RCW 90.71.310.
- Installation and repair of groundwater monitoring wells.
- Water sampling when conducted on behalf of an owner or operator of a solid waste site or facility.

## H. Natural disasters

Natural disasters where there is no hazardous substance contamination

**Exception:** Costs resulting from a natural disaster are considered on a case-by-case basis. Ecology will work with local governments to determine eligible costs and/or scope an eligible project. The project must be contained in the local solid or hazardous waste management plan and in the agreement scope of work. Examples of eligible project costs could include:

1. Developing language or a section for inclusion in a solid or hazardous waste plan that addresses how the local government expects to manage disaster debris.
2. Inspection and/or authorization for disposal of abandoned or unidentifiable cars in the aftermath of a natural disaster.

## Appendix C. Examples of eligible activity

Financial assistance is reserved for local hazardous waste program planning and implementation, local solid waste planning and implementation, and for enforcement of rules and regulations governing solid waste handling. An activity eligible for LSWFA must provide an outcome that is measurable or be an element in a task that produces a measurable outcome. Ecology will negotiate scopes of work to ensure activity can be completed within the agreement period with the available budget.

### A. Planning

#### Hazardous Waste Plan maintenance

Local hazardous waste management plans contain a description of plans or programs to manage moderate risk wastes that are generated or otherwise present within the jurisdiction (RCW 70A.300.350). There is no statutory requirement for a local government to review or update their local hazardous waste plan. However, for an MRW activity to be eligible, it must be included in the plan. Ecology's guidelines for developing and updating local hazardous waste plans can be viewed in [Publication No. 10-07-006](#).

#### Solid Waste Plan maintenance

Local solid waste management plans contain a description of plans or programs to manage solid waste. Managing solid waste includes collection, handling, management services, and programs designed to meet the unique needs of the local government (RCW 70A.205.040). State law requires local governments to maintain their plan in a current condition and to review and revise it in a six-year cycle, as necessary (RCW 70A.205.075). For an activity to be eligible, it must be included in the plan. Ecology may limit reimbursement of plan maintenance to elements in the plan needing revision. Ecology's guidelines for developing solid waste management plans and other options for plan revisions can be viewed in [Publication No. 10-07-005](#).

### B. Moderate risk waste (MRW)

Financial assistance is reserved for activities included in the local hazardous waste management plan. Ecology will review the plan and evaluate proposed activity on a case-by-case basis to determine eligibility, including expected costs. Measurable outcomes are required. The following list gives examples of activities typically eligible and is not all inclusive:

#### Planning

- Studies, operation and maintenance plans, design documents
- Local regulations, ordinances
- MRW elements of emergency response plans

#### MRW Facility Operations

- HHW collected
- HHW properly managed

## Household Hazardous Waste Collection Events or Programs

- Satellite or special collection
- Mobile or curbside collection

## Health and Safety

- Job related employee training
- Safety training

## MRW Education

- Local regulations, ordinances
- Toxics reduction programs, such as Integrated Pest Management (IPM)

## Persistent Bio-accumulative Toxins (PBT)

- Reduction or removal
- Collection
- Education
- Policy development
- Planning

## Conditionally Exempt Small Quantity Generator (CESQG) Programs

- Business education and technical assistance, including waste audits
- Elements of award or incentive programs, such as EnviroStars
- Business outreach, program promotion

## Capital Expenditures

- New construction
- Facility improvements
- Site acquisition
- Equipment

## C. Waste reduction and recycling (WRR)

Financial assistance is reserved for activities included in the local hazardous or solid waste management plan. Ecology will review the plan and evaluate proposed activity on a case-by-case basis to determine eligibility, including expected costs. Measurable outcomes are required. The following list gives examples of activities typically eligible and is not all inclusive:

### Planning

- Studies, operation and maintenance plans, design documents
- Policy development

### Recycling Facility Operations

- Materials collected for recycling
- Materials handled and or transported for recycling

## Recycling Collection Events or Programs

- Drop box
- Mobile
- Multi-family
- Curbside
- School and business
- Exchange and reuse
- Special, targeted collection

## Health and Safety

- Job related employee training
- Safety training

## WRR Education

- Technical assistance
- Outreach such as presentations, workshops, training that promote programs and reduce contamination
- Residential, commercial, and school programs
- Limited elements of award and recognition programs
- Environmentally preferable purchasing (EPP)

## Capital Expenditures

- New construction
- Facility improvements
- Site acquisition
- Equipment

## D. Organics (ORG)

Financial assistance is reserved for activities included in the local solid waste management plan. Ecology will review the plan and evaluate the proposed activity on a case-by-case basis to determine eligibility, including expected costs. Measurable outcomes are required. The following list gives examples of activities typically eligible and is not all inclusive:

### Planning

- Studies, operation and maintenance plans, design documents
- Policy development

### Organics Management

- Composting
- Anaerobic digestion
- Other conversion technologies
- Prevention activities

## Organics Programs

- Food waste prevention, such as “Food Too Good to Waste”
- Edible surplus food rescue
- Curbside and drop off collection
- Natural yard care, including least toxic alternatives education
- Agricultural including organics use, waste management, and technical assistance
- Wood chipping

## Health and Safety

- Job related employee training
- Safety training

## Organics Education

- Technical assistance
- Outreach such as presentations, workshops, training
- Residential, commercial, institutional, and school programs
- Limited elements of award and recognition programs
- Master composter and/or gardener programs

## Capital Expenditures

- New construction
- Facility improvements
- Site acquisition
- Equipment

## E. Solid waste enforcement (SWE)

Solid waste enforcement financial assistance is reserved for enforcing rules and regulations adopted under chapter 70A.205 RCW. Measurable outcomes are required. The following list gives examples of activities typically eligible and is not all inclusive:

### Planning

- Solid waste handling guidelines
- Codes, ordinances, and/or regulations

### Administration

- Local solid and hazardous waste management plan(s) review
- Legal fees

### SWE Education

- Solid and hazardous waste regulations
- Preventing violations with outreach, such as presentations, workshops, and trainings
- Technical assistance for compliance

## **Enforcement**

- State minimum functional standards (chapters 173-350, 173-351, 173-304 WAC)
- Environmental monitoring (limited sampling of groundwater and/or landfill gas)
- Waste tires

## **Inspections**

- Solid waste handling facilities and sites
- Authorize disposal of abandoned junk vehicles

## **Permitting**

- Solid waste handling facilities
- Solid waste handling sites

## **Investigation**

- Illegal dumps
- Solid waste complaints

## **Equipment or tools**

- Monitoring equipment such as probes or groundwater sampling equipment
- Safety equipment or tools

## **Special programs**

- Homeless encampment response
- Syringe collection program
- Others determined eligible on a case-by-case basis, including costs

## Appendix D. Homeless Encampment Response – example scope of work language

**Task Title:** Homeless Encampment Response

**Task Cost:** \$

Task Description:

### ACTIVITY – CLEANUP

Recipient employees will coordinate with other departments and local agencies to cleanup active and or abandoned encampments and continue to keep them clean. Recipient employees may investigate active and or abandoned encampments to assess and prioritize cleanup. Cleanup and disposal are eligible on publicly-owned sites/locations only.

Recipient may contract for assistance with this task. Reimbursement for costs incurred by contractors to perform work identified in this Task are subject to the same eligibility and reimbursement requirements as the Recipient, and require ECOLOGY approval.

Recipient is encouraged to review the Master Contract provided by Department of Enterprise Services (DES) for information about vendors with experience to cleanup and dispose of materials that meet the Recipient’s specific circumstances and need.

### ACTIVITY – INFRASTRUCTURE, PURCHASED SERVICES

Recipient may purchase services to provide portable toilets and or garbage collection at shelter-in place locations and other locations where the Recipient has previously assessed these services are practical.

Recipient employees and or contractors will investigate active encampments to assess the level of infrastructure needed.

### Expected Task Costs

Costs eligible for reimbursement with supporting documentation include:

- Contracts, purchased services identified in the scope of work.
- Supplies for cleanup: bags, protective gear.
- Cleanup costs: time, transportation, and disposal of materials from encampments.
- Time: planning/coordination of cleanup.
- Costs not listed here but pre-approved in writing by Ecology.

### Costs not eligible for reimbursement

- Overtime compensation (all hours are calculated at the regular rate of pay).
- Costs not specifically identified or pre-approved in writing by Ecology.

**Task Goal Statement:** The goal of the task is to protect the environment through cleanup and prevent continued environmental harm at encampments.

**Task Expected Outcome\*:**

Recipient estimates,

- [number] pounds of garbage are cleaned up from [number] encampments and properly disposed.
- [number] pounds of garbage are prevented from improper disposal because garbage collection containers were installed at [number] active encampments and regularly serviced.
- [number] cleanups are performed at [number] encampments (includes multiple cleanups at the same encampments).

Recipient will track and report the pounds of garbage cleaned and properly disposed.

Anticipating multiple cleanups at the same encampment, Recipient will track and report quarterly, the number of encampments cleaned and the number of cleanups performed at each encampment.

\*See the complete list of volume to weight conversion factors maintained by the U.S. Environmental Protection Agency for solid waste.

- Mixed Textiles, Loose: Cubic Yard = 125-175 pounds
- Municipal Solid Waste, Mixed MSW- Multifamily uncompacted: Cubic Yard = 95 pounds

Ecology standard volume to weight conversions:

- Propane tanks: One tank = 30 pounds

**Deliverables (example):**

- 1.1 Coordination, assessments complete by July 30, 2021
- 1.2 Cleanup(s) begin August 1, 2021
- 1.3 Report pounds disposed from cleanups performed at encampments cleaned July through September – October 30, 2021
- 1.4 Cleanup(s) continue through June 30, 2023
- 1.5 Portable toilets and garbage containers delivered by September 1, 2021
- 1.6 Report pounds disposed from cleanups performed at encampments cleaned October through December – January 30, 2022
- 1.7 Report pounds disposed from cleanups performed at encampments cleaned January through March – April 30, 2022
- 1.8 Ongoing service provided at locations where portable toilets and garbage containers were delivered through June 30, 2021
- 1.9 Report pounds disposed from cleanups performed at encampments cleaned April through June – July 30, 2022
- 1.10 Report pounds disposed from cleanups performed at encampments cleaned July through September – October 30, 2022
- 1.11 Report pounds disposed from cleanups performed at encampments cleaned October through December – January 30, 2023
- 1.12 Report pounds disposed from cleanups performed at encampments cleaned January through March – April 30, 2023
- 1.13 Report pounds disposed from cleanups performed at encampments cleaned April through June – July 30, 2023

## Appendix E. Outcomes Guidance

Recipients of LSWFA are required to report on relevant measurable changes that occur as a result of performing the funded Task; these are called Outcomes. Recipients report them in the Spending Plan and Outcomes Data Collection form in EAGL. By using unchanged or standardized outcome measures for similar work, we hope to improve data collection and better describe the impact of LSWFA to legislators, locals, and other inquiring minds.

At this time, the LSWFA program is asking recipients to only report the outcomes directly achieved with their LSWFA budget. We are pursuing the possibility of expanding the reporting metrics to include achievements leveraged with LSWFA and are working with the LSWFA Work Group on the details.

The following table attempts to provide guidance for selecting a common outcome measure for a particular task.

Type of Grant	Type of Work	Common Measures	Standardized Outcomes
Planning	Planning document(s)	<p>Solid Waste Management Plan Maintenance.</p> <p>Hazardous Waste Management Plan Maintenance.</p> <p>Combined Plan Maintenance.</p> <p>General Planning.</p> <p>Recipient employee hours charged to implement Task work.</p>	<ul style="list-style-type: none"> <li>• Drafting</li> <li>• Final draft</li> <li>• Locally adopted</li> <li>• Ecology approved</li> <li>• Hours</li> </ul>
	Moderate Risk Waste (MRW)	<p>Waste reduced, includes toxics and businesses, and waste prevention.</p> <p>HHW collected and managed.</p> <p>Recipient employee hours charged to implement Task work.</p>	<ul style="list-style-type: none"> <li>• Tons</li> <li>• Pounds</li> <li>• Hours</li> </ul>
Implementation	Waste Reduction & Recycling (WRR)	<p>Solid waste reduced, includes businesses, and waste prevention.</p> <p>Contamination reduction.</p> <p>Solid waste collected for reuse, exchange, sharing, or donating.</p> <p>Solid waste collected for recycling.</p> <p>Recipient employee hours charged to implement Task work.</p>	<ul style="list-style-type: none"> <li>• Tons</li> <li>• Pounds</li> <li>• Hours</li> </ul>
	Organics (ORG)	<p>Organic waste reduced, includes edible food rescued for feeding people, and food waste prevention.</p> <p>Organic waste diverted from landfilling, includes prevented waste.</p> <p>Recipient employee hours charged to implement Task work.</p>	<ul style="list-style-type: none"> <li>• Tons</li> <li>• Pounds</li> <li>• Hours</li> </ul>

Solid Waste Enforcement	Solid Waste Handling Facility/ Site Compliance	Facility inspections. Permitted facilities/sites. Ordinance development. Recipient employee hours charged to implement Task work, including providing technical assistance.	<ul style="list-style-type: none"> <li>• Inspection numbers</li> <li>• Permit numbers</li> <li>• Hours</li> </ul>
	Solid Waste Investigation, Assistance, Enforcement	Complaints resolved. Ordinance development. Recipient employee hours charged to implement Task work, including providing technical assistance.	<ul style="list-style-type: none"> <li>• Complaint resolution numbers</li> <li>• Hours</li> </ul>
	Homeless Encampment Response	Garbage cleaned. Encampments cleaned. Total cleanups performed (includes multiple cleanups at the same encampment). Active encampments where garbage collection containers were installed and regularly serviced. Garbage prevented from improper disposal because garbage collection containers were installed and serviced. Recipient employee hours charged to implement Task work.	<ul style="list-style-type: none"> <li>• Pounds of garbage cleaned</li> <li>• Number of encampments cleaned</li> <li>• Number of cleanups</li> <li>• Number of encampments where garbage collection containers were installed/serviced.</li> <li>• Pounds of garbage properly disposed through garbage collection containers.</li> <li>• Hours</li> </ul>
	Syringe Collection Program	Used syringes collected. New syringes distributed. Recipient employee hours charged to implement Task work.	<ul style="list-style-type: none"> <li>• Number of used syringes collected</li> <li>• Number of new syringes distributed</li> <li>• Hours</li> </ul>

## LSWFA guidance for standardized reporting

### General reporting

For most tasks, the LSWFA program is asking the recipient to report weight as the standardized outcome. For all tasks, the program is also asking the recipient to report the recipient hours charged to implement the task so that we can translate those hours into the number of full time equivalent (FTE) people LSWFA supports. These hours would not include contractor hours, for example.

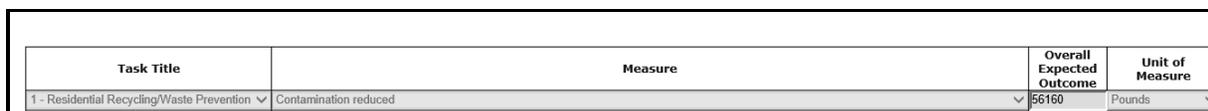
### Contamination reduction

For Tasks focused on Contamination Reduction, the LSWFA program requests recipients report outcomes in terms of **pounds of contamination reduced**. There are many ways to measure contamination, though, by choosing pounds, we are able to estimate the scale of the work, compare work across communities, and aggregate the data.

Instead, if the metric was “percent of contamination observed” and we did not convert it into estimated pounds, the exact same percent change could be reported by two different recipients and the affected weight could be vastly different between the two recipients. Additionally, if the metric was a percentage, we could not summarize the impact in the end-of-biennium report.

### Outcomes Data Collection (in EAGL)

For Tasks that include contamination reduction work, the Outcomes Data Collection form will contain a measure for **Contamination reduced** and the recipient will estimate the overall expected outcome in pounds. If not a stand-alone task, contamination reduction work could be scoped under the standard task title of Residential Recycling/Waste Prevention or Business Recycling/Waste Prevention or Recycling Operations and be preceded by the acronym CROP.



Task Title	Measure	Overall Expected Outcome	Unit of Measure
1 - Residential Recycling/Waste Prevention	Contamination reduced	56160	Pounds

Screenshot 6 Example of a contamination reduction measure in the form

### How to Measure Pounds Reduced

Recipients should scope the target audience for their contamination reduction work, take baseline measurements of the contamination, and then compare to measurements taken after the reduction efforts. The exact methods for this may vary, but below are suggested methodologies that will help us summarize the data statewide. Discussion of measurement of contamination is also found in the [Recycling Contamination Reduction Best Management Practices & Resources Companion Guide<sup>20</sup>](https://apps.ecology.wa.gov/publications/SummaryPages/2007031.html), with links to more resources.

<sup>20</sup> <https://apps.ecology.wa.gov/publications/SummaryPages/2007031.html>

## Methodology requested by Ecology

Contact your grant manager for guidance on methodologies for achieving other outcomes. The following is the methodology for achieving outcomes related to contamination reduction.

1. Focus on small geographic areas and customer sectors, as outreach can be more intense in the focused area. Just a few samples can be more reflective of reality, and provide opportunity for tailored and immediate feedback to your targeted community.
2. Ecology expects each local government will decide what is inclusive of “contamination” for its jurisdiction. Contamination is defined in RCW 70A.205.070(4)(b) as any material not included on the local jurisdiction’s acceptance list.
3. Before the work starts, conduct at least two samples as a baseline. Obviously, the more samples from which you can extrapolate data, the better your estimate will be. Each biennium, the recipient will start over with this recommended process. (Carrying the information forward is not recommended). Said differently, you conduct a fresh sampling for your baseline at the beginning of each biennium.
4. Sampling in intervals after the campaign is launched can help determine the impact of outreach on contamination reduction. Average each sample set. If aggregating data across various target areas, go ahead and count the area with a spike in contamination against the other areas.
5. Ecology recommends conducting your first post-outreach sample within one to three months of beginning outreach.
  - **Sampling Tip:** It is important to use the same methodology for all sampling. For example, if using a visual estimate, use the same person to do the sampling before the works starts and after the campaign is launched. Furthermore, if there are multiple carts at an apartment complex, for example, be sure to sample bins in the same locations for all sampling. Holidays and seasonality should also be considered.
6. Do not report any “pounds contamination reduced” to LSWFA until you have both baseline and post-outreach data. Then report the difference in the weight of contamination to LSWFA:

### Option A: Only one set of baseline and post-outreach data?

Apply the per quarter contamination pounds reduced for every quarter after the work began until the end of the grant. To further illustrate this, an example is given in the second bullet point below.

### Option B: Ongoing post-outreach data collection?

If you are able to perform further post-outreach sampling, continue to compare against the original baseline, rather than the quarter before.

## How to Calculate Pounds Reduced

If baseline sample data shows 500 pounds of contamination for a given target area for a month time period (month of June, for example), and post-outreach data shows 400 pounds of contamination for the same area for a month (month of September), the difference is what we are asking you to report: pounds of contamination reduced.

To further illustrate this example, the post-outreach data shows 100 pounds less contamination for the month of September. This can be extrapolated to

- 300 pounds less contamination for reporting period July through September (100 per month) for that area.
- 300 pounds reported for each subsequent quarter (October through December, etc.), assuming a sustained change through the end of the grant for that area.

If you are able to continue sampling each quarter, continue to compare against the baseline, rather than the quarter before. For example, while Q4 may show an increase in contamination over Q3, it might still show a decrease as compared to the baseline (pre-outreach) contamination level in Q2; and the Q4 to Q2 comparison is what you would track.

Yes, it's possible that your samples will show an *increase* in contamination. You may wish to revisit your outreach and/or sampling in that area in hope of lowering it, or just report the LSWFA metric "pounds contamination reduced" as zero (EAGL will not accept negative outreach numbers). Please explain potential causes of the increase in the narrative portion of your progress report form, and what you could do to help address the cause.

## Sampling Strategies

### One method: Truck checks

Work with your hauler to target a specific geographic area and sector, considering which trucks collect from such areas. Have the hauler, your own employees, or a neutral third party estimate the percent contamination for targeted loads by dumping the truckload in a designated area of the MRF or other agreed-upon location for examination before processing (i.e., a "pad inspection"... some MRFs already do this). The level of detail of the inspection is up to you (some entities use this opportunity to look for specific problem materials, or perform a miniature waste sort), but should result in data reflecting the weight of contaminants. Ways to do this include:

- 1) Visually estimating the percent of contamination in the load as percent volume, and the size of the overall load in **weight**. Example:
  - a. Truck A's load is about 10% contamination, based on visual estimate of volume
  - b. Truck A's load weighed in at W pounds
  - c. Truck A's estimated weight of contamination is:
    - i.  $10\% * W \text{ pounds} = X \text{ Pounds}$
  - d. Extrapolate these pounds to reflect the amount collected from the targeted geographic area. Example:
    - i. Truck A and Truck B both service the area, and do so 3 times a week. Using the sample data to assume all of the loads check in at 10% contamination, that would be:
      1.  $X \text{ Pounds} * 2 \text{ trucks} * 3 \text{ times a week} = Y \text{ pounds contamination per week}$
      2. Per month, that's roughly  $Y \text{ pounds} * 4.3 \text{ weeks in a month} = Z \text{ pounds contamination per month}$

- e. From there, you could estimate the pounds of contamination per quarter, etc.
- 2) Visually estimating the percent of contamination in the load as percent volume, and the size of the overall load in **volume**. Example:
  - a. Truck A's load is about 10% contamination, based on visual estimate of volume
  - b. Truck A's load is about A cubic yards
  - c. Truck A's estimated volume of contamination is:
    - i.  $10\% * A \text{ cubic yards} = B \text{ cubic yards}$
  - d. Truck A's load weight is unknown, but volume can be estimated. Using a suggested 260 lbs. / CY for packer-truck-pressed commingled recycling with glass, we can say:
    - i. Truck A's estimated weight of contamination is:
      1.  $B \text{ cubic yards} * 260 \text{ pounds per cubic yard} = C \text{ pounds}$

### **Another method: Bin checks**

This can work for targeted businesses, trailer parks, apartment complexes, etc. Beware that privacy rights extend to materials placed curbside, so if gaining permission seems tenuous, truck checks may be preferred. Some trucks also have cameras that can photograph waste as its dumped from bin to truck.

Auditor(s) may be trained how to consistently visually estimate:

- What size of bin they're auditing (96-gallon or 64-gallon cart, 2-yard dumpster, etc.).
- How full the bin is by volume by tiers such as 25%, 50%, 75%, or 100%
- Percent of contamination in a bin based on volume, again, by tiers. If you're tagging bins at the same time as the audit, you may want three tiers such as 10% or less (green/good), 11%-50% (yellow/warning), and 50% and above (red/not serviced; try again or it will be serviced as trash for a fee).

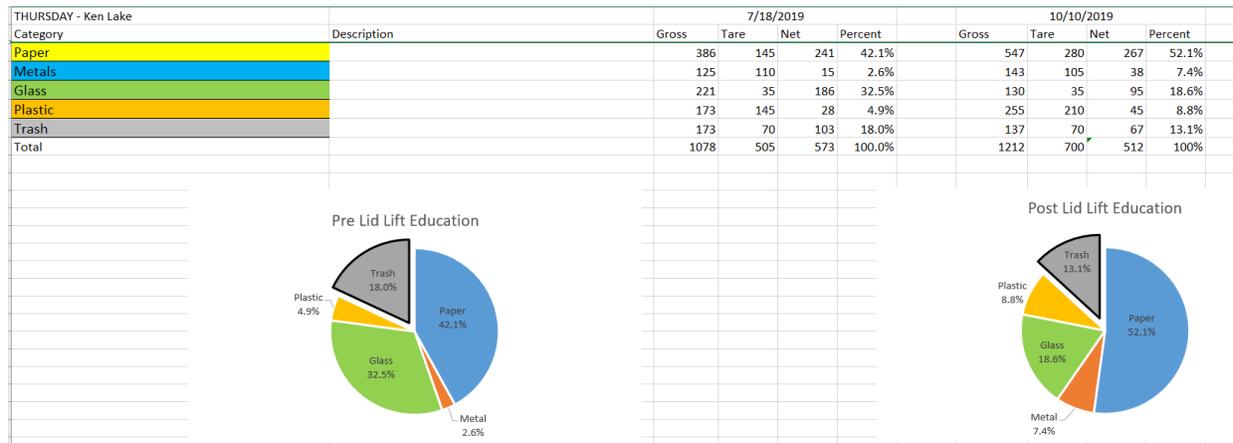
Then, convert the above data into an estimate of the pounds. For an example, look at the [City of Bothell's spreadsheet<sup>21</sup>](#) for their 19-21 LSWFA.

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<sup>21</sup> <https://app.box.com/s/rdmb2dykyjdumbjlyq7dlx65esggv0/file/810630945798>

The City of Olympia also did bin checks, which were detailed and included direct weight collection. The screenshot below shows the October sample is of fairly similar overall weight to the baseline July sample, but contamination (listed as “trash”) dropped by 36 pounds (103 minus 67), which would be the amount to report to Ecology.

More of their work is found in the [Contamination Reduction and Outreach Plan Resource Library](#).



Screenshot 1 Sampling example for City of Olympia

## Appendix F. Risk Assessment Process

### RISK ASSESSMENT PROCESS

#### Solid Waste Management Grant Programs

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

#### Base Risk Assessment

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

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

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

#### Base Risk Assessment Questions (Yes responses indicate risk)

All SWM grant recipients will be assessed on the following:

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

#### Assessment Results

##### *Base Risk Level is Low*

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

##### *Base Risk Level is Medium*

- Answer is yes to question 1, 2, 4, or 5.
- Answer to question 3 does not affect risk at this level.

- Answer is yes to question 5 and the questioned costs were between \$10,000 and \$39,999.

*Base Risk Level is High*

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

Risk Levels Defined

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

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

*Low risk recipients*

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

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

Stock language for the written communication:

Example 1

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

Example 2

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

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

### *Medium risk recipients*

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

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

Stock language for the written communication:

#### Example 1

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

#### Example 2

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

### *High risk recipients*

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

Stock language for the written communication:

#### Example

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

### Consequences for Recipients' Failure to Comply

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

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

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

#### Additional Assessment Questions by Individual SWM Grant Programs

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

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

#### *Local Solid Waste Financial Assistance (LSWFA) (Yes responses indicate risk)*

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 or closing an agreement with a budget balance greater than 5 percent (of the awarded or amended amount)? Y/N
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 PRPR returned for modifications more than four (4) times in the biennium? Y/N