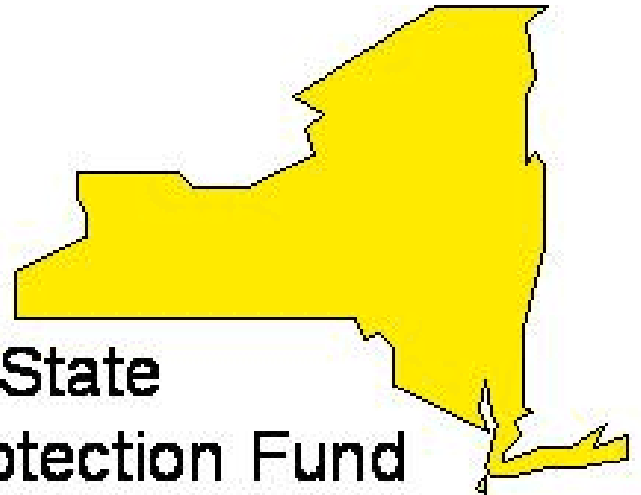




NYS Dept. of Environmental Conservation
Division of Materials Management
Bureau of Permitting and Planning
Planning and Municipal Assistance Section
625 Broadway
Albany, NY 12233-7260



New York State
Environmental Protection Fund
Clean Water/Clean Air Bond of 1996



**Municipal
Waste Reduction
& Recycling
Program**

**Recycling Capital Project
Application Package**

This application package is ONLY for Recycling Capital Projects.

If you are interested in a different type of project,
please call 518-402-8678 or go to our website
<http://www.dec.ny.gov/pubs/4776.html>
to obtain a different application such as the application
for Recycling Coordinator Salary/Public Education
projects or for Waste Reduction projects or
Household Hazardous Waste projects



TABLE OF CONTENTS - RECYCLING CAPITAL PROJECT	
1.0 INTRODUCTION.....	Page 2
What does this program do ?	
2.0 ELIGIBILITY INFORMATION.....	Page 2
Is my community eligible ?	
3.0 APPLICATION PROCEDURES.....	Page 4
How does my community apply ?	
4.0 APPLICATION CONTENTS.....	Page 5
What information do I need to send in for my application ?	
5.0 MARKETING PROCEDURES.....	Page 11
How do I set up good marketing systems ?	
6.0 CONTRACTING AND PAYMENT PROCEDURES.....	Page 13
For future reference	
7.0 MINORITY/WOMEN'S BUSINESS ENTERPRISE (M/WBE) AND EQUAL EMPLOYMENT OPPORTUNITIES (EEO) REQUIREMENTS.....	Page 14
APPENDIX I: ADDITIONAL ELIGIBILITY GUIDELINES FOR MUNICIPAL RECYCLING COSTS AND OTHER FUNDING ISSUES	
WORKSHEETS: Application Checklist Application Cover Sheet Equipment List Certificate as to Title to Project Site Municipal Recyclables Summary Worksheet Market Planning Worksheet Resolution (Sample) Certificate of Recording Officer (Sample)	
LIST OF D.E.C. REGIONAL CONTACTS	
PRE-APPLICATION INSTRUCTIONS AND FORMS	



1.0 INTRODUCTION

Passage of the Environmental Protection Act in July of 1993 created the Environmental Protection Fund (EPF), a continuing source of funds dedicated to environmental projects, including programs such as the Municipal Waste Reduction and Recycling (MWR&R) program to help municipalities meet environmental goals and mandates. Funding for the individual program components is subject to annual legislative appropriations.

Passage of the 1996 Clean Water/Clean Air Bond Act (Bond Act) assists in funding projects involving only Recycling Capital Costs. This recycling application package satisfies the requirements of both the EPF and the Bond Act.

Eligible projects are those that enhance municipal capacity to collect, aggregate, sort and process recyclable materials. Recycling equipment includes structures, machinery, or devices providing for the environmentally sound recovery of recyclables including source separation equipment and recyclables recovery equipment.

2.0 ELIGIBILITY INFORMATION

Who is eligible to apply ?

- ◆ Counties
- ◆ Cities, Towns, Villages
- ◆ Local Public Authorities
- ◆ Local public benefit corporations (organizations established by State law)
- ◆ School districts, Supervisory districts & Improvement Districts
- ◆ Native American tribes or nations residing in New York State
- ◆ Any combination of the above

By law, private sector companies, not-for-profit organizations, and State agencies are **NOT** eligible to apply for MWR&R grants.

The following items should also be kept in mind:

- ▶ Payments are limited to 50% of the eligible costs incurred by the applicant or a maximum of \$2 million.
- ▶ If any Federal or other assistance is received for the project, reimbursement will be limited to 50% of the net eligible cost.
- ▶ Payments will be made only after a **State contract** for the eligible portions of the proposed project is executed by all required State agencies.



Some examples of eligible projects include:

1. Materials Recycling, Recovery or Storage Facilities (Capital Costs)
2. Dedicated Recycling Processing equipment (balers, shredders, grinders, loaders, etc.)
3. Dedicated recycling vehicles
4. Curbside collection containers for recycling
5. Composting facilities or equipment

Some examples of INELIGIBLE projects:

1. Solid Waste Transfer Stations
2. Processing equipment which is NOT dedicated to recycling
3. Trucks used less than 50% for collection of recyclables
4. Salaries, operating costs, indirect costs
5. Project costs incurred prior to April 1, 1993.
6. Costs related to recycling education or promotion. These costs may be eligible as of April 1, 2000. Please call DEC for the correct application for these types of grants if you are interested.

*** No monies will be paid for projects, or portions of projects, if the recyclables or compost collected or processed are not marketed to the satisfaction of DEC.



3.0 APPLICATION PROCEDURES - AN OVERVIEW

3.1 The Pre-application

1. File a "pre-application" (see last page of this application package) so that DEC can determine whether the project is conceptually eligible.
2. Your pre-application will be added to the MWR&R waiting list on an ongoing, first-in-first-out (FIFO) basis and based on the date which DEC's Albany Office (address below) receives the pre-application.
3. DEC will solicit a full, final application from applicants who filed pre-applications when the State Budget allows DEC to reach projects on the wait list. Normally, DEC requests full final applications within 12-24 months after filing of a pre-application. However, this time frame may be shorter or longer depending on the number of pre-applications filed.

3.2 Final Application

1. Upon receiving a solicitation request from DEC, the applicant must submit a full final application for State assistance to DEC within 60 calendar days of the date of notice from DEC.
2. An applicant who receives a solicitation notice may withdraw the pre-application without penalty. New pre-applications submitted by the applicant will be added to the waiting list based on the date the new pre-application is received.
3. Only applicants who submit complete final applications, as determined by the DEC, will be entitled to remain on the waiting list and be eligible for state assistance.
4. The DEC may ask for additional information from an applicant as may be necessary to update or complete an application.
5. Failure to submit additional required information in a timely manner as determined by the DEC may result in an applicant being removed from the waiting list and having the application disapproved.
6. A position on the waiting list is not to be interpreted as a guarantee or promise of future funding from the State.
7. Project application will be reviewed and may be approved, disapproved or recommended for modifications by DEC.

Send Pre-Applications or Final Applications to:

Division of Materials Management
Bureau of Permitting & Planning
Planning & Municipal Assistance
625 Broadway
Albany, NY 12233-7260



4.0 APPLICATION CONTENTS

Use this section to guide you in putting together an approvable application.

A. **Application Cover** signed by a duly authorized representative of the municipality.

☞ Use the Cover Page included with this Application Package

B. **Project description** Write a narrative project description that clearly describes and justifies your project.

USE THE FOLLOWING OUTLINE TO WRITE THE PROJECT DESCRIPTION

1. Identify the **overall objectives or goals** of the applicant in seeking to complete this project, such as:
 - (a) new municipal program components to be initiated;
 - (b) measurable quantitative improvements in existing program, for example: increases in tonnages collected; increases in sectors covered by recyclables recovery programs; and increases in participation rates;
 - (c) qualitative improvements in existing program components, for example: greater collection or processing efficiency; and improved services provided to target audiences;
 - (d) other types of goals or objectives.

2. Describe the **service area of the project** including the following information:
 - (a) a description and map including, if applicable, locations of central aggregation or processing facilities and any satellite stations or equipment; and
 - (b) location, population and demographic descriptions, including data on the numbers and types of households, as well as any commercial, industrial and institutional facilities to be served, by the project.

3. Identify the **categories or types of recyclables or compost** to be generated by the project, including tonnages of recyclable materials to be recovered.

☞ Use the "Municipal Recyclables Summary Sheet" provided in the back of this Application Package.



B. Project description (Continued)

4. Describe the **major components and subsystems** of the project, detailing methods, schedules, equipment, and services required for each subsystem, including:
 - (a) source separation methods, including household separation prior to curbside pickup, and separation of commingled recyclables at a materials recovery facility;
 - (b) collection routes, schedules, equipment and personnel required for recyclable materials or compost collection and aggregation;
 - (c) processing design, including:
 - (1) design and operational capacities of the project and component equipment;
 - (2) number and design of structures;
 - (3) overview of all existing and planned equipment;
 - (4) floor plans and equipment layout; and
 - (5) description of basic processes of all equipment;
 - (d) methods of preparing collected recyclables for market, such as crushing, baling, chipping, granulating, etc; and
 - (e) methods to be employed for protecting recyclables from contamination and deterioration, such as protecting newsprint from sun, precipitation and contamination from other recyclable or non-recyclable materials.

C. Project budget

1. Provide an itemized list of costs for which funding is requested, including,
 - (a) estimated costs;
 - (b) brief summaries of use;
 - (c) dates of purchase or future purchase dates; and
 - (d) vendor specifications, equipment brochures, or bid specifications issued by the municipality, for each item of equipment, and for buildings to be funded.
2. For **EQUIPMENT COSTS** only, use the "Equipment List" worksheet provided in this Application Package to describe items for which funding is requested. The following is a sample of the information that must be provided on the Equipment List:

Ref. No.	Equipment/ Description	Quantity	Total Unit Cost	Total Cost	Purch. Date	Brief use summary, materials & tpd handled, & location
1	Baler	1 @	\$20,000	\$20,000	9/20/94	To bale ONP, OCC & plastics We estimate 18 tpd by the 3rd yr., therefore, a model 3 ft x 5 ft capacity was chosen. To be located at the Poplar St. recycling facility.



C. **Project budget** (Continued)

3. For **CONSTRUCTION OR PROFESSIONAL SERVICES**, provide an estimate of costs and justifications for each service. The following are examples of eligible services.
 - (a) engineering and architectural services;
 - (b) surveys;
 - (c) plans and specifications;
 - (d) legal and consultant services;
 - (e) construction services (general, HVAC, electrical, plumbing)
If available, include a set of construction bid specifications.

4. **WORK FORCE ACCOUNT COSTS** (the cost of construction services/time provided by municipal employees) This item MAY be eligible for inclusion in the project budget under the following conditions:
 - a. No more than a reasonable amount of the Total Project Cost, and only for the following:
 - (1) site preparation;
 - (2) facility construction; and
 - (3) engineering, architectural, legal, and other professional services.
 - b. The applicant must provide an explanation of why using a municipal work force is the preferred alternative. **Any force account costs must be approved by DEC prior to start of the project.**

Frequently Asked Questions:

- Q: Are packer trucks, dump trucks or pickup trucks eligible for funding?
A: **ONLY** if the applicant can clearly document that the vehicle is used no less than 50% of it's time for **collecting materials which are recycled or composted**. Vehicle use for utility purposes, such as snowplowing or deploying personnel, even if related to recycling, are **NOT** eligible for funding.
- Q: Is land purchase eligible ?
A: To the extent that DEC agrees that land acquisition is reasonable and necessary to accomplish your stated goals, it is eligible. However, documentation such as appraisals, purchase contracts, maps, etc. are required for approval. Further, no payment will be authorized until the land is being used for the intended purpose.
- Q: Is C&D waste equipment, waste oil tanks, or tire processing equipment eligible ?
A: To the extent the applicant can demonstrate legitimate recycling markets for these materials, then equipment used to collect, store, or process these materials would be eligible.



D. Marketing procedures

to be utilized for sale or distribution of each recyclable material.

☞ See section 5.0 of this application package for Marketing Procedures.

E. Implementation schedule

Develop a timetable for the completion of various phases of the project and the estimated duration of the useful life of the project and its components.

F. Certified Resolution

from the governing body of the municipality for submission of the application. DO NOT change the form resolution included in this application package. It has been pre-approved.

☞ **Hint:** Write your resolution so that it names an authorized representative by TITLE, not by name, in case the person leaves during the application process.
☞ **Hint:** Use the *Resolution* and *Certificate of Recording Officer* forms included with this Application Package. Do not make changes to the language of the sample resolution. This may jeopardize funding. Send in four (4) certified copies of the Resolution and Certificate of Recording Officer **with original signatures.**

G. Certification as to title to property site

A legal description, including a copy of the title, attesting to the municipality's ownership of sites to be used in the project. If the municipality does not own the site(s) to be used, documentation must be provided which proves that the municipality has the authority to utilize and maintain the site(s) for the useful life of the project (i.e. lease agreement or similar document).

Hint: This requirement applies for projects with fixed sites, and DOES NOT apply to projects consisting ONLY of curbside containers/rolling equipment.

☞ Use the "**Certificate as to Title to Property Site**" included in the back of this Application Package

H. Local Recycling Law

A copy of the municipality's current local source separation law or ordinance adopted pursuant to section 120-aa of the NYS General Municipal Law (GML 120-aa);

Hint: For **public authorities, public benefit corporations, school districts, or supervisory districts**, send in a copy of the local recycling law in force in your service area. For **Native American** applicants, call the DEC at (518) 402-8678 for instructions.



I. **Minority/Women's Business Enterprise and Equal Employment Opportunity Requirements (M/WBE & EEO)**

See Section 7.0 and use the tables and charts included with this Application Package. If you need additional assistance, contact the DEC's Bureau of Minority and Women's Business Compliance.

J. **Other Information** - The following items should only require a paragraph or two of writing to complete. Please be brief.

1. **Solid Waste Planning Compliance**

A brief description of how the proposed project is consistent with the State Solid Waste Management Plan, and any Local Solid Waste Management Plan or Comprehensive Recycling Analysis in place for the service area.

2. **Other Financial Assistance**

Describe any funding received or applied for under State or federal programs for this project.

3. **State Environmental Quality Review Act (SEQRA), Permit, Registration, etc.**

Describe efforts undertaken to meet all applicable permit/registration requirements under local, state, or federal laws, rules or regulations, including a description of efforts undertaken to comply with the requirements of SEQRA, if applicable.

4. **Education/Promotion**

Describe the **public education and promotion program** to be utilized to facilitate maximum public participation in the project.

5. **Environmental Justice**

Describe efforts undertaken by the municipality to **minimize the adverse impacts** of the project, or any components thereof, on **minority or disadvantaged persons** or communities.

6. **Small Business Impacts**

Describe efforts undertaken by the municipality to **minimize adverse impacts** of the project, or any components thereof, on **small businesses**.

7. **Waste minimization**

Describe the processes and procedures to be utilized for **minimizing the generation of non-marketable residues**, and describe the processes to be utilized for the handling and disposing of residues.

**8. General Municipal Law Bidding Compliance**

Certify, in a sentence, that "all equipment and construction materials/services will be purchased in accordance with the **General Municipal Law** and other applicable laws."

9. Avoided Cost Examination

Provide a statement that "the full **avoided costs** of proper collection, transportation and disposal of source separated recyclables are greater than the cost of collection, transportation and sale of said recyclables, less the amount received from the sale of said recyclables."

If the Project involves Composting Facilities/equipment for other than yard waste, a Compost Quality Management Plan must be provided consisting of the following:

1. if applicable, an approved permit issued by the DEC under Part 360, for the project; or a copy of the permit application cover page for the project;
2. a brief description of the source, and quantity of solid waste to be processed, including seasonal variations in the waste type and quantity and the type of composting method to be used;
3. a brief summary of testing procedures conducted on the input waste components to be composted, and the results of such testing;
4. a brief description of the source, quality, and expected quantity of any bulking agent, amendment, ad mixture, or seed material;
5. a brief description of processes to segregate non-compostable components of the waste stream, such as recyclables, household hazardous waste, and other contaminant materials from the compostable materials;
6. a brief description of the processes to reduce pathogenic organism content and vector attraction;
7. a brief description of the training to be provided to project operation personnel; and
8. a brief description of the expected use, and method for removal of finished compost from the site.

For projects involving ONLY yard waste, the Compost Quality Management Plan requirement may be waived.



5.0 MARKETING PROCEDURES

(use this section to complete item C from section 4.0)

Part 1 - What will you be marketing ? (QUANTITY)

☞ Use the "Municipal Recyclables Summary Worksheet" included in this application package.

Part 2 - How will you be marketing it ? (QUALITY)

Marketing recyclables or compost can be approved by submitting any **one** of the following six options for **each** recyclable or compost generated by the project:

Option	Documentation	Experience
1	Executed Market Agreement Two Years Duration	---
2	Executed Market Agreement One Year Duration	Six Month Marketing History
3	Executed Market Agreement Month-to-Month	One Year Marketing History
4	Letter of intent	Two Years Marketing History

Use the table above and the definitions on the next page to choose one of the options to demonstrate MARKETING for each material to be captured in your project.

☞ Use the "Market Planning Worksheet" included in this Application Package or a similar format.



DEFINITIONS OF MARKETING TERMS:

An Acceptable **Executed Market Agreement** MUST:

1. cover all recyclable material or compost to be generated by the project; and
2. direct the recyclable product to the highest value end use practical.

An Acceptable **Marketing History** MUST:

include recyclables marketing records documenting evidence of the applicant marketing high quality recyclables, including:

1. delivery schedules;
2. names(s) of market outlets or vendors;
3. tonnage of recyclables delivered; and
4. if applicable, cost or remuneration.

Acceptable **Letters of Intent** MUST:

come from at least two market outlets or vendors indicating a willingness to accept the applicant's recyclables or compost during project duration;

1. covering all recyclable material or compost to be generated by the project; and
2. directing the recyclable product to the highest value end use practical.

Special Marketing Circumstances:

Using Another "Market-Municipality"

For projects where the recyclable products or compost products will be marketed to another municipality ("market-municipality"), the applicant must provide the following:

- (1) a commitment letter from the "market-municipality" stating the terms by which the "market-municipality" will accept recyclables generated by the applicant's project (i.e. materials description, tonnages, delivery schedules, and methods of transportation, and if applicable, remuneration), and
- (2) information/documentation as to the capability of the "market-municipality" to market or use said recyclables.

Acting as a Self-Market

For projects, where the municipality intends to act as their own market as in the case of compost, wood chips, or glass cullet (e.g. using compost for municipal parks or distribution to residents); the following information must be provided by the applicant:

1. a resolution passed by the governing body stating such intentions; and
2. in cases where a material, such as glass cullet, compost or paper, has a potentially higher value end use market, reasons as to why the higher value end use was not chosen;

In cases, where a municipality plans to undertake a composting project, the following will NOT be considered an approvable market:

- (1) use of finished compost as daily landfill cover;
- (2) exclusive use of the finished compost product as landfill final cover; or
- (3) landfilling of final compost.



6.0 CONTRACTING AND PAYMENT PROCEDURES (OPTIONAL READING FOR YOUR INFORMATION)

6.1 The Contract

Upon approval by the DEC of a project application, a municipality must enter into a contract with the DEC to obtain State assistance.

6.2 Payment Procedures

1. Upon execution and implementation of a contract for State assistance, the municipality may periodically request up to 50% reimbursement for the eligible costs of completed portions of the project.
2. Reimbursement requests are to be submitted in a format prescribed by DEC and must contain all information required.
3. DEC may require that reimbursement requests be accompanied by a summary detailing recyclable materials or compost materials marketing accomplishments.
4. Reimbursement requests may be submitted periodically for those portions of the project which have been completed in accordance with the contract.
5. Upon receipt of a partial reimbursement request, the DEC will review the request in a timely manner for conformance with the terms and conditions of the contract. DEC review will include the following:
 - a. compliance with the scope of work and implementation schedule specified in the contract;
 - b. progress reports and work actually completed as compared with those tasks for which reimbursement is being requested;
 - c. results of on-site inspections or audits by DEC;
 - d. compliance with M/WBE and EEO requirements;
 - e. compliance with all other terms and conditions of the State assistance contract.
6. Upon completion of all reviews, the DEC will approve, disapprove or modify the amount of funds requested for reimbursement.
7. Upon approval of a partial payment request by the department, the municipality will be reimbursed in a timely manner for all the costs approved. Such payment will not exceed the approved amount.
8. The DEC may retain up to 10% of every approved non-final State assistance payment amount until final payment approval by DEC.
9. All permits or registrations required under the Environmental Conservation Law or other state and federal laws, rules, and regulations must be obtained by the municipality before payment of any funds by the DEC is allowed.
10. The municipality is required to submit a "certificate of completion," in a format prescribed by the department, accompanying the final payment request for the project. The final payment request will be considered incomplete until the DEC receives the certificate of completion.
11. The DEC will conduct a final inspection of the project before making a determination for final approval. Final payment under the contract shall be made only after final approval by the DEC. In no case will the total of all partial payments and the final payment exceed the total State assistance amount specified in the contract.



7.0 MINORITY & SS ENTERPRISE (M/WBE) AND EQUAL EMPLOYMENT OPPORTUNITIES (EEO) REQUIREMENTS

In order to improve the planning and implementation of Minority and Women's Business Enterprise (M/WBE) requirements, and to assist funding applicants in reducing their paperwork, DEC has re-designed the M/WBE forms to be submitted with an application for state assistance.

If you have questions on these forms, or on the M/WBE and EEO programs, please contact DEC's Bureau of Minority and Women's Business Programs.

Instructions: A or B will apply

- A. If the State share requested for your project is \$25,000 or more, M/WBE and EEO goals will be assigned to your project. Please complete the M/WBE Utilization Plan chart AND sign the M/WBE Policy Statement included with this application package. Include both items when you submit your State assistance application.
- B. If the State share requested for your project is less than \$25,000, M/WBE and EEO goals will NOT be assigned to your project. You do NOT need to submit the Utilization Plan Chart nor the Policy Statement. However, please review the following information:

In order to facilitate M/WBE participation on all State assisted contracts, the procurement of services of \$10,000 or less may be made on the basis of a single solicited proposal if the price is reasonable. As a general rule, reasonableness of price is determined in the following ways:

1. By comparing the solicited price with the price for the same or similar services within the last six months;
2. By comparing the price with those of other prospective contractors; or
3. By comparing the solicited price to prices listed in publications such as the "Means Build Construction Cost Data" catalog.

Finally, the recipient of the State assistance may establish reasonableness by reviewing the type of work that was previously accepted by the Department at a similar cost, or, if the supplier can justify the price of the product by the current market value of the same product.

NYSDEC Bureau of Minority and Women's Business Programs
**MINORITY AND WOMEN'S BUSINESS-EQUAL EMPLOYMENT
OPPORTUNITY PROGRAM WORKPLAN**

Policy Statement

The _____ commits to carrying out the intent of the New York State
(Name of Contractor or Municipality)
Executive Law, Article 15-A which assures the meaningful participation of Minority and
Women-Owned Business Enterprises (M/WBE) in contracting and the meaningful participation
of minorities and women in the workforce on activities financed by public funds.

Minority Business Officer

_____ is designated as the Minority Business Enterprise Officer
(Name of Designated Officer)
responsible for administering the Minority and Women's Business-Equal Employment
Opportunity (M/WBE-EEO) program.

M/WBE Contract Goals

_____ % Minority Business Enterprise Participation

_____ % Women's Business Enterprise Participation

EEO Contract Goals

10% Minority Labor Force Participation

10% Female Labor Force Participation

(Authorized Representative)

Title: _____

Date: _____

**M/WBE-EEO WORKPLAN
NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION**

Contractor or Municipality			Grant/Project Number	
Address		City		Zip Code
Authorized Representative			Authorized Signature	
Address		City	Zip Code	Phone No.
Minority Business Enterprise Officer				Fax No.
Project Description (list separate contracts & estimates)				
Contract No.	Description			Estimate
_____	_____			_____
_____	_____			_____
_____	_____			_____

PROJECTED EEO AND M/WBE CONTRACT SUMMARY

	%	Amount		%	No./Employees
1. Total Project Dollar Value			5. Total Employees		
2. MBE Project Goal			6. Total Minority Employees/Goal		
3. WBE Project Goal			7. Total Female Employees/Goal		
4. M/WBE Totals Combined			8. EEO Total Combined		

OFFICE OF MINORITY & WOMEN'S BUSINESS PROGRAMS USE ONLY

Proposed Goals		Date Approved	Date Disapproved	Initials
MBE (%)	EEO-Minorities (%)			
WBE (%)	EEO-Women (%)			

Call **518-402-9311** for help in completing this or the following page.

Number/Types of Contracts	Contract Breakdown	Amount

SAMPLE

Number/Types of contracts	Contract Breakdown	Amount
<u>General Construct.</u> (Contract No. 1)	Paving Demolition Paving Masonry Miscellaneous Metals Glazing Excavation and Backfill Fencing Concrete Finishing Reinforcing Steel Roofing Waterproofing	\$150,000 30,000 200,000 260,000 50,000 3,000 210,000 12,000 20,000 240,000 658,000 <u>30,000</u> \$1,273,000
<u>Electrical</u> (Contract No. 2)	Underground Duct Banks Equipment Supply Lightening Protection	110,000 260,000 <u>20,000</u> 390,000
<u>H.V.A.C.</u> (Contract No. 3)	Electrical Wiring Ductwork Controls Equipment Supply	10,000 45,000 25,000 <u>60,000</u> 140,000
<u>Plumbing</u> (Contract No. 4)	Underground Piping Equipment Supply	20,000 <u>25,000</u> 45,000
<u>Sewer Rehab</u> (Contract No. 5)	Cleaning & TV Inspection Joint Testing & Sealing Chemical Root Treatment Manhole Rehabilitation Excavation & Backfill Pavement Replacement Material Supply	35,000 45,000 4,000 8,000 6,000 12,000 <u>5,000</u> 115,000
<u>Sewer Rehab.</u> (Contract No. 6)	Cleaning & TV Inspection Joint Testing & Sealing Manhole Rehabilitation Excavation & Backfill Pavement Replacement Material Supply	58,000 126,000 15,000 3,000 2,800 <u>1,000</u> 205,800
	Total	\$2,171,000

APPENDIX 1
**ADDITIONAL ELIGIBILITY GUIDELINES
FOR MUNICIPAL RECYCLING COSTS**

The information contained in Appendix 1 is provided to applicants as a guide for determining eligible project costs. Only municipally-owned equipment, structures and associated costs directly related to recycling are eligible for funding. However, municipally-owned equipment may be operated by a non-municipal entity. Equipment of which the primary purpose is to process waste for subsequent landfilling or incineration is not eligible for funding.

Due to the range of complexities and characteristics of different recycling projects, a project may include one, several or all cost categories listed. These lists and examples are not all-inclusive, but cover many typical costs for municipal recycling projects. It should also be noted that no costs incurred (check is written by the applicant) prior to April 1, 1993 will be eligible for funding.

A. SITE, CONSTRUCTION & EQUIP. COSTS

Site and Construction Costs

Land acquisition costs are eligible for funding, as specifically authorized by EPF. However, the land acquisition must be reasonable for the size of the project and no payment will be allowed for the land acquisition until the project is completed and documented.

Construction costs (materials and labor) typically associated with site development and structures for housing process and maintenance equipment, materials storage, and personnel may be eligible for funding if determined appropriate by the DEC. Examples of **ELIGIBLE** costs in this category include but are not limited to:

- ▶ Site preparation, including removal of existing structures, grading, clearing and grubbing, and relocation of utilities
- ▶ Roads and traffic controls located within the project site
- ▶ On-site rails and cranes for heavy equipment transport
- ▶ Utilities including water supply wells, water lines, power lines, electric substations, plumbing, electrical, HVAC, storm and sanitary sewers (as determined reasonable by DEC)
- ▶ Structures (process, storage, maintenance, personnel), including pilings, footings and foundation, plumbing, electrical and HVAC systems
- ▶ Function controls, alarm systems and internal communication (intercom) systems

Equipment

Although equipment may be bid with and included as part of construction costs for some municipal recycling projects, this item is being listed separately in these guidelines for those projects which involve purchase of equipment only. Applicants are always required to list equipment costs separately, **even if bid as part of a lump sum contract**, when completing this application. Equipment must be dedicated to the source separation/recycling project to be eligible.

Examples of **ELIGIBLE** equipment include but are not limited to:

- ▶ Curbside containers (blue boxes)
- ▶ Racks, bins and receptacles, roll-off containers
- ▶ Dedicated recycling vehicles and/or trailers for collection or transport of recyclables to market, and necessary add-ons or modifications to collection vehicles
- ▶ Scales and weigh station (prorated for recycling usage)
- ▶ Station mobile equipment (such as fork lifts and front-end loaders) dedicated to recycling
- ▶ Materials handling equipment such as magnets, optical sorters, shredders, crushers, conveyors, balers, trommels, and screens
- ▶ Tub grinders (used only for processing recyclable/compostable materials)
- ▶ Windrow turners, chippers and other composting equipment
- ▶ Quality control equipment (laboratory, field monitoring)
- ▶ Instruction and safety signs
- ▶ Safety equipment (SCBAs, respirators, protective suits, etc.)
- ▶ Fixed fire protection equipment
- ▶ On-site air and water pollution control equipment
- ▶ Spare parts for original equipment if acquired

at the time of purchase, not to exceed 10% of the total eligible equipment cost

- ▶ Specialized equipment training provided by the manufacturer
- ▶ Personnel facilities directly related to processing

Examples of **INELIGIBLE** site, construction and equipment costs are as follows:

- ▶ Fueling station
- ▶ Insurance on temporary or permanent financing
- ▶ Remediation or restoration (haz. waste sites)
- ▶ Relocation of businesses existing on project site
- ▶ Expendable items such as laboratory chemicals, brooms, tools and maintenance equipment
- ▶ Landscaping
- ▶ Vehicle washing facilities
- ▶ Equipment used to process materials which are NOT destined for a recycling market

B. ADMINISTRATIVE COSTS

Eligible administrative costs include only those which are incurred in connection with the project and include personnel hired specifically for the project, or actual overtime spent by existing personnel of the municipality. However, time records are required by the DEC which specifically show hours spent in project-connected tasks. Other examples of **ELIGIBLE** administrative costs include, but are not limited to:

- ▶ Bond and bid request advertising
- ▶ Legal notices for bond authorization
- ▶ Construction permits if not paid by a contractor

Examples of **INELIGIBLE** administrative costs include, but are not limited to:

- ▶ Remuneration of municipal officials such as Mayor, City Manager, Superintendent of Public Works, Municipal Attorney
- ▶ Operating costs such as supplies and overhead (includes office furniture and equipment, telephone, rent, conference expenses, staff vehicles, mileage, etc.)

C. LEGAL/FISCAL COSTS

Certain legal and fiscal (accounting and related) costs pertaining to the recycling project are

eligible. Reasonable costs involved in the development of the information necessary for the local bond issue, including preparation of the prospectus, are eligible costs. Usually, the bond counsel and attorney fees will cover all steps from drafting the bond resolution through the final sale of the bonds.

Overtime spent by the municipality's attorney or fiscal officer may be eligible for performing work directly related to the project. The applicant must provide a full description with an estimate of all legal and fiscal costs at the time of application, for DEC approval.

ELIGIBLE legal and fiscal costs include, but are not limited to:

- ▶ Attorney fees in connection with sale of bonds or other financing, attendance at project meetings, bid opening, execution of contracts;
- ▶ Accounting fees directly related to the project

Examples of **INELIGIBLE** legal and fiscal costs include, but are not limited to:

- ▶ Formation and normal operation of solid waste districts or authorities
- ▶ Damage judgements arising out of construction, whether determined by judicial procedure, arbitration or negotiation
- ▶ Temporary financing
- ▶ Costs of services rendered in connection with ineligible parts of the project

D. ARCHITECT/ENGINEERING COSTS

It is not necessary for the applicant to submit individual architect/engineering (A/E) agreements to the DEC for review or approval for eligibility, unless specifically requested. However, the DEC will require complete cost breakdowns for such services, **even if services are performed on a lump sum basis**, to substantiate reasonableness and eligibility. All services to be procured by professional consultants must be obtained in compliance with NYS General Municipal Law.

A/E tasks for which costs may be eligible for municipal source separation and recycling projects generally follow the categories outlined in the ASCE Manuals and Reports on Engineering Practice - No. 45 (available from the American Society of Engineers, 345 East 47th Street, New York, New York 10017-2398). However, not all tasks detailed in this manual are applicable to municipal recycling projects, and eligibility of all A/E costs must be demonstrated to the DEC as necessary to the project.

Due to the wide variation in the nature and complexity of municipal source separation and recycling projects, there can be a considerable range in the scope of services for the consulting engineer. Therefore, several methods may be used in computing the cost of A/E services, including multiplier, per diem, retainer, cost plus fixed fee, lump sum and percentage of construction. Reasonableness of engineering cost estimates for the municipal project shall be reviewed and determined on a case-by-case basis by the DEC in accordance with SECTION V - METHODS OF CHARGING FOR ENGINEERING SERVICES of ASCE Manual No. 45.

All services must be performed by or under the direct supervision of a New York State licensed architect or professional engineer. The following task groupings for which costs may be ELIGIBLE have been listed from the ASCE Manual No. 45, which can be referred to when completing the MWR&R application:

Consultation, Investigations, and Reports

Activities under this category normally include pre-design activities to collect, interpret and report information to the client, draw conclusions and make recommendations. Typical services in this category include:

- ▶ Preliminary and feasibility investigations and reports
- ▶ Planning studies
- ▶ Appraisals, valuations, and rate studies
- ▶ Assistance in financial matters
- ▶ Materials engineering and equipment tests
- ▶ Direct personal service
- ▶ Additional services, including environmental evaluations, process design, pilot studies, computer modeling

Basic Services

Activities under this category generally include engineering services performed in support of the various typical phases of construction.

These include:

- ▶ Study and Report Phase - Involves analysis of the client's needs, conceptual design and opinions of probable construction costs
- ▶ Preliminary Design Phase - Involves preparation of final design criteria, preliminary drawings, outline specifications, and preliminary opinions of probable construction costs

- ▶ Final Design Phase - Involves preparing design drawings and specifications, opinions on construction costs, and other contract documents
- ▶ Bidding or Negotiating Phase - Involves providing assistance with the bidding or negotiating process for construction of the proposed project
- ▶ Construction Phase - Involves observation and representation of the client during construction.

Additional Services

These services may be required during any phase of development of the project and may involve some of the services listed above, including investigations, reports, and other activities, which are beyond the scope of basic services. Additional services may be provided by professional specialists in other fields, and are often negotiated by the engineer on behalf of the client.

Examples of **INELIGIBLE** A/E costs include but are not limited to:

- ▶ Work on solid waste collection systems
- ▶ Fees associated with solid waste disposal
- ▶ Fees for services occurring after acceptance of the project by the applicant
- ▶ Travel in relation to project development

E. OTHER INELIGIBLE COSTS

Examples of other **INELIGIBLE** costs not listed above include but are not limited to the following:

- ▶ Cost of applying for State assistance
- ▶ Cost of applying for DEC permit(s)
- ▶ Cost of developing a local solid waste management plan
- ▶ Salaries of municipal employees involved in the operation of the municipality's recycling program
- ▶ Project promotional costs
- ▶ Facility startup and ordinary operating expenses
- ▶ Unnecessary or unreasonable costs
- ▶ Repairs, tools and maintenance equipment
- ▶ Road service
- ▶ Travel expenses
- ▶ General purpose vehicles, even if used in the recycling program
- ▶ General hardware
- ▶ Spare equipment or back-up equipment
- ▶ Administrative offices not related to the

- ▶ materials recovery facility
- ▶ Normal government costs - Costs incidental to normal operating costs of government such as bond referendum costs and salaries/expenses of government officials such as the Mayor, Town Supervisor, County Executive, City Manager, Municipal Attorney, City Council, etc.
- ▶ Rebates, refunds and tax exemptions - Only the actual net cost to the applicant of materials or services is eligible. Thus, if a rebate or refund is received from a firm or individual from whom the material, equipment or services were purchased, only the net cost may be allowed. Applicants exempt from the payment of sales taxes and federal excise taxes may not include the amount of such taxes as allowable costs, even though such taxes may have been paid
- ▶ Damage awards - Damage awards arising out of construction or equipping the project, whether such awards are determined by judicial procedure, arbitration, negotiation or otherwise
- ▶ Bonus payments - Bonus payments made by the applicant to the contractor for completing work in advance of a specified time
- ▶ Liquidated damages - Any amounts collected by an applicant on bid bonds from defaulting bidders shall be disregarded in determining the cost of construction and the amount of the State assistance. Amounts collected as liquidated damages for failure of a contractor to complete the work on time shall be disregarded, but only to the extent that the applicant can demonstrate that actual damages were incurred, and only in the amount of the cost to the applicant of such damages

OTHER FUNDING ISSUES

LEASING OF EQUIPMENT TO ANOTHER ENTITY

Leasing of grant funded equipment to another public or private entity may be allowed if necessary to the project and if the following conditions are met:

- ▶ The grantee retains title to the equipment/structure.
- ▶ The lessee utilizes the equipment/structure for the grantees recycling program.
- ▶ No fee is charged. However, a nominal fee of \$1.00 may be charged or, in the case of

equipment that is shared with other municipalities (such as a tub grinder), a fee to cover only the operation and maintenance costs may be charged. Leasing cannot provide a profit to the grantee or be a means of recouping the cost of the equipment/structure.

- ▶ Equipment is operated and maintained in accordance with all applicable laws, rules and regulations.
- ▶ Equipment is utilized in accordance with the MWR&R State contract.
- ▶ The grantee and lessee must submit a copy of the lease agreement and all reports, documents, data and other information that the DEC requests regarding this issue.

C & D RECYCLING

Facilities for recycling construction and demolition debris, as defined in 6 NYCRR Part 360, may be eligible for funding if the following conditions are met:

- ▶ Such wastes are not mixed with hazardous waste, as defined in 6 NYCRR Part 371.
- ▶ Such wastes are generated only by residential households or the applicant municipality, except that commercial or industrial C&D waste processing equipment may be eligible if the wastes are handled by the applicant municipality.
- ▶ The applicant can document market arrangements for the end-product(s) of the processed C&D waste, and that the end-product(s) are reused or recycled and not disposed.
- ▶ The facility is constructed and operated in accordance with applicable requirements specified in 6 NYCRR Part 360.

USED OR PRE-OWNED EQUIPMENT

The purchase of used or pre-owned equipment may be eligible for funding if the following conditions are met:

- ▶ Certification of True Value and insurance coverage can be demonstrated for the equipment.
- ▶ The purchase can be demonstrated to be cost-effective.
- ▶ The anticipated service life is at least seven (7) years from the date of acquisition.

RECYCLING CAPITAL PROJECT APPLICATION CHECKLIST

Project Name _____

Name of Person Completing this checklist _____ Phone _____

Use this checklist to ensure that application is complete. Incomplete applications will be returned.

1. Submit all documentation below and place a check (✓) in the corresponding box of the first column.
2. If you wish to request a waiver of an application component, please check the box in the second column. Components with black boxes cannot be waived. DEC has final determination of any waiver requests.

Included in application	Waiver requested	DEC approved	Application Component
	cannot waive		Application Cover Signed by Auth. Representative
	cannot waive		Project Description , including: Project Objectives & Goals Types of Recyclables Collected (Municipal Recyclables Summary Sheet) Project Service Area Major Components & subsystems, such as methods of collection, processing, and protecting recyclables/compost
	cannot waive		Project Budget
			Equipment or Structural Specifications for each item in the budget
	cannot waive		Marketing Procedures (including 2 worksheets)
			Implementation Schedule
	cannot waive		Certified Resolution (Title of Auth. Rep. _____) 4 Copies submitted with exact language as the Sample Resolution Seal embossed on each certificate form Original signature on each certificate form
			Certificate as to Title to Property Site(s), including legal description(s) *
			Copy of Local Recycling Law
	cannot waive		M/WBE-EEO Policy Statement & Utilization Plan Chart
			Paragraph describing Solid Waste Planning Compliance
			Paragraph describing Other Financial Assistance
			Paragraph describing efforts at meeting SEQRA, Permit or Registration Requirements
			Paragraph describing Education/Promotion Program
			Paragraph describing Environmental Justice Efforts
			Paragraph describing Small Business Impacts
			Paragraph describing Waste Minimization Efforts
			Sentence certifying Avoided Cost Considerations
	cannot waive		Sentence certifying General Municipal Law Bidding Compliance
			Compost Quality Management Plan (composting projects only)

* Required for CONSTRUCTION projects only.



New York State Department of Environmental Conservation
 Environmental Protection Fund/Clean Water/Clean Air Bond Act of 1996
APPLICATION FOR STATE ASSISTANCE
MUNICIPAL RECYCLING PROJECT

Project No. _____ Date Rec'd _____
(DEC use only) (DEC use only)

Applicant: _____ County: _____

Applicant types(s):

- | | | |
|----------------------------------|--|---|
| <input type="checkbox"/> City | <input type="checkbox"/> County | <input type="checkbox"/> Local Public Authority |
| <input type="checkbox"/> Town | <input type="checkbox"/> School District | <input type="checkbox"/> Local Public Benefit Corporation |
| <input type="checkbox"/> Village | <input type="checkbox"/> Other District | <input type="checkbox"/> Native American Tribe/Nation |

Total Project Cost: \$ _____	State Share Request: (50%) \$ _____
------------------------------	-------------------------------------

Project Name or Title: _____

Project Manager: _____
(name & title)

Address: _____ Phone: (____) _____

_____ E-mail: _____

_____ Federal Tax ID: _____

Population of project service area _____ DEC Region _____

Project category: (check all that apply)

- | | | |
|---|-------------------------------------|---|
| <input type="checkbox"/> Structure/facility | <input type="checkbox"/> Containers | <input type="checkbox"/> Vehicle(s) |
| <input type="checkbox"/> Processing equipment | <input type="checkbox"/> Composting | <input type="checkbox"/> (Education costs ineligible) |

Authorized Representative
 (name & title): _____

Address: _____ Phone: (____) _____

CERTIFICATION: I do hereby certify that the information in this application and in the attached certified copies of resolutions, other statements, and exhibits is true, correct and complete to the best of my knowledge and belief.

 (Date) (Signature of individual authorized by resolution)

EQUIPMENT LIST

Project Name _____ **Date** _____

List equipment with estimated or actual cost and date of purchase. Provide a brief use summary. Identify all materials to be handled by each piece of equipment and the tons/day of materials to be handled by each piece of equipment. Specify where equipment is to be located.

Ref No.	Equipment Name or Description	Quantify & Unit Cost	Total Cost	Purchase Date	Brief use Summary: materials handled, quantities and location
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		

* assign a reference number for each item of equipment and subsequently label the equipment specifications with the corresponding reference number. Use this number in the project description and on the site and/or floor plans.

EXAMPLE:

Ref No.	Equipment Name or Description	Quantify & Unit Cost	Total Cost	Purchase Date	Brief use Summary: materials handled, quantities and location
1a	Recycling Bins with lids	4000 @ \$8.00	\$32,000.00	11/12/2007	Bins will be distributed to 4000 household and used for commingled recyclables collection

CERTIFICATE AS TO TITLE TO PROJECT SITE

I, _____, Attorney-at-Law, representing
_____ herein called the Applicant,
as title counsel, do hereby certify:

1. That I have investigated and ascertained the location of and am familiar with the legal description of the site or sites being provided by the Applicant for all elements (access road, transfer stations, borrow areas, buffer zones and pre-treatment facilities and related components) of the Project for which State participation has been offered under the Environmental Protection Act of 1993.
2. That if not previously submitted, I am attaching a legal description of the site or sites on which the project is to be constructed.
3. That I have examined the deed records of the county or counties in which this project is to be located and in my opinion, the Applicant has a legal and valid fee simple title or other estate or interest in the site of the project including the necessary easements and rights-of-way as are necessary to undisturbed use and possession for the purposes of construction, operation, and maintenance of the Project.
4. That any deeds or documents required to be recorded in order to protect the title of the owner and the interest of the Applicant have been duly recorded or filed for record wherever necessary.
5. REMARKS:

Dated this _____ day of _____, 20__.

(Attorney-at-Law)

(Address)

(City and State)

MUNICIPAL RECYCLABLES SUMMARY WORKSHEET

Project (Grantee) Name					
Population:		One Family Households:		Multi Family Households:	
Solid Waste Management Plan (N/S/A) (Not submitted / Submitted / Approved)			Hauler (M/P/C) Municipal / Private / Both		

Recyclable Material	Curbside (C) Drop-off (D) Both (B)	Present Recovery Amount Year 200__	Projected Recovery Amount Year 200__	Cost to market? (Y/N)
COMMINGLED *				
PAPER - Newsprint				
PAPER - Magazines				
PAPER - OCC				
PAPER - High Grade				
PAPER - Mixed				
GLASS - Clear				
GLASS - Green				
GLASS - Amber				
GLASS - Mixed				
METAL - Ferrous				
METAL - Aluminum				
METAL - Scrap				
METAL - White				
METAL - Other				
PLASTIC - PET				
PLASTIC - HDPE				
PLASTIC - Mixed				
YARD WASTE				
FOOD WASTE				
BIOSOLIDS (dry				
C&D Debris				
ASPHALT				
OTHER *				
OTHER *				

* Please clarify the COMMINGLED mix or the OTHER recyclables listed above:

MARKET PLANNING WORKSHEET

Project Name _____

Recyclable Material	Market Vendor	Marketing Options and Specifications	Formal Agreement?

ACCEPTABLE MARKET OPTIONS:

- 1: Signed 2-year market agreement.
- 2: Signed 1-year market agreement with 6 month market history
- 3: Signed month-to-month market agreement with 1 year market history.
- 4: Letter of intent with 2 year market history.
5. History of successful marketing of recyclables
- 6: Resolution for self-market (such as compost).

EXAMPLE:

Recyclable Material	Market or Vendor	Marketing Options and Specifications	Formal Agreement?
Newsprint	ABC Paper Inc., Recycleville, NY 12345	2 year agreement for baled transported to their site	YES - 1 year renewable
Scrap Metal	123 Scrap Dealers Inc., Exportville, NY 54321	Loose in 40 yard containers, 5 percent contamination ok.	NO - 2 years of history
Mixed Glass	Bud's Construction Co Colden, NY 13579	Pulverized to 3/8" and stockpiled on-site for use as pipe bedding	NO - 5 years of history
Yard Waste	Self-market	Compost given away to residents and used by DPW	NO

Note: The text of this resolution has been pre-approved by DEC attorneys.
Please use this pre-approved resolution. IF YOU CHANGE THE
RESOLUTION, YOU MAY BE REQUIRED TO PASS A SECOND
RESOLUTION WITH THE CORRECT TEXT.

RESOLUTION

Resolution Authorizing the Filing of an Application for a State Grant-In-Aid for a Municipal Waste Reduction and/or Recycling Project and Signing of the associated State Contract, Under the Appropriate Laws of New York State.

WHEREAS, the State of New York provides financial aid for municipal waste reduction and municipal recycling projects; and

WHEREAS _____
(Legal Name of Applicant)
herein called the MUNICIPALITY, has examined and duly considered the applicable laws of the State of New York and the MUNICIPALITY deems it to be in the public interest and benefit to file an application under these laws; and

WHEREAS, it is necessary that a Contract by and between THE PEOPLE OF THE STATE OF NEW YORK, herein called the STATE, and the MUNICIPALITY be executed for such STATE Aid;

NOW, THEREFORE, BE IT RESOLVED BY _____

(Governing Body of Applicant)

1. That the filing of an application in the form required by the State of New York in conformity with the applicable laws of the State of New York including all understanding and assurances contained in said application is hereby authorized.
2. That _____
(TITLE of Applicant's designated Authorized Representative)
is directed and authorized as the official representative of the MUNICIPALITY to act in connection with the application and to provide such additional information as may be required and to sign the resulting contract if said application is approved by the STATE;
3. That the MUNICIPALITY agrees that it will fund its portion of the cost of said Municipal Waste Reduction and/or Recycling Project.
4. That the MUNICIPALITY or MUNICIPALITIES set forth their respective responsibilities by attached joint resolution relative to a joint Municipal Waste Reduction and/or Recycling Project.
5. That this resolution shall take effect immediately.

CERTIFICATE OF RECORDING OFFICER

That the attached Resolution is a true and correct copy of the Resolution, authorizing the signing of an application for State Aid, authorizing the signing of a State Contract, and assuring funding of the municipal portion of the cost of the project as regularly adopted at a legally convened meeting of the

(Name of Governing Body of the Applicant)

duly held on the _____ day of _____, 20__,

and further that such Resolution has been fully recorded in the

_____ in my office.
(Title of Record Book)

In witness whereof, I have hereunto set my hand this _____ day
of _____, 20__.

If the Applicant has an Official Seal,
Impress here.

Signature of Recording Officer

Title of Recording Officer

Instructions for completing the Resolution and Certificate of Recording Officer

1. Fill in the blanks according to the instructions in parentheses under each blank.
2. Pass the resolution via the governing body.
3. Make four (4) copies of the resolution for the submittal to the DEC.
4. Certify all four (4) copies. The recording officer must complete the certifications:
 - ▶ Enter an **original signature** on **each** copy
 - ▶ Affix or **emboss the seal** of the governing body to **each** copy
5. Submit all four (4) certified resolutions (with original signatures and seals on each) to the DEC with the application package by placing them after the Application Cover Sheet.

NOTE: The person signing the application and contract must be the person authorized by the resolution.

**NYS DEPARTMENT OF ENVIRONMENTAL CONSERVATION
REGIONAL CONTACTS FOR MUNICIPAL WASTE REDUCTION & RECYCLING GRANTS**

Region	Counties	Contact Person	Address	Phone
1	Nassau Suffolk	Janet Kolodziejcki	SUNY @ Stony Brook, 50 Circle Rd. Stony Brook, NY 11790-3409	631-444-0375
2	New York City (Bronx, Kings, New York, Queens, Richmond)	Ken Brezner (RMME)	1 Hunters Point Plaza 4740 21st Street Long Island City, NY 11101-5407	718-482-4996
3	Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester	Theresa Laibach	21 South Putt Corners Road New Paltz, NY 12561-1696	845-256-3141
4	Albany, Columbia, Delaware, Greene, Montgomery, Otsego, Rensselaer, Schenectady, Schoharie	Richard Forgea (RMME)	1130 North Westcott Road Schenectady, NY 12306-2014	518-357-2346
5	Clinton, Essex, Franklin, Fulton, Hamilton, Saratoga, Warren, Washington	David Mt. Pleasant	Route 86, P.O. Box 296 Ray Brook, NY 12977-0296	518-897-1241 518-623-1200
6	Herkimer, Jefferson, Lewis, Oneida, St. Lawrence	Jennifer Lauzon	State Office Building 317 Washington Street Watertown, NY 13601-3787	315-785-2513
7	Broome, Cayuga, Chenango, Cortland, Madison, Onondaga, Oswego, Tioga, Tompkins	Timothy DiGiulio (RMME)	615 Erie Blvd. West Syracuse, NY 13204-2400	315-426-7419
8	Chemung, Genesee, Livingston, Monroe, Ontario, Orleans, Schuyler, Seneca, Steuben, Wayne, Yates	Gary Maslanka	6274 E. Avon-Lima Road Avon, NY 14414-9519	716-226-2466
9	Allegany, Cattaraugus, Chautauqua, Erie, Niagara, Wyoming	Efrat Forget	270 Michigan Avenue Buffalo, NY 14203-2999	716-851-7220

(RMME: Regional Materials Management Engineer)

This form entitles the applicant to be considered for a waste reduction/recycling grant administered by the NYSDEC. It is NOT a full application. Upon notice from NYSDEC the applicant will be required to complete a full application.

Step1 Provide some identifying information:

Applicant _____		DEC Region _____
Check Applicant type(s):		County _____
<input type="checkbox"/> City	<input type="checkbox"/> County	<input type="checkbox"/> Local Public Authority
<input type="checkbox"/> Town	<input type="checkbox"/> School District	<input type="checkbox"/> Local Public Benefit Corporation
<input type="checkbox"/> Village	<input type="checkbox"/> Other District	<input type="checkbox"/> Native American Tribe/Nation

Project Name or Description: _____	
Project Manager: _____ (name & title of Municipal Employee who can provide project information)	
Address: _____	Phone: _____
_____	E-mail: _____

Project category: (check all that apply)	
<input type="checkbox"/> Recycling Equipment/Structures/Facilities	<input type="checkbox"/> Recycling Collection Vehicle(s)
<input type="checkbox"/> Composting Equipment/Structures/Facilities	<input type="checkbox"/> Waste Reduction Equipment/Structures
A. Total project cost	\$ _____
B. Percent Use for Composting/Recycling	_____ %
(only projects from 50% to 100% dedicated qualify)	
C. State Share Request (50% x A x B)	\$ _____
Are the items in this pre-application completely purchased?	<input type="checkbox"/>
Are the items in this pre-application partly purchased?	<input type="checkbox"/>
Are the items in this pre-application not yet purchased?	<input type="checkbox"/>

Step 2. Provide a brief SCOPE OF WORK for your project. (one paragraph)

--

Municipal Waste Reduction & Recycling Capital Project Pre-Application (continued)

Step 3. Describe what will be ACCOMPLISHED with this grant (one paragraph).

Step 4. Provide a BUDGET.

You may fill in the form below or submit a separate attachment for your budget.

Period Covered by this Grant Request		to	
---	--	-----------	--

Description of expense	Total Cost	Recycling Use percent	Eligible Cost
		%	
		%	
		%	
		%	
		%	
		%	
		%	
		%	
		%	
		%	

Attach an additional chart, if necessary

Total Eligible Expenses -	\$
----------------------------------	-----------

State Aid Requested (50% of Total Eligible Expenses)	\$
---	-----------

Municipal Waste Reduction & Recycling Capital Project Pre-Application (continued)

Step 5: Carefully read the following information.

1. Completing a "Pre-Application" is NOT a guarantee of funding.
2. The project manager will be notified when funding becomes available for the project. At that time, a full final application must be completed in order to receive funding.
3. Failure to submit the final application with all required information will result in the project being disapproved and removed from the waiting list.
4. Upon approval by the DEC of a final application, a municipality must enter into a contract with the NYSDEC to obtain funding.
5. Applicants must incur all expenses and request State reimbursement at a 50% rate. Proof of payment is necessary to receive State reimbursement.
6. If this file is being e-mailed to DEC, it will only be considered received if a confirmation reply is received by the applicant.

Check this box if you understand the terms listed above.
Pre-applications cannot be accepted unless the box is checked.
Call 518-402-8678 if you do not understand these items.

Step 6: Submit this entire form:

E-mail the completed form to planning@gw.dec.state.ny.us

If you do not receive a reply confirmation, the pre-application will not be considered received. Please re-send by regular mail.

OR Print this entire document and send by US Mail to:

NYS Dept. of Environmental Conservation
Division of Materials Management
Bureau of Permitting and Planning
Planning and Municipal Assistance Section
625 Broadway
Albany, NY 12233-7260

OR FAX this entire document to 518-402-9024

Municipal Waste Reduction and Recycling Program Pre-Application Frequently Asked Questions

What will this program fund?

Purchases of dedicated recycling or composting or waste reduction facilities and equipment, including recycling vehicles, paper balers, can crushers, plastics shredders, MRF's, wood chippers, tub grinders, screeners, reuse centers, etc. Costs of a Recycling Coordinator; direct costs for waste reduction or recycling public education/promotion/outreach are also eligible for funding. Call 518-402-8678 for the RECYCLING COORDINATION/EDUCATION application.

Who is eligible to apply?

Counties, cities, towns, villages, local public authorities or local public benefit corporations (as established by State law), school districts, supervisory districts, Native American tribes or nations residing in New York State, or any combination of the above. Private sector companies, not-for-profit corporations or State agencies are not eligible for this program.

What is the status of funding for the program?

Funding is appropriated in the annual State budget. DEC maintains a waiting list of projects in anticipation of monies becoming available in future budgets. Please call 518-402-8678 for a more precise funding status.

How can my community apply?

Applicants need only complete a "Pre-application" and submit the required information, as outlined on the "Pre-application." This will insert your project on the waiting list until funding becomes available.