

# Grant Application Package for Household Hazardous Waste State Assistance Program



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## **I. INTRODUCTION**

### **What is Household Hazardous Waste?**

Household hazardous waste (HHW) are materials found in residential wastes that would be regulated as hazardous waste if they were generated outside of a household at a business or industry. Examples of HHW include, but are not limited to, oil-based paints, pesticides, automotive fluids, home hobby chemicals, and compact fluorescent bulbs.

### **HHW Collection Programs**

A HHW collection day is an event where HHW is received from residents, properly packaged, and shipped to appropriate management facilities. Collection days are most often sponsored by a municipality, which hires a contractor to collect, separate and manage the waste received from residents. A collection day sponsor must submit a detailed plan to the appropriate New York State Department of Environmental Conservation (DEC) regional office at least 60 days before a collection day takes place, and must receive DEC's written approval prior to the collection day.

Permitted HHW collection and storage facilities (often referred to as permanent HHW facilities) can receive HHW from residents on a regular basis. These facilities must receive a permit from the DEC before construction or operation may begin. "Mobile HHW facilities" can also be included as a component of a permitted HHW collection and storage facility's permit to collect HHW at different locations throughout a municipality and consolidate it at the permitted facility for processing, packaging and shipping.

### **Funding Availability**

For HHW collection programs to effectively reduce HHW, they must be readily accessible to residents, and must be accompanied by both promotion of the collection program and education about source reduction. To assist in achieving these goals, the State, through authorization provided by the Environmental Protection Act, provides State funding to reimburse up to 50% of the costs of municipal HHW collection programs.

The NYS State Legislature must appropriate funding each state fiscal year for implementation of the HHW State Assistance Program. Accordingly, full 50% reimbursement is **not** guaranteed.

### **Department Review**

Complete applications are received and evaluated by the department on a quarterly basis and, if acceptable, will be approved for state assistance of up to 50% of eligible costs. All applications received during April of each fiscal year will be given that year's highest priority for funding, followed in descending order of priority by those received during July, October, and January. (An application not received in one of the months listed above will be considered received during the next listed month.)

If there are insufficient funds to provide 50% reimbursement to all applications received during the same quarterly review period, the department may either lower the percentage or set a dollar maximum on the level of funding to be provided to each municipality. This lowered percentage or dollar maximum will be the same for all municipalities that submit an application during the same quarter.

Applications that have a lower priority, based on the date of receipt may be assigned a lower level of funding due to insufficient or exhausted funds. Applications received after all funds for that fiscal year have been obligated will not be awarded funding.

## **II. APPLICATION PROCEDURES**

Please follow ALL of these steps in order to properly conduct a HHW collection program and apply for state assistance funding.

### **STEP 1: OBTAIN HHW COLLECTION EVENT OR HHW PERMITTED FACILITY APPROVAL**

Submit a detailed written plan at least 60 days before the date of the collection event addressing all the requirements of 6 NYCRR Part 360-1.7(b)(6) to your DEC Regional office for approval to conduct a HHW collection day. Regional Office contacts are listed in Appendix G or,

Obtain a permit for a HHW collection and storage facility in accordance with the requirements outlined in 6 NYCRR Part 373-4.4.

### **STEP 2: PASS A RESOLUTION** authorizing the filing of the grant application. A Sample Resolution is included in Appendix A.

- a. Use the language in the sample resolution. Write your resolution so that it names an Authorized Representative by **TITLE**, *not* by name, in case that person leaves during the application process. **To avoid rejection of the resolution, DO NOT make changes to the language of the Sample Resolution.**
- b. Place the resolution on your governing body's agenda for passage.
- c. **Certify** both copies by completing the Certificate of the Recording Officer in Appendix A. The recording officer must do this by:
  - ▶ Entering an **original signature** on **each** copy, or
  - ▶ Affixing or **embossing the seal** of the municipality to **each** copy

**Two (2) certified copies of the resolution are required with your application.**

### **STEP 3: COMPLETE THE WORKSHEETS** in Appendices B-E in this Application Package.

- a. Fill out and sign the **Cover Page** in Appendix B
- b. Answer the questions in the **Project Description Worksheet** (Appendix C) Include sufficient information to allow DEC to determine whether the level of funding requested is reasonable for the described activities.
- c. Complete the **Budget Worksheet** (Appendix D)

If the application is for a HHW collection program that has already been completed, then the actual costs should be included.

If the application is for a HHW collection program that has NOT been completed, then the estimated costs should be included.

#### Budget Preparation Tips

- ▶ Provide written justification for any one-time or unusual costs.
- ▶ "Miscellaneous" costs are not eligible.
- ▶ Documentation of actual costs will be necessary to receive payment for reimbursement.
- ▶ In-house reproduction costs are eligible ONLY if an invoice is generated and the invoice has been fully paid.

#### **STEP 4: SUBMIT APPLICATION**

Applications must be submitted to the **DEC Central Office** by the final business day of April, July, October, or January of a State fiscal year. Any applications received by DEC in a month other than these months, will be considered to be received during the next month listed. All complete applications received by DEC during the same month, will be considered to be received simultaneously. For collection day activities, municipalities may submit **one** application for HHW State Assistance each state fiscal year (April 1 - March 31) for either the current or the previous state fiscal year. An application is limited to one collection program per year and must therefore include all collection program costs paid or expected to be paid during that year.

For construction of a permitted HHW collection and storage facility, a municipality may only submit one application for funding which must include the total amount of construction costs for the facility, regardless of whether the construction costs are expected to be paid within one state fiscal year period.

**SEND only the following items** to DEC Central Office:

**ONE** original of your application components and **TWO (2)** certified resolutions to:

**HHW State Assistance Program  
New York State Department of Environmental Conservation  
Division of Materials Management  
Bureau of Permitting & Planning  
625 Broadway - 9<sup>th</sup> Floor, Albany, NY 12233-7260**

**Send only ONE full copy of your application**

**Do NOT send copies of your Collection Day Plan. The Collection Day Plan must be submitted to the Regional Office at least 60 days prior to the event and be approved prior to the event.**

#### **STEP 5: DEC EVALUATES THE APPLICATION FOR PROJECT ELIGIBILITY**

- a. Applications that are complete will be reviewed to establish the eligibility of the applicant and the costs for which State assistance is requested.

- b. Applications that are not complete will be returned to the applicant for completion and re-submission.
- c. The DEC will determine if the activities included in the application are eligible under the HHW State Assistance Program, and if the requested level of funding is appropriate for associated HHW activities.
- d. If DEC determines that any activity or cost is not eligible or unreasonable for an associated HHW activity, the DEC will deny funding or a portion of funding. DEC reserves the right to make any necessary changes or adjustments to the cost estimate included in the application.
- e. HHW grant funding is contingent upon DEC Regional Office receipt and approval of the applicants Collection Day Plan and any required State, Federal or local permits or licenses for HHW collection and storage facilities.

#### **STEP 6: SUBMIT REQUIRED HHW REPORTS**

Ensure that the required HHW collection day or permitted facility report forms are complete. The required **Collection Day and Permitted Facility Annual Report Forms** are available on the DEC website at: <http://www.dec.ny.gov/chemical/8778.html>.

- a. A copy of your collection day approval letter is required in order to receive reimbursement for eligible Program activities and costs. If a copy of the approval letter is not included as part of the application, it must be included as part of the payment request supporting documentation.
- b. For collection days, the HHW Collection Day Report Form (and all shipping papers) is due to the DEC **10 days** after the collection day.
- c. For HHW collection and storage facilities, a calendar-year report is due to DEC by **February 1st** for collection activities conducted the previous calendar year.

#### **STEP 7: RESPOND TO A CONTRACT AWARD LETTER**

- a. When funding becomes available, DEC will send an official award letter to applicants notifying them of the grant award amount and the necessary steps required of the grantee to enter into a NYS Master Grant Contract (MGC) for reimbursement of eligible Program costs. The MGC contains Statewide, Agency and Program specific terms and conditions, a Work Plan, an Expenditure Budget, and Payment and Reporting requirements. The full MGC can be viewed at: <http://www.grantsreform.ny.gov/>. The DEC will send the municipality four (4) copies of the contract.
- b. The municipality's authorized representative (identified in the resolution) must sign the contracts and return all of them to DEC.
- c. After the signed contracts have been returned to DEC, full approval of the contract normally takes 2-3 months. A copy of the fully executed contract will be returned to the municipality.

**STEP 8: REQUEST REIMBURSEMENT**

- a. Detailed payment instructions will be mailed to the municipality along with the fully approved contract.
- b. All collection activities for which reimbursement is sought must be completed and required reports must be submitted to DEC.
- c. A completed "State Aid Voucher," and an itemized list of costs, must be provided, along with copies of backup documents, including copies of receipts, invoices, payment vouchers and canceled checks to support eligible costs paid by the municipality during the contract term.
- d. DEC or the NYS Office of the State Comptroller may conduct an audit of payment records at any time during this period and up to six years after the final payment is disbursed to the municipality.

### **III. FREQUENTLY ASKED QUESTIONS (FAQs)**

#### **Who is eligible for funding?**

Only municipalities are eligible to apply for and receive State assistance under this Program. Under this State assistance program, a municipality is any:

- County, City, Town, or Village,
- Local Public Authority or Public Benefit Corporation,
- School District or Supervisory District, or
- Native American tribe or nation located within New York State.

#### **What costs are eligible?**

All costs must be reasonable and necessary, as determined by DEC, for the operation of the HHW Program.

##### **A. Operating Costs** - Typical eligible operating expenses are:

1. Contractor costs to accept, segregate, package, transport and properly manage the collected HHW.
2. Costs of safety equipment, such as protective clothing and respirator cartridges, for municipal workers and volunteers.
3. Costs of packaging supplies and containers for HHW, container labels and ground covers used during the collection of HHW.

##### **B. Educational Costs** - Educational and outreach activities must focus on educating the public on reducing the volume of HHW generated in the home, or must provide promotion for a HHW collection program. Costs of "mixed-use" brochures/advertisements will be pro-rated only if a minimum of 50% of the materials are dedicated to HHW information. Typical eligible educational expenses are:

1. Costs of preparing and printing posters, brochures, flyers, and other materials that focuses on HHW collection programs;
2. Costs of purchasing advertising space in newspapers or other periodicals, or of providing public service announcements to local radio stations or other media.

#### **Are there any other requirements for funding?**

1. Permitted HHW Collection and Storage Facilities must have a valid DEC permit to operate.
2. Collection day programs must have received DEC's written approval prior to conducting the collection day.
3. Educational costs will be eligible for reimbursement only if the municipality offers a collection program for HHW.

## **Which types of wastes are eligible for reimbursement?**

Only the costs of collecting and managing categories of wastes that meet the definition of HHW and do not have separate State or federally mandated take-back, deposit or product stewardship programs, will be reimbursed under this program. Categories of waste potentially eligible for reimbursement may include, but are not limited to:

*Pesticides, corrosives, pool chemicals, driveway sealers, hazardous paints and stains, polishes and waxes, adhesives, solvents, hazardous cleaning products, antifreeze, vehicle fluids, fluorescent light tubes, compact fluorescent lamps (CFLs) and ballasts, photography chemicals, non-rechargeable hazardous batteries, products containing mercury (\*excluding thermostats), propane gas cylinders (that still contain propane).*

*\*For information on thermostat disposal, or to participate in the Thermostat Recycling Corporation program, go to <http://www.thermostat-recycle.org>. For more on managing mercury thermostats, go to <http://www.dec.ny.gov/chemical/92655.html>.*

## **What costs are NOT eligible?**

Items that will **NOT** be reimbursed under this program include, but are not limited to:

1. Costs that are reimbursed to the municipality or paid by outside sources, such as State and Federal Governments, or private donations or funding;
2. In-kind services, employee salaries, general supplies and overhead;
3. Costs paid outside the term of the contract;
4. Costs of issuing bonds, obtaining financing, obtaining permits, applying for State assistance, interest, bid document production or bid document distribution;
5. Cost of recycling waste materials if the recycled product is returned to the municipality, such as through a "buy-back" system;
6. Costs of operating a fluorescent bulb collection program or other similar single material collection programs, unless collected as part of an approved HHW collection program;
7. Costs of any HHW collection program that does not comply with an approved collection day plan or facility permit, and all applicable rules and regulations;
8. Cost of managing hazardous waste not generated by households, such as hazardous waste generated by municipalities, municipal departments, State agencies, schools, farms commercial establishments or industries.;
9. Costs related to and for municipal workers and volunteers except for personal safety equipment (e.g., salary, overhead, travel and medical expenses);
10. Costs incurred from the collection, handling, and disposal of types of solid waste that, except under extraordinary circumstances, would not meet the definition of HHW (e.g., explosives, alkaline batteries, ammunition, asbestos, bulk metal,

construction and demolition debris, empty containers, empty paint cans, empty aerosol cans, empty refrigerant cans, empty propane tanks, unserviceable extinguishers, household medical waste, latex paint, radioactive material, rechargeable batteries, smoke detectors, tires, used oil, white goods, roll-off containers with municipal solid waste, and any miscellaneous materials and packaging received).

### **Are the costs of collecting electronics eligible?**

No. Municipalities have no responsibility under the **New York State Electronic Equipment Recycling and Reuse Act**. In fact, a key purpose of the Act was to remove the burden and expense of managing costly electronic waste acceptance programs from municipalities, and introduce a producer responsibility approach to managing this expanding waste stream.

Instead of requiring municipal collection, the law requires manufacturers of Covered Electronic Equipment (CEE) to provide all counties of the State, and all municipalities which have a population of ten thousand or greater, with at least one convenient method of recycling. Manufacturers and/or collective electronic waste acceptance programs may make arrangement with municipalities to operate electronic waste acceptance programs.

As of **April 1, 2011**, when electronic waste acceptance programs were required to be implemented, costs for municipal collection of CEE were no longer eligible for reimbursement through the Household Hazardous Waste State Assistance Program. Municipalities participating in an electronic waste acceptance program might be able to receive some form of financial assistance through their agreements with those programs.

For further information pertaining to electronics waste collection, please go to our web site at: <http://www.dec.ny.gov/chemical/66879.html>.

### **Are the costs of collecting rechargeable batteries eligible?**

No. Municipalities have no responsibility under the **NYS Rechargeable Battery Recycling Act**. The law requires manufacturers of covered rechargeable batteries to collect and recycle the batteries statewide in a manufacturer-funded program at no cost to consumers or municipalities. Most rechargeable batteries contain toxic metals that can be released into the environment when improperly disposed. As of June 8, 2011, consumers across the state have been able to safely return to retailers rechargeable batteries, from a large number of electronic products, for recycling or proper management at the end of their useful life. Rechargeable batteries covered under the law include: *Nickel-cadmium, sealed lead, lithium ion, nickel metal hydride, any other such dry cell battery capable of being charged and battery packs containing any of the above-mentioned batteries.*

Since retailers that sell covered rechargeable batteries are required to accept used rechargeable batteries from consumers during normal business hours, cost for municipal collection of rechargeable batteries covered under the act are no longer eligible for reimbursement through the Household Hazardous Waste State Assistance Program.

For further information pertaining to The NYS Rechargeable Battery Recycling Act (Article 27, Title 18 of the Environmental Conservation Law), please go to our web site at: <http://www.dec.ny.gov/chemical/72065.html>.

## **Mercury Thermostats**

It has been illegal to dispose of mercury thermostats in the trash in New York State since 2005. The Mercury Thermostat Collection Act of 2013 provides for mandatory collection and environmentally sound management of mercury thermostats, therefore the costs for municipal collection of mercury thermostats are not eligible for reimbursement through the Household Hazardous Waste State Assistance Program. For more information, go to <http://www.dec.ny.gov/chemical/92655.html>.

## **Automotive Batteries**

Retailers have been required to accept automotive lead-acid batteries in New York State since January 1, 1991, therefore the cost for municipal collection of lead-acid batteries are not eligible for reimbursement through the Household Hazardous Waste State Assistance Program. For more information, go to <http://www.dec.ny.gov/chemical/86024.html>.

## **What if my program collects waste from other than households?**

The HHW State assistance program will reimburse the costs of collecting and properly managing waste from households. Municipalities may however, still collect hazardous waste from other than households [e.g., farmers, municipal departments, conditionally exempt small quantity generators (CESQGs)] at a HHW collection program if authorized by DEC and if received from a CESQG. However, costs incurred from the collection or management of wastes that are not from households are not eligible for reimbursement and must be managed as a hazardous waste. Municipal HHW collection programs that also collect non-household waste must meet the following conditions in order to remain eligible for this State assistance program:

1. All participants that are not households must qualify as CESQGs. Please view the following website to determine who qualifies as a CESQG <http://www.dec.ny.gov/chemical/60838.html>.
2. The sponsor municipality must register participating farmers and businesses to determine their generator status. This information must be provided to DEC upon request.
3. The sponsor municipality must determine the portion of costs from collection of waste from households, exclusive of costs resulting from collection of waste from CESQGs / farms waste, etc. The separation scheme should be described in the State assistance application program description and is subject to DEC approval.

## **Can I file more than one Application?**

For HHW collection day activities, a municipality may submit only **one** application for all HHW State Assistance per State fiscal year (April 1 - March 31) for either the current or the previous State fiscal year. All program costs expected to be paid during that year should be included in the application.

For construction of permitted HHW collection and storage facilities, a municipality may submit only **one** application for funding for the total construction cost of the facility regardless of whether construction costs are expected to be paid in more than one state fiscal year.

## Special Guidance for Permitted Household Hazardous Waste Collection and Storage Facilities

In addition to the required information contained in the Grant Application Package for the Household Hazardous Waste State Assistance Program, the following supplemental information is required as part of the application for construction of permitted Household Hazardous Waste Collection and Storage Facilities.

### **Eligible Costs**

1. Reasonable costs, as determined by DEC, incurred in constructing a household hazardous waste collection and storage facility may be eligible for reimbursement. Eligible costs include the following, to the extent that they are necessary for actual facility construction:
  - a. Costs for engineering and architectural services, surveys, plans and specifications;
  - b. Costs for directly related consultant and legal services;
  - c. Costs for lands acquired, to the extent that the lands are used for permitted household hazardous waste collection and storage facilities; and
  - d. Costs for facility construction and other DEC approved directly related expenses.

### **Project Description**

1. Describe the **layout and operation** of the project, detailing methods, schedules, equipment, and services required for each subsystem, including:
  - a. Collection and handling methods at the HHW facility;
  - b. Hours and days of operation, equipment and personnel required for HHW collection, aggregation, and storage;
  - c. Processing design, including:
    1. Design and operational capacities of the facility and component equipment;
    2. Number and design 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 HHW for management;
  - e. Methods to be employed for protecting HHW from contamination and deterioration; and
  - f. Methods for storage and protecting HHW from mixing of non-compatibles.

## Project Budget

1. Provide an itemized list of each item for which funding is requested, including:
  - a. Estimated costs;
  - b. Brief summaries of use;
  - c. Dates of purchase or anticipated purchase dates; and
  - d. Vendor specification, equipment brochures, or bid specifications issued by the municipality, for each equipment item, and for buildings to be funded.
  
2. For **EQUIPMENT COSTS** only, prepare an "Equipment List" to describe items for which funding is requested. The following is a sample of the information that must be provided on the Equipment List:

Reference No.	Equipment / Description	Quantity Unit Cost	Total Cost	Purchase Date	Brief use summary, materials, quantity handled & location
1	Chemical Storage Locker	1 @ \$20,000	\$20,000	9/20/08	6'x3'x8' storage cabinet used to store incompatible chemicals. Anticipated capacity to allow ample storage between pickups. To be located at the Route 66 HHW Facility/Transfer Station.

3. For **CONSTRUCTION OR PROFESSIONAL SERVICES**, provide an estimate of costs and justification 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; and
  - e. Construction services (general, HVAC, electrical, plumbing).
  
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. Only a reasonable amount of the Total Project Cost, as determined by DEC, 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 municipal work force is the preferred alternative.

If you have any construction costs which you wish to include in your application, please call the telephone number on the cover page of this application package for further instructions.

**Appendix A**  
**SAMPLE RESOLUTION**

*Note: The text of this resolution has been pre-approved by DEC attorneys.  
Use of the language of this pre-approved resolution will reduce time for review.*

A Resolution Authorizing the Filing of an Application for a State Assistance from the Household Hazardous Waste (HHW) State Assistance Program and Signing of the Associated State Master Grant Contract, Under the Appropriate Laws of New York State.

WHEREAS, the State of New York provides financial aid for household hazardous waste programs; and

WHEREAS \_\_\_\_\_  
*(Legal Name of Municipality)*

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)*

or his/her designee is directed and authorized as the official representative of the MUNICIPALITY to act in connection with the application, to sign the resulting contract if said application is approved by the STATE; and to provide such additional information as may be required.

3. That the MUNICIPALITY agrees that it will fund the entire cost of said household hazardous waste program and will be reimbursed by the State for share of such costs as indicated in the contract.

4. That two (2) Certified Copies of this Resolution be prepared and sent to the New York State Department of Environmental Conservation together with a complete application.

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 Assistance, 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 \_\_\_\_\_, \_\_\_\_\_,

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 \_\_\_\_\_, \_\_\_\_\_.

If the Applicant has an Official Seal,  
Impress here.

\_\_\_\_\_  
Signature of Recording Officer

If not, then please sign both  
certificates in original signatures.

\_\_\_\_\_  
Title of Recording Officer



## Appendix B

New York State Department of Environmental Conservation

### APPLICATION FOR STATE ASSISTANCE

### Household Hazardous Waste State Assistance Program

1. Applicant \_\_\_\_\_ 2. County \_\_\_\_\_ 3. DEC Region \_\_\_\_\_

4. Type of Applicant:     County     Town     City     Village     Local public authority  
 Public benefit corporation     School district     Supervisory district     Native American tribe or nation

SFS Number \_\_\_\_\_

5. Name and Title of

Contact Person: \_\_\_\_\_

*This person should be someone with specific knowledge about the HHW project.*

Address: \_\_\_\_\_ Phone \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

E-mail address (if available) \_\_\_\_\_

6. Population of municipality \_\_\_\_\_  total population or  households

7. Total Project Cost \$ \_\_\_\_\_ 9. State Assistance Request (50%) \$ \_\_\_\_\_

10. Period covered by this application \_\_\_\_\_ - \_\_\_\_\_

**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.

Signature of Authorized Representative \_\_\_\_\_ Date \_\_\_\_\_

Name and Title \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

4/2001



**Project Description Worksheet (page 2 of 2)**

5. What coordination/consolidation of HHW services was performed among municipalities?

*Write NONE if no coordination among municipalities was performed.*

6. Are you using any innovative or cost-effective methods?

*Write NONE if no innovative or cost-effective methods were used.*

7. Does this project meet all applicable State, Federal and Local laws and regulations?

Yes \_\_\_\_\_ No \_\_\_\_\_ If no, please explain.

8. What have you done to secure other financial assistance for your HHW program?

*Write N/A if no efforts were undertaken to secure other financial assistance.*

9. What inter-governmental or non-governmental arrangements have you entered into to carry out the HHW collection event?

*Do NOT submit copies of all your correspondence*

*Write NONE if no arrangements were necessary.*

10. Any other information which you believe may help DEC evaluate the reasonableness of funding for your project. *This may include justifications for equipment needed, or explanations of costs unique to your program.*

11. If you employ any contractors for this project: All contractors and/or subcontractors are subject to a vendor responsibility review by the State to ensure public dollars are being spent appropriately with responsible contractors. A vendor responsibility review may include a contractor and/or subcontractor to present evidence of its continuing legal authority to do business in NYS, integrity,

experience, ability, prior performance, and organizational and financial capacity. Contractors or subcontractors that receive contract funding valued at \$100,000 or more must complete a Vendor Responsibility Questionnaire. To enroll in and use the NYS VendRep System, see the VendRep System instructions available at: [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or go directly to the VendRep System at: <https://portal.osc.state.ny.us>.

12 You will be required to carry appropriate insurance as specified in the Master Grant Contract, ([http://www.dec.ny.gov/docs/materials\\_minerals\\_pdf/dmmmgc.pdf](http://www.dec.ny.gov/docs/materials_minerals_pdf/dmmmgc.pdf)) Attachment A-1 Program Specific Terms and Conditions, and agree that each project consultant, project contractor and project subcontractor secures and delivers to the contractor appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York. Policies must name the contractor as an additional insured, with appropriate limits, covering contractor's public liability and property damage insurance, contractor's contingency liability insurance, "all-risk" insurance, and workers compensation/disability coverage for the project.

# Appendix D

## Household Hazardous Waste State Assistance Program

### BUDGET WORKSHEET (page 1 of 2)

**Attach itemized lists of individual costs used to calculate these amounts.  
Miscellaneous amounts will not be approved.**

**Period covered:** April 1, \_\_\_\_\_ - March 31, \_\_\_\_\_

**1. HHW Management Contractual Costs**

Primary Contractor Cost of Collection and Disposal of HHW \$ \_\_\_\_\_

Secondary Contractor Cost of Collection and Disposal \$ \_\_\_\_\_

Specify type of waste collected by 2nd contractor \_\_\_\_\_

**Subtract Cost of Ineligible Wastes**

Asbestos \_\_\_\_\_

Electronics \_\_\_\_\_

Latex Paint \_\_\_\_\_

Tires \_\_\_\_\_

Costs received directly from participants for management of waste \_\_\_\_\_

CESQG/farm/municipality's wastes \_\_\_\_\_

Other (specify) \_\_\_\_\_

**Subtotal HHW Management Contractor Costs \$ \_\_\_\_\_**

**2. Public Education / Promotion** Include items used to reach out to the public.

newspaper/radio/TV advertising \_\_\_\_\_

brochures, flyers \_\_\_\_\_

mailing costs \_\_\_\_\_

other promotional items \_\_\_\_\_

**Subtotal Public Education Costs \$ \_\_\_\_\_**

**3. Supplies and Materials** Must be necessary for carrying out HHW collection

(example: disposable containers, tarps, safety equipment, etc.) \$ \_\_\_\_\_

Include an itemized list for this category.

**4. Equipment Costs**

(example: durable containers, carts, etc.) \$ \_\_\_\_\_

Include an itemized list and justifications for each item requested.



# Appendix E

## Household Hazardous Waste State Assistance Program

### **APPLICATION CHECKLIST**

**To complete the application, submit all documentation below and place a check (✓) in each box.  
Include this checklist with your application.**

Name of Person completing checklist (print) \_\_\_\_\_

**DO NOT bind your application. It needs to be separated for review.**

check below when completed	<b>Application Component</b>
	<b>Application Cover Signed by Authorized Representative</b>
	<b>Project Description Worksheet - 2 pages</b>
	<b>Budget Worksheet - 2 pages</b> (include itemized lists, if necessary)
	<b>M/WBE Policy Statement and Utilization Plan Form (for all State contracts in excess of \$25,000)</b>
	<b>Two (2) copies of the Certified Resolution</b> Check for a municipal seal (or original signature) on each certificate
	<b>Vendor Responsibility (Question 11 in Appendix C)</b>
	<b>Proof of Workers Compensation Insurance for the municipality – Question 12 in Appendix C</b>
	<b>Collection Event Approval Letter From Regional Office</b>

If the applicant is a Public Authority,  
What is the applicant's Federal Tax ID number? \_\_\_\_ - \_\_\_\_\_

If the applicant is a county, city, town or village, payments will be sent to the municipality's chief finance officer.

**Reminders:**

1. **DO NOT forget to submit a collection plan for approval to your DEC Regional Office at least 60 days prior to the HHW collection day. If you fail to do this you will not be eligible for reimbursement.**
2. **DO NOT send all of your HHW plans and specifications used to obtain a HHW collection day approval letter, or permit. Just send the information required by this Application Package.**

## **Appendix F**

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

The DEC is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 (“MWBE Regulations”) for all State contracts with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.

Applicants subject to executing a future NYS Master Grant Contract agree, in addition to any other nondiscrimination provision of the MGC and at no additional cost to the DEC, to fully comply and cooperate with the DEC in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women (“EEO”) and contracting opportunities for certified minority and women-owned business enterprises (“MWBEs”). Contractor’s demonstration of “good faith efforts” pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) or other applicable federal, state or local laws.

Failure to comply with M/WBE and EEO requirements may result in a DEC finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages or enforcement proceedings.

Please refer to the NYS Master Grant Contract - Article IV.(J) and Attachment A-1 Program Specific Terms and Conditions - Article X, to review M/WBE and EEO requirements. Required M/WBE and EEO related forms can be found at <http://www.dec.ny.gov/about/48854.html>

The local government is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.

A list of certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at:  
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=9885>

The following M/WBE-EEO “Fair Share” goals are established as follows:

### **Minority Business Enterprise (MBE) Participation Goals**

Location/Commodity Group MBE Goals

Statewide:

Construction/Engineering 10%

Commodities 10%

Services/Technologies 10%

### **Women’s Business Enterprise (WBE) Participation Goals**

Location/Commodity Group WBE Goals

Statewide:

Construction/Engineering 10%

Commodities 10%

Services/Technologies 10%

### **Equal Employment Opportunity (EEO) Participation Goals**

EEO Minority Workforce Participation Goals

(DEC Regions 1- 9) 10%

EEO Female Workforce Participation Goals

(DEC Regions 1-9) 10%

### **DEC M/WBE Contact**

NYS Department of Environmental Conservation

Bureau of Contract and Grant Development/MWBE Program

625 Broadway, 10th Floor

Albany, New York 12233-5028

Phone: (518) 402-9240

Fax: (518) 402-9023

[mwbe@dec.ny.gov](mailto:mwbe@dec.ny.gov)

**Appendix G**  
**DEC Regional Offices**

REGIONAL OFFICE ADDRESS	COUNTIES	TELEPHONE
Regional Materials Management Supervisor <b>NYS DEC, REGION 1</b> 50 Circle Road Stony Brook, NY 11790-3409	Nassau, Suffolk	<b>(631) 444-0375</b>
Regional Materials Management Supervisor <b>NYS DEC, REGION 2</b> 1 Hunters Point Plaza 47-40 21 <sup>st</sup> Street Long Island City, NY 11101-5407	New York City (Bronx, Kings, New York, Queens, Richmond)	<b>(718) 482-4896</b>
Regional Materials Management Supervisor <b>NYS DEC, REGION 3</b> 21 South Putt Corners Road New Paltz, NY 12561-1696	Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester	<b>(845) 256-3141</b>
Regional Materials Management Supervisor <b>NYS DEC, REGION 4</b> 1130 North Westcott Road Schenectady, NY 12306-2014	Albany, Columbia, Delaware, Greene, Montgomery, Otsego, Rensselaer, Schenectady, Schoharie	<b>(518) 357-2045</b>
Regional Materials Management Supervisor <b>NYS DEC, REGION 5</b> 1115 Route 86, PO Box 296 Ray Brook, NY 12977-0296	Clinton, Essex, Franklin, Fulton, Hamilton, Saratoga, Warren, Washington	<b>(518) 897-1241</b> <b>(518) 623-1200</b>
Regional Materials Management Supervisor <b>NYS DEC, REGION 6</b> State Office Building 317 Washington Street Watertown, NY 13601-3787	Herkimer, Jefferson, Lewis, Oneida, St. Lawrence	<b>(315) 785-2513</b>
Regional Materials Management Supervisor <b>NYS DEC, REGION 7</b> 615 Erie Boulevard West Syracuse, NY 13204-2400	Broome, Cayuga, Chenango, Cortland, Madison, Onondaga, Oswego, Tioga, Tompkins	<b>(315) 426-7419</b>
Regional Materials Management Supervisor <b>NYS DEC, REGION 8</b> 6274 East Avon-Lima Road Avon, NY 14414-9519	Chemung, Genesee, Livingston, Monroe, Ontario, Orleans, Schuyler, Seneca, Steuben, Wayne, Yates	<b>(716) 226-5411</b>
Regional Materials Management Supervisor <b>NYS DEC, REGION 9</b> 270 Michigan Avenue Buffalo, NY 14203-2999	Allegany, Cattaraugus, Chautauqua, Erie, Niagara, Wyoming	<b>(716) 851-7220</b>