



Division of Materials Management  
Bureau of Solid Waste  
625 Broadway, Albany, NY 12233-7260

New York State  
Environmental Protection Fund

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# Household Hazardous Waste State Assistance Program

**Grant Opportunity DEC01-HHW-2019**

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Grants Gateway Application Guidelines

**Application Filing Deadline is  
February 28, 2019 at 3:00 PM ET**

**Funding is limited to work completed during the period  
January 1, 2018 through December 31, 2018**

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## 1.0 INTRODUCTION

### What is Household Hazardous Waste?

Household hazardous waste (HHW) are materials found in household wastes that would be regulated as hazardous waste if they were generated outside of a household, such as at a business or industrial facility. 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 funding to reimburse up to 50% of the costs of municipal HHW collection programs. The NYS Legislature must appropriate funding each state fiscal year for implementation of the HHW State Assistance Program. Accordingly, full 50% reimbursement is not guaranteed.

If any questions arise or any assistance is needed during the application process, please contact, as applicable:

**DEC:**

Phone: 518-402-8678

Email: [RecyclingGrants@dec.ny.gov](mailto:RecyclingGrants@dec.ny.gov)**Grants Reform Helpdesk:**

Phone: 518-474-5595

Email: [Grantsgateway@its.ny.gov](mailto:Grantsgateway@its.ny.gov)

## 2.0 ELIGIBILITY INFORMATION

### *Who is eligible to apply?*

- Counties, Cities, Towns or 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

### *What projects are eligible?*

Eligible projects can include reasonable municipal costs related to operating household hazardous waste collection programs or operating a household hazardous waste collection and storage facility or mobile collection facility, and associated educational and promotional expenses. It is not necessary that all types of household hazardous waste be collected for the collection program to be eligible.

### *Important items to be kept in mind when applying:*

- For this opportunity, an applicant can submit only one (1) application.
- Permitted HHW Collection and Storage Facilities must have a valid DEC permit to operate.
- Collection event programs must have DEC's written approval prior to conducting the collection event.
- Educational costs are eligible for reimbursement only if the municipality offers HHW collection.
- Payments are limited to no more than 50% of the eligible costs incurred by the applicant up to a maximum of \$2 million per project.
- If any Federal, State, or other assistance, is received for the project, reimbursement will be limited to 50% of the net eligible costs incurred after deduction of any Federal, State, or other assistance received.
- Payments will be made only after a grant contract for the eligible portions of the proposed project is executed by all required State agencies and appropriate reimbursement requests / payment documentation have been reviewed and approved by the DEC.

### ***Examples of ELIGIBLE Costs***

Eligible costs include the following, to the extent that they are necessary for program operation:

1. Costs for one or more contractor(s) to accept, segregate, prepare for shipment, or transport household hazardous waste that is brought to the collection event or facility.
2. Costs for the actual recycling, treatment, or disposal of collected household hazardous wastes.
3. Costs for publicity, promotion, and public education directly related to operating a household hazardous waste collection program.

Generally, categories of HHW potentially eligible for up to 50% reimbursement may include:

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, hazardous batteries, products containing mercury (excluding thermostats), and propane gas cylinders that still contain propane.

### ***Examples of INELIGIBLE Costs***

1. Costs incurred to conduct a household hazardous waste collection program if it is not fully implemented in accordance with the requirements of 6 NYCRR Subpart 362-4 regulations.
2. Costs incurred in preparing and submitting an application for state assistance.
3. Costs incurred outside of the calendar year term of the grant operating period.
4. Costs defrayed by federal or other outside funding.
5. Costs related to, or for municipal staff and/or volunteers.
6. Indirect, overhead or in-kind costs.
7. Costs incurred in securing required permits from the DEC or any other permitting authority.
8. Program and facility operating costs, including, but not limited to, **office supplies and equipment, equipment service, office maintenance, internet service, telephone, utilities, health and safety equipment or training, mileage, travel expenses, fuel**, or other similar costs as determined by DEC.
9. Costs incurred for the collection and disposal of materials that have an established program for statewide take-back, product stewardship or return including, but not limited to **used oil, vehicle lead acid batteries, wireless telephones, electronic waste, mercury thermostats, rechargeable batteries** and any other similar materials as determined by the DEC.
10. Costs incurred from the collection, handling, and disposal of types of waste that would not meet the definition of household hazardous waste, including, but not limited to, **explosives, ammunition, emergency flares, empty containers, empty aerosol cans, alkaline batteries, rechargeable batteries, electronic waste, asbestos, bulk metal, white goods, construction and demolition debris, latex paint, empty paint cans, empty propane tanks, empty refrigerant cans, radioactive material, pharmaceutical waste, household medical waste, regulated medical waste, smoke detectors, fire extinguishers, tires, used oil and any miscellaneous materials and packaging** received.
11. Costs of a household hazardous waste collection event or collection events required by the DEC as part of an enforcement settlement (e.g., environmental benefit project, compliance order, or consent order).
12. Unnecessary or unreasonable costs as determined by the DEC.

**No HHW Grant funds will be paid for projects, unless the collection is approved in advance by DEC.**

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### 3.0 APPLICATION PROCEDURES

3.1 New York State has implemented an electronic Grants Gateway system. The Grants Gateway is a statewide Governor's initiative to reform the contract process with the intention of making it easier for grantees to apply for and receive funding. Applicants must be registered in the Grants Gateway to apply for and receive HHW State Assistance grants.

#### 3.2 GRANTS GATEWAY REGISTRATION

All NYS grant applicants must be registered in the NYS Grants Gateway to be eligible to:

- Apply for a NYS grant opportunity.
- Enter into a grant contract, an amendment to an existing contract, or a letter of agreement.
- Apply for future grant payments.

#### GRANTS GATEWAY REGISTRATION INSTRUCTIONS

Registration is NOT an online process. Register now to allow time for processing!!

1. On the Grants Reform Website at [https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/pdf/nysgg/granteepackage.pdf](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/pdf/nysgg/granteepackage.pdf) and download a copy of the Registration Form for Administrator.
2. Complete the form according to the instructions provided. The completed form must be signed and notarized.
3. Mail the signed and notarized original form to address provided in the Submission Instruction section on page 2 of the Registration Form for Administrator.
4. After the form is received and reviewed, you will be provided with a Username and Password allowing you to access the Grants Gateway.
5. Log in to the Grants Gateway at <https://grantsgateway.ny.gov>. You will be prompted to change your Password at the bottom of your Profile page. Enter a new Password and click the SAVE button located on the top, right-hand side of the page.

If you have previously registered and do not know your Username please email [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov). If you do not know your Password, please click the Forgot Password link from the main log in page and follow the prompts.

3.3 A municipality may file an application for a new HHW State Assistance grant with the approval and direction of its governing body. The applicant municipality must login to the NYS Grants Gateway system and initiate a proposal.

3.4 A municipality may submit only one application for each calendar year for all eligible HHW collection and disposal costs incurred during the previous calendar year.

3.5 To complete an application, applicants must complete these components in the Grants Gateway:

- A. Program Specific Questions – answer all applicable questions online in the Grants Gateway
  - Upload Schedule of Purchases – complete the form and upload
  - Upload Payment Background Documents
  - Upload HHW collection annual report, AND for collection events upload the signed approval letter from DEC
- B. Expenditure Budget consistent with Sched. of Purchases
- C. Workplan Overview and Workplan Properties

If the grant application is approved, the following items will also be required for contracting:

- D. Proof of Applicant's Workers Compensation Insurance – upload if grant is approved.
- E. Proof of Applicant's Disability Insurance - upload if grant is approved.
- F. Proof of Liability Insurance as required depending on project scope.
- G. Vendor Responsibility Information, if applicable (see section 3.9).

3.6 Applications will be accepted by the DEC **during the months of January and February** of each calendar year for the previous calendar year period. All applications must be filed via the Grants Gateway during this two-month period. Applications filed after February 28, or 29 in a leap year, eastern time of each calendar year, will not be accepted. Acceptance of an application and determination by the DEC that an application is complete is not to be interpreted as a guarantee or promise of funding.

3.7 If an application is determined by the DEC to be incomplete, the applicant will be notified by the DEC. Minor omissions may be corrected per DEC direction. Major omissions will result in a disapproval of the application.

3.8 Only applicants who submit complete applications, as determined by the DEC, will be eligible for State assistance payments. A project application will be reviewed and may be approved, disapproved or modified by the DEC. Complete applications will be evaluated by the DEC and, if acceptable, will be approved for state assistance of up to 50% of eligible costs. If there are insufficient funds to provide 50% reimbursement to all applications, the DEC may either lower the percentage or set a maximum dollar amount to be provided to each municipality. This lowered percentage or maximum dollar amount will be the same for all municipalities that submit a complete application.

3.9 Vendor Responsibility Requirement: (Applicable to projects where a project subcontractor is paid \$100,000 or more.) 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 [https://www.osc.state.ny.us/vendrep/info\\_vrsystem.htm](https://www.osc.state.ny.us/vendrep/info_vrsystem.htm) or go directly to the VendRep System at: <https://portal.osc.state.ny.us>.

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## 4.0 CONTRACTING AND PAYMENT PROCEDURES

### 4.1 Grants Gateway

All HHW grant contracts have transitioned from paper records to the Grants Gateway.

### 4.2 Master Contract for Grants

1. Upon approval by DEC of an application, a municipality must enter into a Master Contract for Grants. The Master Contract for Grants can be viewed at: [Master Contract for Grants](#).
2. The HHW Grant Contract will include: The statewide Master Contract for Grants, Attachment A-1 Program Specific Terms and Conditions, Attachment B-1 Expenditure Based Budget, Attachment C – Work Plan and Attachment D – Payment and Reporting Schedule. The project Work Plan and Expenditure Based Budget are drafted by the Applicant and approved by DEC prior to the Contract being sent to the grantee for signature. Once the Applicant has signed the Contract, DEC will execute the contract. For contracts valued at more than \$50,000, approval by the Office of the State Attorney General and the Office of the State Comptroller is also required. Applicants must carefully review and fully understand all Master Contract for Grants terms and conditions and be prepared to comply with all terms and conditions should a grant be awarded.

### 4.3 Payment Procedures

1. Upon execution of a contract, and completion of purchases, the grantee may request up to 50% reimbursement for the eligible costs of the project.
2. As of January 2019, payment requests are NOT yet incorporated into the Grants Gateway for the HHW program. Payment requests include a completed State Aid Voucher and must contain all supporting documents (vendor invoice, purchase order, cancelled check) for the expenses claimed.
3. After review of a payment request, DEC may approve, disapprove or modify the amount of funds reimbursed. Payment will not exceed the approved grant contract amount.
4. DEC may conduct an inspection of the project before deciding on payment approval. In no case will payment exceed the total Master Contract for Grants funding amount specified on the contract.
5. 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.

## 5.0 INSTRUCTIONS FOR REPORTING

Since all HHW State assistance applications are submitted after HHW collection activities have been completed, the annual report required by 6NYCRR Part 362 must be completed and uploaded with a grant application. See Program Specific Question #13.

## 6.0 PROGRAM SPECIFIC QUESTIONS

The following questions must be answered online in the Grants Gateway. They are copied here to allow for previewing before completing online. It is recommended that applicants generate, edit and save responses in this format, then cut and paste the finalized responses into the Grants Gateway screens. Please do not submit this information in paper form.

Answer all questions. If the proper response to a question is No or N/A, write N/A in the box.

1. "Applicant Type (Eligibility check): Please enter the applicant organization type from the list below.  
County, City, Town or Village  
Local Public Authority  
Local Public Benefit Corporation (established by NYS Law)  
School Districts, Supervisory Districts or Improvement Districts  
Native American Tribes or Nations residing in New York State
2. Enter a Contact Person Name, Phone and email for this project.
3. What is the service area of the project, population, and total attendance at the HHW collection(s)?
4. What are the dates of the collection events or collection days, locations and hours of operation?
5. What categories of wastes are collected? (include ALL wastes collected, even if not eligible for funding)
6. Describe the methods used to manage the collected HHW.
7. Enter a list of education and promotion work products (e.g., brochures, mailers, advertisements, promotional items, etc.) developed under this project. Upload copies of all documents and media used to promote the project.
8. Describe efforts to coordinate and consolidate HHW collection programs among municipalities.
9. Describe the use of any innovative or cost-effective methods to manage the collected HHW.
10. Describe all local, state, or federal permits or authorizations required for the project. Include permit numbers, if applicable.
11. Describe any state, federal, or other financial assistance for this project, received directly or indirectly or pending for this project or of any rebates or refunds or cost recovery associated with the project.
12. Certify that all services for this project are solicited and procured in accordance with the General Municipal Law (GML) and other applicable laws.

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13. Upload a copy of the annual report required under 6 NYCRR Subpart 362-4 and 360.19(k)(3) for the HHW collection for which funding is requested, AND for collection events upload the signed approval letter from DEC.
  14. Upload a completed Schedule of Purchases form (see page 11).
  15. Upload supporting payment documents (Invoices, HHW Advertisements, Manifests and Canceled Checks) and for collection events.

**Additional information may be required based on review of the responses to these questions.**

Instructions: To Complete this Application

1. Complete the Work Plan Overview Form.
  - a. Go to the Workplan Overview link in the Forms Menu.
  - b. Enter the project start and end dates (January 1, 2018 and December 31, 2018).
  - c. In the Project Summary Section of the Workplan, type in this text, or write your own similar workplan:

The grantee agrees to conduct an environmentally sound program for household hazardous waste (HHW) collection and disposal, including promotion of the HHW collection program, during the term of this contract. The HHW collection program complies with all applicable provisions of 6 NYCRR Part 360, including required prior approvals, as well as reporting after the collection is complete. The grantee will request 50% reimbursement for reasonable expenses necessary for collection and disposal of materials that would be classified by regulation as hazardous, and originating only from households. DEC will review such expenses to determine eligibility for 50 percent reimbursement under this contract.
2. Go to the Workplan Properties link in Forms Menu
  - a. Review the default Objectives and Tasks.
  - b. Utilize the performance measures to explain how you accomplished each task.
3. Use the completed SCHEDULE OF PURCHASES to Enter the Expenditure Budget Items in Forms Menu.

Instructions: Please be advised that if this application is approved for funding, the following additional documents will be required from the applicant:

1. Proof of Disability Insurance
2. Proof of Workers' Compensation Insurance
3. Proof of Liability Insurance as required depending on project scope.
4. Any vendors who receive \$100,000 or more from this project must complete and update a Vendor Responsibility Questionnaire, and are subject to a review by the Office of the State Comptroller.

Instructions: To submit the application after the above items are completed, go to Status Changes. Under APPLICATION SUBMITTED, click the APPLY STATUS button. Read the Agreement, Click on "I Agree" Button.

## HHW State Assistance Program SCHEDULE OF PURCHASES

Applicant:	
What is the calendar year covered by this request? January – December	

### A. Contractual Expenses for HHW Collection or Disposal (Contractual costs)

	Description of Expense & Vendor	Check Number	Check Date	Amount
1				\$
2				\$
3				\$
4	Subtotal Contractual Amount (Add lines 1-3)			\$
5	Subtract Cost of Ineligible Wastes (Asbestos, Electronics, Latex Paint, Tires, etc. see pg. 5)			-\$
6	Subtract Costs for CESQG, farm and municipality's wastes			-\$
7	Subtract funds received directly from participants, or other financial assistance			-\$
8	Total Eligible HHW Management Costs (line 4 minus lines 5-7)			\$
9	State Grant Funds (50% of Line #8)			\$
10	Local Match Funds (50% of Line #8)			\$

Copy the amounts in lines 9 and 10 to Forms Menu > Expenditure Budget > Contractual

### B. Public Education/Promotion/Educational Expenses (Other Expenses)

	Description of Expense & Vendor	Check Number	Check Date	Amount
11				\$
12				\$
13				\$
14				\$
15				\$
16				\$
17				\$
18				\$
19				\$
20				\$
21	Total Public Education Amount (Add lines 11-20) insert more lines if needed			\$
22	State Grant Funds (50% of Line #21)			\$
23	Local Match Funds (50% of Line #21)			\$

Copy the amounts in lines 22 and 23 to Forms Menu > Expenditure Budget > Other Expenses Detail

<b>Total Contractual and Education Expenses</b>	(Add lines 8 and 21)	<b>\$</b>
<b>State Assistance Requested</b>	(Add lines 9 and 22)	<b>\$</b>