

Approved March 8, 2011

SOUTHWEST MISSOURI SOLID WASTE DISTRICT N POLICY AND PROCEDURES

District Area

District N is comprised of five (5) counties: Barry, Dade, Lawrence, Stone and Taney. There are twenty-one (21) cities within these counties.

District Office

The Southwest Missouri Solid Waste Management District N is located at 205 15th St, Monett, Mo, 65708, phone (417) 236-9012. Office hours are 8:00 a.m. to 4:00 p.m. Monday through Friday. Since only one person is employed by the District, there is not always someone in the office. The District has an answering machine for messages.

Organization

The Southwest Missouri Solid Waste Management District N, pursuant to Section 260.300 RSMo, has adopted an alternative management structure. The **Solid Waste Management Council** is composed of two County Commissioners or one County Commissioner and one member-at-large appointed from each county, and a member-at-large from each city over 500 population within the district. The Council representatives are appointed to serve a two year term by an elected official and submitted as a resolution to the District. The **Executive Board** is composed one County Commissioner and one member-at-large from each of the five District N counties, for a total of ten members. The Chairman, Co-Chairman, Secretary and Treasurer are elected by the Executive Board every two years. The District Planner serves a non-voting member of the Executive Board.

Duties and Responsibilities

The **Management Council's** duties include:

- Reviewing the annual budget recommended by the Executive Board.
- Reviewing the annual DNR Solid Waste Management Plan recommended by the Executive Board.
- Providing general oversight for the Executive Board.

The **Executive Board's** duties include:

- Adopting resolutions, bylaws, rules and regulations for governing.
- Making necessary expenditures.
- Soliciting, reviewing and approving District grants.
- Applying for and accepting grants, gifts or appropriations.
- Creating, reviewing and approving the annual budget
- Ensure accurate preparation, reconciliation and review of all Quarterly Financial Assistance Reports (QFSR)
- Preparing, submitting and implementing the annual DNR Solid Waste Management Plan.

- Establishing one or more geographically balanced **Advisory Committees**, made up of persons from both inside and outside the industry, for the purpose of identifying the needs, issues and concerns within the district.

District Meetings

1. The **Executive Board** will meet ten times annually (except in case of weather conditions) on the second Tuesday of the month at a location determined by the Board. 2. b
2. The **Management Council** will meet one time annually in September or October at a location determined by the Board.
3. **Advisory Committees** will meet with the Executive Board at least once annually.

District Grant Funding

The District will secure grant funding available through the Missouri Solid Waste Management Fund. The District will submit the application and documentation to the Missouri Department of Natural Resources.

Interest Income

Interest income is kept track by the District Planner and reported on quarterly project summaries. This amount is allocated to fund grant projects when allocations are approved. 14. a

Tracking and Reporting

1. A receipt must be issues for all monies received by the District other than MDNR funding and interest income. 10. a
2. District staff will reconcile all financial transactions on monthly accounting records. The Treasurer or Chairman of the Executive Board shall sign/initial bank statement compared with Quickbooks reports to insure internal control. 14. a
3. The Treasurer and two (2) other members of the Executive Board have power to sign checks, approved by the Executive Board. Checks only require two (2) signatures. Checks not cashed within six (6) months can no longer be cashed and a new one must be reissued. 7. a
4. District Staff shall have the power to make bank deposits and transfers from savings to checking account.
5. All District monies must be adequately collateralized. All account balances must not exceed the financial institution's FDIC insured coverage. 12. a
6. The District will secure a bi-annual financial audit in accordance with state regulations. Bonds for persons authorized as signatories shall be secured by the Executive board at the cost of the District. 11. a

Grant Review Committee Policies

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1. The Grant Review Committee shall be made up of members of the District N Executive Board.
2. District Grant Applications will be reviewed and ranked by three (3) member Sub-Committee appointed by the Chairman of the Executive Board. The ranking will be based on objective, point-based criteria developed by the District staff and Executive Board. No Executive Board Member shall participate in ranking of an application submitted by their jurisdiction, agency or organization.
3. Following the ranking, the Executive Board may invite the applicants, in order of ranking and as many as could be possible be awarded based upon the requests, to make a brief presentation before the Executive Board. Applicants should be prepared to justify their project and answer questions pertinent to its award.
4. Upon completion of the Sub-committee presentation and recommendation to the Executive Board, the Executive Board will determine the degree to which funding to any project will adversely affect existing entities in the market segment and assign the final ranking and/or funding of the received applications.
5. The final decision on the grant awards shall be made by the vote of the Executive Board.
6. District grant funds shall not be awarded for projects in a City or County which has not adopted the Southwest Missouri Solid Waste Management District Solid Waste Plan.
7. Projects generally will not be funded on an on-going basis, but will be funded to encourage the creation or start-up of programs. Partial funding may be provided in future years where funds are available and need is documented. The District Plan may provide recommendations for on-going projects which are selected for special funding consideration by the district for a given year.
8. The past grant administration performance of an applicant shall be considered for on-going projects and for applications for different projects from the same applicant.
9. Grant projects are for one year. Grantees may request extensions up to one year to complete the project. Any project exceeding two years requires approval from MDNR Solid Waste Management Program.
10. District Staff will prepare and submit the grant applications to MDNR for approval and release of funds.

Contract Requirements

A Financial Assistance Agreement (FAA) is a binding agreement between the District and the Grantee. The Grantees task/work plan, funding, quarter report timeline and General Terms and Conditions are included in the FAA. The District Chairman and the Grantee both sign the FAA.

Grant Administration

District Staff is authorized by the Executive board to perform all necessary and appropriate grant program oversight. As further defined in the policies that follow, district staff has the authority to make decisions on quarter report content including:

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process invoices and approve financial records pursuant to applicable state regulations. District staff will report quarterly to the District N Executive Board on the status of District Grant Projects.

Quarterly Reports

District Staff will submit quarterly Status Reports to MDNR SWMP in accordance to the Grant FAA between the District and MDNR. The Sub Grantee is required to submit quarterly reports to the District. 7.2

Staff Procedures to attain timely submission of Quarterly Reports (QSR)

1. District staff will remind all sub-grantees by mail or email of the approaching due date for quarterly reports, staff will remind the sub-grantee by telephone that the report is overdue.
2. If the QSR is not received within 30 days of the due date, district staff will send a formal notification in the form of a certified letter to the authorized official listed on the FAA to promote submission of delinquent reports. 7.0w
3. All payments will be withheld from sub-grantee until delinquent reports are submitted.
4. District staff will notify the Executive Board of any delinquencies of the reports for future grant evaluations.
5. After grantee has submitted quarter reports and all documentation stated in the Grant Application the District staff will bring this before the Executive Board for approval of reimbursement of fund requested by the Grantee.
6. Quarter reports will be provided through out the length of the grant as stated on the FAA.
7. 15% of the grant funds for reimbursements may be released prior to the completion of the grant project with the prior approval of the Executive Board and MDNR.
8. Sub-grantee will put the waste diversion information on their quarterly reports. Waste diversion amounts specific to the grant will be reported to MDNR.
9. District N Executive Board will approve all Grantee final reports

Printed Materials

1. All printed materials distributed by the District or any subgrantee of the District must have the chasing arrows symbol on at least one page of the document, and all documents, reports or other printed materials consist of at least 30% recycled paper. 9.2
2. A Grantee shall identify the MDNR as the funding source on all publications and other printed materials, which are intended for distribution. Identification shall include the department's logo with the full department name. This applies to publications, news releases, videos, displays and all other projects from which information may be obtained by reading watching, hearing or simply seeing the material. Camera ready copies of the logo will be provided by any Grantee requesting them.

Budget Revisions

A sub-grantee must request and receive prior approval in the form of a budget amendment from District N Executive Board to transfer funds to create a related direct cost budget category. District Staff may approve transferring funds from one direct cost budget category to another. The accumulative amount of such transfers or amendments may not exceed ten percent (10%) of the current total approved budget in requested funds. The budget may be revised up to two times during the project period.

Revisions to the Scope of Work & Time Extensions

The Grant Recipient and the District agree that the project completion will be twelve (12) months from the issuance of the "Notification to Start". The Grant Recipient agrees to notify the District in writing if the completion date for this project cannot be met. Extensions require Executive Board approval in writing. The total length of any district Grant cannot exceed 18 months.

Equipment

- 5.0 1. The Grant recipient agrees to the District taking a four year Security Interest in and/or title to any equipment purchased with grant funds with a value of \$5,000.00 or more. Said security interest or lien shall be equivalent to the amount of funding provided by the district.
- 6.0 2. The security interest shall decrease at a rate of 25% per year, beginning on the start date of the project period set forth in the Financial Assistance Agreement (FAA) and the Notification to Start letter between the District and the Grant recipient.
- 8.0 3. The grant recipient shall sign the financing statement, form UCC-1. The UCC-1 and all reports shall be filed by the District planner on a timely basis as per 10 CSR 80-9.050(3)(C).
4. The grantee agrees that any equipment purchased shall be used for the performance of services under this agreement during the term of this agreement and for the three remaining years of the security years of the security interest.
5. The grantee shall annually submit a statement as provided by the District certifying that the use of said equipment is for project activities. Notwithstanding anything to the contrary contained in this agreement, the equipment shall not be removed from the State of Missouri.
6. District Staff will conduct an on site equipment inventory every two years to track all equipment purchased with District grant funds. To this end, MDNR stickers shall be placed on all equipment for tracking purposes.
7. The Grantee shall procure insurance, with financially sound and reputable insurance companies in such amounts and covering such risks as are usually carried by companies engaged in the same or similar business and similarly, on all equipment purchased with Solid Waste Management Fund monies.

Bids

Notification of request for bids will be in accordance with state regulations. Sub-grantees must comply with bid specifications in accordance with state regulations. Documenting bids including sole source justification and retention of procurement records.

Bidding requirements:

1. Recipients of grant funds are required to obtain three bids for all purchases according to the scheduled as defined in RSMo 34.040 and as approved by the District.
2. Purchases of \$0-2,999.00 do not require bids Purchases of \$3,000.00-24,999 require three (3) competitive bids, but do not have to be advertised
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4. Purchases of \$25,000.00 or higher require three (3) competitive bids, advertised in at least two daily papers for five (5) days before bid opening.

Payroll

1. Employees shall keep a daily log of time worked and any compensatory time taken. Payroll for District employees are issued bi-weekly. 10, a
 2. At least one Board member must review and sign the employee's pay period time sheet. Such review will include any claims for compensatory time.
 3. Paychecks will be disbursed only after the pay period ends.
 4. A properly completed Employee Withholding Allowance Certificate (W-4) and Employment Eligibility Verification Form (I-9) and other documentation related to each employee shall be kept on file for ready access. 3, a
 5. At least one Board member must review the year-end payroll information. 4, a
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