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Southeast Missouri Solid Waste Management District (District R)

Operations Manual

Introduction

The Southeast Missouri Solid Waste Management District (SWMD) serves two primary functions. First, it is the central planning organization with regards solid waste issues for the seven-county service area including the counties of Bollinger, Cape Girardeau, Iron, Madison, Perry, St. Francois and Ste. Genevieve. Second, the SWMD serves as a “pass through” agency for grant funds under Section 260.335.2(2) RSMo.

As a planning organization, the SWMD maintains and updates the Solid Waste Management Plan. The Missouri Department of Natural Resources (MoDNR) requires certain components be updated regularly. An inventory of solid waste providers and services is required every two years. Other planning functions are optional and at the discretion of the SWMD.

As a “pass through” granting organization, the SWMD awards grant monies to subgrantees on a schedule that is flexible and based on funding availability. The SWMD has responsibility for;

- Publishing a Grant Call.
- Accepting and reviewing applications.
- Recommending award amounts to the MoDNR.
- Developing contracts to govern the grant award.
- Obtaining reports from subgrantees.
- Providing reports to the MoDNR.
- Accounting for all funds received.



Rather than establish a separate office and hire necessary staff, the SWMD has opted to contract with the Southeast Missouri Regional Planning and Economic Development Commission (the “Commission”) to provide these services. The District Operations Contract with the SWMD includes both administrative and operational components. The administrative function primarily involves the solicitation of grants and the preparation of reports. The operational components involve activities ranging from planning to placing identifying tags on equipment purchased with SWMD funds.

As of July 1, 2009 the District Operations Contract has been entered into as a Five-Year Contract. The Commission expects to be providing staff support services at least through June 30, 2014 then. This manual covers the policies and procedures governing the implementation of this contract.

Scope of Work

The Service Contract governing this program stipulates the following work elements as part of its Scope of Work:

1. Provision of day-to-day administrative and clerical support;
2. Development of contracts with sub-recipients;
3. Preparation of Quarterly Reports;
3. a. 4. Representation of the SWMD with the MoDNR;
5. Provision of on-going planning and assistance in the implementation of the Solid Waste Management Plan;
6. Writing of grant applications;
7. Monitoring of legislation affecting solid waste management;
8. Provision of other technical support and services;
9. Provision of accounting services;
10. Accounting system;
4. a. - 11. Maintenance of a Physical Inventory;
4. a. - 12. Ensuring DNR logo and the words "Partially Funded by the Missouri Department of Natural Resources" appears on equipment visible to the public; and,
13. Retention of records.

Administrative Functions

Under that Scope of Work, the following administrative functions are required.

General Clerical/Secretarial Functions

Clerical Staff provide ongoing support. This specifically includes:

- Answering calls coming in on (573)547-9357 as "Southeast Missouri Solid Waste Management District;"
- Receiving and distributing correspondence addressed to the Southeast Missouri Solid Waste Management District;
- Preparing correspondence as needed;
- Preparing Minutes of meetings;
- Preparing Meeting Notices and Agendas;
- Maintaining a filing system to provide for easy access to records;
- 4. b. ➤ Maintaining an inventory of physical assets.

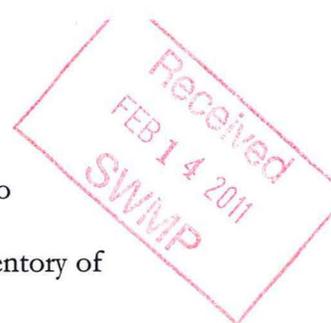
Planning Functions

Planning Staff provide services on both a recurrent and an "as needed" basis. Recurrent services include:

- Quarterly Reports – gathering information from subgrantees and assembling reports for submittal to MoDNR;



- Annual Reports – assembling information into the required annual report to MoDNR; and,
- Biannual Assessment Inventory – review existing MoDNR-maintained inventory of solid waste service providers and update as needed.



“As needed” support includes:

- Grant Calls – When sufficient funds are available Commission staff will notify the SWMD Board and, upon authorization, will handle all aspects of a Grant Call;
 - Prepare public notices and publish them in newspapers of record in all seven counties of the SWMD area;
 - Direct mail/email local governments who are members of the SWMD;
 - Provide application packages in a form and format provided by the MoDNR to anyone requesting them;
 - Accept and review applications received for completeness;
 - Prepare packages, including a pre-printed evaluation form, for the Proposal Review Committee;
 - Attend the Proposal Review Committee meeting;
 - Prepare a summary report of recommendations from the Proposal Review Committee to the SWMD Board;
 - Submit SWMD recommended projects to MoDNR for final approval.
- Subgrantee Contracts – When project approval is received from MoDNR;
 - NOTE: Once approval is received (an initialed “Attachment 1”) no additional MoDNR approval is required. The date on the Financial Award Agreement is the effective date for beginning to spend money.
 - Prepare the SWMD Financial Award Agreement and associated attachments for each project approved;
 - Assemble completed Financial Award Agreements and forward them to MoDNR along with a request for funds;
 - Complete package includes the signed and dated Financial Award Agreement, a Project Request Summary (MS eXcel format), and an invoice in a form and format we prepare.
 - Review progress on projects and make such UCC-1 Filings or ensure Title Liens as are necessary to protect the SWMD and MoDNR’s security interest in items purchased.
- Other planning/research projects or information gathering as may be directed by the SWMD Board.

Calendar of Activities

The MoDNR and SWMD operate on a July 1 – June 30 Fiscal Year. Beginning with FY 2010, then (July 1, 2009 – June 30, 2010) the following regular calendar of activities applies for the five year contract period:

July 30 – Fourth Quarterly Reports.

September 10 – Quarterly Report forms to subgrantees with October 10 deadline.

September 30 – SWMD Annual Report due to MoDNR.

October 10 – Subgrantee Quarterly Reports due.

October 30 – Quarterly Reports due to MoDNR.

December 10 – Quarterly Report forms to subgrantees with January 10 deadline.

January 10 – Subgrantee Quarterly Reports due.

January 30 – Quarterly Reports due to MoDNR.

March 10 – Quarterly Report forms to subgrantees with April 10 deadline.

April 1 – Odd numbered years – Assessment Inventory due to MoDNR.

April 10 – Subgrantee Quarterly Reports due.

April 30 – Quarterly Reports due to MoDNR.

May SWMD Meeting – Annual Contract Renewal to SWMD Board

June 10 – Quarterly Report forms to subgrantees with July 10 deadline.

July 10 – Subgrantee Quarterly Reports due.

Monthly – By the 2nd Tuesday – Review Meeting Notice and Agenda items.



Data Files and Boilerplates

With so many programs and projects undertaken on an ongoing basis, the use of “stock” or “boilerplate” forms, contracts, notices, and the like dramatically reduces time involved in preparing repetitive documents, and cuts down on the potential for data entry errors. Key data files and boilerplate forms are:

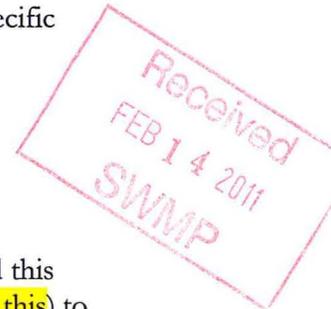
Establishing Folders

1. To avoid further proliferation of folders in Windows which makes finding needed files needlessly complicated, the following procedures should be followed –
 - A. Each Fiscal Year a new folder should be added to the “W:\” drive as follows:
 - I. W:\SWMD\FY200X Recycling Grants where the “X” reflects the relevant Fiscal Year.
 - II. For example – FY 2010 (the Fiscal Year beginning on July 1, 2009 and ending on June 30, 2010) would have a new folder added to read:
 - a. W:\SWMD\FY2010 Recycling Grants\
 - B. Until a project has been approved by the SWMD Board there is no need to establish a new folder for a project.

- I. Once a project is approved, a new folder should be established on the "W:\ drive" as follows:
 - a. W:\SWMD\FY200X Recycling Grants\R200X-N
 - b. Where X is the Fiscal Year;
 - c. R is District R; and,
 - d. N is a "one up" number assigned by the Commission.
- II. All forms, data sets and correspondence relevant to that specific project should be filed in that folder.

Subgrantee contracts

1. Basic Boilerplate Subgrantee Contract – MS Word file
 - A. W:\SWMD\Contract\Boilerplates\Boilerplate Contract.docx
 - I. To prepare the basic contract with a subgrantee simply load this document and change the yellow highlighted items (i.e. like this) to reflect the information applicable to this project.
 - a. Using the "Save As" function save as a new contract.
 - b. The Project Number is assigned internally.
 - c. Project Numbers are created as R20XX-N.
 - i. R is District R;
 - ii. X is the Fiscal Year; and,
 - iii. N is a one up number.
 - d. Contract is then saved as W:\SWMD\FY200X Recycling Grants\R200X-N\R200X-N Contract
2. Basic Boilerplate Attachment 1, Scope of Services – MS Word file
 - A. W:\SWMD\Contract\Boilerplates\Boilerplate Attachment 1 Scope of Services.docx
 - I. To prepare the Scope of Services load this document and change the yellow highlighted items to reflect information applicable to this project.
 - a. Using the "Save As" function save as a new Scope of Services as W:\SWMD\FY200X Recycling Grants\R200X-N\R200X-N Attachment 1 Scope of Services
3. Basic Boilerplate Attachment 2, Budget – MS eXcel file
 - A. W:\SWMD\Contract\Boilerplates\Boilerplate Attachment 2 Budget.xlsx
 - I. To prepare the Budget load this spreadsheet and fill in lines and amounts per the approved proposal budget.
 - a. Using the "Save As" function save as a new Budget as W:\SWMD\FY200X Recycling Grants\R200X-N\R200X-N Attachment 2 Budget
4. Basic Boilerplate Attachment 3, General Terms and Conditions – MS Word file
 - A. W:\SWMD\Contract\Boilerplates\Boilerplate Attachment 3 General Terms and Conditions June 23, 2008.docx
 - I. This is a MoDNR required set of General Terms and Conditions. Annually, normally in June, MoDNR will release its latest version. When received, do a line-by-line comparison to the one on file and make such changes as necessary.



- II. With changes made, use the “Save As” function to save the latest version as W:\SWMD\Contract\Boilerplates\Boilerplate Attachment 3 General Terms and Conditions MostRecentDateOfChanges.
 - III. To include in a contract use the “Save As” function to save the most recent version of the General Terms and Conditions as W:\SWMD\FY200X Recycling Grants\R200X-N\R200X-N Attachment 3 General Terms and Conditions.
5. Basic Boilerplate Attachment 4, Bid Policy – MS Word file
 - A. W:\SWMD\Contract\Boilerplates\Boilerplate Attachment 4 Bid Policy.docx
 - I. The only time this might need to be changed would be in the event that the SWMD Board makes changes or, more likely, that the State of Missouri makes changes in its Bid Policy on which the SWMD policy is modeled. If changes are made simply save this file with changes.
 - II. To include in the contract use the “Save As” function to save this Attachment as W:\SWMD\FY200X Recycling Grants\R200X-N\R200X-N Attachment 4 Bid Policy
6. Basic Boilerplate Attachment 5, Reimbursement Policy – mixed files
 - A. W:\SWMD\Contracts\Boilerplates\Boilerplate Attachment 5 Reimbursement Policy.docx.
 - I. This is a MoDNR established policy. Annually, normally in June, MoDNR will release its latest version. When received, do a line-by-line comparison to the one on file and make such changes as necessary.
 - II. With changes made, use the “Save As” function to save the latest version as W:\SWMD\Contract\Boilerplates\Boilerplate Attachment 5 Reimbursement Policy.
 - III. To include in a contract use the “Save As” function to save the most recent version of the General Terms and Conditions as W:\SWMD\FY200X Recycling Grants\R200X-N\R200X-N Attachment 3 General Terms and Conditions.
 - IV. In addition, this attachment includes two pdf files, one more MS Word file, and one MS eXcel file. These are identified on “blank pages” in the attachment. Review the policy annually to be certain that all components are in place.
7. Basic Boilerplate Attachment 6, Executive Summary – MS Word file
 - A. W:\SWMD\Contracts\Boilerplates\Boilerplate Attachment 6 Executive Summary.docx.
 - I. This file is included for format purposes only. It should be loaded and then the “boilerplate” text deleted. The Executive Summary from the project proposal should be inserted.
 - II. To include in a contract use the “Save As” function and save as W:\SWMD\FY200X Recycling Grants\R200X-N\R200X-N Attachment 6 Executive Summary
8. Basic Boilerplate Attachment 7, Timeline – MS eXcel file
 - A. W:\SWMD\Contracts\Boilerplates\Boilerplate Attachment 7 Timeline.xlsx.



- I. This file is included for format purposes only. It should be loaded and then all labels and “fills” changed to reflect the timeline included with the project proposal.
- II. To include in a contract use the “Save As” function and save as W:\SWMD\FY200X Recycling Grants\R200X-N\R200X-N Attachment 7 Timeline

Reporting Requirements

Various report forms are maintained on the “W:\” drive. These include MoDNR forms which are sometimes in a “completable” .pdf file format, sometimes in a “completable” MS Word document.

1. Quarterly Reports

- A. The Quarterly Reports, due the last day of January, April, July, and October, are quite simple. They include:
 - I. A cover letter, sample found at W:\SWMD\QtrlyRpts\Boilerplates\Boilerplate Transmitting Quarterly Reports.docx;
 - a. Identifies the Quarterly Report Forms included;
 - b. States that the Quarterly Project Financial Summary and the District “roll-up” 780-1993 is included;and,
 - c. Includes any other relevant information such as project closings, budget alterations, project cancellations, and the like.
 - II. The Solid Waste District Status Report Form (MO780-1993) found at W:\SWMD\Forms\Quarterly-Final Report form 780-1993 – October 2008.docx.
 - a. This is the most recent form. Should revisions be available they should be saved in the same folder with a new date and used in the future.
 - b. This form is prepared by each subgrantee (sent along on the 10th of December, March, June and September and due back to the RPC office by the 10th of January, April, July and October) and included in the Quarterly Report to MoDNR.
 - c. Data from this form is summarized on a separate 780-1993 and presented as District R data. A spreadsheet is available at W:\SWMD\QtrlyRpts\Boilerplates\Boilerplate FY200X District Diversion Summary which will help to combine the various subgrantee reports into the District R quarterly report.
 - III. The Quarterly Project Financial Summary W:\SWMD\QtrlyRpts\Boilerplates\Boilerplate Financial Summary Worksheet is prepared for all active projects.

2. Annual Reports

The Annual Report is a stylized, formatted report. A “boilerplate” sample is available at W:\SWMD\Annual Report\Boilerplates\Boilerplate Annual Report. The report is due by September 30.

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3. Assessment Inventory

Every two years an inventory of Solid Waste Service Providers is undertaken as a part of the statewide planning process. To undertake this:

- A. The MoDNR distributes a package including the existing inventory and all required forms to undertake the update project.
- B. The update report is due back to the MoDNR by April 1st of odd numbered years.

Filing Requirements

To avoid duplicate filing, and to save steps, there are files maintained in the “small” filing room immediately next to the receptionist area, and in the Fiscal Officer office. The general programmatic and administrative files are maintained in the “small” filing room. Only directly relevant financial information is kept in the Fiscal Officer filing cabinets.

Each file should have a checklist as the first page. This checklist identifies what should be in that file, in what order, and identifies those items required to be forwarded to the Fiscal officer. Specifically:

- 1. Project name and number
- 2. “On Award” section:
 - A. Project application
 - B. Evaluation criteria score sheets
 - C. Financial Assistance Agreement (contract)
 - D. District grant subgrantee profile
 - E. UCC filing if applicable
 - F. Title Lien if applicable
- 3. To fiscal officer on Contract Award:
 - A. Attachment 2 (Project Budget)
 - B. District Grant Subgrantee profile
(Note: these are all that are needed for the Fiscal Officer to set up a file)
- 4. Following award
 - A. 1st Quarterly Report
 - B. 2nd Quarterly Report
 - C. 3rd Quarterly Report
 - D. 4th Quarterly Report
 - E. Final close out report and letter
- 5. Requests for reimbursement
 - A. Spaces provided for four such requests
 - B. Copies of requests for reimbursements to the Fiscal Officer
- 6. Miscellaneous correspondence
 - A. There are six lines to list such miscellany
- 7. Site visits
 - A. Two lines are provided. Each project should have at least one site visit done.

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