



2009 RECYCLING BUSINESS DEVELOPMENT GRANTS REQUEST FOR PROPOSALS

*N.C. Department of Environment and Natural Resources
Division of Pollution Prevention and Environmental Assistance*

The purpose of this grant cycle is to reduce the flow of solid waste to disposal facilities and to encourage the sustainable recovery of materials from North Carolina's waste stream. To achieve that purpose, the N.C. Division of Pollution Prevention and Environmental Assistance is seeking viable, well-planned and effective proposals from recycling businesses in North Carolina who want to start up or expand their recovery efforts. This document is a Request for Proposals for fundable projects to meet the goals of the grant cycle. **Applicants should review this RFP in its entirety and discuss their proposed projects with the program manager prior to submitting a proposal.** Questions about this RFP should be addressed to Matt Todd, program manager, at (800) 763-0136 or (919) 715-6522, or by e-mail at matthew.todd@ncmail.net. **Proposals are due on Feb. 2, 2009.**

HOW MUCH FUNDING IS AVAILABLE? WHAT IS THE SIZE OF GRANT AWARDS?

DPPEA has committed \$600,000 from the Solid Waste Management Trust Fund for this grant cycle. Applicants may request any amount of funding up to a maximum of \$45,000. Applicants must provide at least a 50 percent cash match to the requested amount.

Upon consideration of the proposals, DPPEA reserves the right to revise the amount spent for this grant cycle and the amount spent per grantee. Contract execution and disbursement of funds are contingent upon the availability of funds to DPPEA for this purpose.

WHO IS ELIGIBLE?

Private sector and nonprofit organization applicants are eligible for funding under this grant cycle. Public sector organizations should contact Jim Hickman at (800) 763-0136 or (919) 715-6528 or by e-mail at jim.hickman@ncmail.net for information about the Community Waste Reduction And Recycling Grants. One funding request per applicant will be accepted. Contractors working under **active DPPEA recycling grant contracts** may not request funding for additional projects under this grant round, however, repeat applicants that have **completed** previous grant projects **may submit another proposal under this grant round**.

Applicants should contact the appropriate state and local permitting agencies to obtain information on the necessary permits for each project. Prior to receiving grant funding, all grantees are subject to a permit and compliance review by the appropriate agencies. For information pertaining to the permitting of new solid waste facilities or altering of existing permits, contact DENR's Division of Waste Management, Solid Waste Section, Permitting Branch, at (919) 733-4996.

WHAT WASTE MATERIALS WILL BE CONSIDERED FOR THIS GRANT ROUND?

Any material that can currently be disposed in a municipal solid waste landfill, construction & demolition debris landfill or land-clearing and inert debris landfill is eligible for consideration for this grant round.

Projects that address recently-passed legislation banning rigid plastic bottles, used oil filters, oyster shells or pallets, or projects that address recently passed legislation requiring ABC permit holders to recycle beverage containers **will receive special consideration**. Such projects will be eligible for bonus points as outlined in the scoring criteria section. Please contact Matt Todd at (919) 715-6522 for more information or to discuss your project ideas.

The two recently passed bills can be accessed at the following links:

Additional Landfill Bans - <http://www.ncleg.net/Sessions/2005/Bills/House/HTML/H1465v4.html>

ABC Permit Holders - <http://www.ncleg.net/Sessions/2005/Bills/House/HTML/H1518v5.html>

WHAT KIND OF PROJECTS ARE ELIGIBLE?

Projects that involve the collection, processing or end use of materials in the solid waste stream are eligible for funding. Generally, the grant money is intended to fund sustainable investments in equipment and buildings necessary for increasing the capacity of a recycling business to divert more materials from disposal and into economic use. Grant money **cannot** be used to cover labor costs or the cost of contract processing.

IS A MATCH REQUIRED?

Yes. Applicants must provide a cash match equivalent to 50 percent of their grant request. For example, an applicant requesting a \$20,000 grant would have to match the grant award with **at least** \$10,000 in cash or direct expenditures.

WHAT OTHER KINDS OF OBLIGATIONS DO GRANT RECIPIENTS HAVE?

New legislation governing the use of state funds by non-state entities went into effect on July 1, 2007.

The legislation defines non-state entities as any of the following that is not a State agency: an individual, a firm, a partnership, an association, a county, a corporation, or any other organization or group acting as a unit. The term includes a unit of local government and public authority. It should be noted that for the purposes of grant making any entity that is subject to audit or reporting requirements of the Local Government Commission is not treated as a non-state entity (i.e., local governments). Follow the links below to access the new statutes:

http://www.ncga.state.nc.us/enactedlegislation/statutes/html/bysection/chapter_143c/gs_143c-6-22.html

http://www.ncga.state.nc.us/enactedlegislation/statutes/html/bysection/chapter_143c/gs_143c-6-23.html

http://www.ncga.state.nc.us/enactedlegislation/statutes/html/bysection/chapter_143c/gs_143c-10-1.html

All applicants are strongly encouraged to visit the following Web site to review reporting and auditing requirements: <http://p2pays.org/localgov/Grants.asp>. If you do not have Internet access, please contact Matt Todd at (919) 715-6522.

HOW WILL GRANT FUNDS BE DISBURSED TO AWARD RECIPIENTS?

Distribution of grant funds is on a reimbursement basis. To receive payments, grant recipients must submit an invoice and status report to DPPEA along with documentation of incurred costs. DPPEA will continue to reimburse grantees until 90 percent of the award amount has been expended. DPPEA will withhold 10 percent of funds until receipt of an approved final report.

FUNDING PERIOD

The applicant must expend funds within one year of contract execution unless the time is extended by written agreement between the applicant and the N.C. Department of Environment and Natural Resources. Extensions are possible but not guaranteed. It is anticipated that grant contracts will begin June 1, 2009 and end May 31, 2010.

WHAT MUST A GRANT PROPOSAL INCLUDE?

The following table describes what applicants must submit for their proposal to be considered complete. Proposals that fail to provide all the required information and forms will be deemed inadequate and not considered for funding:

<i>Non-Government Applicants</i>
Contacts page, including: <ul style="list-style-type: none"> ✓ Name and title of main contact ✓ Organization ✓ Address ✓ Phone number ✓ Fax number ✓ E-mail address
Description of proposed grant project – no longer than four pages (two double-sided pages).
One page bulleted list showing project milestones and general implementation dates (note: project must be complete in one year).
Budget page, showing: <ul style="list-style-type: none"> ✓ Itemized intended expenditures ✓ Funds requested from the State ✓ Matching funds from the applicant
Business Plan form (for start-up businesses) or Business Status Report form (for established businesses).
Your Organization's Signed Conflict of Interest Statement –sample conflict of interest statements can be downloaded at: http://p2pays.org/localgov/Grants.asp
Certification of No Overdue Taxes – a template for this statement can be downloaded at: http://p2pays.org/localgov/Grants.asp
For non-profit applicants, a copy of the IRS Federal Tax Exempt Letter or 501(c) Verification Form

GRANT SELECTION PROCESS

Through a blind vote process, a selection committee will use the pre-established criteria below to rank proposals and make award decisions. The review process should be completed and preliminary award announcements made during late February or early March 2009. Applicants are encouraged to consider the award criteria as they develop their grant proposals. A total of 95 points is available.

The review committee will score proposals based on the following point system:

- | <u>Award Criteria</u> | <u>Available points</u> |
|--|--------------------------------|
| <p>1. Business Planning/Experience</p> <p>For a start-up business, does the Business Plan section of the proposal provide specific and organized information including: a description of the business, feedstock supply plan, marketing plan and financing plan? For an existing business, does the Business Status Report section of the proposal provide specific information including: a description and history of the business, current sources of feedstock, current markets and current financial health?</p> | <p>(1-20 points)</p> |
| <p>2. Project Planning/Cost-effectiveness</p> <p>Is the proposed approach well thought-out? Is it clear that the proposed project will have economic merit, i.e., either through reductions in operating cost, potential capital cost savings, stimulation of higher prices for recycled materials or through development of new markets? Is it clear that the project will be sustainable after the end of the grant?</p> | <p>(1-20 points)</p> |

- 3. Need (1-10 points)**
Does the proposed project address a specific infrastructure or market need in North Carolina?
- 4. Impact on Waste Stream Size or Toxicity (1- 20 points)**
Will the proposed project lead to a clear, definitive impact on wastes being disposed of in landfills, either directly through diversion or indirectly through stimulation of the demand for an alternative product?
- 5. Preferred Commodity (1 - 15 points)**
Does the project address the reduction of rigid plastic bottles, used oil filters, oyster shells or pallets, or does the project address the implementation of recycling services for ABC permit holders? The level of points awarded will be determined based on the project's impact on the waste stream and sustainability. *Please see page two of this RFP for links to information on the new legislation.*
- 6. Public/Private Partnership Projects (5 points)**
Does the proposed project work in partnership with a public sector entity to expand the project scope? (Please include documentation or support from public sector entity.)
- 7. Leverage of Other Funds (5 points)**
Does the project leverage funding resources in addition to the 50 percent match requirement such as loans (including the [Recycling Business Loan Fund](#)) for equipment and/or building purchases or a cash match over and above the required minimum?
Recycling Business Loan Fund: <http://www.self-help.org/commercialending/sbx3.asp>.

HOW TO SUBMIT PROPOSALS

One electronic copy AND one double-sided copy of the proposal must be submitted. Receipt of all acceptable proposals will be acknowledged by letter or e-mail.

Submit electronic versions to: matthew.todd@ncmail.net

Please submit electronic versions as Microsoft Word or Adobe attachments. If you do not have Internet access, please contact Matt Todd at (919) 715-6522.

Hard copy proposals mailed to DPPEA should be printed double-sided on at least 30 percent POST-CONSUMER CONTENT RECYCLED PAPER. All major office supply companies and copy companies provide 30 percent post-consumer content paper

Send hard copy proposals to:

**RECYCLING BUSINESS DEVELOPMENT GRANTS
ATTENTION: MATT TODD
DIVISION OF POLLUTION PREVENTION AND ENVIRONMENTAL ASSISTANCE
1639 MAIL SERVICE CENTER
RALEIGH, NC 27699-1639**

For hand-delivery of proposals, the physical address is:
2728 Capital Boulevard, Raleigh NC, 27604-1500, Room 1H 203

DUE DATE FOR PROPOSALS

Proposals must be postmarked no later than Feb. 2, 2009 (hard copies and e-mails). NO FAXES WILL BE ACCEPTED. Any proposal postmarked after the deadline will be recycled. Receipt of all proposals will be acknowledged by letter or e-mail.

IF YOUR PROPOSAL IS SELECTED FOR FUNDING

DPPEA anticipates that applicants selected for funding will be notified by late February or early March 2009. DPPEA will notify the applicant with a formal offer by U.S. Mail or by e-mail. The applicant must accept or decline the offer. The following will occur once the offer is accepted.

- DPPEA will complete a compliance review with the Division of Waste Management (may occur before offer is accepted).
- Where appropriate, the applicant must (within 15 business days after notification) submit a revised project description and budget signed by an authorized representative reflecting the accepted offer. Applicants who fail meet this requirement will not be awarded funding.
- Successful applicants will be required to provide their federal tax ID number.
- DPPEA will submit request through the DENR contract processing system for a grant contract.
- Successful applicants must submit any necessary forms under new reporting and auditing requirements when they complete their project. For information on required reports, see: <http://p2pays.org/localgov/Grants.asp>

NOTE: Successful applicants that make purchases before a grant contract is signed by both DENR and the grant recipient will not be reimbursed.

OTHER GENERAL TERMS AND CONDITION

In addition to any terms and conditions addressed at the following link: <http://p2pays.org/localgov/Grants.asp>, all grantees are subject to the following terms and conditions. Most of these terms and conditions will be outlined in the grant contract.

- **Publications** – all documents and publications associated with a grant contract should be printed on recycled paper containing at least 30 percent post-consumer content.
- **Cash match** – all grantees are required to provide a 50 percent cash match.
- **Final reports** – a draft final report is required to be submitted to DPPEA by 30 days prior to the contract end date and a final report is required to be submitted by the contract end date. Final reports for non-governmental grantees will follow the format specified on the following Web page: <http://p2pays.org/localgov/Grants.asp>.
- **Extensions** – no-cost time extensions are possible but not guaranteed for grant contracts. Grantees seeking no-cost time extensions must submit a request for a time extension 60 days prior to the contract end date. The request for extension must indicate how long the grantee is seeking to extend the project and the reason that the extension is being requested (i.e., why the project cannot be completed on-time). Any request for an extension must include a new timeline of project milestones and payments, as well as a new budget (if budget changes are also being requested).
- **Reimbursement** – all DPPEA grants are on a reimbursement basis. Requests for reimbursement must include proof that the funds were spent and must have the term “invoice” clearly stated on the request.
- **Final 10 Percent of Funds** –The final 10 percent will be held until an acceptable final report has been received by DPPEA. The report must be received and approved prior to the end date of the contract. All final requests for reimbursement must be received within 45 days of the contract end-date or all remaining grant funds will be forfeit.

GETTING STARTED

Proposals often receive low scores because applicants fail to follow instructions, leading to uncertainty about the project goals and intended results. The clearer the details are, the less questions a reviewer will have about the validity/feasibility of a proposal. Applicants also stand a better chance of success if they adhere to the required components of a proposal and if they carefully review the grant award criteria in their proposal.

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2009 RECYCLING BUSINESS DEVELOPMENT GRANTS CONTACT FORM

*N.C. Department of Environment and Natural Resources
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IMPORTANT: Before sending proposal, use grant check-off sheet on reverse side

<p>Recycling Grants Cycle</p> <p>Category:</p> <p><input type="checkbox"/> Projects that address recently passed legislation</p> <p><input type="checkbox"/> Other</p>	<p>Applicant: Please check one:</p> <p>Existing Recycling Business ____</p> <p>Start-up Recycling Business ____</p>
<p>Company or Organization Name:</p>	<p>Contact Name & Title:</p>
<p>Mailing Address, Zip Code</p>	<p>Phone Number: ()</p>
	<p>Fax Number: ()</p>
	<p>E-mail Address:</p>
<p>The following information will be completed by DPPEA staff:</p> <p>Date Application Received _____ Date of Acknowledgment to Applicant _____ pre-proposal Number _____</p>	



2009 RECYCLING BUSINESS DEVELOPMENT GRANTS PROPOSAL CHECK-OFF SHEET

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Before submitting your grant application packet, use this check-off sheet to make sure you have included all the necessary documents. **Incomplete proposals will be excluded from consideration.**

- _____ Copy of grant proposal, with a **completed** Contact Form attached.
- _____ One page bulleted list showing project milestones and general implementation dates.
- _____ One-page preliminary budget sheet.
- _____ Business Plan form (for start-up businesses) or Business Status Report form (for established businesses).
- _____ Your Organization's Signed Conflict of Interest Statement –sample conflict of interest statements can be downloaded at: <http://p2pays.org/localgov/Grants.asp>
- _____ Certification of No Overdue Taxes – a template for this statement can be downloaded at: <http://p2pays.org/localgov/Grants.asp>
- _____ For non-profit applicants, a copy of the IRS Federal Tax Exempt Letter or 501(c) Verification Form
- _____ Supporting documents (*optional*) - e.g., letters of endorsement, copies of resolutions and other supporting documentation.
- _____ Have you reviewed the additional reporting and auditing requirements? [Click here.](#)

Reminder: Proposals should not be bound (although formal Business Plans submitted may be bound). Please submit one (1) copy of your grant application packet double-sided, on recycled paper (with at least 30 percent post-consumer content) by mail, and one (1) copy of your grant application packet by e-mail (as a Microsoft Word document or .pdf) to matthew.todd@ncmail.net.



2009 RECYCLING BUSINESS DEVELOPMENT GRANTS PROPOSAL OUTLINE

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Use the following outline as a guide in writing your grant proposal. Please provide a **written proposal no longer than four pages** (two double-sided pages) that addresses each of the following points:

- I. Description of the proposed project.
- II. Discussion of any similar work done elsewhere (not only by applicant).
- III. Discussion of need (technical and financial).
- IV. Description of plans for sustaining the project after the grant ends.
- V. Projection of how many tons of waste will be reduced annually by the proposed project (if applicable).
- VI. Description of how the project's success will be measured.
- VII. Discussion of any previous DPPEA grants. If you have recently received a DPPEA grant, how is the new project related to what was done in the past? Is it an add-on, completion of the previous project or completely different?
- VIII. Discussion of proprietary information (if any).



2009 RECYCLING BUSINESS DEVELOPMENT GRANTS BUDGET SHEET

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Recycling Business Development Grant Budget	
Item(s)	Cost
Item 1	\$
Item 2	\$
Total Cost of Project	\$

Source of Funds	
Source	Amount
Your Company	\$
Recycling Business Development Grant	\$
Other	\$
Total Cost of Project	\$



BUSINESS PLAN FORM (for start-up recycling businesses)

Note: This form does not need to be completed if a formal Business Plan is submitted.

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1. Describe the services/products you will offer. What materials will you recycle? Where will you get the materials?
2. What will you do with the material (broker, process, collect, produce new product)?
3. Where will you sell the material/product you process? Describe your end markets and/or customers you will provide material or product.
4. Who is your competition? What are the advantages of your product or services?



BUSINESS STATUS REPORT (for existing recycling businesses)

Describe your company's history, including the services/products you currently offer.

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1. What materials do you recycle? Where do you get the materials?
2. What do you do with the material (broker, process, collect, produce new product)?
3. Where do you sell the material/product you process? Describe your end markets and/or customers you currently provide material or product.
4. Describe your competition. What are the advantages of your product or services?

5. Describe your recent financial history. Fill out the chart below and provide any necessary additional description or clarification.

Three-Year Expense and Income Chart

	2006	2007	2008
EXPENSES			
Cost of feedstock			
Equipment/supplies			
Business rent/lease			
Salaries			
Loan payments			
Other			
<i>Total Expenses</i>			
INCOME			
Sales			
Other revenue			
<i>Total Income</i>			
PROFIT OR LOSS			

6. Include any additional comments on separate pages.