KEY TERMS AND ACRONYMS

E-verify - A federal work authorization program that must be completed by grantees.

FAA - Financial Assistance Agreement is a document signed by the MMSWMD Executive Board and a grantee and list the general terms and conditions for using MMSWMD funding.


MDNR - Missouri Department of Natural Resources

MMSWMD - Mid Missouri Solid Waste Management District

MMSWMD Advisory Committee - A body of individuals selected by the MMSWMD Executive Board to review and score grants. The Advisory Committee makes a recommendation for funding to the Executive Board, it does not decide which applications get funding.

MMSWMD Executive Board - The MMSWMD Executive Board is the governing body of the MMSWMD. It meets monthly and makes all decisions in regards to which projects are selected to be considered for funding by MDNR.

SWMP/SWMF - Solid Waste Management Program (Fund) is a division of MDNR that oversees the Solid Waste Management Districts including MMSWMD.

UCC-1 - Uniform Commercial Code is a legal form for showing ownership of a piece of property much like a title for vehicle.

Waste Diversion - Any activity that diverts materials from ending up in a landfill or being illegally dumped.
GENERAL INFORMATION

Application Assistance

The District Manager will be available to provide grant writing assistance and reminders to all applicants. It is strongly recommended that you attend one of the District Grant Workshops scheduled on July 19, 2016 1-3pm, July 27, 10a-12p, and Jan. 27, 2017 1-3pm (if needed). If you cannot attend a workshop and/or have not applied for a grant from MMSWMD, please schedule a meeting with the District Manager early in the project development process.

District Grant Programs

District grants are funded by a tonnage fee of $2.11/ton charged at every landfill and transfer station in MO. For landfills that only accept construction and demolition debris, the rate is $1.40/ton. Each of the 20 districts within MO receives at least $95,000 each year. At least 50% of those funds must be allocated to sub-grantees through a competitive grant program, with the remaining amount available to the district for implementing their comprehensive plan and district operations.

GRANT PROJECT PROGRAM

The purpose of the District Grant program is to provide financial assistance to cities, counties and organizations - private, for-profit and non-profit, that will:

1. Develop new or improved programs that will reduce the generation of solid waste, or
2. Will create new markets or improve markets for recovered materials or
3. Will improve the handling of items banned by MO law from landfills

A very strong preference will be given for projects that will lead to long term diversion and sustainability.

GRANT PROJECT PROGRAM GUIDELINES

Small Project Program

Types of Projects
- Waste reduction projects in small communities
- Educational
- Cleaning illegal dump sites

Available Funding
- $50,000 or 15% of the district's total annual allocation
- Requests cannot exceed $5,000 with total project cost not exceeding $15,000

Large Project Program

Types of Projects
- Equipment, this includes bins, carts, receptacles, containers, dumpsters etc.
- One-time operating expenses

Available Funding
- Funding will consist of the district's yearly allocation, typically $350,000-$400,000, minus $50,000 for small projects, minus the allocation MMSWMD will use for district operations and plan implementation.
ELIGIBILITY INFORMATION

**Eligible Applicants**
Applicants should currently or eventually be operating within Region H

1. Municipalities
2. Counties
3. Public institutions
4. Non-for profit organizations
5. Private business
6. Individuals

**Eligible Projects**

The following project categories will be considered for funding:

Waste Reduction/Source Reduction: Practices which avoid or reduce the amount of waste produced by changing a product design, making consumer goods repairable and/or more durable, changing processing methods and/or consumer behavior and buying habits.

Research and Development Reduction/Recycling: Development of new processes to reduce the amount of waste produced or for collecting, processing, re-manufacturing or selling material as a new product.

Collection/Processing: Activities that recover or transport materials or prepare materials for recycling markets.

Market Development: Activities that stimulate or increase the demand for recovered materials.

Composting: Activities that facilitate the controlled biological decomposition of organic solid waste, thereby reducing yard waste.


Educational/Informational: Programs to effectively inform and instruct the general public on waste management and waste reduction activities.

**Eligible Costs**

The following list is provided as a reference to assist with budget development, which is an important part of the application process. The district is interested in developing a sustainable infrastructure for waste reduction and diversion. Expenses that demonstrate the potential for long-term impact will score better in the evaluation process than those that do not. Costs such as processing fees, hauling fees, salaries, travel and overhead must be carefully justified as to the necessity and resulting long-term impact of the expense. Expenses that do not provide long-term impact should be included in the budget as match, instead of grant funds, if possible.

Eligible costs include (but may not be limited to):

a. collection, process, manufacturing or hauling equipment and the installation of said equipment
b. materials and labor for construction of buildings
c. engineering or consulting fees incurred
d. laboratory analysis
e. development, distribution, implementation of educational materials and forums
f. professional services
INELIGIBLE INFORMATION

Ineligible Applicants
1. Applicant directly involved in evaluation, ranking, selection and award of financial assistance
2. Applicant who has a conflict of interest i.e. an employee, spouse or partner who takes part in #1 and/or receives an award, contract, gratuity or favor from applicant

MMSWMD Executive Board and Advisory Committee members will abstain from scoring or voting on a grant when a conflict of interest or the potential for conflict exists.

Limit Per Applicant
   Large Grant
      Only ONE grant submission from any individual, city, county, business or institution
   Small Grant
      Applicant may choose to apply for more than one grant

The total dollar amount allowed any one applicant shall not exceed $100,000 for the fiscal year, beginning July-June.

Funding Limits
Limit Per Project - Maximum amount of funds available for each project
   Waste Reduction, R&D Reduction/Recycling, Market Development, Composting .................. $100,000
   Collection and Processing
   Energy Recovery through Incineration ................................................................. $75,000
   Educational/Informational ............................................................................... $25,000

Glasphalt Restrictions
Funding for glasphalt projects is limited to expenses directly associated with acquisitions, processing or delivery of glass. Paving and road grade costs are not eligible as grant items, but may be included as matching funds.

Ineligible Costs
These are costs which district grant funds will NOT cover:
   a. Operating expenses of local, county and district governments that are not directly related to the project activities
   b. Costs incurred prior to or after the project start/end date
   c. Taxes
   d. Legal costs
   e. Contingency funds
   f. Land acquisition
   h. Disposal costs (projects that collect solid waste for disposal on continuous basis)
   i. Fines, penalties
   j. Food/beverage for district employees, board members, or sub-grantees at non-working meetings
   k. Memorial donations for board members, district employees or sub-grantees
   l. Office decorations
   m. Lobbyists, pursuant to section 105.470, RSMo.

It is the policy of MMSWMD to disallow indirect costs for overhead or fiscal and administrative costs. These costs are NOT an allowable charge to grant fund.
FUNDING PRIORITIES

Funding Targets
The State of Missouri believes that projects should be consistent with the waste management hierarchy as described in the Missouri Policy on Resource Recovery. The hierarchy is as follows:

a. Reduce the amount of solid waste created
b. Reuse, recycle and compost
c. Recover and use energy from solid waste
d. Incinerate or dispose of in a sanitary landfill

Targeted Materials List
Projects should be consistent with the district's targeted materials list. Although cardboard, newspaper, magazines, and yard waste are still considered targeted, preference will be given to those projects that reduce, reuse, recycle or strengthen consumer demand for the following post-consumer wastes:

- Mixed Glass
- Household Hazardous Waste
- Non-hazardous wastes from industrial, commercial and institutional operations
- Demolition Waste
- Plastics (including styrofoam)
- Waste tires
- Recoverable Agricultural Waste
- Consumer electronics (computers, televisions, VCRs etc)

Bonus Points
Projects that address the district’s targeted materials list will receive bonus points in accordance with the stated evaluation criteria. In every case, the amount of bonus points below is a maximum possible. The actual number of points awarded is determined by the Advisory Committee. To receive bonus points, the applicant must explain in the application which bonus points they are seeking and a justification:

Priority 1 - Special Program Target Area (up to 40pts)
- District wide benefit. Agree to serve at least 3 jurisdictions of MMSWMD during project period.
- Improve waste management processing, production, collection or proper disposal of any one or combination of items listed in the Targeted Materials List.

Priority 2 - Executive Board Priority (up to 25pts)
Must meet with MMSWMD District Manager or Executive Board to discuss what is a priority for the District.

Priority 3 - Identified Community Needs (up to 20pts)
- Should address a need formally identified by the community/ies it serves.
- Must provide a written endorsement from community/ies.

Priority 4 - Providing service to an underserved area (up to 20pts)
- Providing recycling service to area that currently does not have service.

Priority 5 - Education Enhancement (up to 15pts)
Project has been developed to increase diversion at an educational institution. A letter of support from a school administrator with budgetary control required (President, Chancellor, Principal, Superintendent, etc.)
APPLICATION PROCESS

Preliminary and Final Application Submission Deadline Dates

<table>
<thead>
<tr>
<th>Grant Rounds</th>
<th>Prelim Application Due</th>
<th>Final Application Due by 4pm</th>
<th>Advisory Committee Review</th>
<th>Executive Board Decision</th>
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</thead>
<tbody>
<tr>
<td>Round 1 (Small grants)</td>
<td>8/12/16</td>
<td>9/9/16</td>
<td>10/19/16</td>
<td>11/9/16</td>
</tr>
<tr>
<td>Round 2 (Large grants)</td>
<td>11/4/16</td>
<td>1/6/17</td>
<td>1/18/17</td>
<td>2/8/17</td>
</tr>
<tr>
<td>Round 3 (Small grants)*</td>
<td>2/10/17</td>
<td>3/17/17</td>
<td>4/19/17</td>
<td>5/10/17</td>
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</tbody>
</table>

Bold indicates required
* Round 3 will only take place if there is any funding left from Round 1

GRANT REQUIREMENTS, CRITERIA and CONTENT

The following are criteria in which ALL grants, large and small, will be evaluated for consideration in funding. The Advisory Committee will make recommendations to the Executive Board on what grants, based on this criteria, should be funded through MMSWMD. Funding is NOT guaranteed until MDNR has approved the application by MMSWMD and the applicant and MMSWMD have executed a Financial Assistance Agreement (FAA).

1. Submital of Prelim and Final Application

Submit only one (1) original copy of Prelim and Final Application and supporting documents. Small grant applicants are strongly encouraged, but NOT required to submit Prelim application. This allows for feedback from District Manager on application. Large grant applicants are REQUIRED to submit a Prelim application. All documents shall be submitted by 4:00pm of respective deadline. NO faxed or electronic version of FINAL applications will be accepted. Prelim applications can be faxed and/or emailed.

Preliminary Application (REQUIRED for Large grants)

Make sure you include the following:

a. Brief Executive Summary of project that will include purpose of equipment (if purchasing) and evaluation procedures
b. Itemized estimated costs for conducting the project including matching funds

Final Application

Make sure you include the following:

A. Final Application Checklist (include all items that have been completed and included in the application)

1. Applicant Profile Sheet completed and signed by authorizing figure.

2. Budget

   a. All costs accounted with documentation and explanation
   b. Any equipment, supplies or services requested will require:
      $0-2,999.99 - Minimum of 2 quotes
      $3,000-24,999.99 - Minimum of three (3) quotes
      $25,000 or more - Minimum of three (3) quotes

   All quotes should come directly from a vendor (written correspondence, e-mail, website screenshot, catalog). Please see MMSWMD General Terms and Conditions, Section 2 for information regarding requirements for purchasing goods and services for MMSWMD reimbursement.
GRANT REQUIREMENTS, CRITERIA and CONTENT, con't

Final Application, con't
Make sure you include the following:

3. Executive Summary. Following if a list of criteria that you should consider in your Executive Summary
   A. Project Effectiveness/Technical Feasibility
      a. Project Viability - Can the project meet stated goals? Are goals measurable?
      b. Are goals consistent with Missouri Policy on Resource Recovery? Are they in conformance with the District's targeted materials list?
      c. Financially viable - Is there enough revenue to maintain project? Is the timeline reasonable?
      d. Is Equipment requested appropriate for the tasks?
      e. Is there available feedstock for project?
   B. Project Efficiency
      a. Cost/Benefit ratio - Is the amount of funding requested reasonable for the project?
      b. Are District funds essential to accomplish the project?
   C. Community Benefit
      a. Is there documented support from the community/ies served indicating support and/or partnership?
      b. Is there a need or market for the market/service offered?
      c. Is there a measurable benefit to the environmental health/safety of the community?
      d. Does the project provide education to the community about safer/better practices?
   D. Organizational Capability
      a. Is management and staff capable of accomplishing the project?
   E. Long-term Effect
      a. Will the results of this project lead to solutions?
      b. Will you be able to maintain project after the grant period ends?
      c. Is this novel/creative way of dealing with waste reduction? Will there be long-term sustainability with this project?

4. Work Plan with Project Tasks, timetable and/or timeline
   a. Identify projects tasks (ex. task 1, task 2 etc) and provide explanation for each
   b. Include a timetable or timeline up to 18 months, with anticipated dates for activities, expenditures and submittal or quarterly final reports, UCC filing for equipment
   c. Avoid using specific dates (May, June, etc.) and instead number months (1, 2, etc.)

ex. of timeline

| Task 1 | | | | | | | | | | | | | | |
|--------|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Task 2 | | | | | | | | | | | | | | |
| Task 3 | | | | | | | | | | | | | | |
| Month | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |

5. Key Personnel
   a. Include Resume of Project Manager identifying managerial, operational and technical capabilities to accomplish project

6. Evaluation Procedures
   a. Explanation of diversion measurement and/or methods (qualitative or quantitative)
   b. Include job creation/retention possibilities
Final Application, con't

Make sure you include the following:

7. Verification of Permits, Approvals, Licenses
   a. Proper zoning, air quality, water permits or approvals
   b. Any equipment purchased will require a UCC filed and/or title with MMSWMD listed 1st lien holder

8. Match Commitment Documentation
   a. 25% of TOTAL project budget (75% grant + 25% match) is REQUIRED.
   b. This form must be notarized
   c. All items listed in match must be documented exactly like fund expenditures

9. List prior grants and amounts awarded

In addition to providing the information above, applications with the TOTAL project costs over $50,000 must include the following:

10. Engineering Plans/Specification for Facilities or Equipment used for the project
11. Financial Report that includes:
    a. 3yr Business plan addressing market analysis that demonstrates supply/demand for recovered material necessary to sustain business
12. Description of projected revenue and use (revenue can only be used for the project during project period)
13. A credit history and 3yrs financial statements and audit reports
Frequently Asked Questions - Application

Where can I get additional information regarding MMSWMD grant application?

Please visit mmswmd.org for examples of past successful grant applications, application documents, Excel spreadsheets for the budget and diversion worksheet, and other information regarding MMSWMD's grant process.

How should I structure my grant application?

Please use MMSWMD documents, use page numbers, write your grant to the scoring criteria, and keep your application as clear and concise as possible.

What type of projects typically get funded?

MMSWMD is open to all types of projects addressing reduce, reuse, recycle, and the proper disposal of items banned from landfills. MMSWMD does favor projects that seem likely to continue beyond the project period and is hesitant to fund ongoing operating cost, such as collection cost, unless there is a clear commitment from the applicant to cover that cost after the project period.

What are the scoring criteria?

Please see pages 18-20 of this document or visit to mmswmd.org.

How do I get bonus points?

Applicants must explain why they are eligible to receive bonus points in their application and provide required materials for certain bonus points. Some bonus points will require a meeting with the District Manager before the application deadline.

How will I know if my application is successful?

MMSWMD staff will notify applicants of the status of their application throughout the entire grant approval process. Applicants are encouraged to attend the Advisory Committee meeting and Executive Board meeting at which their application is being considered.

What are the steps for completing all the requirements of a MMSWMD grant project from application to close?

Below is a summary of the events and timing of applying for, being awarded, and completing a grant funded project with the MMSWMD.

1. Prelim Application Due (only required for large grants)
2. Final Application Due
3. Advisory Committee makes evaluations (usually meet a month after final applications are due, open to the public)
4. Executive Board votes on projects to fund based on evaluations (month after Advisory Committee meeting, open to public)
5. Department of Natural Resources reviews Executive Board's decision (DNR has 30 days to review applications)
6. Applicant and District sign Financial Assistance Agreement (signatures required from Board and applicant). Project cannot begin until FAA is signed by both parties
7. Grantee submits Quarterly Reports and Invoices for reimbursements. UCC filed for applicable equipment at time of reimbursement (MMSWMD provides forms and training for reports and invoices)
8. Grantee submits final report and invoice
9. Grantees with equipment purchased with grant funds will report waste diversion data annually for 5 years following the end of the project period.

Other questions?

Please do not hesitate to contact MMSWMD staff with your questions.

Lelande Rehard - (573) 817-6422 Jessica Sapp - (573) 874-7574 or e-mail us at: mmswmd@como.gov
MMSWMD Preliminary Application Form
REQUIRED prior to Large Grant Cycle

By 4:00PM on deadline date in the MMSWMD office.
Small grant applicants encouraged to submit a Preliminary Application to receive feedback as well.

Project Title \textbf{MAY NOT} change between Preliminary and Final Application submittal.

Please complete this form by answering \textbf{YES} to all items \textbf{BEFORE} submitting your Final Application.

☐ Project Description: No more than 4 pages; 10pt font; include elements from pages 6-8.

☐ Line Item Budget page (this can be changed before final application)

No funding will be determined, promised or obligated until Final Application is received and scored.
# MMSWMD Preliminary Budget Document

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Grant Funds Provided</th>
<th>Match Provided*</th>
<th>TOTAL Cost</th>
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<tbody>
<tr>
<td>PERSONNEL-labor, volunteers</td>
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<td>PROFESSIONAL SERVICES-contractors, room/equip rental</td>
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<td>EQUIPMENT-bins, carts, receptacles, containers, dumpsters, etc</td>
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<td>SUPPLIES-building materials, tools</td>
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<td>OTHER-travel, insurance etc</td>
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*Match can be “hard” or “in-kind”. Include an explanation of these costs in your narrative.
Please complete this form by answering YES to all items BEFORE submitting your Final Application.

<table>
<thead>
<tr>
<th>ITEM</th>
<th>Applicant Initials</th>
<th>PAGE #</th>
<th>MMSWMD verification</th>
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<tbody>
<tr>
<td>Applicant Profile Sheet</td>
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<tr>
<td>Final Application Budget Document with documentation of costs for items over $3000.00</td>
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<tr>
<td>Executive Summary</td>
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<tr>
<td>Work Plan with project tasks, timetable and/or timeline</td>
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<td>Key Personnel with resume(s) of Project Manager(s) or description of qualifications</td>
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<td>Match Commitment Documentation</td>
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<tr>
<td>List of prior funded grants and amounts awarded grant</td>
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In addition to the information above, applications with **TOTAL costs over $50,000** must include:

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<tr>
<td>Engineering Plans/Specification for Facilities or Equipment</td>
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<td>Financial Report:</td>
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<td>3 yr Business Plan incl: market analysis demonstrating supply/demand for recovered material necessary to sustain business</td>
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<td>Description of projected revenue and use</td>
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</table>
MMSWMD DISTRICT GRANT APPLICANT PROFILE

**Project Applicant**

Type of Entity

- [ ] Non Profit
- [ ] Private
- [ ] Individual
- [ ] Gov’t/Public

Federal ID or SSN

**Authorized Applicant**

Official Name: [ ] Title

Address: [ ] City [ ] State [ ] Zip Code

EMail: [ ] Phone Number

**Project Title**

**Project Type**

- [ ] Waste Reduction
- [ ] Recycling
- [ ] Composting
- [ ] Market Development
- [ ] Education

**Project Status**

- [ ] New Business/organization
- [ ] New venture for existing organization
- [ ] Expansion of current operations

**Project Manager**

Manager: [ ] Title

Address: [ ] City [ ] State [ ] Zip Code

EMail: [ ] Phone Number

**Est Tonnage Diverted**

Material Diverted, incl any Special Wastes (white goods, oil, yard waste, tires, HHW, electronics etc)

**Amount of Grant Funds Requested**

Amount of Match

**Check if you have applied for grants with MMSWMD before. Please list on Previous Grant Funding page provided.**

- [ ]

**Project Start Date**

**Project End Date**

*Projects cannot begin until final approval from Missouri Department of Natural Resources. Contact the MMSWMD office before any grant funded or matching expenditures are made or if you have any questions about project start dates.*

I certify that all information in this Application is accurate and that I am authorized by my organization to submit this application

Signed: [ ] Title [ ] Date
# MMSWMD FINAL Budget Document

<table>
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<td>SUPPLIES-building materials, tools</td>
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<td>OTHER-travel, insurance etc</td>
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<td>TOTAL</td>
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*Match can be "hard" or "in-kind". Include an explanation of these costs in your narrative, including any changes from the Preliminary Application Budget. This budget may be amended by MMSWMD, with the agreement of the applicant, for budgetary or other reasons in the FAA if this application is funded.
Previous Grant Funding
Contact MMSWMD staff if you need a list of previous grants

<table>
<thead>
<tr>
<th>Grant Number</th>
<th>Project Name</th>
<th>Amount Awarded</th>
<th>Amount Expended</th>
<th>Amount Left Over</th>
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### MMSWMD Projected Diversion Worksheet

<table>
<thead>
<tr>
<th>Material diverted/ recycled</th>
<th>Calculation of diversion</th>
<th>Method for measuring diversion</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1. Tons/quarter</td>
<td>2. # of quarters active</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Total projected diversion</td>
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<td></td>
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<td>(1x2=3)</td>
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</tbody>
</table>

4. Total projected diversion during project period

5. Total diversion for five (5) years following grant period (only complete for EQUIPMENT grants)

**A.** Enter the material you will divert. Refer to list provided.
1. Enter the tons of material you will divert in a quarter
2. Enter the number of quarters you will calculate active diversion
3. Calculate the diversion for each material and sum these tons in #4. Calculate #5 if purchasing equipment.

**B.** List method of measurement
- $\text{SR} =$ scale receipts of material processed
- $\text{OTME} =$ one time accurate measure by scale
- $\text{VE} =$ volume based estimate (% of the container that is full multiplied by the volume to weight conversion, without empirical scale weight
- $\text{OTHER} =$ other method (explain)

Materials Diverted can include:
- a. glass
- b. paper and fiber
- c. aluminum and steel
- d. yard waste
- e. #1 & #2 plastic
- f. tires
- g. HHW
- h. other plastics
- i. E-waste
- j. low market value materials (compost)

The following are guidelines for grading the **Cost/Benefit Ratio of Criterion #2 of the Grant Scoring Criteria**
where a maximum of 4 points can be awarded. Grant amount/projected diversion must be greater than:

- **a.** $10/ton for yard waste projects
- **b.** $50/ton for standard fibers (OCC, newsprint, #8 paper, magazines or sorted white office paper, steel or aluminum)
- **c.** $250/ton for #1 or #2 plastics, glass or tires
- **d.** $500/ton for HHW, other plastics, e-waste or other low market value products
The above applicant hereby certifies that the above amount, in the form of cash or other eligible matching fund, will obligate* as matching funds pursuant to 260.335, RSMo, and 10 CSR 80-9.010. These funds are obligated ** in order to enable the applicant to receive district grant funds from the Mid-Missouri Solid Waste Management District (MMSWMD) in the amount applied for as specified in the MMSWMD Application Budget Document here attached. The applicant hereby certifies that these funds are not obligated as matching funds for any other grant and that these matching funds have come from a source(s) other than MMSWMD district grant funds.

* Applicants may substitute available if they cannot legally obligate funds at this point.
** Applicants may substitute required if they cannot legally obligate funds at this point.

Name of Authorized Official

Signature

Subscribed and sworn to before me on this ______ day of ______, Year ______, I am commissioned as a notary public within the county of ______, State of Missouri. My commission expires: ______

(Signed and Sealed)

Notary Public
Grant Scoring Criteria

The following are the criteria that will be used to determine funding. Small Projects and Large Projects will be considered by the same criteria, but for separate sets of funds. In cases where certain parts of a criterion are not applicable to a specific grant proposal, the remaining items in each category will be given additional weight. Grant scores will be averaged to allow for abstentions on certain grants, and the average scores will be compared to decide funding levels. The Advisory Committee will make recommendations to the Executive Board who will vote on the funding levels that MMSWMD will include in their annual application to the Missouri Department of Natural Resources. No funding is guaranteed until MDNR has approved the application by MMSWMD, and the applicant and MMSWMD have executed a Financial Assistance Agreement.

**Required Elements – These items must be in the grant to be considered complete:**

- Checklist with all items completed and included in the application. See Attachment 1.
- Budget: Are all costs accounted for and are cost estimates supported with documentation/explanation? Items over $3,000.00 must be documented with a quote or catalog price. Line items over $25,000.00 must include a formal quote. Matching funds must also be documented, and the total of match funds offered must equal 25% of the total project cost, i.e. at least one-third of the requested amount. See Attachment 3.
- Letters of support are required to document any cooperative relationships. Any formal agreements must be described in the Executive Summary, and any examples of written agreements may be attached.
- Compliance with federal, state or local requirements (includes zoning and permit requirements): Are all permits in hand or in the application process so that they can be obtained by the start of the grant period?

**Deductions:** Failure to include accurately completed required elements will result in a ten (10) point deduction and an additional five (5) point deduction for every day the mistake is not corrected once notice has been served.

1. **Project Effectiveness and Technical Feasibility (Weight factor = 8)**

This score will be based on the following criteria, as they apply to the particular project:

- Project viability: Is the project, as described, capable of meeting the project’s stated goals assuming all the tasks are carried out? Are goals, such as proposed tonnage to be diverted, achievable and are the results measurable?
- Are project goals consistent with the waste management hierarchy as described in the Missouri Policy on Resource Recovery? Is the project in conformance with the District’s targeted materials list?
- Financial viability during project period: Is the revenue necessary to carry out the project available? Is the project time line reasonable and feasible?
- Equipment utilized is appropriate for task: When applicable, is equipment described, appropriate for tasks?
- Availability of feedstock: Are the sources and estimated volumes of material documented, and are the estimates reasonable?

2. **Project Efficiency (Cost/Benefit) (Weight factor = 10)**

This score will be based on the following criteria, as they apply to the particular project:

- Project Diversion Worksheet: Is the amount of funding requested reasonable for the amount and type of material to be diverted or other benefits from this project? See the chart attached to the diversion worksheet.
- Is the applicant’s contribution vital to achieving the project’s intended goals, or will this activity be done by some entity, even if the applicant doesn’t do it?
- District funds are essential: Does the applicant need the grant funds to accomplish the project, or should the project pay its own way without grant funds?
- Selected financial ratios: Does the match ratio, and type of match demonstrate a high level of commitment by the applicant? This will vary depending on the size of the project and the resources of the applicant. Please see page 7.
- Commitment for financing: MMSWMD’s Match Commitment Document. Also acceptable is an affidavit or resolution stating the match money is available or a letter of credit. Please see Attachment 4.

3. **Community Benefit (Weight factor = 10)**
This score will be based on the following criteria, as they apply to the particular project:

- **Cooperative partnerships:** Does the applicant have letters of support from the communities served indicating public/private partnerships, or cooperation between jurisdictions?
- **Applicant has demonstrated the need for the service or information:** Is there a need or a market for the product or service offered in the project? Will the project, if successful, serve a population or market need commensurate with the funds requested?
- **Environmental benefit:** Will this project, if successful, have a measurable benefit to the environmental health or safety of the community served?
- **Community education:** Does this project provide education to the community in better or safer waste management practices?
- **Degree to which the project contributes to local economic development:** Will jobs be created or retained because of the project? Does funding of this project directly compete with or adversely affect existing businesses?

### 4. Organizational Capability (Weight factor = 8)

This score will be based on the following criteria, as they apply to the particular project:

- **Managerial capability of the applicant and staff:** Track record of past accomplishments.
- **Technical capability of the applicant and staff:** Based primarily on resumes and job descriptions in relation to this project, and past experience with MMSWMD.
- **Demonstrates ability to implement project in a timely manner.**
- **Demonstrates ability to comply with appropriate accounting and record keeping procedures.** If the applicant has previously defrauded or misused MMSWMD funds, this section will be scored as 0 points.
- **Marketing strategy/ Event publicity:** Will the project generate necessary participation rates based on the

### 5. Long-term Effect (Weight factor = 5)

This score will be based on the following criteria, as they apply to the particular project:

- **Transferability of results:** Will the results from this grant lead to solutions in other communities, or for other problems?
- **Long-term financial viability:** Does the applicant have the resources to continue the project after the grant period ends (when applicable)?
- **Innovation:** Is this a novel and creative way of dealing with a waste reduction strategy? Will this have a long-term effect on waste reduction strategies?

### 6. District Bonus Points (Added on to score after criterion scores are multiplied and summed)

- **Priority 1 - up to 40 pts. Special Program Target Area:** This bonus is available to projects that provide a district wide benefit. To improve waste management processing, production, collection or proper disposal of any one or combination of items listed in the Targeted Materials List. Applicants will be required to agree to serve at least three jurisdictions that are members of MMSWMD during the project period.
- **Priority 2 – up to 25 pts. Executive Board Priority:** Must meet with MMSWMD Manager or Executive Board to discuss what a priority is for the District.
- **Priority 3 – up to 20 pts. Identified Community Needs:** A project that has received the written endorsement of the community/ies it serves. The project should address a need formally identified by the community/ies served.
- **Priority 4 – up to 20 pts. Providing service to an underserved area.** A project providing recycling service to an area that currently does not have service.
- **Priority 5 - up to 15 pts. School Recycling Enhancement:** A project that has been developed to increase diversion from an educational institution. A letter of support from school administrator with budgetary control required (President, Chancellor, Principal, Superintendent, etc.).

Please refer to the FY2017 District Grant Application and Guidance Document for further information.
# MMSWMD Grant Evaluation Decision Matrix

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Project Effectiveness and Technical Feasibility</th>
<th>Project Efficiency or Cost/Benefit (1 year)</th>
<th>Community Benefit</th>
<th>Organizational Capability</th>
<th>Long-Term Benefit</th>
<th>Targeted Waste Stream/Bonus Points</th>
<th>Total Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>Proven technology, good plan, very high probability of success</td>
<td>Very efficient. Low cost per ton for the item diverted. Funds are necessary to the project.</td>
<td>Great benefit to the community. Jobs created. Not redundant.</td>
<td>Proven capability that has been demonstrated to district</td>
<td>Very likely to result in long term benefits, sustainable program</td>
<td>1-Special Targets (District-wide) (40pts)</td>
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<td>4</td>
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<td>2-District-wide Projects (25 pts)</td>
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<td>2</td>
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<td>Inefficient. High cost per ton. OR Likely to proceed w/o grant funds.</td>
<td>Little overall benefit to the community</td>
<td>Not capable of conducting project. OR Prior misuse of funds.</td>
<td>No potential for long-term benefits</td>
<td>3-identified Need by Community (20 pts)</td>
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<tr>
<td>0</td>
<td>Low probability of success, high risk</td>
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<td>4-Providing Service to an underserved area (20 pts)</td>
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<tr>
<th>Criterion Weight Factor</th>
<th>8 x Criterion Score</th>
<th>10 x Criterion Score</th>
<th>10 x Criterion Score</th>
<th>8 x Criterion Score</th>
<th>5 x Criterion Score</th>
<th>added to matrix score</th>
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An application must receive at least 200 points to be considered for funding.
1. **GRANT.** MMSWMD hereby extends the Solid Waste Management Grant to the Sub-grantee as identified in the Schedules attached to the Financial Assistance Agreement (FAA), which are identified by grant number, project and budget period, Sub-grantee, and project title and description. The provisions set forth and contained in the Schedules to this FAA are incorporated herein by reference and made a part of this FAA. Such grant is conditioned on the matching funds or cost share to be paid by the Sub-grantee. By execution of this FAA, the Sub-grantee agrees that the matching funds or its cost share of the project are available and have been duly budgeted and appropriated for this project. Such Grant is extended pursuant to the provisions of Section 260.330 and 260.335 of the Revised Statutes of Missouri, as amended and the regulations issued there under by the Missouri Department of Natural Resources.

2. **PAYMENT OF GRANT FUNDS.** From grant funds made available to MMSWMD by the State of Missouri, the Sub-grantee will be reimbursed for all allowable expenses and/or expenditures incurred or created in completion of the approved grant project (reference the amended 10 CSR 80-9.050 Solid Waste Management Fund-District Grants for Eligible and Ineligible Costs). Sub-grantees must follow use bids/proposals for purchases in accordance with RSMo 34.040. Proof of bids/proposals must be submitted with invoice for reimbursement.

   - **$0-2,999.99 - No bids required**
   - **$3,000-24,999.99 - Minimum of three (3) competitive bids/proposals, not advertised**
   - **$25,000 or more - Minimum of three bids/proposals advertised in two (2) daily newspapers at least five (5) days before bid opening**

   The Sub-grantee shall report all project expenditures and/or expenses and shall submit standard invoices in the form attached to this FAA for reimbursement of payment. All requests for reimbursement and/or payment must be fully completed and signed by the Sub-grantee, identifying the amount or amounts of grant funds requested through MMSWMD. The request shall identify the Sub-grantee’s share of matching funds. Once the district’s match requirement is satisfied, the Sub-grantee shall provide proof such payment shall be submitted so that grant funds may be remitted. All expenditures for which grant funds are sought shall identify in the invoice to MMSWMD the budget category and line item that corresponds to the Budget Agreement which is attached to this FAA and incorporated herein. No reimbursement of expenses or expenditures will be made by MMSWMD for expenditures or expenses incurred prior to the project start date or after the closing date of the FAA unless a prior written budget request or extension has been applied for and granted by the MMSWMD. No reimbursement for buildings or equipment purchases using more than $5,000.00 in grant funds will be made until section 10 of these terms and conditions is met. MMSWMD shall retain fifteen percent (15%) of the grant funds until final completion of the grant project and Executive Board approval of the Sub-grantee’s final report and final accounting of project expenditures unless specifically agreed to by the MMSWMD Executive Board by a majority vote during a regular meeting. The MMSWMD has the option of making payment directly to a vendor instead of reimbursing the district Sub-grantee, however, payment directly to the vendor does not relieve the MMSWMD Executive Board from the requirement of retaining 15% of the project funds until completion and submittal of the final report and final accounting of expenditures. Sub-grantee must provide proof of any matching funds required prior to direct payment by the MMSWMD Executive Board.

3. **RECORD RETENTION.** The Sub-grantee shall retain all records and supporting documents identifying expenditures and expenses, project costs, and project completion for a period of five (5) years from the date of submissions of the final status report. The retention period for equipment and building or site improvement records begins from the date of the disposition, replacement or transfer of the asset at the direction of the Missouri Department of Natural Resources or MMSWMD. Such documents and any other supporting documents or material requested throughout the periods referenced under Record Retention or longer if the records are retained, by MMSWMD or the Missouri Department of Natural Resources or the Missouri State Auditor’s Office, or their agents or representatives shall be made available upon request. In the event that the Sub-grantee should receive notice that any litigation, negotiation, audit, claim, suit, or other action involving the records shall have commenced within such five (5) year period, all such files and records shall be retained until the Sub-grantee receives written notification from MMSWMD or until the action is complete or the five year period, whichever is longer.
4. GRANT PROJECT. The Sub-grantee shall use grant funds solely for the approved grant project. The project description is contained upon the Schedules attached to this FAA and are incorporated herein by reference and made a part hereof. Any use of grant funds for the payment of expenditures unrelated to the grant project, or unapproved by MMSWMD, shall constitute a breach of the FAA for which the MMSWMD shall have the right to terminate this grant for cause in accordance with the provisions hereof. Grant funds shall be reimbursed by the Sub-grantee to MMSWMD as required by MMSWMD.

5. SUB-GRAANTEE MATCHING FUNDS. The approved grant project shall be funded partially by the MMSWMD and the Sub-grantee. The amount of the Sub-grantee’s contribution to funding is identified in the Schedules attached to this FAA. In the event that the Grant Project should exceed the total cost approved by the MMSWMD, all additional expenditures shall be at the sole cost and expense of the Sub-grantee. By entering into this FAA, the Sub-grantee agrees that it shall complete the grant project in accordance with the provisions of this FAA and its application for grant, and shall pay any excess costs incurred. The Sub-grantee shall first make payment from its matching funds and provide proof thereof to the MMSWMD before grant funds may be used. In the event that the grant project should be completed prior to the expenditure of all of the Sub-grantee’s matching funds identified in the Schedules hereto, the Sub-grantee shall reimburse MMSWMD the amount of such unused and unexpended portion of the Sub-grantee’s matching funds, and such payment shall be retained by the MMSWMD as repayment of excess grant funds. MMSWMD shall retain fifteen percent (15%) of the grant funds until final completion of the grant project, Executive Board approval of the Sub-grantee’s final report and final accounting of project expenditures.

6. ACCOUNTING. The Sub-grantee shall account for all funds expended in conjunction with the grant project including matching funds and grant funds. The Sub-grantee shall maintain accounting systems in form and content approved by the MMSWMD in accordance with generally accepted accounting principles, which shall incorporate appropriate controls and safeguards against improper use of funds. All financial reports shall provide clear references to the project, fiscal transactions relating thereto, and expenditures, all properly documented with appropriate footnotes where necessary. Accounting records must be supported by such source documentation as canceled checks, paid bills, payroll records, time or attendance records, contracts, agreements, award documents, and such other written records as MMSWMD may from time to time require.

7. REPORTING. The Sub-grantee shall submit to the MMSWMD no less often than quarterly, a written report which shall identify the project, expenditures made to the date of the report, progress toward completion, projected completion dates, and any other materials or information regarding the status of the project. The Sub-grantee shall report diverted waste for each type of recovered material in tons of weight. Reports shall be submitted to MMSWMD on April 21, July 21, October 21 and January 21 for the activities that occur each state fiscal year quarter. Upon completion of the grant project, a final report shall be made by the Sub-grantee not later than twenty-one (21) days following the project closing date or with the next quarterly report. Upon approval of the final report, MMSWMD shall advance any amounts of the grant theretofore retained pending final completion. The Sub-grantee acquiring equipment from district grant funds shall thereafter provide an annual waste material diversion tonnage report for a period of up to five (5) years after the expiration of the grant period, but no longer than a seven year period in total. The annual waste material diversion tonnage report shall be due to the district from the sub-grantee by September 30 of each year.

8. TERMINATION FOR CAUSE. In the event that the Sub-grantee should fail to comply with the provisions and agreements contained in the FAA, or in the event that the Sub-grantee should for any reason fail or refuse to use the grant funds in accordance with its original grant application, the Budget Agreement, or the provisions of this FAA, or in the event that the MMSWMD should determine that the use of the grant funds are in violation of any applicable law or regulation, the MMSWMD, upon prior written notice to the Sub-grantee, shall terminate this FAA. Any such notice of termination by the MMSWMD shall include a written statement of the reasons therefore together with an effective date. The Sub-grantee shall have a period of five (5) days from the receipt of such notice of termination to request a hearing before the Executive Board of the MMSWMD. In the event that such a request is made, the hearing shall be promptly held by the Executive Board of the MMSWMD, and the decision of such Executive Board shall constitute the final decision with respect to termination of this FAA. Upon termination of the FAA for cause, all grant funds theretofore advanced or paid by the MMSWMD shall be repaid by the Sub-grantee. No further grant funds shall be paid to or on behalf of the Sub-grantee. This agreement is not transferable to any person or entity.

9. TERMINATION BY AGREEMENT. Both the MMSWMD and the Sub-grantee may terminate this FAA in whole, or in part, by mutual agreement. Such agreement shall be in writing, and may provide for reimbursement of grant funds.
10. EQUIPMENT (INCL. BINS, CARTS, RECEPTACLES, CONTAINERS, DUMPSTERS ETC.) MANAGEMENT. Equipment purchased with SWMF funds shall be used ONLY for collecting recyclables, not trash/waste, for at least five (5) years. Title to equipment acquired under this FAA will vest with the Sub-grantee. Equipment shall be used by the Sub-grantee in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by MMSWMD. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported by MMSWMD. The Sub-grantee shall not transfer, sell, or pledge any assets including equipment purchased using MMWSMD monies during the term of the grant and for 5 years thereafter without first obtaining the prior written consent of the MMSWMD. The Sub-grantee shall not sell, give away, relocate, or abandon the assets including equipment without the MMSWMD's prior written approval. The Sub-grantee shall also make equipment available for use on other projects or programs currently or previously supported by the MMSWMD or other MDNR programs, if such use will not interfere with the work on the projects or program for which it was originally acquired. First preference for other use shall be given to other programs or projects supported by MMSWMD or MDNR. User fees should be considered, if appropriate. This fee may be considered program income. The Sub-grantee must not use equipment acquired with MMSWMD to provide services for a fee to compete unfairly with private companies that provide equivalent services, unless specifically allowed by state law. When acquiring replacement equipment the Sub-grantee may use the equipment to be replaced as a trade-in or sell the equipment and use the proceeds to offset the cost of the replacement equipment subject to the prior written approval of MMSWMD. Sub-grantee hereby agrees that any equipment purchased pursuant to this agreement shall be used for the performance of services under this agreement during the term of this agreement, and for five (5) years thereafter. The Sub-grantee shall annually submit a statement as provided by MMSWMD certifying that the use(s) of said equipment is for project activities. Use(s) of said equipment for activities not related to the performance of services of this agreement must be reported in quarterly reports required by this agreement.

Equipment records must be maintained that include a description of the equipment, a serial number or other identification number, the source of equipment who holds title, the acquisition date, the cost of the equipment, percentage of federal or state participation in the cost of the equipment and the location, use and condition of the equipment, and any ultimate disposition data including the date of disposal and sale price of the equipment. A physical inventory of the equipment must be taken and the results reconciled with the equipment records at least once every two years. A control system must be developed to ensure adequate safeguards to prevent against loss, damage, or theft of the equipment. Any loss, damage or theft shall be reported to and investigated by local authorities. The control system shall include permanent tagging of equipment to identify the equipment as belonging to the district or being funded by district grant funds. For all equipment purchased, in whole or in part, with MMSWMD grant funds, the Sub-grantee shall procure and maintain insurance covering loss or damage to equipment purchased with a Sub-grantee award, with a financially sound and reputable insurer in such amounts and covering such risks as are usually carried by similarly situated companies engaged in the same or similar business. MMSWMD and the Sub-grantee must develop adequate maintenance procedures to keep the equipment in good condition. If the Sub-grantee is authorized or required to sell the equipment proper sales procedures must be established to ensure the highest possible return.
Utilization and disposition of buildings or site improvements acquired with district funds:

Title to buildings or site improvements acquired under a grant will vest with the Sub-grantee upon acquisition. The funding provided for buildings or site improvements specified in the FAA as negotiated with the MMSWMD shall be used for acquisition of the buildings or site improvements. The Sub-grantee shall not transfer, sell, or pledge any assets including buildings or site improvements purchased using SWMF monies during the term of the grant and for 5 years thereafter without first obtaining the prior written consent of the MMSWMD. The Sub-grantee shall not sell, give away, relocate, or abandon the assets including buildings or site improvements without the MMSWMD’s prior written approval. The Sub-grantee must not use the buildings or site improvements acquired with SWMF to unfairly compete with private companies that provide equivalent services, unless specifically permitted or contemplated by state law. Buildings or site improvements constructed or purchased pursuant to this agreement shall be used for the performance of services under this agreement during the term of the FAA, and for five (5) years thereafter. Annually a statement must be submitted certifying that the use of said buildings or site improvements is for project activities. The MMSWMD shall provide and use a form for such statement.

Buildings or Site Improvements Management. The Sub-grantee’s procedures for managing buildings or site improvements whether acquired in whole or in part with subgrant funds, will, at a minimum, meet the following requirements until disposition takes place:

a. A control system must be developed to ensure adequate safeguards to prevent against loss, damage, or theft of the buildings or site improvements. Any loss, damage, or theft shall be reported to and investigated by local authorities.

b. For all buildings or site improvements purchased, in whole or in part, with SWMF, the Sub-grantee shall procure and maintain insurance covering loss or damage to buildings or site improvements, with a financially sound and reputable insurer in such amounts and covering such risks as are usually carried by similarly situated companies engaged in the same or similar business.

Security Interest in Buildings or Site Improvements. The Sub-grantee hereby grants to the district, its successors, and assigns a security interest or lien in all buildings or site improvements purchased or constructed by the Sub-grantee for $5,000 or more, in whole or in part, with SWMF monies. For such buildings or site improvements to be owned by the Sub-grantee, the MMSWMD must be granted a security interest or lien and be listed as the lien holder. The Sub-grantee shall complete a deed of trust or certificate of title, whichever applies, and return a copy of such document along with the FAA packet to the district. The security interest or lien shall be equivalent to the amount of funding provided by the MMSWMD. The Sub-grantee hereby covenants that it will not transfer, sell or pledge the MMSWMD’s security interest in the buildings or site improvements as collateral for any indebtedness whatsoever without first obtaining the prior written consent of the MMSWMD. If the Sub-grantee is granting the security interest to the MMSWMD, the Sub-grantee must provide the MMSWMD a copy of the documentation showing that the MMSWMD is listed as a lien holder either on the certificate of title or the deed of trust. Unless the SWMP or the MMSWMD notifies the Sub-grantee in writing of a material breach of the FAA or any documents incorporated herewith, the security
the SWMP or the MMSWMD notifies the Sub-grantee in writing of a material breach of the FAA or any documents incorporated herewith, the security interest of the MMSWMD may decrease at a rate of 25% per annum, beginning one year from the date the financing statement is fully executed as set forth in the FAA between the MMSWMD and the Sub-grantee. When the security interest is fully depreciated, the secured party will, on written demand by the debtor, send the debtor a termination statement that a security interest in the financing statement is no longer claimed.

When a building or site improvement acquired by the Sub-grantee is no longer needed for the original project or program or for other activities currently or previously supported by the MDNR, the building or site improvement shall be disposed of as follows:

a. Buildings or site improvements with a current fair market value of less than $5,000 may be retained, sold or otherwise disposed of with no further obligation to the SWMP or the MMSWMD.

b. For a building or a site improvement with a current fair market value of $5,000 or more; when the building or a site improvement is owned by a Sub-grantee, the MMSWMD shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the district's remaining interest in the building or a site improvement.

c. When appropriate disposition actions fail to be taken by the building or site improvement owner; for Subgrantee owned buildings or site improvements, the MMSWMD may direct the Subgrantee on how to dispose of the building or site improvements.

d. If the building or site improvement owner is put on notice by either the SWMP or the MMSWMD that grant assets are not being used for the intended purpose, then; for Sub-grantee owned building or site improvements, the Sub-grantee shall not sell, give away, move, relocate, abandon, or dispose of the asset without the MMSWMD's prior written approval.

12. USE OF DISADVANTAGED BUSINESS ENTERPRISES. The Sub-grantee agrees to take all necessary affirmative steps required to assure that Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) are used when possible as sources when procuring supplies, Equipment (incl. bins, carts, receptacles, containers, dumpsters etc), construction, and services related to this Grant FAA. The Sub-grantee agrees to include information about these requirements in solicitation documents. Affirmative steps shall include:

a. Placing qualified MBE/WBE on solicitation lists;
b. Ensuring that MBE/WBE are solicited whenever they are potential sources;
c. Dividing total requirements, when economically feasible, into small tasks or quantities to permit maximum participation by MBE/WBE;
d. Establishing delivery schedules, where the requirements of work will permit, which would encourage participation by MBE/WBE;
e. Using the services of the Small Business Administration and the Minority Business Development Agency of the U.S. Department of Commerce; and
f. Requiring any prime contractor or other Sub-grantee, if sub-agreements are let, to take the affirmative steps in subparagraphs a. through e. of this section.

Sub-grantees shall use procurement procedures that conform to standards set forth in the “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments”, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, or Other Non-Profit Organizations”, or 34.040, RSMo, State Purchasing and Printing, as applicable.

13. Inventions and Patents and ADVERTISING. If any Sub-grantee produces subject matter which is or may be patentable in the course of work sponsored by this FAA, such subject matter shall be promptly and fully disclosed to the MDNR. In the event that the Sub-grantee fails or declines to file Letters of Patent or to recognize patentable subject matter, the MDNR reserves the right to file same. The MDNR grants to the Sub-grantee an option to acquire an exclusive license including the right to sub-license with a royalty consideration to the MDNR. Payment of royalties will be addressed in a separate royalty agreement.
a. Copyrights. Except as otherwise provided in the terms and conditions of this FAA, the author or the Sub-grantee is free to copyright any books, publications, or other copyrightable material developed in the course of this FAA; however, the MDNR and federal awarding agency reserves a royalty free nonexclusive and irrevocable right to reproduce, publish, or otherwise use, the work for state or federal government purposes.

b. Grantees and sub-grantees receiving grant funding from the Mid-Missouri Solid Waste Management District shall identify MDNR and the MMSWMD as a funding source on all Equipment (incl. bins, carts, receptacles, containers, dumpsters etc.), buildings, site improvements, publications and other printed materials which are intended for distribution. Identification shall include the MDNR and the MMSWMD’s logo and full 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 logos will be provided to any sub-grantee requesting them.

For other projects, such as audio cassette tapes and news releases, MDNR and MMSWMD shall be identified audibly by including its full name. Guidelines pertaining to placement of logos along with MMSWMD’s name and audible identification of MMSWMD are provided in ATTACHMENT E.

c. Prior Approval for Publications. The Sub-grantee shall submit to the MMSWMD two draft copies of each publication and other printed materials which are intended for distribution and are financed, wholly or in part, by grant monies. The Sub-grantee shall not print or distribute any publication until receiving written approval by the MMSWMD and Missouri Department of Natural Resources.

14. SUPPLIES. If there is residual inventory of unused supplies exceeding $5,000 in total aggregate fair market value upon termination or completion of the grant, and if the supplies are not needed for any other SWMF sponsored programs or projects, then the Sub-grantee shall compensate the MMSWMD for its share.

15. SUB-GRAANTEES CONSIDERED TO BE HIGH RISK. Special terms and conditions may apply to Sub-grantees considered “high risk” in accordance with 260.335.5, RSMo.

The MMSWMD may determine a Sub-grantee is “high risk”, if the Sub-grantee has a history of unsatisfactory performance; is not financially stable; has a management system which does not meet the management standards set forth in these general terms and conditions; has not conformed to terms and conditions of previous awards; or is otherwise not responsible. If MMSWMD determines that an award will be made during the “high risk” designation period, special conditions and/or restrictions shall be set to correspond to the high risk condition and shall be included in the award. Special conditions or restrictions may include payment on a reimbursement basis; withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given funding period; requiring additional, more detailed financial reports; requiring additional project monitoring; requiring the Sub-grantee to obtain technical or management assistance; or establishing additional prior approvals.

If the MMSWMD decides to impose such conditions, the MMSWMD will notify Sub-grantee as early as possible, in writing, of the nature of the special conditions/restrictions; the reason(s) for imposing the special conditions/restrictions; the corrective actions which must be taken before the special conditions/restrictions will be removed and the time allowed for completing the corrective actions; and the method of requesting reconsideration of the special conditions/restrictions imposed.

16. CONFLICTS OF INTEREST. No party to this subgrant, nor any officer, agent, or employee of either party to this subgrant, shall participate in any decision related to such subgrant which could result in a real or apparent conflict of interest, including any decision which would affect their personal or pecuniary interest, directly or indirectly. The Sub-grantee is advised that no state employee or former state employee, as defined in Chapter 105, RSMo, shall perform any service for consideration paid by the Sub-grantee for one year after termination of the employee’s state employment by which the former state employee attempts to influence a decision of a state agency. A state employee who leaves state employment is permanently banned from performing any service for any consideration for any person, firm or corporation after termination of his or her office or employment in relation to any case, decision, proceeding or application with respect to which he or she was directly concerned or in which he or she personally participated during the period of his or her service or employment with the state.
17. ELIGIBILITY, DEBARMENT AND SUSPENSION. By applying for this award, the Sub-grantee verifies that it, its board of directors, and all of its principals are currently in compliance with all state and federal environmental laws including those referenced below and court orders issued pursuant to those laws, and that all environmental violations have been resolved (for example, no pending or unresolved Notices of Violation (NOV)) at the time of application.

a. If compliance issues exist, the Sub-grantee shall disclose to the MMSWMD all pending or unresolved violations noted in an NOV, administrative order, or civil and criminal lawsuit, but only where those alleged violations occurred in the past two years in the State of Missouri.

b. The MMSWMD will not make any award at any time to any party which is debarred or suspended, under federal or state authority, or is otherwise excluded from or ineligible for participation in federal assistance under Federal Executive Order 12549, "Debarment and Suspension."

c. The Sub-grantee shall complete a Debarment/Suspension form when required by the MMSWMD. Furthermore, the Sub-grantee is also responsible for written debarment/suspension certification of all subcontractors receiving funding through a state funded grant.

18. REMEDIES FOR NONCOMPLIANCE. If a Sub-grantee falsifies any award document, fails to maintain records or submit reports, refuses the MMSWMD access to records, fails to meet the MMSWMD's performance standards, or materially fails to comply with any term of a grant, award, or subgrant, then the MMSWMD may take one or more of the following actions, as appropriate:

a. Suspend or terminate, in whole or part, the award or grant of current or future funds;
b. Disallow all or part of the cost of the activity or action not in compliance;
c. Temporarily withhold cash payments pending Sub-grantee's correction of the deficiency;
d. Withhold further awards from the Sub-grantee;
e. Compel the repayment of funds provided to the Sub-grantee pursuant to the award or grant;
f. Order the Sub-grantee not to transfer ownership of assets purchased with district grant funds without prior MMSWMD approval; or

g. Pursue any other remedies that may be legally available, including cost recovery, breach of contract, and suspension or debarment with respect to the Sub-grantee.

19. STATUTORY REQUIREMENTS. The MMSWMD and Sub-grantees must comply with all federal, state and local laws relating to environmental compliance, employment, nondiscrimination, construction, research, and other activities associated with grants from the MDNR. Failure to abide by these laws, or their implementing regulations, may trigger the remedies for noncompliance set forth in Section 18 above. A copy of state and federal laws that typically apply to grants from the MMSWMD and MDNR may be requested from the MMSWMD.

20. PROJECT AND BUDGET PERIODS. A project period shall be determined that will allow an adequate time period for the Sub-grantee to accomplish the purpose of the project and provide reporting of the results and accomplishments. Project and budget periods may allow for up to a two-year time period for project completion. A maximum of one six-month extension may be allowed beyond the two years when approved by the MMSWMD Executive Board. Any extension of the project or budget periods must have the prior approval of the MMSWMD Executive Board.

21. GRANT CONTINGENT ON STATE APPROPRIATED FUNDING. The Sub-grantee agrees and understands that grant funds identified in this FAA will be made available only upon appropriation by the General Assembly of the State of Missouri for each fiscal year included within the grant term, and upon approval and award by the Missouri Department of Natural Resources or such other state agency supporting the project. This Grant FAA shall automatically terminate without penalty in the event that such funds are not made available by appropriation or award to the MMSWMD. In the event of such termination, the MMSWMD shall have no liability or obligation to the Sub-grantee.
22. EMPLOYMENT

a. Pursuant to RSMo 285.530 (1) as a condition for the award of any grant, sub-grant, contract, or subcontract in excess of five thousand dollars, no grantee, sub-grantee, contractor, or subcontractor shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the state of Missouri.

b. The grantee, sub-grantee, contractor or subcontractor shall only utilize personnel authorized to work in the United States in accordance with applicable federal and state laws. This includes but is not limited to the Illegal Immigration Reform and Immigrant Responsibility Act (IIRIRA) and INA Section 274A.

c. Pursuant to section 285.530, RSMo, if the grantee, sub-grantee, contractor, or subcontractor meets the definition of a “business entity” included in Attachment C, the grantee, sub-grantee, contractor or subcontractor must affirm the grantee’s, sub-grantee’s, contractor’s or subcontractor’s enrollment and participation in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services requested herein. The applicable portions of Attachment C must be completed, notarized, and submitted prior to award of a grant, sub-grant, contract, or subcontract.

d. If the grantee, sub-grantee, contractor or subcontractor is found to be in violation of this requirement or the applicable state, federal and local laws and regulations, and if the Missouri Department of Natural Resources or the MMSWMD has reasonable cause to believe that the grantee, sub-grantee, contractor, or subcontractor has knowingly employed individuals who are not eligible to work in the United States, the Missouri Department of Natural Resources or the MMSWMD shall have the right to cancel the grant, sub-grant, contract, or subcontract immediately without penalty or recourse and suspend or debar the grantee, sub-grantee, contractor or subcontractor from doing business with the Missouri Department of Natural Resources, the MMSWMD or State of Missouri. The Missouri Department of Natural Resources or the MMSWMD may also withhold up to twenty-five percent of the total amount due to the grantee, sub-grantee, contractor, or subcontractor.

e. The grantee, sub-grantee, contractor, or subcontractor shall agree to fully cooperate with any audit or investigation from federal, state or local law enforcement agencies.
Identification of the Mid-Missouri Solid Waste Management District (MMSWMD) and the Missouri Department of Natural Resources (MDNR) on District Grants

Sub-grantees of District Grant funds from the MMSWMD should identify the District as a funding source on all grant projects for public distribution or in public view. On most projects equipment (incl. bins, carts, receptacles, containers, dumpsters etc) purchased with District Grant funds from MMSWMD the identification should include a sticker, magnetic sign, engraving, or the like bearing the name of the District (Mid-Missouri Solid Waste Management District, Region “H”). For projects where material is published in news releases, videos, displays, and all other projects from which information may be obtained by reading, watching or simply seeing the material the logo and name should be included according to the following directions:

Logo Usage:
The Mid-Missouri Solid Waste Management District logo includes the full name of the district plus the “map” logo as seen below. The name should be placed adjacent to the “map” logo or beneath it as seen below:

Logo:

The logo should be clearly visible and located with the Missouri Department of Natural Resources (MDNR) and the print should be of equal size. The logo should be aired at the end of any video tape, immediately preceding the MDNR logo. The logo should be visible for at least five seconds.

Credit: When space allows the following statement should be included: “This project was funded in part by the Mid-Missouri Solid Waste Management District.” For audio material the following statement should be included, and read slowly enough to be understood, “This project was funded in part by the Mid-Missouri Solid Waste Management District.”

The General Terms and Conditions are offered and accepted effective upon signature of the Financial Assistance Agreement.
Frequently Asked Questions - General Terms and Conditions (FAA)

What is the FAA?

The Financial Assistance Agreement is an agreement between a sub-grantee and the MMSWMD. The document includes the projects agreed upon budget, timeline, and all terms and conditions between the MMSWMD and grantee.

When can I start purchasing goods and services?

Purchases eligible to reimbursement cannot be made until both the MMSWMD Board and sub-grantee sign a FAA.

How do I go about buying goods and services for grant reimbursement?

All purchases for goods and services must be made in accordance with RSMO 34.040:
- $0-2,999.99 - No bid required
- $3,000-24,999.99 - Minimum of three (3) competitive bids/proposals, not advertised
- $25,000 or more - Minimum of three (3) competitive bids/proposals advertised in two (2) daily newspapers at least five (5) days before bid opening

How do I submit an invoice to receive a reimbursement?

MMSWMD staff provides sub-grantees with an invoice form and information for submitting an invoice. Invoices for all reimbursements are subject to Board approval. Invoices should include all applicable bid documentation, invoices from vendors, and proof of payment (receipt, canceled check, etc.). The Executive Board meets during the 2nd Wednesday of the month. Checks are mailed the day after each meeting.

How do I account for my match?

Sub-grantee's matching funds or in-kind match is accounted on the same invoice for reimbursement. MMSWMD staff recommends that sub-grantees show some match on each invoice.

What kind of reporting is required during the grant period?

Sub-grantee's are required to submit quarterly reports online via ReTrac. MMSWMD staff assist sub-grantees with getting set up on ReTrac and with reporting. A sub-grantees final report is also submitted via ReTrac as the last quarterly report of the project.

How do I give the MMSWMD a security interest in my equipment and/or building?

The MMSWMD maintains a security interest in all equipment, buildings, or site improvements costing more than $5000 purchased in whole or in part with grant funds. This interest decreases 25% per year starting 1 year from the purchase date stated on the invoice. It is the responsibility of the grantee to insure that the MMSWMD is listed as a lien holder on a title or UUC-1 form.

How do I get the 15% of grant funds retained by the District until the end of the project?

A grantee is reimbursed after the Executive Board accepts their final report.

How can I make changes to my FAA (need more time, budget change, etc.)?

Changes can be made to the FAA during the project. Contact MMSWMD staff for any needed changes.

Is there anything I need to do after my project is completed?

All records for the project need to be retained by the grantee for 5 years following the project. Grantees purchasing equipment costing more than $5000 will need to report diversion numbers annually to the MMSWMD for 5 years after submission of the final report.