

**Mid-Missouri Solid Waste  
Management District - REGION H**

**FY2012 District Grant  
Application and Guidance  
Document**



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**For additional information about the Mid-Missouri Solid Waste Management District, visit our web site at [www.mmswmd.org](http://www.mmswmd.org)**

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# District Grant Application Package

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## Application Assistance

Assistance with the application is available through the district office. It is recommended that all potential applicants contact the district office, (573) 874-7574, early in the project development process. The District Manager will be available to provide grant writing assistance to first-time applicants and updates and reminders to those who have applied before. It is strongly recommended that you attend one of the District Grant Workshops scheduled on August 17 and August 25, 2011 (see page 5 for details). If you cannot attend a workshop, please plan on scheduling a meeting with the District Manager, especially if you have not applied for a grant from MMSWMD before.

## District Grant Programs

The purpose of the District Grant program is to provide financial assistance to cities, counties, and private for-profit or nonprofit organizations that will develop new or improved programs that will reduce the generation of solid waste, or will create new markets or improve markets for recovered materials or will improve the handling of items banned by Missouri law from landfills. A **very strong preference** will be given for projects that will be sustainable and will lead to long term diversion. Equipment purchases are preferred over short term operating projects (see Eligible Costs on page 7). Grant applications for salaries and other annual operating expenses are rarely funded. Only when there is sufficient evidence that the project will be able to sustain itself and that the one-time funding is critical for start-up or to bridge a funding gap will such grants be approved.

Applicants must decide whether to apply for funds as a Small Project, \$5,000.00 or less, or Large Project, \$5,000.01 up to limits described in the Eligibility Information section, as MMSWMD evaluates these separately. The district established the Small Project category in order to prevent larger requests from crowding out smaller, quality projects.

There are other differences between the small and large projects. Small projects are evaluated in October 2011 and April 2012, but large projects are evaluated only once per year (January 2012). For FY 2012, there will be three grant application deadlines. Information in this guidance document regarding *Eligibility, Funding Targets, Requirements and Obligations*, and the *Application Process*, applies to both programs. Significant differences in the two programs are noted on the next page.

The cost and potential amount of diversion is a critical component of evaluating the grant applications. *A new form, "Projected Diversion Worksheet" was added in FY2007 as part of the application material to calculate potential diversion and to reach a more accurate comparison between grant applications.* State laws, regulation and directions from the State Government are clear. The purpose of the solid waste management district grants is to fund projects with the maximum impact on waste minimization and to create and sustain jobs directly related to the project.

District Grants are funded by a tonnage fee of \$2.11 per ton that is charged at every landfill in Missouri and every transfer station in Missouri that hauls its trash out of state. The rate charged at landfills that only accept construction and demolition debris is \$1.40 per ton. With the passage of Senate Bill 225 in May of 2005 the funding formula for the money sent to the 20 solid waste management districts is allocated 40% based on population of the district at the last census, and 60% based on the amount of tonnage fees collected within that district. Each district receives a minimum of \$95,000.00 each year. At least 50% of the funds received by each district 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 for district operations.

## 1. Small Project Program

*Types of Projects* - Small grants are typically for educational projects, cleaning up illegal dump sites and for waste reduction or yard waste projects in small communities.

*Available Funding* – A level of funding will be set aside each year from the district’s total allocation for small projects. The funding amount shall be the lesser of \$30,000.00, or 15% of the district’s total annual allocation. District grant funds requested for a small project cannot exceed \$5,000.00, and the total project cost cannot exceed \$15,000.00. In FY2012, the small project grant applications will be evaluated on October 19, 2011 and April 18, 2012 by the Advisory Committee. The Advisory Committee meets in October, January and April, as shown in the chart below. Grant applications scoring at least 200 points will be recommended for funding limited to the available funding.

Using this formula, funding will remain at \$30,000.00 unless the district’s allocation falls below \$200,000. The available funds for the FY2012 grant cycle are projected to be \$350,000 to \$400,000, and therefore there will be \$30,000.00 available for small project grants. Any funds not awarded by May 12, 2011 will be carried over to the pool of funds for FY2012. MMSWMD is not required to award all the funds applied for under the Small Project grant program, even if there are sufficient funds available, if the applications are not judged to be viable projects.

*Evaluation Criteria* - Sample evaluation criteria and decision matrix are provided as Attachment 5.

## 2. Large Project Program

*Types of Projects* - Equipment and one-time operating expenses are typical large projects.

*Available Funding* - Funding for the Large Project Program will consist of the district’s yearly allocation, minus \$30,000.00 for small projects, minus the allocation MMSWMD will use for operations and plan implementation.

*Evaluation Criteria* - Sample evaluation criteria and decision matrix are provided as Attachment 5.

Key dates	Preliminary Application Due	Final Application Due by 4 p.m.	Advisory Committee Review	Executive Board Decision	Estimated MDNR Approval	Projected Start Date
Round 1 (only Small Grants)	9/2/11	9/23/11	10/19/11	11/9/11	12/9/11	1/1/12
Round 2 (only Large Grants)	11/11/11	1/4/12	1/18/12	2/8/12	3/22/12	4/1/12
Round 3 (only Small Grants)	3/2/12	3/23/12	4/18/12	5/9/12	6/15/12	7/1/12

**Items in Bold** are required elements and dates are firm. Executive Board approval is required of all grants, but the Executive Board may chose to evaluate grants further and delay the final decision.

**Two District Grant Writing Workshops** are scheduled to assist applicants. The schedule is as follows: **Wednesday, August 17, 2011, 1pm to 3pm** or **Thursday, August 25, 2011 10am to 12pm** in Conference Room 3A, 701 East Broadway, Columbia, MO.

## **Eligibility Information**

### **1. Eligible Applicants**

Eligible applicants include any municipality, county, public institution, not-for-profit organization, private business or individual currently operating within the defined district boundaries or who will be operating within the district as a result of the project. MMSWMD provides at least 50% of funds received for projects benefiting cities and counties.

**MMSWMD will not fund on-going operations of recycling businesses or programs.** We give a strong preference to projects that will initiate new recycling programs or expand existing recycling programs within Region "H" to a new geographic or economic area that previously had not been served. Funds may be used for operating expenses if it is short term assistance with on-going funding identified. Applicants will be required to list any prior grant funds received.

Applicants are ineligible if they are directly involved in the selection and award of financial assistance under the administrative rule 10 CSR 80-9.050, or have a conflict of interest in the selection and receipt of such assistance. For the purpose of this application, a conflict of interest occurs when an applicant's employee, spouse or partner participates in the selection, award or administration of financial assistance under 10 CSR 80-9.050, and receives an award, contract, gratuity or favor from such participation. Furthermore, district funds shall not be awarded for a project whose applicant is directly involved in the evaluation and ranking of that particular project. It shall be the practice of the MMSWMD Executive Board and Advisory Committee members to abstain from scoring or voting on a grant when a conflict of interest or the potential for a conflict of interest exists.

### **2. 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:* Development of new processes to reduce the amount of waste produced.
- *Collection/Processing:* Activities that recover or transport materials, or prepare materials for recycling markets.
- *Research and Development/Recycling:* Development of new processes for collecting, processing, re-manufacturing or selling waste material as a new product.
- *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.
- *Energy Recovery/Incineration:* Energy recovery through combustion of waste.
- *Educational/Informational:* Programs to effectively inform and instruct the general public on waste management and waste reduction activities.

### **3. Maximum Eligible Grant Amount**

There are two types of limits placed on funding: A limit per applicant and a limit per project. The limit per applicant limits the total amount of funding that can be requested from any one entity. The limit per project limits the total amount of funding that will be available to certain types of projects.

- **Limit Per Applicant** - An applicant may choose to apply for more than one grant. However, the total dollar amount of all funding requested from any one applicant shall not exceed \$70,000.00. All requests from an individual city, county, business, or institution are considered to be from a singular applicant, even if they originate from different departments or divisions. When a grant application originates from more than one applicant, as in the case of a cooperative agreement between two or more entities, each applicant will be assigned an equal share of that request. The \$70,000 limit for total funds requested applies for all applications within a fiscal year (July 1 to June 30).
- **Limit Per Project** – MMSWMD has established a maximum amount of funds available for each project receiving financial assistance as follows:

Waste Reduction, R & D Reduction/Recycling, Market Development, Composting, Collection and Processing	\$70,000
Energy Recovery through Incineration	\$52,500
Educational/Informational	\$17,500

#### 4. **Eligible Costs**

The following list of eligible costs is provided to assist the applicant with budget development. Budget development 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 (see Figure 1 on page 7).** Expenses that do not provide long-term impact should be included in the budget as match, instead of grant funds, if possible. It is recommended that the applicant contact the district office to discuss budget development. Eligible costs include (but may not be limited to):

- Collection, processing, manufacturing or hauling equipment;
- Materials and labor for construction of buildings;
- Engineering or consulting fees incurred within the project period;
- Equipment installation costs;
- Laboratory analysis costs;
- Personnel costs directly related to the project;
- Development and distribution of educational materials;
- Development and implementation of educational forums;
- Overhead costs directly related to the project;
- Travel necessary for project completion;
- Professional services.

Ineligible costs are those which district grants will not cover. They include:

- Operating expenses of local, county, and district governments, such as salaries and expenses that are not directly related to the project activities;
- Costs incurred before the project start date or after the project end date;
- Taxes;
- Legal costs;
- Contingency funds;

- f. Land acquisition
- g. Gifts
- h. Disposal costs (projects that collect solid waste for disposal on a continuous basis)
- i. Fines and penalties;
- j. Food and 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 funds.

### 5. Glasphalt Restrictions

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

## Funding Targets

### 1. Targeted Materials List

Projects should be consistent with the district's targeted materials list. Preference will be given to projects that reduce, reuse, recycle or strengthen consumer demand for the following post-consumer wastes:

Cardboard	Bi-Metal Containers
Old Newspaper	Ferrous Metals
Old Magazines	Non-Ferrous Metals
Other Paper (office paper, mixed paper, etc.)	Waste Tires
Plastics (all resins)	Major Appliances
Mixed Glass	Yard Waste
Household Hazardous Waste	Waste Oil (motor oil is priority)
Non-hazardous Wastes From Industrial, Commercial, and Institutional Operations	Lead-Acid Batteries
Demolition Waste	Consumer Electronics (computers, VCRs, televisions, etc.)

### 2. Bonus Points

Projects which conform to the district's funding targets will receive bonus points in accordance with the stated evaluation criteria. In every case, the amount of bonus points shown below is a maximum possible. The actual number of bonus points awarded is determined by the Advisory Committee. Funding targets and bonus points for FY2012 are as follows:

**Priority 1 - up to 40 pts. Special Program Target Area:** A project, with district-wide benefit, that addresses a specific target area that has been identified by the district as being of particular concern. For FY 2012, this bonus is available to projects that improve waste management processing or production of a marketable final product from products banned from landfills in Missouri by law or will improve the collection and proper disposal or recycling of household hazardous waste. The banned items include **yard waste, white goods (major appliances), tires, used motor oil, car**

**batteries and hazardous waste from conditionally exempt small quantity generators.** Applicants will be required to agree to serve at least three jurisdictions that are members of MMSWMD during the project period to receive all forty (40) bonus points awarded.

**Priority 2 – up to 25 pts. District Wide Projects:** A project that has been developed to serve the district, with input from the MMSWMD Executive Board.

**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.

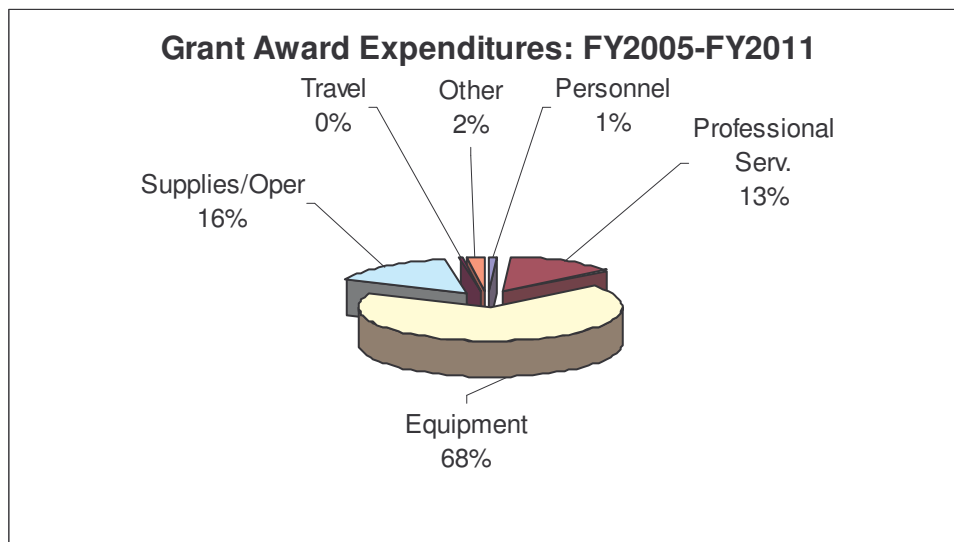
**Priority 4 – up to 20 pts. Providing service to an underserved area.** A project that, if successful, would provide basic recycling service to an area that currently does not have that service, especially in Moniteau, Howard or Osage counties (also includes communities that are outside metropolitan areas that have no recycling services).

**Priority 5 – up to 15 pts. School Recycling Enhancement:** A project that has been developed to increase diversion from an educational institution.

**3. Missouri Policy on Resource Recovery**

Projects should be consistent with the waste management hierarchy as described in the Missouri Policy on Resource Recovery. This 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; and
- d. Incinerate or dispose of in a sanitary landfill



Data for grant years 2005-2011 for grants given to Sub-grantees (i.e. not District run projects).

## Requirements and Obligations

### 1. Match Requirements

Grant sub-grantees will be required to provide at least 25% of the total project budget in matching funds (25% match + 75% grant = 100% total project budget). The applicant must document the availability of matching funds. The district reserves the right to make exceptions to this requirement for not-for-profit organizations, municipal/county governments, and public institutions on a case by case basis for projects that clearly demonstrate district-wide applicability.

Expenditure of matching funds must be documented in the same manner as grant fund expenditures. Matching funds must be for eligible project costs incurred during the project period. Matching funds may include cash outlays or in-kind contributions. A signed affidavit certifying the availability of matching funds (Attachment 4) is the preferred method of demonstrating match availability, and will result in a higher grant score.

### 2. Financial Assistance Agreement

After grant award, the district will enter into a financial assistance agreement (FAA) with approved applicants. It is important that applicants understand all obligations as identified in the FAA and its attachments prior to signing this document. A sample FAA is included for your information (Attachment 6). Additional terms may be added. Approved applicants must comply in full with all terms of the Department of Natural Resources' *General Terms and Conditions*, including II. W. *Disadvantaged Business Enterprise Utilization*. A copy of the Missouri Department of Natural Resources' *General Terms and Conditions* and *Special Terms and Conditions* will be provided to applicants by email, or applicants can request a paper copy form MMSWMD.

District sub-grantees must demonstrate that all applicable federal, state, and local permits, approvals, licenses or waivers required by law and necessary to implement the project have been obtained prior to being reimbursed.

### 3. Accountability

**Quarterly Reports:** Projects receiving financial assistance shall submit quarterly reports to the district by the reporting deadlines established in the financial assistance agreement. The reports shall contain the following:

- a. The details of progress on a task-by-task basis as described in the work plan, including volume or weight of waste diversion (waste recycled, composted or otherwise diverted from a landfill or incinerator) for each type of material recovered in the project, if appropriate and jobs created/retained, if applicable;
- b. Problems encountered in project execution;
- c. Summary of expenditures;
- d. Budget adjustments made within budget categories, with justifications;
- e. Amendments to the financial assistance agreement; and
- f. Other information necessary for proper evaluation of the progress of the project.

**Final Report:** Projects receiving financial assistance shall submit a final report to the district within twenty-one (21) days of the completion date. The report shall contain the same information as described for quarterly reports, as well as a comparison of actual accomplishments to the goals established, and reasons why the goals were either not met or were exceeded.

**Accounting System:** The sub-grantee shall maintain an accounting system according to generally accepted accounting principles that accurately reflects all fiscal transactions, incorporates appropriate controls and safeguards, and provides clear references to the project proposal. Accounting records must be supported by source documentation such as canceled checks, paid bills, payrolls, time and attendance records, contracts, and agreement award documents. MMSWMD claims a lien, which must be registered with the proper state agency, on any equipment purchased using more than \$5,000.00 in district grant funds for any one item. The terms of the liens are described in the sample FAA in Attachment 6. Most equipment liens are registered by filing a UCC-1 form with the Secretary of State, or a vehicle title with the Department of Revenue.

**Retention and Custodial Requirements for Records:** The sub-grantee shall retain all records and supporting documents for at least three (3) years from the closing of the grant, or longer if needed for any litigation, claim, negotiation or audit.

Failure to comply with the rules for accountability listed above can cause an organization to be refused funding in or other action may be taken in accordance with the Remedies for Noncompliance as outlined in MMSWMD Financial Assistance – General Terms and Conditions, Attachment C, Item 18.

#### **4. Time Period**

Funding may be requested for periods of up to 18 months to allow for at least 4 quarters of diversion to be reported. Activities must be completed within the time frame specified in the grant award. Amendments to the financial assistance agreement that extend the project period, or to adjust the budget may be made if properly justified by the sub-grantee and approved by the District’s Executive Board. With justification, grants may be awarded for up to twenty-four (24) months. The MMSWMD Executive Board may extend the grant period up to six months beyond the twenty-four (24) months. Any extension beyond thirty (30) months requires MDNR SWMP approval. Funds remaining once a grant is closed will be carried over to future grant cycles.

#### **5. Expenditure of Funds**

Expenditure of funds **must be for costs incurred during the project period** in accordance with the approved budget agreement. This means no expenditures may be made, or bids accepted before the start date named in the Financial Assistance Agreement (FAA). Sub-grantees of Solid Waste Management Fund financial assistance are **required to obtain bids** for all purchases according to the schedule defined in the Revised Statutes of Missouri (RSMo) 34.040.

To paraphrase this statute:

Purchases of:

\$0 – 2,999.99

Do not require bids.

\$3,000.00 - 24,999.99

Require a minimum of three (3) competitive bids or proposals, but do not have to be advertised.

\$25,000.00 or more

Require a minimum of three (3) competitive bids or proposals, advertised in at least two daily newspapers at least five days before bid opening.

**In order to be reimbursed for items requiring a formal bid, the sub-grantee must submit bid documentation to MMSWMD to show proof that multiple bids were solicited and/or proper notice was given.**

**6. Reimbursement**

**Grant payments will be made on a reimbursement basis only.** Reimbursements will be made in accordance with the terms of the financial assistance agreement, and the Policies and Administrative Rules of MMSWMD. Documentation of expenditures is required and shall include invoices, contracts, canceled checks, monthly employee time records, mileage records, etc., as appropriate. Requests for payment shall identify the sub-grantee's share of matching funds and shall provide proper documentation of expenditure of such funds. Reimbursements will be made on a cost share basis as identified in the financial assistance agreement. If MMSWMD is entitled to a lien on a piece of equipment or should be shown on a vehicle title, the **lien must be filed and a copy provided before** any reimbursements are paid for the particular piece of equipment. A copy of proof of insurance for the particular piece of equipment is also required.

To be eligible for reimbursement, sub-grantees must be in compliance with all quarterly and final reporting requirements. A minimum of 15% of the grant award will be retained until submission and Executive Board approval of the final report and accounting. Upon satisfactory completion of the scope of work as set forth in the agreement, completion of all necessary reporting, recording all required liens and any other requirements in the agreement, the remaining grant funds due, if any, will be released. At no point during the project will more than 75% of the total project expenditures be reimbursed, regardless of whether the particular items invoiced to MMSWMD are grant funded or applicant matching funds, unless the Executive Board of MMSWMD approves a match of less than 25%.

**7. Economic Development Bill Sales Tax Exemption**

Any sub-grantee that is not already exempted from sales tax should become familiar with House Bill 1237, the 1996 omnibus economic development bill which provided for an expansion of the sales tax exemption for recycling equipment under RSMo. section 144.030.2(4). To acquire the necessary tax form 1772, or for more information regarding the sales tax exemption, applicants should contact the Technical Support Section of the Tax Administration Bureau at (573) 751-2836. **The district is not responsible for the interpretation of RSMo. section 144.030.2(4), or for taxes not paid due to misinterpretation of this exemption.**



Map of the 20 Solid Waste Management Districts

## Application Process

### 1. Submittal of Preliminary Application

#### Deadline Dates:

Key dates	Preliminary Application Due	Final Application Due by 4 p.m.	Advisory Committee Review	Executive Board Decision	Estimated MDNR Approval	Projected Start Date
Round 1 (only Small Grants)	9/2/11	9/23/11	10/19/11	11/9/11	12/9/11	1/1/12
Round 2 (only Large Grants)	11/11/11	1/04/12	1/18/12	2/08/12	3/22/12	4/1/12
Round 3 (only Small Grants)	3/2/12	3/23/12	4/18/12	5/9/12	6/15/12	7/1/12

Applicants must file one (1) copy of the entire Preliminary Application. This copy may be submitted electronically as an e-mail attachment in Microsoft Word XP or an earlier version. Applicants submitting their application by e-mail are encouraged to verify receipt by phone. It may NOT be faxed. MMSWMD is not responsible for applications lost in transit.

For large projects, a Preliminary Application is required and must be received by the district office by **4:00 PM on the deadline date**. Late preliminary applications for large grants will not be accepted. No final applications for large projects will be accepted if a Preliminary Application was not submitted. **No exceptions will be made. Signatures and dates on the application form are required.**

Applicants for small grants are strongly encouraged to submit a Preliminary Application to obtain feedback on their proposal, though not required. **An applicant may submit up to two Preliminary Applications if they so choose on an individual small project. During a single fiscal year, one final application may be submitted for a specific project.**

#### Mail or deliver your application packet to:

**Mid-Missouri Solid Waste Management District  
701 E. Broadway, 3<sup>rd</sup> Floor  
P. O. Box 6015  
Columbia, MO 65205-6015**

**Or e-mail your application packet to: [mmswmd@GoColumbiaMo.com](mailto:mmswmd@GoColumbiaMo.com)**

### 2. Submittal of Final Application

The original and one (1) copy of the entire Final Application and supporting documentation must be submitted to the address below. No faxed or electronic final applications will be accepted. The grant application will be evaluated at the next meeting of the Advisory Committee if it is submitted by **4:00 p.m.** on the deadline posted above on this page.

#### Mail or deliver your application packet to:

**Mid-Missouri Solid Waste Management District  
701 E. Broadway, 3<sup>rd</sup> Floor  
P. O. Box 6015, Columbia, MO 65205-6015**

### 3. Application Content and Support Documents Confidentiality

To the extent feasible and permissible by law, the district will honor an applicant's request that certain information submitted in an application remain confidential. The district will treat information as confidential only if the information is specifically marked or identified as confidential by the applicant. A letter must accompany the application specifically identifying the information requested to be kept confidential. If the application results in an award of financial assistance, the honoring of confidentiality shall not limit the district's right to disclose the results of the project to the public.

All applications must include the following items to be considered for funding.

#### a. **Preliminary Application**

- i. **Application Form:** Complete the Preliminary Application Form in your application packet.
- ii. **Preliminary Budget Document:** Complete the Preliminary Application Budget Document and place it immediately after the application form in your application packet. Itemize the estimated costs for conducting the project, both grant funds and matching funds. Provide a brief explanation for your estimated cost for each line item over \$3,000.00 in your Project Description. No supporting documentation is required. After reviewing the preliminary application, MMSWMD will send the applicant a list of supporting documentation that will be necessary.
- iii. **Project Description:** The Project Description required in the Preliminary Application is similar to the Executive Summary required for the Final Application, except it is wider in scope, but requires less depth. The Project Description may be as long as four pages and may include optional approaches to the task. It is unlikely that the project description can be done well in less than one page. The Project Description must indicate the physical location and ownership status of the project site. It must explain why there is a need for the project, its current status, targeted clientele, and the approximate geographic area that will benefit from the proposed project. Indicate the type and an approximate amount of material that will be recovered or diverted from the waste stream. Describe the impact this proposed project has upon avoided costs within the affected area and indicate how the proposed project correlates with the solid waste management activities of the district. You will not be required to develop a timetable, or work plan, per se for the Project Description, **but you should describe the purpose of any proposed equipment purchase of \$5,000.00 or more AND how you will evaluate the project**, qualitatively and/or quantitatively to determine if the project is successful (see b. vii. below).

#### b. **Final Application**

- i. **Checklist:** Complete the Final Application Checklist and place it at the beginning of your application packet. This must be signed by an authorized person in your organization.
- ii. **Applicant Profile:** Complete the District Grant Applicant Profile and place it *directly after the Final Application Checklist* in your application packet.

iii. **Estimate of Costs:** Complete the Final Application Budget Document (Attachment 2) and place immediately after the application form in your application packet. Itemize the estimated costs for conducting the project using the worksheet included in Attachment 2, or supply the same information in a different format. Provide estimates for all major planned activities or purchases and provide supporting documentation of how each cost estimate was determined. Provide the dollar amounts and percentage of the match (your contribution). Provide documentation of the availability of all funds listed in the budget.

An independent confirmation of your cost estimate must be obtained. The quote may be a copy of a catalog page, website page, email quote received from vendor, or a quote on business letterhead. A quote is required for each line item over \$3,000.00.

For a line item, a single unit or multiple quantities of an identical item, \$25,000.00 or more, one formal price quote on letterhead is required for the final application. Remember for budgeting purposes, you may allow for reasonable price increases between the time of application and the purchase in April of 2012 or later. An explanation of price increase estimates must be included. Supporting documents must be placed directly after the Final Application Budget Document. Additional explanation of costs should be included as attachments at the end of the application.

iv. **Project Diversion Worksheet:** This worksheet is found in Attachment 3. The worksheet details the amount of diversion that will be accomplished by this project. If the project does not result in diversion, then the applicant should explain what measurable outcomes will occur, and predict an outcome. **The sum total of your projected diversion in box “X.” must be the same as the box “Est. Tonnage Diverted (or other measurable goal must match Attachment 3):”** in the DISTRICT GRANT APPLICANT PROFILE. Further explanation about how the project will be evaluated must be included in section *viii*.

v. **Executive Summary:** Provide a summary statement of no more than two (2) pages describing the proposed project and its objectives. The Executive Summary must indicate the physical location and ownership status of the project site. It must explain why there is a need for the project, its current status, targeted clientele, and the approximate geographic area that will benefit from the proposed project. Indicate the amount and type of material that will be recovered or diverted from the waste stream. Describe the impact this proposed project has upon avoided costs within the affected area and indicate how the proposed project correlates with the solid waste management activities of the district. The Executive Summary should be placed immediately after the Final Budget Document.

vi. **Work Plan and Personnel:** Identify project tasks as task 1, task 2, etc., and provide an explanation of each. Define the managerial, operational and technical capabilities of key personnel and their qualifications. **Resumes or a description of qualifications of key personnel (especially the project manager) are required.**

vii. **Timetable:** In a timetable show anticipated dates for major planned activities, expenditures, submittal of quarterly reports and the final report.

Example:

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

- viii. **Project Evaluation Procedure:** Provide a description of the evaluation procedures to be used throughout the project to quantitatively or qualitatively measure the success of the project. Use your projected diversion amounts or other goals as performance measures and indicate how and when progress will be measured. **Where possible describe the way you will measure how well, not just how much, your project will work. Explain how diversion will be measured.**
- ix. **Supporting Documents:** All contracts (tentative and signed), purchase agreements or letters of commitment, or other documents to indicate the stability of market sources of supply for materials and demand for products or service. For projects over \$50,000.00 provide the following supporting documents:
- 1) A preliminary project design, engineering plans and specifications for any facilities and equipment required for the proposed project.
  - 2) A financial report including:
    - A three-year business plan containing a market analysis demonstrating that the applicant has secured the necessary supply of recovered materials and the demand for the end product necessary for sustained business activity
    - A description of project financing **including projected revenue** from the project
    - A credit history of the applicant and/or business if it is an existing business
    - Three years' previous financial statements or reports
- x. **Verification of Permits, Approvals, Licenses and Waivers:** Verify that all applicable federal, state and local permits, approvals, licenses or waivers necessary to implement the project have been obtained or are in the approval process. If in the approval process, please advise where in the process. All permits, etc. must be in hand prior to signing the FAA. Information on needed state environmental permits can be obtained from this office and MDNR. Demonstration of compliance with local zoning ordinances is required.

Some examples of permits, licenses and other documentation needed where applicable: Business license, proper zoning, proof of 501 (c)(3) Federal tax status for non-profit organizations, Commercial Driver's License, NPDES (Clean Water Act) permit for compost sites (exemptions are for two acres or less for yard waste materials, per 10 CSR 20-6.015(3)(b)(7)).

**All grants are evaluated upon the materials submitted in the application. Cooperative agreements, detailed letters of support, and clear and concise details of the project will greatly enhance any project's chance of success. DO NOT ASSUME those scoring your application understand what you are proposing to do, why your are proposing to do it, and what the measurable outcomes will be: STATE THESE THINGS EXPLICITLY!**

**Please note that there are now deductions for missing or incomplete items!! Anything caught and changed prior to the grant deadline will not be assessed any deductions. Therefore early submission MAY allow for corrections if they happen to be caught in time.**

**Inquiries regarding the grant application may be directed to:**

**Mid-Missouri Solid Waste Management District  
P. O. Box 6015  
Columbia, MO 65205-6015  
Phone: (573) 874-7574  
Fax: (573) 874-7526  
E-mail: mmswmd@gocolumbiamo.com**

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Attachment 1

District Grant Checklists

and

Application Forms

# Preliminary Application Form

**Project Applicant:** \_\_\_\_\_

**Project Title (fewer than 50 characters including spaces):**  
 \_\_\_\_\_

**Applicant information: Address (include city state and zip)** \_\_\_\_\_  
 \_\_\_\_\_

**Project manager or grant writer and their title:**  
 \_\_\_\_\_

**Phone, fax and e-mail of project manager/grant writer:**  
 \_\_\_\_\_  
 \_\_\_\_\_

**Before submitting the Preliminary Application for a district grant, the applicant must complete this form. Only if the applicant can answer yes to both items on this form should the Preliminary Application be submitted.**

**Substantial changes may be made between the Preliminary and Final Application, however, the Project Title cannot change, and the project must still be described by the original title. No funding will be obligated, promised or determined until Final Applications are received and scored.**

Item	Yes	Page Number Where Documented
1. Project Description: No more than four pages; no smaller than 10 point font; include the elements described on page 15.		
2. A Line-item Budget (This may be changed before the final application)		

**Deadline Date: November 11, 2011 at 4:00 PM in the MMSWMD office for large projects. Only applicants requesting more than \$5,000.00 are required to submit a Preliminary Application, although small project applicants are strongly encouraged to do so as well. Applicants will be allowed to substantially modify their application before the Final Application. See page 15 for small grant preliminary grant application deadlines.**

# Final Application Checklist

Project Applicant: \_\_\_\_\_

Project Title: \_\_\_\_\_

**Before submitting the Final Application for a district grant, the applicant must complete this form. Only if the applicant can answer yes to all items on this form should the application be submitted.**

**I. All applications must include:**

Item	Initials of applicant	See Page #	MMSWMD verification
1. Applicant Profile sheet			
2. Final Application Budget Document and Budget Notes with documentation of costs for items over \$3,000.00			
3. An Executive Summary			
4. A Work Plan with project tasks and key personnel			
5. A Timetable or time line			
6. The Resume(s) of the Project Manager(s) (or a description of their qualifications to administer the grant)			
7. Intent or verification of Permits, Approvals, Licenses, Waivers, and Zoning			
8. Evaluation Procedures and explanation of how diversion will be measured qualitative or quantitative and job creation/retention			
9. Match Commitment Documentation (certification of matching funds is enclosed as Attachment 4)			
10. A list of all prior funded grants and the amounts awarded for each grant			

**II. In addition to the information listed above, applications over \$50,000.00 must include:**

Item	Initials of applicant	See Page #	MMSWMD verification
1. Engineering Plans/Specification for Facilities or Equipment			
2. Financial Report:			
a) Three-year business plan for the proposed project For projects involving recycling and reuse technologies, the plan shall include a market analysis with information demonstrating that the applicant has secured the supply of and demand for recovered material and recycled products necessary for sustained business activity.			
b) Description of project financing, including projected revenue from the project;			
c) A credit history			
d) Up to three (3) years previous financial statements and, for government entities, a bond rating			

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: \_\_\_\_ / \_\_\_\_ / \_\_\_\_



# Attachment 2

## Application Budget Documents



**MID-MISSOURI SOLID WASTE MANAGEMENT DISTRICT**  
**PRELIMINARY Application Budget Document (DUE 11/11/11 or see pg. 5)**

<b>Budget Category</b>	<b>Grant Provided</b>	<b>Match Provided*</b>	<b>Total Cost</b>
<b>Personnel</b>			
e.g. Labor			
e.g. Volunteers			
<b>Professional Services</b>			
e.g. contractors			
e.g. room or equip. rental			
<b>Equipment</b>			
<b>Supplies</b>			
e.g. building materials			
e.g. small collection bins			
<b>Travel</b>			
e.g. mileage			
<b>Other (describe)</b>			
<b>Total</b>			

\*Match can be in the form of "hard" match or "in-kind" match. Please include an explanation of these costs in your narrative, including any changes from the Preliminary Application Budget. **You must include quotations for any grant-funded individual items over \$3,000.00.** 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.

## Final Budget Worksheet

This page is to assist the applicant and the information requested in the worksheet is required as justification of the budget submitted by the Applicant. You will need to use the worksheet or supply the same information in a different format. Please add or delete rows, columns or even sections as needed.

### Personnel:

Salary/Labor costs (Add additional rows if needed)

Name of position	Currently filled? Y/N	Estimated hourly wage including benefits (\$/hr.)*	Hours on project	Total	Grant funded %	Match funded %

\*Benefits can be figured separately and entered as a separate line item if preferred, but use the same type of chart/spreadsheet as for salary.

For volunteer hours, you can use the current applicable minimum wage (For current minimum wage information, you should contact the Missouri Department of Labor at [www.labor.mo.gov](http://www.labor.mo.gov)) without any documentation. For any other amount, you must provide some justification for the rate. For some guidelines see:

[www.bls.gov/ncs/ocs/sp/ncbl0801.txt](http://www.bls.gov/ncs/ocs/sp/ncbl0801.txt) for Missouri specific data

[www.bls.gov/ncs/ocs/home.htm](http://www.bls.gov/ncs/ocs/home.htm) for additional tables from the Bureau of Labor Standards

[www.independentsector.org/programs/research/volunteer\\_time.html](http://www.independentsector.org/programs/research/volunteer_time.html) for volunteer average estimated value.

### Equipment:

“Equipment” means tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000.00 or more per unit. Vehicles are always considered equipment.

Equipment Description	Page/Attachment in Application with description	Estimated number of units	Cost per unit	Total cost
			\$ /	\$
				\$
				\$
				\$

For items over \$5,000.00 in estimated value, one pre-bid quote/estimate is required. Remember, **the item cannot actually be purchased until the project start date** and remind the person supplying the quote of this fact.

### Supplies:

“Supplies” means all tangible personal property other than equipment, building or building site improvements. No documentation is required for the Application unless a line item exceeds \$3,000.00. A catalog price or a quote on company letterhead will suffice as documentation.

Line Item #1 = Sub-items (below)	Page in Application with further information	Estimated number of units	Cost per unit	Total cost
			\$ /	\$
			\$ /	\$
			\$ /	\$
			\$ /	\$
<b>Total for Line item</b>				<b>\$</b>

Line Item #2 = Sub-items (below)	Page in Application with further information	Estimated number of units	Cost per unit	Total cost
			\$ /	\$
			\$ /	\$
			\$ /	\$
			\$ /	\$
<b>Total for Line item</b>				\$

Line Item #3 = Sub-items (below)	Page in Application with further information	Estimated number of units	Cost per unit	Total cost
			\$ /	\$
			\$ /	\$
			\$ /	\$
			\$ /	\$
<b>Total for Line item</b>				\$

Line Item #4 = Sub-items (below)	Page in Application with further information	Estimated number of units	Cost per unit	Total cost
			\$ /	\$
			\$ /	\$
			\$ /	\$
			\$ /	\$
<b>Total for Line item</b>				\$

Line Item #5 = Sub-items (below)	Page in Application with further information	Estimated number of units	Cost per unit	Total cost
			\$ /	\$
			\$ /	\$
			\$ /	\$
			\$ /	\$
<b>Total for Line item</b>				\$

For any line item of \$3,000.00 or more, informal competitive bids are required if the grant is awarded.

### Travel:

This category includes mileage for project related trips, or travel to conferences, training or presentations directly related to the project. Additional categories may be included.

Line Item	Description and notes	Unit of measure	Estimated number of units for project period	Cost per unit	Total cost
Mileage		miles		\$ /mi*	\$
Registration				\$ /	\$
Travel	(Airline, train, etc.)			\$ /	\$
Lodging	(Can be sub-item under travel)			\$ /	\$
Meals	(Can be sub-item under travel)			\$ /	\$
				\$ /	\$
				\$ /	\$

\* A maximum rate is set by MDNR each year.



**MID-MISSOURI SOLID WASTE MANAGEMENT DISTRICT  
FINAL Application Budget Document**

<b>Budget Category</b>	<b>Grant Provided</b>	<b>Match Provided*</b>	<b>Total Cost</b>
<b>Personnel</b>			
<b>Professional Services</b>			
<b>Equipment</b>			
<b>Supplies</b>			
<b>Travel</b>			
<b>Other (describe)</b>			
<b>Total</b>			

\*Match can be in the form of "hard" match or "in-kind" match. Please include an explanation of these costs in your narrative, including any changes from the Preliminary Application Budget. **You must include quotations for any grant-funded individual items over \$3,000.00.** 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.

# Attachment 3

## Diversion Projection Worksheet

All projects that are designed to divert waste from landfills directly should complete this form. Yard waste, scrap tires, and other items banned from landfills that will be recycled during this project should be counted as diversion.

## Projected Diversion Worksheet

See next page for instructions. Add additional sheets if necessary. Adjust column width, height or number or rows as needed.

<b>A. Material diverted or recycled</b> (include materials collected or processed as well as items made from recovered products utilized in the process)	Calculation of diversion				<b>F. Method for measuring diversion</b>	<b>G. MMSWMD projected diversion</b>	<b>H. Material group</b>	<b>I. \$/ton</b>
	<b>Tons per unit time</b>  <b>B.</b>	<b>Unit of time</b> (day, week, month or quarter)  <b>C.</b>	<b>Units of active diversion per year</b>  <b>D.</b>	<b>Total projected diversion</b>  <b>B x D = E</b>				
								<b>Grey area to be completed by MMSWMD</b>
<b>Total projected diversion during project period</b>				<b>X.</b>				
<b>Total diversion for three years following grant period</b> <small>(only complete for equipment grants)</small>				<b>Y.</b>				

**Column A.** – Enter the material you will be diverting. See the list on page 8 of the District Grant Application and Guidance Document for a prompt. Use those names for materials unless your material is clearly different.

**Column B.** – Enter the tons of material that you predict that you will be able to collect in a typical day, week, month or quarter.

**Column C.** – Enter the unit of time that you are using, (e.g. day week, month, quarter,).

**Column D.** – Enter the number of days, weeks, months or quarters that your grant will actively divert waste per year.

**Column E.** – Calculate the diversion for each material and then sum these tons below in box “**X.**” If this grant is for equipment, box “**Y.**” should also be filled out.

**Column F.** – List the method for measuring and evaluating the material diversion rate. Choose from SR = Scale receipts of material processed; OTME – one time accurate measure by scale and then estimate based on volume for additional materials; VE = volume based estimates (typically the % of the container that is full multiplied by the volume to weight conversion, without an empirical scale weight; OTHER = other method described in the evaluation section of the application.

**Column G.** – Based on the clarity of the application, MMSWMD may elect to project a different diversion number, but both numbers will be presented to the Advisory Committee during the scoring process. This number will be used to calculate \$/ton.

**Column H.** – MMSWMD will assess which of the four materials categories apply to each material recycled.

**Column I.** – For determining if there is sufficient diversion for being eligible for the full eight points, (which is then multiplied by a weight factor of ten) the materials will be prorated by weight diverted of the total projected diversion. E.g. if the applicant proposes diverting 100 tons of OCC and three tons of # plastic the cost per ton of diversion will need to be lower than  $[(100/103) \times \$50] + [(3/103) \times \$250] = \$55.82/\text{ton}$ .

**The following are the guidelines for grading Cost/Benefit Ratio of Criterion #2 of the Grant Scoring Criteria:**

A maximum of 4 points can be awarded for a projected cost of more than the following amounts:

Grant amount / projected diversion must be greater than:

- ◇ \$10/ton for yard waste projects,
- ◇ \$50/ton for standard fibers (OCC, newsprint, #8 paper, magazines or sorted white office paper, steel or aluminum)
- ◇ \$250/ton for #1 or #2 plastics, glass or tires,
- ◇ \$500/ton for HHW, other plastics, e-waste or other low market value products.

The Advisory Committee will consider this as the primary cost/benefit tool. However there are additional sub-criteria within criterion #2 that may keep the score below the full 8 points even if it exceeds the threshold ratio for four points. Alternately, the Committee may find extenuating circumstances that cause them to give the full eight points if the application predicts a lower ratio.

# Attachment 4

## Sample Matching Funds Affidavit

This document can be submitted with the grant as the best way to show the applicant is willing and able to provide the necessary matching funds.

**FY 2012 DISTRICT GRANTS  
CERTIFICATION OF MATCHING FUNDS**

The applicant, \_\_\_\_\_, hereby certifies that \$\_\_\_\_\_ in the form of cash or other eligible matching funds is hereby obligated\* 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.

\_\_\_\_\_  
Name of Authorized Official (type or print)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

\* 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.

Subscribed and sworn to before me on this \_\_\_\_\_ day of \_\_\_\_\_, 201\_\_\_\_\_.

I am commissioned as a notary public within the county of \_\_\_\_\_, State of Missouri,  
and my commission expires: \_\_\_\_\_

(Signed and Sealed)

\_\_\_\_\_  
Notary Public

# Attachment 5

## Project Evaluation Criteria

The criteria and decision matrix on the following pages will be used by the Advisory Committee to determine which projects warrant funding.

## 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:

- Cost/Benefit Ratio: 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: An affidavit or resolution stating the match money is available is preferred. Please see Attachment 4. A letter of credit is also acceptable.

**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:** For FY2011 this bonus is available to projects that improve waste management processing or production of a marketable final product from products banned from landfills in Missouri by law or household hazardous waste. Applicants will be required to agree to serve at least three jurisdictions that are members of MMSWMD during the project period to receive all funds awarded.
- **Priority 2 – up to 25 pts. District Wide Projects:** A project that has been developed to serve the district, with input from the MMSWMD Executive Board.
- **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 that if successful would provide basic recycling service to an area that currently does not have that service, especially in Cooper, Moniteau, Howard or Osage counties (includes communities that are outside metropolitan areas that have no recycling services).
- **Priority 5 - up to 15 pts. School Recycling Enhancement:** A project that has been developed to increase diversion from an educational institution.

Please refer to the FY2012 District Grant Application and Guidance Document for further information.

# MMSWD Grant Evaluation Decision Matrix

Criteria		Project Effectiveness and Technical Feasibility	Project Efficiency or Cost/Benefit (1 year)	Community Benefit	Organizational Capability	Long-Term Benefit	Targeted Waste Stream/ Bonus Points	Total Score
Criterion Score	8	Proven technology, good plan, very high probability of success	Very efficient. Low cost per ton for the item diverted. Funds are necessary to the project.	Great benefit to the community. Jobs created. Not redundant.	Proven capability that has been demonstrated to district	Very likely to result in long term benefits, sustainable program	Special Targets (District-wide) Yard Waste/ White Goods (40pts)	
	4						District-wide Projects (25 pts)	
	2						Identified Need by Community (20 pts)	
	0	Low probability of success, high risk	Inefficient. High cost per ton. OR Likely to proceed w/o grant funds.	Little overall benefit to the community	Not capable of conducting project. OR Prior misuse of funds.	No potential for long-term benefits	Benefits Educational Institution (15 pts)	
	<b>Criterion Weight Factor</b>	<b>8 x Criterion Score</b>	<b>10 x Criterion Score</b>	<b>10 x Criterion Score</b>	<b>8 x Criterion Score</b>	<b>5 x Criterion Score</b>	<b>added to matrix score</b>	
Project Number	Project Title	0	0	0	0	0	0	
		0	0	0	0	0	0	
2		0	0	0	0	0	0	
3		0	0	0	0	0	0	
4		0	0	0	0	0	0	
5		0	0	0	0	0	0	
6		0	0	0	0	0	0	
7		0	0	0	0	0	0	

Small grant applications will be evaluated at the next Advisory Committee Meeting, but the application must receive at least 200 points to receive funding

# Attachment 6

## Sample Financial Assistance Agreement

This blank agreement has been provided for your information. Applicants should read through this agreement prior to making application for grant funds. This agreement should *not* be submitted with your application.



# MID-MISSOURI SOLID WASTE MANAGEMENT DISTRICT

## Financial Assistance Agreement

Under authority of RSMo and subject to pertinent legislation, regulations and policies applicable to RSMo 260.330 and RSMo 260.335

1. Grant Number:

2. Budget Period:

3. Type of Assistance:

New Award

Amendment      Date:

4. Project Period:

Completion Date: **Eighteen months** from start date on page 1. of *Financial Assistance – General Terms and Conditions*.

5. Sub-grantee (Name, Address & Phone No.):

6. Sub-grantee Project Manager:

7. Project Title and Description:

8. Project Funding:	Amount	Percent
MMSWMD Award		
Sub-grantee Match		
Amended Award		
Amended Sub-grantee Match		
Total Project Cost		

\*15% of the grant award will be held until project completion, any required lien(s) is (are) recorded, and Executive Board approval of the final report and final accounting of project expenditures.

9. Amendment Explanation:

10. The Sub-grantee agrees that it will administer this agreement in accordance with:

- a) All applicable federal, state and local laws and regulations, including the Missouri Department of Natural Resources *General Terms and Conditions*, and *Special Terms and Conditions*;
- b) Applicable MMSWMD grant program guidelines;
- c) Sub-grantee final grant application;
- d) Scope of Work; Budget Agreement; General Terms and Conditions; Invoice for Payment

11. The assistance as described herein is hereby offered and accepted effective upon signature of authorized officials:

**MID-MISSOURI SOLID WASTE MANAGEMENT DISTRICT  
Executive Board**

\_\_\_\_\_  
M. L. Cauthon III, Chairman      Date

\_\_\_\_\_  
John C. Miller, Treasurer      Date

**Grant Sub-grantee**

\_\_\_\_\_  
Name

Title

Date

\_\_\_\_\_  
Name

Title

Date

**MID-MISSOURI SOLID WASTE MANAGEMENT DISTRICT**  
**Financial Assistance - Scope of Work Agreement**

Grant Sub-grantee:

Project Description:

**Diversion Goal:**  
**Jobs Created (if applicable):**

Project Period:

Project to include the following tasks:

Project will follow attached timeline to the extent possible.

Reporting Requirements - Performance reports shall be submitted at least quarterly throughout the life of the project. A final report is to be completed and submitted to the MMSWMD 21 days after project completion. Performance reports shall include the status of the project, any problems, the project's progress and projected completion date. Reports are due: 3, 6, 9, and 12 months from start date.

The final report is due no later than 21 days from project completion.

As the Grant Sub-grantee, by signing the Financial Assistance Agreement I do hereby certify that the scope of work will be accomplished within the project time period as above stated.

**ATTACHMENT A**

**MID-MISSOURI SOLID WASTE MANAGEMENT DISTRICT  
Financial Assistance - Budget Agreement (Attachment B)**

Budget Category	Grant		Match		Total Cost
	Provided	As Amended	Provided	As Amended	
<b>Personnel</b>					
<b>Professional Services</b>					
<b>Equipment</b>					
<b>Supplies</b>					
<b>Travel</b>					
<b>Other (describe)</b>					

All budget items shall remain as included. If there are any variations, I, as the award sub-grantee, shall notify the Mid-Missouri Solid Waste Management District prior to changes. Upon my signature of the Financial Assistance Agreement this Budget Agreement is made a part of the Agreement.

**MID-MISSOURI SOLID WASTE MANAGEMENT DISTRICT**  
**Financial Assistance - General Terms and Conditions**  
**Attachment C**

**(Language for General Terms and Conditions changed to match the District Grant Order of Rulemaking,  
Effective date of October 30, 2007.)**

**THIS AGREEMENT for financial assistance is made and entered into on the \_\_\_\_\_ day of \_\_\_\_\_, 201\_ by and between Mid-Missouri Solid Waste Management District, P.O. Box 6015, Columbia, MO 65205-6015, hereinafter "MMSWMD," and \_\_\_\_\_, hereinafter, "Sub-grantee."**

IN CONSIDERATION for the extension of a financial assistance grant from funds made available by the State of Missouri, through the Department of Natural Resources, the MMSWMD and the Sub-grantee agree as follows:

**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*). 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 three (3) 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 three (3) 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 three 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-GRANTEE 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.

**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 MANAGEMENT.** 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 MMSWMD monies during the term of the grant and for 3 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 three 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, 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 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 similarity 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.

Security Interest in Equipment. The Sub-grantee hereby grants to the district, its successors and assigns a security interest in all equipment purchased by the Sub-grantee for \$5,000 or more, in whole or in part, with SWMF monies. The Sub-grantee hereby agrees to apply the funding provided for equipment to the purchase of the equipment specified in the FAA as negotiated with MMSWMD. The security interest in equipment owned by the Sub-grantee shall be equivalent to the amount of funding provided by the district for the purchase of the equipment. Unless MMSWMD notifies the Sub-grantee in writing of a material breach of the FAA or any other documents incorporated herewith, the security interest of MMSWMD shall decrease at a rate of 25% per year, beginning on the start date of the project period as forth in the FAA between MMSWMD and the Sub-grantee. Sub-grantee hereby covenants that it will not transfer, sell, or pledge the MMSWMD's security interest in the equipment as collateral for any indebtedness without first obtaining the prior written consent of the MMSWMD. When the security interest is fully depreciated, MMSWMD will, on written demand by the Sub-grantee, send the Sub-grantee a termination statement that the MMSWMD no longer claims a security interest in the financing statement (identified by file number). If the equipment owned by the Sub-grantee is purchased with SWMF monies and is required to be titled through the MDOR, the MMSWMD must be listed as a lien holder on said title. The Sub-grantee must provide the MMSWMD a clear title to be held until the security interest (lien) has been fully depreciated. In the case of more than one lien holder, the Sub-grantee must provide the MMSWMD with documentation that the MMSWMD is listed as a lien holder on the title. If the equipment owned by the Sub-grantee is purchased with SWMF monies and is not required to be titled through the MDOR, the Sub-grantee must provide the MMSWMD with documentation that the MMSWMD is listed as a lien holder either on the certificate of title or UCC-1 form, whichever applies. It is the responsibility of the Sub-grantee to obtain the proper forms and meet all requirements regarding the use of such forms. This documentation must be obtained within 30 days of purchase.

Proper Disposal of Equipment When No Longer Needed. Items of equipment with a current per-unit fair market value of less than \$5,000 may be retained, sold or otherwise disposed of with no further obligation to the SWMP or MMSWMD. For items of equipment with a current per unit fair market value of \$5,000 or more: When the equipment is owned by a Sub-grantee, MMSWMD shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by MMSWMD's remaining interest in the equipment as established in this agreement. When appropriate disposition actions are not taken by the equipment owners: for MMSWMD owned equipment, the SWMP may direct the district on how to dispose of the equipment; and for Sub-grantee owned equipment, MMSWMD may direct the Sub-grantee on how to dispose of the equipment. If the equipment owner is put on notice by either the SWMP or the district that grant assets are not being used for the intended purpose, then; for Sub-grantee owned equipment, the Sub-grantee shall not sell, give away, move, relocate, abandon or dispose of the asset without the MMSWMD's prior written approval.



**11. BUILDINGS OR SITE IMPROVEMENTS.** Building or site improvements is defined as including any structures or appurtenances of a permanent nature related to real estate, excluding movable machinery and equipment. The Sub-grantee agrees that any buildings or site improvements purchased pursuant to this agreement shall be used for the performance of services under the FAA during the term of the FAA. Notwithstanding anything to the contrary contained in this agreement, the buildings or site improvements shall not be removed from the State of Missouri without the written approval of the MMSWMD.

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 3 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 three 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 interest of the MMSWMD may decrease at a rate of 25% per annum, beginning on the start date of the project period 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 Sub-grantee owned buildings or site improvements, the MMSWMD may direct the Sub-grantee 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, 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, 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-GRANTEES 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 22 Final June 30, 2009 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 section 285.525, RSMo definition of a “business entity” included in Attachment C below and available on the Internet at <http://www.moga.mo.gov/statutes/C200-299/2850000525.HTM> , 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 grantee, sub-grantee, contractor or subcontractor shall complete applicable portions of Attachment C, Business Entity Certification, Enrollment Documentation, and Affidavit of Work Authorization. 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.



## Attachment C

### BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION, AND AFFIDAVIT OF WORK AUTHORIZATION

#### BUSINESS ENTITY CERTIFICATION:

The grantee, subgrantee, contractor, or subcontractor must certify their current business status by completing either Box A or Box B on this Attachment C.

**Business entity**, as defined in section 285.525, RSMo pertaining to section 285.530, RSMo is any person or group of persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood. The term “**business entity**” shall include but not be limited to self-employed individuals, partnerships, corporations, grantees, subgrantees, contractors, and subcontractors. The term “**business entity**” shall include any business entity that possesses a business permit, license, or tax certificate issued by the state, any business entity that is exempt by law from obtaining such a business permit, and any business entity that is operating unlawfully without such a business permit. The term “**business entity**” shall not include a self-employed individual with no employees or entities utilizing the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

Note: Regarding governmental entities, business entity includes Missouri schools, Missouri universities, out of state agencies, out of state schools, out of state universities, and political subdivisions. A business entity does not include Missouri state agencies and federal government entities.



**EXHIBIT C**  
(Continued)

**BOX A – CURRENTLY NOT A BUSINESS ENTITY**

I certify that \_\_\_\_\_ (Company/Individual Name) **DOES NOT CURRENTLY MEET** the definition of a business entity, as defined in section 285.525, RSMo pertaining to section 285.530, RSMo as stated above, because: (check the applicable business status that applies below)

- I am a self-employed individual with no employees; **OR**
- The company that I represent utilizes the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

I certify that I am not an alien unlawfully present in the United States and if \_\_\_\_\_ (Company/Individual Name) is awarded a grant, subgrant, contract, or subcontract for the services requested herein under \_\_\_\_\_ (Bid/Grant/Subgrant/Contract/Subcontract Number) and if the business status changes during the life of the grant, subgrant, contract or subcontract to become a business entity as defined in section 285.525, RSMo pertaining to section 285.530, RSMo then, prior to the performance of any services as a business entity, \_\_\_\_\_ (Company/Individual Name) agrees to complete Box B, comply with the requirements stated in Box B and provide the Solid Waste Management Program with all documentation required in Box B of this exhibit.

\_\_\_\_\_  
Authorized Representative's Name  
(Please Print)

\_\_\_\_\_  
Authorized Representative's Signature

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
Date



**EXHIBIT C**  
(Continued)

**BOX B – CURRENT BUSINESS ENTITY STATUS**

I certify that \_\_\_\_\_ (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo pertaining to section 285.530, RSMo as stated above.

\_\_\_\_\_  
Authorized Business Entity  
Representative's Name  
(Please Print)

\_\_\_\_\_  
Authorized Business Entity  
Representative's Signature

\_\_\_\_\_  
Business Entity Name

\_\_\_\_\_  
Date

As a business entity, the grantee, subgrantee, contractor, or subcontractor must perform/provide the following. The grantee, subgrantee, contractor, or subcontractor shall check each to verify completion/submission:

- Enroll and participate in the E-Verify federal work authorization program (Website: [http://www.dhs.gov/xprevprot/programs/gc\\_1185221678150.shtm](http://www.dhs.gov/xprevprot/programs/gc_1185221678150.shtm); Phone: 888-464-4218; Email: [e-verify@dhs.gov](mailto:e-verify@dhs.gov)) with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required herein; AND
- Provide documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include a page from the E-Verify Memorandum of Understanding (MOU) listing the grantee's, subgrantee's, contractor's, or subcontractor's name and the MOU signature page completed and signed, at minimum, by the grantee, subgrantee, contractor or subcontractor and the Department of Homeland Security – Verification Division; (if the signature page of the MOU lists the grantee's, subgrantee's, contractor's or subcontractor's name, then no additional pages of the MOU must be submitted); AND
- Submit a completed, notarized Affidavit of Work Authorization provided on the next page of this Exhibit.



**EXHIBIT C**  
(Continued)

**AFFIDAVIT OF WORK AUTHORIZATION:**

The grantee, subgrantee, contractor or subcontractor who meets the section 285.525, RSMo definition of a business entity must complete and return the following Affidavit of Work Authorization.

Comes now \_\_\_\_\_ (Name of Business Entity Authorized Representative) as \_\_\_\_\_ (Position/Title) first being duly sworn on my oath, affirm \_\_\_\_\_ (Business Entity Name) is enrolled and will continue to participate in the E-Verify federal work authorization program with respect to employees hired after enrollment in the program who are proposed to work in connection with the services related to \_\_\_\_\_ (Bid/Grant/Subgrant/Contract/Subcontract) for the duration of the grant, subgrant, contractor, or subcontract, if awarded in accordance with subsection 2 of section 285.530, RSMo. I also affirm that \_\_\_\_\_ (Business Entity Name) does not and will not knowingly employ a person who is an unauthorized alien in connection with the contracted services related to \_\_\_\_\_ (Bid/Grant/Subgrant/Contract/Subcontract) for the duration of the grant, subgrant, contract, or subcontract, if awarded.

*In Affirmation thereof, the facts stated above are true and correct. (The undersigned understands that false statements made in this filing are subject to the penalties provided under section 575.040, RSMo.)*

\_\_\_\_\_  
Authorized Representative's Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

Subscribed and sworn to before me this \_\_\_\_\_ of \_\_\_\_\_. I am  
(DAY) (MONTH, YEAR)  
commissioned as a notary public within the County of \_\_\_\_\_, State of  
(NAME OF COUNTY)  
\_\_\_\_\_, and my commission expires on \_\_\_\_\_.  
(NAME OF STATE) (DATE)

\_\_\_\_\_  
Signature of Notary

\_\_\_\_\_  
Date

**Additional terms and conditions may be added, particularly for grants that receive bonus points for priority #1.**

*The General Terms and Conditions are offered and accepted effective upon signature of the Financial Assistance Agreement.*

**MID-MISSOURI SOLID WASTE MANAGEMENT DISTRICT**  
**Financial Assistance Award - Invoice for Payment**

Sub-grantee:

Grant Number:

Date of Request:

Requested Reimbursement

1. Payee	2. Budget Category	3. Grant Funds Requested	4. Match Funds Provided	5. Total (sum of 3 + 4)
Total				

The Sub-grantee will be reimbursed for all allowable expenses and/or expenditures incurred or created in completion of the approved grant project. 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 and providing proof of all expenditures, such as invoices and canceled checks. This request must identify the Sub-grantee's share of matching funds and must provide proof of the Sub-grantee's payment of such matching funds before grant funds may be advanced. \* **Indicates payee qualifies as MBE/WBE as per Sec. 11 of the Financial Assistance Agreement.**

**Grant Sub-grantee(s)**

I certify that to the best of my knowledge and belief the data above are correct and that all outlays were made or will be made in accordance with the sub-grant and that payment is due and has not been previously requested.

Name	Title	Name	Title
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1. Company paid for goods and services.
2. Budget category for that purchase as listed in the Financial Assistance Agreement (FAA).
3. Documented grant funds requested, in accordance with the FAA.
4. Documented matching funds requested, in accordance with the FAA.

## 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 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:

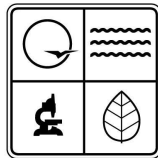
The Mid-Missouri Solid Waste Management District logo includes the full name of the district plus the “map” logo as seen below. The name should be placed adjacent to the “map” logo or beneath it as seen below:  
Logo:



*Mid-Missouri Solid Waste  
Management District*



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.



Missouri Department  
of Natural Resources

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.”