



# Investment and Innovation Grants

Program grant proposal handbook  
2019-2020

[oregonmetro.gov/grants](https://oregonmetro.gov/grants)



If you picnic at Blue Lake or take your kids to the Oregon Zoo, enjoy symphonies at the Schnitz or auto shows at the convention center, put out your trash or drive your car – we’ve already crossed paths.

**So, hello. We’re Metro – nice to meet you.**

In a metropolitan area as big as Portland, we can do a lot of things better together. Join us to help the region prepare for a happy, healthy future.

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**Metro Councilors**

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For ZoomGrants help, contact the Help Desk at

[Questions@ZoomGrants.com](mailto:Questions@ZoomGrants.com)



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## INVESTMENT AND INNOVATION PROGRAM GRANTS

Metro is committed to working with the residents and businesses of the region to manage and reduce the health and environmental impacts associated with the goods we all consume. These efforts include “upstream” work to reduce impacts in the manufacturing and use of goods, and “downstream” efforts focused on reductions in both the amount and toxicity of waste. Metro Investment and Innovation grants aim to do this by stimulating investment by private businesses and nonprofit organizations to create, expand, preserve and broaden efforts to reduce impacts throughout a product’s life cycle, including advancing waste prevention, reuse, recycling, composting, and energy recovery in the Metro region. The grants also seek to foster economic opportunities or otherwise generate positive benefits for people who have historically been left out of the garbage and recycling system—particularly communities of color.

### INVESTMENT AND INNOVATION OBJECTIVES

- Reduce environmental impacts throughout the product life cycle
- Strengthen the region’s system for processing and recovering recyclable materials, with an emphasis on those materials for which there is the greatest environmental benefit from recycling or energy recovery
- Strengthen the region’s efforts to reduce the amount and toxicity of waste
- Strengthen the region’s reuse services and infrastructure
- Strengthen the region’s composting infrastructure
- Strengthen the region’s energy recovery infrastructure for materials that cannot be recycled
- Encourage innovation and advance new technology in waste prevention, reuse, recycling, composting and energy recovery
- Encourage new participants in the region’s waste prevention, reuse, recycling, and energy recovery system who are from communities of color or other historically underrepresented groups.

Metro anticipates up to \$6 million will be available for the 2019-2020 Investment and Innovation grant cycle. Council may elect to budget additional funding to the program, with a final determination on funding levels to be made in late June as part of Metro’s annual budget process. Investment and Innovation **program grants**, which are awarded in amounts between \$25,000 and \$75,000, can be for a project, or a new program or expansion of an existing program. Funding can be used for grant-related investments in personnel/labor, contracted professional services, equipment, and/or materials and supplies.

*(Capital grants are solicited through a different process; see the Investment and Innovation Capital Grants Handbook at [oregonmetro.gov/investmentandinnovation](https://oregonmetro.gov/investmentandinnovation) for instructions for*

*applying for a grant between \$50,000 and \$750,000 for large equipment or construction of facility infrastructure.)*

## **Application Timeline**

There are no deadlines for submitting a proposal for a program grant. Complete proposals will be processed in batches in the order they are received, with awards announced approximately every three months until the available funding is committed. Metro will review up to 15 proposals per batch. See page 7 for more information on the grant proposal review process.

June 3, 2019	Application available in ZoomGrants
June 13, 2019	Informational workshops ( <i>optional</i> )
June 30, 2019	Metro will begin reviewing the first batch of complete proposals, with award decisions anticipated in August 2019
September 11, 2019	5:30pm, Informational workshop for Program Grants ( <i>optional</i> ) Metro Regional Center, 600 NE Grand Ave, Room 370
September 13, 2019	8:30am, Informational workshop for Program Grants ( <i>optional</i> ) Metro Regional Center, 600 NE Grand Ave, Room 370
October 11, 2019	Metro will review the second batch of complete proposals, with award decisions anticipated in January 2020
December 2019	<i>If funds available:</i> Metro will determine if there will be a third batch of program grants solicited

## **INVESTMENT AND INNOVATION PURPOSE**

Metro works with local governments and other partners to minimize the environmental and human health impacts of the products consumed in the Metro region, from production to use to end-of-life management. Metro Investment and Innovation grants are intended to build lasting, private-sector and nonprofit-sector capacity and resiliency in the greater Portland area to reduce impacts across the product life cycle, and prevent waste from being discarded in landfills.

Investment and Innovation grants will advance Metro's progress toward achieving its 2030 Regional Waste Plan goals, as well as its diversity, equity and inclusion goals. Please see Appendix A for a glossary of DEI-related terms.

## 2030 Regional Waste Plan

The Regional Waste Plan is the blueprint for how Metro, local governments and others involved in managing greater Portland's garbage and recycling system will focus efforts and resources over the next twelve years. The plan emphasizes reducing harmful health and environmental impacts throughout the "life cycle" of products, from production, to use, to the way we manage discarded materials.

The plan can be found at [oregonmetro.gov/regional-waste-plan](https://oregonmetro.gov/regional-waste-plan).

### 2030 RWP GOALS

- Healthy products
- Education and information
- Reduce, reuse and repair
- Quality service
- Garbage and recycling operations (safety and sustainability)
- Good jobs
- Economic prosperity
- Preparedness and resilience

## Diversity, Equity and Inclusion goals

Metro is committed to ensuring that all people in the region have the opportunity to thrive in all aspects of social well-being, regardless of their background or zip code. This is both the purpose of good government and an economic necessity: to effectively serve all people. In order to achieve this goal, Metro has identified racial equity as its strategic direction and has developed a Strategic Plan to Advance Racial Equity, Diversity and Inclusion to be the blueprint for its implementation. The strategic plan is built around five long term goals, as set forth in the sidebar to the right.

Investment and Innovation grants are designed to advance progress towards goals D and E, in particular. The strategic plan is posted to the Investment and Innovation program website, available at

[oregonmetro.gov/investmentandinnovation](https://oregonmetro.gov/investmentandinnovation)

### EQUITY STRATEGY GOALS

- *Goal A:* Metro convenes and supports regional partners to advance racial equity
- *Goal B:* Metro meaningfully engages communities of color
- *Goal C:* Metro hires, trains and promotes a racially diverse workforce
- *Goal D:* Metro creates safe and welcoming services, programs and destinations
- *Goal E:* Metro's resource allocation advances racial equity

## MINIMUM QUALIFICATIONS

### Applicants and projects

- Applicants must be a private for-profit company or a not-for-profit organization with a 501(c) tax status. Unincorporated organizations need a fiscal sponsor (a state certified, federally approved 501(c) nonprofit with a federal tax ID number).
- All projects must show demonstrable, quantifiable outcomes tied to the Investment and Innovation grant program purpose and objectives.

- Partnerships are strongly encouraged that strengthen the project’s likelihood of success, particularly for equity outcomes.
- To be competitive for Investment and Innovation funding, projects must have an impact beyond the proposer’s own operations. As examples, these impacts could be from providing services to the residents and businesses of the region, providing a replicable model that may be utilized by other companies and organizations, or providing economic or other benefits for communities of color or other historically underrepresented groups.
- Applicants may apply for funding for one or more projects in response to each solicitation of proposals, but must submit a separate proposal for each individual project. Proposers wishing to submit an application for both **capital and program grants** must submit separate applications through the separate processes; see the *Investment and Innovation Capital Grant Handbook for instructions for submitting capital grants*, available at [oregonmetro.gov/investmentandinnovation](http://oregonmetro.gov/investmentandinnovation)
- Projects must be completed within 12 months from the date the grant agreement is fully signed, or, if a need is sufficiently demonstrated and Metro approves a longer grant term, up to 18 months.
- A complete proposal is required for Metro to consider a grant award, using the form described in this handbook and submitted through ZoomGrants (see instructions on page 8).
- An applicant must be in compliance with local, state, and federal requirements applicable to its operations.

### Eligible costs for grant reimbursement

- Investment and Innovation grant funds may be used for the following costs that are *directly* tied to the project described in your proposal:
  - Personnel: Organization’s or business’s staff salary costs directly attributable to designing, implementing and/or evaluating the project. These costs may include fringe benefits such as health insurance, retirement funds, FICA, etc.
  - Professional (consultant) services: Services hired for the purpose of the project
  - Equipment
  - Materials and supplies
  - Indirect or overhead: These costs are reimbursable up to 10 percent of the total grant award.<sup>1</sup>

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<sup>1</sup> Eligible overhead costs include expenses incurred by the organization for indirect costs that are identifiable and benefit the project. Depending on the relationship of the cost to the project, overhead might include accounting and financial resources and systems, management, planning or support resources and systems, space and equipment. Overhead must directly relate to the successful project completion to be reimbursable by grant funds, up to 10 percent of the grant award.

## Ineligible costs for grant reimbursement

- Investment and Innovation grant funds may not be used for:
  - Costs not *directly* tied to the proposed project
  - Costs incurred outside the scope or timeframe (grant period) of the funding agreement
  - Costs related to transactions with a company that is affiliated or related to the Investment and Innovation grant recipient
  - Costs associated with preparing a grant proposal, proposal, stock or debt offering, formation of partnerships, incorporations, fundraising, or other forms of such business costs
  - Costs for which payment has been or will be received under another financial assistance program
  - The purchase of land
  - Payment of fines, penalties, arrears, judgments, or other such obligations
  - Activities that may degrade the quality of air, water and land resources
  - Costs for which the applicant cannot produce legible proof of payment documentation
  - Indirect or overhead costs above 10 percent of the grant award
  - Costs related to hard infrastructure at a facility or large equipment; apply for a capital grant for these types of costs. *Contact the Investment and Innovation grant program manager with questions; see contact information on page 10.*

## Match requirement

- Investment and Innovation program grants require a 20 percent cash or in-kind match. For example, a \$50,000 grant would require the applicant to demonstrate at least \$10,000 in its own investment. Match must be secured before grant funds will be released. Detail on match eligibility is in Appendix D.

## Clean air standards for diesel-powered vehicles and equipment

Any diesel-powered truck or equipment funded in whole or in part with Investment and Innovation grant funds must comply with the following standards:

- All diesel-powered nonroad equipment greater than 25 horsepower shall meet the U.S. EPA tier 4 off-road emissions standards
- All diesel-powered on-road vehicles/trucks must have engines that are 2007 or newer.

## Location

- Investment and Innovation grant-funded projects must take place within Metro's jurisdictional boundary ([oregonmetro.gov/jurisdictional-boundaries-maps](https://oregonmetro.gov/jurisdictional-boundaries-maps)) or significantly advance Investment and Innovation program objectives for the Metro region.

## OVERVIEW OF THE GRANT APPLICATION PROCESS

Investment and Innovation program grant awards will be made on a rolling basis this year. Metro will review complete proposals in “batches” in the order they are received. The first batch was reviewed in June 2019. The second batch will be reviewed beginning October 11, 2019. If funding is available Metro will announce in December if there will be a third cycle of funding.

### Submitting a proposal

The first step in the grant proposal process is submitting a complete proposal. Proposals must be submitted via ZoomGrants (see page 8). For reference, the proposal questions are attached as Appendix C. *The easiest way to complete your proposal is to type it out in Word, and note the character limits (spaces and punctuation are included in the character limits). Then cut-and-paste into ZoomGrants.*

### Review of your proposal and feedback from grant review team

When evaluating your proposal, the review team will apply the evaluation criteria in Appendix B. Reviewers will base their decisions on the information in your proposal, responsiveness to the Investment and Innovation purpose and objectives, and the review team’s professional and collective judgment. You will strengthen your chances of funding if you ensure your project is clearly described in the proposal so the review team can understand the need, purpose and intended benefits of your project.

During the review process, Metro staff may provide you with feedback or ask questions to strengthen your proposal. If staff requests additional information, you will have three (3) days to respond to the feedback/questions in ZoomGrants to have it be considered as part of your proposal.

### Final funding decisions

The Metro Property and Environmental Services Director will review the grant review committee’s recommendations and make a final determination on grant awards. If it so chooses, the Metro Council will have seven days after notice of the funding decisions to request a briefing or bring a funding decision for formal Council action to deny or approve the decision. After completion of the notice period to Council (and Council action, if applicable), the decisions will become final.

### Diversity, equity and inclusion enhancement

Metro may suggest enhancements to individual proposals to create or strengthen diversity, equity and inclusion aspects of the specific project or general business practices. If the proposal is successful, these enhancements may become part of the contract as a condition of the grant award. Successful applicants may be encouraged or required to attend Metro-sponsored equity trainings.

## PROPOSAL INSTRUCTIONS

### Proposal assistance

Applicants are encouraged to contact Metro staff to discuss the proposed project, grant criteria and application process. Staff is available to help you make your proposal as strong as possible. Optional information sessions will be provided to assist you with your grant proposal; this information will be announced on the website and by email. Please email [investmentandinnovation@oregonmetro.gov](mailto:investmentandinnovation@oregonmetro.gov) to be added to the email list and notified of upcoming information sessions.

### Online proposal

Metro accepts proposals only via the online system [ZoomGrants](#) at [oregonmetro.gov/grants](https://oregonmetro.gov/grants) or directly at <https://zoomgrants.com/gprop.asp?donorid=2199&limited=2310>. For your reference, please see Appendix C for the proposal questions included that applicants will submit via ZoomGrants.

Within 24 hours of your submission, Metro staff will send an email via ZoomGrants confirming the pre-proposal has been received. To ensure that you are receiving emails, please add to your “safe senders list” the email address [Notices@zoomgrants.com](mailto:Notices@zoomgrants.com). If you do not receive a confirmation, please let Suzanne Piluso, the grants coordinator, know. Her contact information is on page 10 of this handbook.

### Important notes for working in ZoomGrants

- Each answer has a character limit, which includes spaces. For example, 3,000 characters is approximately one page.
- Answers are saved automatically when you move to another text box.
- You can complete your application in Word and cut-and-paste your answers into ZoomGrants. However, please remove all text formatting before cutting and pasting into ZoomGrants (e.g. bullets, hyphens).
- An applicant may add partners or a fiscal sponsor on ZoomGrants. Only the applicant may submit the proposal.
- For additional detailed questions, use the Help button at the top of the ZoomGrants page, access their ZoomGrants University tutorials at [help.zoomgrants.com](https://help.zoomgrants.com) or contact the Help Desk at [Questions@ZoomGrants.com](mailto:Questions@ZoomGrants.com).

## CONTRACTING AND AGREEMENTS

Metro staff will work with successful applicants to enter into a grant agreement with Metro, which will outline specific responsibilities and legal obligations of each party, including insurance requirements, reporting and acknowledgements. Once the contract is signed by all parties, funds will become available. Project expenditures made prior to the contract start date are not eligible for reimbursement. Please visit the Investment and Innovation program grants document library in [ZoomGrants](#) for the program grant agreement template. You may also email [investmentandinnovation@oregonmetro.gov](mailto:investmentandinnovation@oregonmetro.gov) to request a copy of the template.

### Payment of grant funds

Grant funds are paid on a reimbursable basis and must be spent within one year, unless otherwise agreed to by Metro. The final 10 percent of the total grant funds will be available after Metro receives and approves the final grant report.

### Evaluating project success

In the full proposal, applicants will be expected to describe, as concretely as possible, the methods they will use to evaluate the impact of their project. Grant recipients will be expected to describe the successes and challenges of their project to Metro staff every six months through the submission of a progress report and a site visit and the submission of one final report at the completion of the grant contract. Grantees will have an additional 60 days after project completion to submit the final report.

## CONFIDENTIALITY OF APPLICATION MATERIALS

Proposals, including supporting documents such as financial materials, reports and records, will be read and evaluated only by Metro staff and grant review committee members who are required to sign confidentiality agreements in advance of reviewing application materials. Application and grant materials will be maintained at Metro with restricted access, and periodically destroyed as allowed by audit policies and state law.

You may identify as confidential any reports, books, records, maps, plans, income tax returns, financial statements, contracts, and other similar written materials that are directly related to the proposal and that are submitted to or reviewed by Metro. **You must prominently mark any information that it claims confidential with the mark "CONFIDENTIAL" prior to submittal to Metro.** Metro will treat as confidential any information so marked to the extent allowed under Oregon law. Metro will make a good faith effort not to disclose the information unless Metro's refusal to disclose would be contrary to applicable Oregon law, including, without limitation, ORS Chapter 192.

## INSTRUCTIONS FOR MARKING CONFIDENTIAL INFORMATION

- To mark individual responses in ZoomGrants as confidential, type “CONFIDENTIAL” in your answers to application questions in each of the relevant text boxes containing confidential information.
- To mark documents to be uploaded in ZoomGrants as confidential, stamp, type or write “CONFIDENTIAL” on each page of the document that contains confidential information. Please DO NOT mark the first page only of a document if you intend for the whole document to be treated as confidential, so it is very clear to Metro staff what you are intending.

## CONTACT

For more information, visit [oregonmetro.gov/grants](https://oregonmetro.gov/grants), or contact

**Suzanne Piluso**, Investment and Innovation Program Manager,  
[suzanne.piluso@oregonmetro.gov](mailto:suzanne.piluso@oregonmetro.gov) or 503-797-1845

## APPENDIX A: GLOSSARY OF EQUITY-RELATED TERMS

**Source:** Metro’s strategic plan to advance racial equity, diversity and inclusion (2016)

### **Diversity:**

Diversity is the variance or difference among people. This variance includes race, ethnicity, gender, age, religion, nationality, language preference, socioeconomic status, disability, sexual orientation, gender identity and others.

### **Equity:**

Our region is stronger when all individuals and communities benefit from quality jobs, living wages, a strong economy, stable and affordable housing, safe and reliable transportation, clean air and water, a healthy environment and sustainable resources that enhance our quality of life. Our region’s population is growing and changing. Metro is committed with its programs, policies and services to create conditions which allow everyone to participate and enjoy the benefits of making this a great place today and for generations to come.

### **Inclusion:**

The degree to which diverse individuals are able to participate fully in the decision-making process within an organization or group. While a truly “inclusive” group is necessarily diverse, a “diverse” group may or may not be “inclusive.”

### **People of color and communities of color:**

For the purposes of Investment and Innovation grants, communities of color are Native Americans, African Americans, Asian Americans and Pacific Islanders, Latinos or Hispanics, and immigrants and refugees who do not speak English well, including African immigrants, Slavic and Russian speaking communities, and people from the Middle East.

### **Historically underrepresented/ marginalized communities:**

A limited term that refers to groups who have been denied access and/or suffered past institutional discrimination in the United States and, according to the Census and other federal measuring tools, includes African Americans, Asian Americans, Hispanics or Chicanos/Latinos and Native Americans. This is revealed by an imbalance in the representation of different groups in common pursuits such as education, jobs, housing, etc., resulting in marginalization for some groups and individuals and not for others, relative to the number of individuals who are members of the population involved.

Other groups in the United States have been marginalized and are currently underrepresented. These groups may include but are not limited to other ethnicities, adult learners, veterans, people with disabilities, lesbian, gay, bisexual, and transgender individuals, different religious groups and different economic backgrounds.

## APPENDIX B: 2019-2020 I&I PROGRAM GRANT EVALUATION CRITERIA

A Metro grant review team will review applications using the following evaluation criteria. Scoring is intended to help the grant review team sort and assess proposals by quality, but may not determine the final funding recommendations. Final recommendations will be made through in-person deliberations.

Criteria	Score 1—Inadequate 2—Barely adequate 3—Adequate 4—Excellent
<b>Project Description</b> <ul style="list-style-type: none"> <li>Has the proposer provided a clear and complete description of the project and what it intends to accomplish as related to the Investment and Innovation program objectives?</li> </ul>	Yes/No
<b>Waste Stream, Environmental, or Health Impacts (<i>foundational criterion; must score at least a 3</i>)</b> <ul style="list-style-type: none"> <li>Project will prevent waste, increase reuse/repair of products, increase recycling, increase composting, or increase production of energy from materials that would otherwise go to landfill.</li> <li>Project will improve environmental and human health impacts of the products manufactured, consumed, or disposed in the region.</li> </ul>	
<b>Equity Impacts</b> <ul style="list-style-type: none"> <li>Project will increase benefits or reduce negative impacts for people of color or other marginalized communities.</li> </ul>	
<b>Project Plan and Budget</b> <ul style="list-style-type: none"> <li>Proposal provides a thorough and complete description of the project work plan, and the activities seem well thought out and adequate to achieve desired outcomes.</li> <li>Project budget appears to allocate sufficient resources to project activities, and appears to be complete and reasonable, and items directly relate to the project.</li> <li></li> </ul>	
<b>Organizational Capacity and Culture</b> <ul style="list-style-type: none"> <li>Applicant organization or business appears to have the capacity (including staffing) to implement the project work plan.</li> <li>Applicant organization or business is implementing or planning activities to advance diversity and equity in its work place.</li> </ul>	
<b>Evaluation</b> <ul style="list-style-type: none"> <li>Proposal describes how progress and outcomes will be measured, including project metrics related to waste reduction, environmental, and/or human health and equity impacts. Proposal describes the milestones or interim goals that will be tracked.</li> </ul>	
<b>TOTAL SCORE</b>	

## APPENDIX C: I&I PROGRAM GRANT PROPOSAL

For your reference, please see below for the questions included in the proposal that you will submit on ZoomGrants.

### **Project Name**

**Amount Requested \$** *(between \$25,000 - \$75,000)*

**Amount of match proposed \$**

**Total project cost \$**

### **Applicant Information**

First Name

Last Name

Telephone

Email

### **Organization/Business Information**

Organization/Business Name

Address 1

Address 2

City

State/Province

Zip/Postal Code

Country

Telephone

Fax

Website

EIN (XX-XXXXXXX)

**Fiscal Agent** (if different from lead organization)

### **CEO/Executive Director**

First Name

Last Name

Title

Email

### **Additional Contacts** for this Proposal

*Additional Contacts will be copied on all emails sent to the proposal owner regarding this proposal. Enter ONLY email addresses separated by a comma. No names. No titles. No phone numbers.*

### **Document Request (uploads)**

**Required:** *Your/your fiscal sponsor's 501(c) IRS determination letter or a 501(c)(3) tax-exempt status statement, or Employer Identification Number*

## Questions (3000 characters = approx. 1 page)

Please answer the following as appropriate to your project. Indicate “not applicable” if a question does not apply to your project.

### **Project summary**

1. Provide a succinct description of the project and outcomes as related to the Investment and Innovation program objectives. (*maximum 1000 characters*)

### **Project impacts and outcomes**

2. Describe the impacts on the waste stream anticipated as the result of the project. Include specific estimates, where possible. (*maximum 2500 characters*)

*Examples include: Quantity of material collected and reused or repaired; number of people trained on repair skills or educated on prevention, reuse or composting strategies.*

3. Describe the environmental and/or human health impacts anticipated as the result of the project. Include specific estimates, where possible. (*maximum 2500 characters*)

*Examples include: Reduction in greenhouse gas emissions; reduction in diesel particulates or toxic air contaminants; creation of healthier products; increase in capacity for recovering edible food for donation.*

4. Describe how your project will increase benefits or reduce negative impacts for communities of color or other marginalized communities. Your answer may include demographic information such as race and ethnicity and socio-economic status. (*maximum 2500 characters*)

*Examples include: Addressing a historical negative impact to a community; providing employment opportunities or job training; providing community a meaningful role in project implementation and decision-making; increasing physical or financial access to waste-related services; providing benefits in a specific geographic location with concentrations of underrepresented communities.*

### **Project plan and implementation**

5. Describe the project activities and tasks that you will complete to achieve the outcomes you propose. Include a description of grant deliverables and time frames for completing them. Break key deliverables and milestones into Table 1. (*maximum 3000 characters*)

### **Organizational capacity and culture**

6. Describe how your organization or business has the capacity and experience to implement the project. Describe the parties that will be responsible for project work and oversight (including who will be responsible for managing the financial elements of the grant and evaluation activities). Include any partners that were involved in developing the project or that will be involved in implementation. (*maximum 2500 characters*)
7. Describe any efforts your organization or business is taking to advance diversity, equity and inclusion in your workplace. (*maximum 2000 characters*)

**Examples include:** Increasing diversity of organizational staff and board of directors (can include demographic information); active efforts to recruit and retain diverse workers, including providing a living wage and health benefits; workforce training and professional development for staff, which could include ongoing skill building, trainings to reduce harassment or discrimination in the work place or in customer service, bystander intervention trainings, etc.; support for employee resources groups for staff that identify as people of color, LGBTQ or other marginalized identities; accessibility audits of facilities to improve access for staff and customers with disabilities.

### **Evaluation**

8. Describe how you will measure progress and project impacts, including project metrics related to waste reduction, environmental and/or health impacts and equity. Describe any milestones or interim goals you will track. (maximum 2000 characters)

### **Miscellaneous**

9. If this is part of a larger project/program, describe the total cost and how this request fits into the overall funding strategy.

10. Has your organization or business received funding from Metro or the Oregon Department of Environmental Quality (DEQ) in the past five (5) years? If yes, please briefly describe the purpose and amount of the funding.

- Yes, please explain: \_\_\_\_\_ (maximum 255 characters)  
 No

11. (For-profit businesses only) Is your business COBID-Certified through the state of Oregon? (COBID=Certification Office for Business Inclusion and Diversity)

Check all that apply:

- Emerging Small Business (ESB)  
 Minority/Women Business Enterprise (M/WBE)  
 Service Disabled Veteran (SDV)  
 Disadvantaged Business Enterprise (DBE and ACDBE)  
 (Check here if Nonprofit applicant, does not apply)

12. Have you reviewed the Confidentiality section of the Proposal Handbook (pages 9-10) and marked your proposal accordingly, if applicable?

- Yes  
 No

**Table 1: Work Plan**

In the table below, describe the project’s major milestones—all of the significant tasks that you will need to complete to achieve the project outcomes described in your proposal. Please keep task descriptions short and concise. Include information for the entire project, and indicate which elements are related to the grant.

<b>Task number</b>	<b>Project Task</b> Describe primary project tasks, milestones and deliverables	<b>Involves proposed I&amp;I grant or match funding?</b> Grant \$/Match \$/Both	<b>Timeframe</b> month/year - month/year
1	<b>Example:</b> Develop training modules for deconstruction contractor capacity building program.	Grant \$	01/20 - 02/20

**Table 2: Matching Contributions**

In the table below, provide information on each source of match for the grant, the project activities for which the match will be used, and whether the match is secured. *See page 20 for a description of match eligibility.*

<b>Source of match</b>	<b>Match amount</b>	<b>Describe the match and how the \$ value was calculated</b>	<b>Is the match is secured and currently available?</b> (if not, when will it be?)
Cash from applicant	\$		
Loan/credit from financial institution	\$		
Donated cash	\$		
Other grants	\$		
Volunteer labor	\$		
Donated professional services	\$		

Donated materials, supplies or equipment	\$		
Donated use of space or equipment	\$		
<b>TOTAL MATCH</b>	<b>\$</b>	<b>N/A</b>	<b>N/A</b>

**Table 3: Permits, Licenses, Authorizations, Approvals or Waivers**

Provide a summary of all federal, state and local permits, licenses, authorizations, approvals, waivers and other authorizations that will be necessary to implement the project. Briefly explain each and whether they are in-hand, or, if not, the anticipated timeline for receiving them.

Permit, license, authorization, approval or waiver	Purpose	Status (obtained or anticipated)	If anticipated, timeline for submitting and receiving it

**Budget**

Your grant budget must include the grant funds requested and match contributions that will be used to complete all elements of the proposed project. It must be clear, cost-effective and consistent with your project described in the proposal. The following is intended to serve as a guide for preparing the project budget.

The budget is an Excel sheet that provides a breakdown of project costs, and how they would be covered by I&I grant funds or matching funds (screenshot below). A detailed **budget narrative** is essential for grant reviewers to analyze whether the budget supports the proposed project and is reasonable. Please ensure that each budget line item is fully detailed in the budget narrative. This includes listing a breakdown of the costs and how they were calculated.

**Section 1: What is the total budget for the project or program (which may be more than the requested grant + match)?** \$ -

**Section 2: I&I Grant budget**

PROGRAM OR PROJECT EXPENSES	GRANT PERIOD ONLY			Total Grant Budget
	I&I Grant Funds	Match (in-kind)	Match (cash)	
Labor/personnel				\$ -
Contracted professional services				\$ -
Materials and supplies				\$ -
Equipment				\$ -
Overhead (up to 10% of grant)				\$ -
Other (specify)				\$ -
Other (specify)				\$ -
<b>TOTAL GRANT AND MATCH EXPENSES</b>	\$ -	\$ -	\$ -	\$ -

**Section 3: Grant budget narrative** Include enough detail so grant reviewers understand how the costs in your budget were calculated and how they relate to the project. Use more space or attach another form as needed.

Labor and personnel: List the number of people directly charging labor to the project, the rates they will be paid, and the project-related work they will do.

Contracted professional services: Describe the name of the individual and/or company that will do the work, rate they will be paid, and estimated number of hours (or full contract price), and any other relevant information to provide a clear understanding of this budget item.

Materials and supplies: List items, quantities and prices.

Equipment: List items, quantities, and prices.

Overhead: May be up to 10% of the grant award.

Other: Describe any other grant or match-related costs reflected in the budget that are not otherwise described in the budget narrative. Include enough detail that the reviewers understand the specific costs in this category and how they were determined.

## Documents

### **Mandatory:**

- Applicant or fiscal sponsor's 501(c) IRS determination letter or tax-exempt status statement**, if applicable.
- Applicant Employer Identification Number (EIN)**, if applicable.
- For individual equipment purchases of \$5,000 or more each, **vendor bid specifications and official quotes**.
- Most recent set of **financial statements** for full year (calendar or fiscal year), or less than a year if the business or organization has not been in operation for a full year. Must include balance sheet, income (profit and loss) statement and cash flow statement (with notes, if applicable).

### **Optional:**

*The following materials are optional and you may submit them if you feel it provides important context for the grant request.*

- Additional material** such as photos, diagrams and relevant supporting documents that help to describe or illustrate the project. No more than 10 pages.
- Letters of support (3 pages maximum)**. Letters will be accepted only from the community that will be impacted by the project. Examples include local jurisdictions, project partner, community-based organizations or neighborhood associations.
- Your business or organization's overall **budget**.

## APPENDIX D: MATCH FOR INVESTMENT & INNOVATION PROGRAM GRANTS

Metro Investment and Innovation grants have a match requirement, which ensures that grant recipients share in the costs of grant-funded projects and thus leverage the public dollars. This document provides guidance to applicants and grant recipients on the required amount of match, eligible and ineligible sources of match, and how to document the matching contributions.

### I. Match Requirement

Investment and Innovation Program Grants require that grantees contribute a minimum of 20 percent of the grant amount in match. For example, a \$10,000 grant would require the applicant to contribute at least \$2,000 in value to the project. This match may be cash or in-kind contributions, or a combination of both.

### II. General Match Eligibility

The following guidelines outline the requirements for project contributions to be eligible as match for an Investment and Innovation grant, and apply to both cash and in-kind sources.

1. The contributions must be related to, necessary and reasonable for the accomplishment of the Investment and Innovation grant-funded project or program.
2. The match must be identified at the time of proposal submission, and cash contributions must be secured. “Secured” means the sources are fully committed, though they may not be in-hand due to the need to finalize paperwork. Acknowledgement by an outside funding source that an applicant has initiated or submitted a loan application or grant application does not indicate secured funds, and therefore will not be considered match to an Investment and Innovation grant.
3. The matching funds must be spent (in the case of cash) or donations to the project made (in the case of in-kind contributions) during the grant period. The “grant period” means after the grant agreement is fully executed, and before the grant termination date. In special circumstances Metro may grant a limited exception to this requirement and approve match spent beginning at the date the Property and Environmental Services director makes the final Investment and Innovation award determination but before the grant contract is executed, on a case-by-case basis.
4. Match expenditures must be reported along with requests for reimbursement of Investment and Innovation grant funds (forms and guidance will be included in the grant agreement). Match expenditures must be in the required 20 percent match ratio. For example, if a grantee requests reimbursement of \$50,000 of Investment and Innovation funds, the grantee must demonstrate that \$10,000 of matching funds was also spent on the project.
5. Match must be documented as outlined below and verifiable from the grant recipient’s records. Those records must be maintained by the applicant records and made available for review by Metro upon request.

### **III. Eligible Cash Match**

Cash match may be in the form of dollar contributions to the project from individuals, businesses, organizations, other grants (as long as they have been awarded and available to the grantee) or loans from financial institutions.

Acceptable expenditures of match for project-related expenses include:

1. Labor costs (excluding overhead)
2. Contracted services
3. Materials and supplies
4. Equipment

Documentation of these match expenditures will be submitted to Metro in progress reports and with invoices for grant funds.

### **IV. Eligible In-Kind Match**

In-kind contributions (i.e., third party contributions) to the project may qualify as match. The contributions must be reasonable and not excessively valued, and records must be maintained to support how the value of the in-kind contribution was determined.

Acceptable forms of in-kind match for project-related activities include:

- Donated professional services
  - Professionals may donate unpaid services for project-related work. Examples could include donated legal, accounting, graphic design, or catering services.
  - These services should be valued at the donor's customary rate, and must be verified by the person donating the service.
- Volunteer time
  - Individuals may donate their unpaid services provided to the grantee for project-related work. Examples could include time spent building a structure as a non-professional laborer, promoting the project at events, or attending project-related meetings.
  - Volunteer time should be valued at the pay for similar work in the grantee's organization or business. If there is not a comparable service within the organization or business, the value should be based on the Independent Sector's value of volunteer time for Oregon, which is currently \$25.43.
  - The grantee must maintain a list of volunteers, a description of the project-related work done, number of hours, and hourly rate.
- Donated real property, materials, supplies or equipment
  - Individuals, businesses or organizations may contribute real property, materials, supplies or equipment for project-related purposes.

- Examples could include donation of a laptop or used vehicle for project-specific work. A discount on the purchase of equipment can also qualify (the match contribution would equal the value of the discount only).
- These donations should be valued at their market value at time of donation and must be verified by the donor.
- Where applicable, the grantee must maintain receipts or invoices that document the donation of the item, quantities and prices.
- Donated use of space and equipment
  - Individuals, businesses or organizations may donate temporary use of space or equipment for project-related purposes, where the title or equipment remains in the ownership of the donor.
  - Examples could include donation of three months of office space to enable the launch of a new Investment and Innovation grant-funded program, or use of a 3-D printer for the duration of the project.
  - The applicant must be able to demonstrate how project outcomes/benefits will continue after donation of space or equipment ends.
  - The donations should be valued at fair rental rate for the duration of the donation, and must be verified by the person donating the space or equipment.

## V. Ineligible Match

Match may **not** be in the form of:

1. Cash spent on, or in-kind services donated to, expenses that are not *directly* tied to the proposed project
2. Costs associated with preparing a grant proposal, proposal, stock or debt offering, formation of partnerships, incorporations, fundraising, or other forms of such business costs
3. Other Metro funding
4. Costs incurred outside the scope or timeframe (grant period) of the funding agreement
5. The purchase of land
6. Lease or rent payments made by grantee
7. Indirect or overhead costs
8. Payments of fines, penalties, arrears, judgments or other such obligations
9. Costs paid for by another award, except where authorized by Metro.