



# Investment and Innovation Grants

Capital 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.

**Metro Council President**

Lynn Peterson

**Metro Councilors**

Shirley Craddick, District 1

Christine Lewis, District 2

Craig Dirksen, District 3

Juan Carlos Gonzalez, District 4

Sam Chase, District 5

Bob Stacey, District 6

**Auditor**

Brian Evans

**Contact**

Suzanne Piluso

Investment and Innovation program manager

[Suzanne.Piluso@oregonmetro.gov](mailto:Suzanne.Piluso@oregonmetro.gov) or 503-797-1845

For ZoomGrants help, contact the Help Desk at

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



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## INVESTMENT AND INNOVATION CAPITAL 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.

Up to \$6 million will be available for the 2019-2020 Investment and Innovation grant cycle for both program and capital grants. Investment and Innovation **capital grants** can be between \$50,000 and \$750,000 for investments in equipment, machinery and/or buildings.

**2019 PRIORITY FOCUS AREAS** Metro encourages capital proposals in two focus areas: **Recycling infrastructure improvements and projects to address commercial sector food waste.** Proposals for projects that qualify for these priority focus areas are automatically awarded additional scoring points. Additional information on the priority focus areas can be found on page 6.

(Program grants are solicited through a different process; see the Investment and Innovation Program Grant Proposal Handbook for instructions for applying for a grant between \$25,000 and \$75,000, available at [oregonmetro.gov/investmentandinnovation](https://www.oregonmetro.gov/investmentandinnovation))

### What's the timeline?

|                                   |  |
|-----------------------------------|--|
| June 3, 2019                      | Application available in ZoomGrants                                  |
| June 10, 2019                     | Pre-proposal informational workshops ( <i>optional</i> )             |
| <b>July 12, 2019, 4 p.m.</b>      | <b>Pre-proposals due</b>   |
| August 2019                       | Successful pre-proposals invited to submit full proposals            |
| September 9, 2019                 | Optional Q&A appointments with staff ( <i>reservation required</i> ) |
| <b>September 27, 2019, 4 p.m.</b> | <b>Full proposals due (<i>by invitation only</i>)</b>                |
| December 2019                     | Grant awards announced   |
| December 2019                     | Contracting basics meeting for grantees ( <i>required</i> )          |
| January 2020                      | Grant funds available  |

### Who may apply?

Private for-profit businesses and nonprofit organizations with federal 501(c) tax designation may apply. Unincorporated organizations need a fiscal sponsor (a state certified, federally approved 501(c) nonprofit with a federal tax ID number and capacity to contract with Metro).

Metro encourages proposals that include partnerships that strengthen the project's likelihood of success, particularly for equity outcomes.

### Location

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

## INVESTMENT AND INNOVATION PURPOSE AND OBJECTIVES

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 goals

The 2030 Regional Waste Plan goals 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.
- To be competitive for Investment and Innovation funding, projects must have an impact on the regional solid waste system, not just 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 expanding the economic presence of communities of color or other historically underrepresented groups.
- Applicants may apply for funding for one or more projects in response to this 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 Program Grant Handbook for instructions for submitting program grants*, available at [oregonmetro.gov/investmentandinnovation](http://oregonmetro.gov/investmentandinnovation)
- Projects must be completed within 18 months from the issue date of the grant agreement, or if a need is sufficiently demonstrated and Metro approves a longer grant term, up to 24 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 10).
- 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:
  - Construction costs, including site clearing and demolition, grading and excavation, construction materials and contracted labor, utilities such as sewer/water/electrical/etc., and specific site amenities
  - Professional services, including services of architects, engineers, geotechnical and environmental, etc.
  - Equipment
  - Materials and supplies
  - Permit and licensing fees

## Ineligible costs for grant reimbursement

- Investment and Innovation grant funds may not be used for:
  - Costs not *directly* tied to the proposed project.
  - Labor or personnel (employee salaries) and related costs.
  - Costs incurred outside of 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.
  - Costs related to financial assurances requirements set forth in the grant agreement to provide assurance of compliance with the grant terms. (*See page 11*).

## Match requirement

Capital grants require a 100 percent match. For example, a \$150,000 grant would require the applicant to demonstrate at least \$150,000 in its own investment in the grant project. Match must be secured before grant funds will be released. Detail on match eligibility is in Appendix E.

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



## PRIORITY FOCUS AREAS

This year, Metro encourages and will prioritize capital proposals addressing two focus areas, described below: projects to improve recycling infrastructure, and projects to address commercial food waste. Qualifying projects in these focus areas will automatically be awarded additional scoring points. In addition to the qualifications below, projects in the priority focus area must also comply with the eligibility requirements in the “Minimum Qualifications” section, pages 4-5.

### Recycling Infrastructure Improvements

Projects that will strengthen and build resiliency into the recycling system that serves single-family and multifamily residents, and businesses. These expenditures should achieve one of more of the following outcomes for recyclables currently accepted in the greater Portland area’s residential and business on-site collection programs:

- Improve the performance of material recovery facilities in sorting and preparing these recyclables for end-markets.
- Expand capacity or improve performance for the additional processing of these recyclables into a feedstock that can be used by manufacturers.
- Expand capacity within Oregon for the manufacturing of products made from these recyclables.
- Establish alternative collection methods, such as depots, for recyclables that are not collected in residential and business collection programs and for which there is verifiable, ongoing market demand.

### Recovery of Commercial Sector Food Waste

Projects that will strengthen the region’s system for recovering commercial sector food waste. The following types of food waste capital projects are **eligible** for grant funding during this cycle:

- Improvements at existing composting facilities to enable effective management of food waste.
- Improvements at solid waste transfer stations to enable acceptance and re-load of food waste.
- Modifications to food manufacturing or distribution processes to avoid loss or waste of food.
- Trucks or other capital equipment to expand the capacity of the food rescue/donation system.

The following are **not eligible** for funding during this grant cycle:

- Projects relating to design, engineering or building a food de-packaging facility.
- Projects for processing food waste other than at existing composting facilities. Metro may fund this type of project in future years.
- Projects related to the purchase or modification of vehicles or receptacles used to collect food waste from generators.
- Projects related to improving on-site collection areas at food waste-generating businesses.

## OVERVIEW OF THE GRANT APPLICATION PROCESS

The proposal process is approximately six months, and occurs in two stages: a **pre-proposal phase** and a **full proposal phase**.

A grant committee will review all initial pre-proposals and make recommendations to Metro on which proposers should be invited to submit full proposals. The committee will then review the full proposals and make funding recommendations to Metro. The committee will be composed of representatives from government agencies, community members, non-solid waste-related businesses and a Metro Councilor.

At both the pre-proposal and full-proposal stages, proposals will be evaluated based on the information submitted, responsiveness to the Investment and Innovation purpose and objectives, and the review committee's professional and collective judgment. It is up to the applicant to ensure the proposed project is sufficiently defined so the review committee can understand how well it meets the grant program purpose and evaluation criteria (see Appendix B).

### Pre-proposal phase

The first step in the grant proposal process is submission of a complete pre-proposal. Pre-proposals must be submitted via ZoomGrants (see page 10). For reference, the pre-proposal questions are attached as Appendix C. The purpose of a pre-proposal is essentially to provide the review committee with enough information about your project for the committee to determine whether the project aligns with the grant program objectives and is achievable. The pre-proposal stage is intended to require a modest amount of work from applicants, while providing enough information for reviewers to understand the project and how it will achieve I&I program objectives.

The grant review committee will consider the following when reviewing pre-proposals to determine whether to invite a full proposal:

**Project description:** Is the project clearly and concisely summarized at a high level, including what it intends to accomplish and materials targeted?

**Project need and impacts:** Will the project address a specific need in the Metro region relating to waste prevention, reuse or repair of products, or recycling, composting or making energy from discarded materials? Is meeting this need important to the Metro region? Will the project have a definitive impact on the waste stream? Will the project benefit the environment and/or human health by reducing negative impacts from waste reduction-related services and facilities? Will the project improve outcomes for communities of color or other historically marginalized communities by creating economic opportunities or otherwise generating benefits, advancing equity?

**Methods, budget and implementation:** Does the proposal summarize the work that will be done, the methods that will be used, and the time-frame for tasks to achieve the desired

outcomes? Are the cost elements and proposed time frame reasonable for the successful completion of the project?

**Dependencies and external factors:** Does the proposal identify key factors that will influence whether the project is successful, and explain how the applicant will address them? (e.g., Securing property or government permits/authorizations; market development; staff or contractor availability; securing financing; completion of pre-project engineering designs; or securing purchasing material supply agreements.)

### **Feedback from grant review committee**

Staff will provide all applicants with feedback after the grant review committee's review of the pre-proposals. If you are invited to submit a full proposal, staff may provide proposers feedback from the grant review committee's review of pre-proposals. Metro staff will share this feedback and request the information be provided in your full proposal.

### **Full proposal phase**

Metro will accept full proposals only from applicants who have been invited to apply based on the success of their pre-proposal. The full proposal questions and requirements are attached as Appendix D, for reference only.

An invitation to submit a full proposal does not guarantee funding. The review committee will review final proposals against the evaluation criteria attached as Appendix B to make funding recommendations to the Metro Property and Environmental Services Director.

*The full proposal is included in this handbook as Appendix D so proposers know what will be expected at the later stages of the grant process. Do not submit full proposal materials with your pre-proposal; they will not be considered at the pre-proposal phase.*

### **Funding decisions**

The Metro Property and Environmental Services Director will review the grant review committee's recommendations and make a 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. 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 also 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](http://oregonmetro.gov/grants) or directly at [zoomgrants.com/gprop.asp?donorid=2199&limited=2309](http://zoomgrants.com/gprop.asp?donorid=2199&limited=2309). The pre-proposal will be available starting June 3, 2019 and due by 4 p.m. on July 12, 2019. For your reference, please see Appendix C for the pre-proposal questions to which applicants will respond via ZoomGrants.

Within 24 hours of receiving your pre-proposal, 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 12 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 ZoomGrants University tutorials at [help.zoomgrants.com](http://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 contract with Metro, which will outline specific responsibilities and legal obligations of each party, including reimbursement requirements and timelines, 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 capital 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 recipients must spend their grant funds within one year of contract signature, 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**

Metro will expect full proposal applicants 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 through the submission of a quarterly progress report, 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.

Metro will require grant recipients to submit progress reports for three years after the grant term. Information requested will reflect the outcomes that the applicant identified in the grant proposal. Metro may conduct site visits to evaluate the progress of the project during the grant term, as well as during the three-year reporting period, and will notify the grantee prior to site visits occurring.

### **Financial assurances and bond requirement**

Metro will require a successful applicant for a capital grant of \$200,000 or larger to obtain a financial guarantee bond at the applicant's expense for the five years following the grant award. The applicant may not use grant funds to pay for the bond, but may consider any payment as a match under the terms of the grant agreement. The first year of the grant, the bond must guarantee the entire grant amount, the second year 80 percent of the grant amount, the third year 60 percent of the grant amount, the fourth year 40 percent of the grant amount, and the fifth year 20 percent of the grant amount.

## 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 [www.oregonmetro.gov/grants](http://www.oregonmetro.gov/grants), or contact Suzanne Piluso, Investment and Innovation program manager at [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: I&I CAPITAL GRANT EVALUATION CRITERIA

The grant review committee will use the following criteria to evaluate full proposals and make funding recommendations.

| EVALUATION CRITERIA FOR I&I CAPITAL GRANT PROPOSALS   |   |
|---|---|
| FY 2019-2020  |   |
| <b>Yes/No</b>   | <p><b>Foundational criterion:</b> All I&amp;I capital grants must demonstrate positive impacts on the waste stream and/or reduce environmental or human health impacts associated with the life cycle of products.</p> <p>Describes the measurable impacts on the waste stream anticipated from the project (e.g., estimates of annual waste recovery or energy savings) and/or reduction in environmental and human health impacts of products manufactured, consumed or disposed in the region.</p> |
| REVIEW CRITERIA (maximum 63 points)   |   |
| <p>In addition to the impacts on waste stream and/or environmental/human health, I&amp;I capital grant proposals will be reviewed and scored based on the criteria below. Scores will be impacted by the <b>accuracy, clarity, completeness, and reasonableness</b> of each response. Within these criteria, each bullet point will be scored on a scale of 0-3 points:</p> <ul style="list-style-type: none"> <li>• 0 points—Inadequate</li> <li>• 1 point—Barely adequate</li> <li>• 2 points—Adequate</li> <li>• 3 points—Excellent</li> </ul> <p>Possible points for each section are displayed. Scoring is intended to help the grant review committee sort, assess and discuss proposals, but may not determine the final slate of recommendations. Final funding recommendations will be made through in-person deliberations.</p> |   |
| Possible Points   | Criteria  |
| <b>6</b>  | <p><b>Project Description</b></p> <ul style="list-style-type: none"> <li>• Includes clear, concise description of the project and what it intends to accomplish.</li> <li>• Identifies the unmet need(s) the project will directly address, specific to the product life cycle and waste prevention, reuse, recycling, composting or energy recovery infrastructure or markets in the Metro region, and why it's important to the region.</li> </ul>  |
| <b>12</b>   | <p><b>Project Impacts: Equity</b></p> <ul style="list-style-type: none"> <li>• Describes positive impacts of the project on communities of color or other underrepresented groups. <i>(Multiply score of 0-3 by 4 to arrive at a total of up to 12 equity points)</i></li> </ul>  |
| <b>12</b>   | <p><b>Work Plan and Dependencies</b></p> <ul style="list-style-type: none"> <li>• Provides complete descriptions and time estimates of the project activities, milestones and deliverables necessary to achieve the goals and objectives.</li> </ul>  |

|                      |   |
|----------------------|---|
|                      | <ul style="list-style-type: none"> <li>• The work plan seems well-aligned with the scale of effort and timeframe necessary to achieve desired outcomes.</li> <li>• Provides information on <u>completed</u> tasks/dependencies that ensure the project will be ready to begin when the grant contract is executed and will be completed on time, including secured permits, approvals, feedstock agreements, market development, financing, material handling, etc.</li> <li>• Provides information on <u>in-progress</u> tasks/dependencies that need to be completed before the grant-funded project begins, and a plan for their completion.</li> </ul>  |
| <b>12</b>            | <p><b>Project Budget</b></p> <ul style="list-style-type: none"> <li>• Describes all funding necessary to complete the proposed project, including grant and match amounts for all activities in the work plan.</li> <li>• Describes the total project cost and how the grant request fits within the complete project financing strategy.</li> <li>• The cost elements of the project appear to be complete, consistent with the work plan, and reasonable (i.e., the amount requested is proportional to the outcomes achieved).</li> <li>• Includes supporting documentation including quotes, bids and estimate details.</li> </ul>  |
| <b>9</b>             | <p><b>Applicant Readiness and Workforce Culture</b></p> <ul style="list-style-type: none"> <li>• Demonstrates sufficient business planning, management experience and staff resources to ensure that the project is likely to succeed. Experience could include successful completion of past projects utilizing external funding.</li> <li>• Demonstrates financial viability of the applicant organization or business such that there is a high likelihood that the project would be completed within the grant term.</li> <li>• Demonstrates that the applicant organization or business is implementing or planning activities to advance diversity and equity in its work place.</li> </ul> |
| <b>6</b>             | <p><b>Continuation of Impacts and Evaluation</b></p> <ul style="list-style-type: none"> <li>• Describes evaluation methods that will be used to evaluate (measure) the impacts of the project and whether/how project goals and objectives are achieved and sustained.</li> <li>• Demonstrates likelihood that the project impacts will be sustained after the grant is complete.</li> </ul>  |
| <b>57</b>            | <b>TOTAL POSSIBLE GENERAL EVALUATION CRITERIA POINTS</b>  |
| <b>6 (automatic)</b> | <b>Bonus points for priority projects:</b> Project strengthens and makes more resilient the recycling system that serves single-family and multifamily residents, and businesses; or the system for recovering commercial sector food waste.  |
| <b>63</b>            | <b>TOTAL POSSIBLE SCORE (general evaluation criteria points + bonus points)</b>   |

## APPENDIX C: I&I CAPITAL GRANT PRE-PROPOSAL

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

### Project Name

**Amount Requested \$** *(between \$50,000 - \$750,000)*

**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 (upload)

**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 brief high-level summary of your project and what it intends to accomplish, including the materials targeted. (1000 characters)

### **Project need and impacts**

2. Describe how the project will directly address a specific need relating to waste prevention, reuse or repair of products, or recycling, composting or making energy from discarded materials. Why is meeting this need important to the Metro region? (3000 characters)
3. Describe the impacts on the waste stream anticipated as the result of the project. Include specific estimates, where possible. Indicate N/A if these impacts do not apply to your project. (2000 characters)

***Examples include:** Quantity of food scraps or recyclable material that will be recovered; quantity of material collected and reused or repaired; quantity of discarded material used to make energy.*

4. Describe the environmental and/or human health benefits anticipated as the result of the project. Include specific estimates, where possible. Indicate N/A if these impacts do not apply to your project. (2000 characters)

***Examples include:** Estimates of greenhouse gas emissions reductions throughout the product life cycle; reduction in toxic air contaminants; decrease in human chemical exposure or amount of chemicals into water sources and natural systems; creation of healthier products.*

5. Describe who in the region will benefit from the project, including how this project will impact communities of color or other historically underrepresented communities. Be as specific as possible. Your answer may include demographic information such as race and ethnicity and socio-economic status. (2000 characters)

***Examples include:** Residents or businesses served; 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.*

### **Methods and implementation**

6. Describe the specific work that will be accomplished, the methods that will be used, and the timeframe to complete the work and achieve the outcomes you propose. (If invited to submit a full proposal, you will have the opportunity to provide more detail on this question at that stage.) (3000 characters)

### **Dependencies and external factors**

7. Explain the external key factors that will influence whether this project is successful and how you intend to address them. For each, indicate whether the activity/task/approval/etc. has been completed, or if not, your plan for completing it. (3000 characters)

***Examples include:** Securing property or government permits/authorizations; market development; staff or contractor availability; securing financing; completion of pre-project engineering designs; or securing purchasing material supply agreements.*

### **Grant request and total budget**

8. Identify the amount of funding requested from Metro.
9. List the anticipated matching funds (sources and corresponding dollar amounts).
10. Identify the total project cost. Describe how the request amount fits into your overall plan for funding the project.

## APPENDIX D: I&I CAPITAL GRANT FULL PROPOSAL

*[Applications will be by invitation only; questions included here for reference.]*

### Additional questions (building on pre-proposal)

#### **Methods/ implementation: additional detail**

11. Please ensure you have provided the review committee with a complete understanding of the methods and steps to complete the project in your response to Question 6. If not, add more detail here about the project work that will be done to achieve the proposed project outcomes. *(The sequencing of project activities and deliverables (timeline) will be summarized in your work plan in Table 1). (2000 characters)*

#### **Applicant readiness and workforce culture**

12. Make the case that the project team has sufficient business planning, management experience, staff resources to ensure that the project is likely to succeed. Include any partners that were involved in developing the proposal or who will be involved in implementation. Also include whether your business or organization has successfully completed past projects utilizing external funding. *(2000 characters)*
13. Describe any efforts your business is implementing or planning to advance diversity, equity and inclusion outcomes at your workplace or in the community. *(2000 characters)*

***Examples include:*** Active efforts to recruit, retain and promote diverse workers, including providing a living wage and benefits; contracting with minority or women-owned firms; 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; or accessibility audits of facilities to improve access for staff and customers with disabilities.

#### **Evaluation and continued impacts**

14. Describe what methods you will use to track and measure project impacts. Describe any milestones or interim goals you will track, and how you will continue to monitor impacts after the grant ends. Your answer should focus on impacts directly attributable to the project. *(2000 characters)*
15. Explain how the benefits achieved through the project will continue beyond the grant period. How will project outcomes be sustained on an ongoing basis? *(2000 characters)*

#### **Response to Feedback from Review Committee**

16. If you received feedback on your pre-proposal from the grant review committee (via Metro staff), please respond directly to that feedback here if it is not already addressed elsewhere in the full proposal. *(2000 characters)*

### **Miscellaneous**

17. What is the estimated completion date of your project (Month/Year), i.e., when will it be fully operational? \_\_\_\_\_

18. 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: \_\_\_\_\_ (255 characters)  
 No

19. (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)

20. Have you reviewed the Confidentiality section of the Full Proposal Handbook (page 12) and marked your proposal accordingly, if applicable?

- Yes  
 No

21. What is the applicant's Employee Identification Number? Write N/A if not applicable.

\_\_\_\_\_

### **Additional detail about markets**

22. Describe the end market(s) for the products that will be produced or processed as a result of your project. Be as specific as possible. Include quantities of materials you plan to send to specific markets (including location), sizes of markets, price/value of end products, and what your products would compete with or replace. [Also see the optional upload in the Documents section to help validate the market.].

## Full Proposal tables

**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.

| Task number | Project Task<br>Describe primary project tasks, milestones and deliverables                                 | Involves proposed I&I grant or match funding?<br>Grant \$/Match \$/Both | Timeframe<br>month/year - month/year |
|-------------|---|---|--------------------------------------|
| 1           | <b>Example:</b> Complete preliminary site layouts/operations plans with estimates for facility improvements | Grant \$  | 01/20 - 02/20                        |
|             |   |   |                                      |
|             |   |   |                                      |
|             |   |   |                                      |

**Table 2: Responsible Parties**

List the project manager and key people, businesses, and organizations who will be involved in developing, implementing and overseeing the project. Clearly indicate who will be responsible for each portion of the project. If contractors will be involved, include their personnel. **Be sure to include the person responsible for managing the financial elements of the grant and completing/submitting the project reports.**

| Responsible person and<br>Key people involved in project, and their company or organization | Company/organization | Role in project   | Relevant experience and qualifications |
|---|----------------------|---|--|
| <b>Example:</b> Ned Flanders  | Acme Co              | Financial oversight of project and responsible for managing | CFO of Acme Co. for 10 years           |
|   |                      |   |  |
|   |                      |   |  |
|   |                      |   |  |



**Table 3: Matching Contributions**

In the table below, provide the requested information for each source of your match, associated task(s) from your Work Plan (Table 1), and whether the match is secured.

| Source of match<br><i>(examples below)</i> | Match amount | Associated task(s) from Work Plan | How \$ amount was calculated | Whether the match is secured and currently available<br><i>(if not, when anticipated)</i> |
|--|--------------|-----------------------------------|------------------------------|---|
| Cash from applicant                        | \$           |                                   |                              |   |
| Loan/credit from financial institution     | \$           |                                   |                              |   |
| Other grants                               | \$           |                                   |                              |   |
| <b>TOTAL MATCH</b>                         | \$           | N/A                               | N/A                          | N/A   |

**Table 4: 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 at full proposal stage (Excel template)

|  |  |  |                            |
|--|--|--|----------------------------|
| <b>Section 1: What is the <u>total budget</u> for the project?</b>   |  |  | \$ -                       |
| <b>Section 2: <u>I&amp;I Grant budget</u></b>  |  |  |                            |
|  | <b>GRANT PERIOD ONLY</b>                   |  |                            |
| <b>PROJECT EXPENSES</b>  | <b>Requested Metro I&amp;I grant funds</b> | <b>Matching funds for I&amp;I grant (100%)</b> | <b>Total project costs</b> |
| <b>DIRECT OR HARD COSTS</b>  |  |  |                            |
| Construction costs   |  |  | \$ -                       |
| Permits and fees   |  |  | \$ -                       |
| Equipment  |  |  | \$ -                       |
| Materials and supplies   |  |  | \$ -                       |
| Other (specify here)   |  |  | \$ -                       |
| Other (specify here)   |  |  | \$ -                       |
| <b>SUB-TOTAL DIRECT OR HARD COSTS</b>  | \$ -                                       | \$ -   | \$ -                       |
| <b>SOFT COSTS</b>  |  |  |                            |
| Architect  |  |  | \$ -                       |
| Engineering/Design   |  |  | \$ -                       |
| Geotechnical, Environmental  |  |  | \$ -                       |
| Other (specify here)   |  |  | \$ -                       |
| Other (specify here)   |  |  | \$ -                       |
| <b>SUB-TOTAL SOFT COSTS</b>  | \$ -                                       | \$ -   | \$ -                       |
| <b>OTHER COSTS</b>   |  |  |                            |
| [Describe here]  |  |  | \$ -                       |
|  |  |  | \$ -                       |
| <b>SUB-TOTAL OTHER COSTS</b>   | \$ -                                       | \$ -   | \$ -                       |
| <b>TOTAL PROJECT EXPENSES</b>  | \$ -                                       | \$ -   | \$ -                       |
| <b>Section 3: <u>Grant budget narrative</u></b> 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.  |  |  |                            |
| <u>Construction costs:</u> Break down costs in a way that makes the most sense to your project's current design status and cost estimating approach. Include in the narrative a cost breakdown such as site clearing and demolition, grading and excavation, utilities such as sewer/water/electrical/etc., and specific site amenities. |  |  |                            |
| <u>Permits and fees:</u> List permits and associated fees for each.  |  |  |                            |
| <u>Equipment:</u> List items, quantities, and prices.  |  |  |                            |
| <u>Materials and supplies:</u> List items, quantities and prices.  |  |  |                            |
| <u>Soft costs (professional services):</u> 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.  |  |  |                            |
| <u>Other:</u> 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 at full proposal stage

### Mandatory:

- Applicant or fiscal sponsor's 501(c) IRS determination letter or tax-exempt status statement**, if applicable.
- Budget and Budget Narrative (template provided).**
- Proof of cash match**, including documentation showing that the funds identified as match have been approved for use within the grant period. This could include a grant award letter, loan term sheet, or demonstration of available cash resources in financial statements.
- For individual equipment purchases using grant funds of \$5,000 or more per item, **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). *Two alternatives to this requirement: (1) applicant may choose to have a Metro staff Certified Public Accountant (CPA) inspect these records on-site; or (2) applicant may choose to have a Metro-selected third-party CPA inspect these records on-site (applicant must pay half of the cost). Contact Metro staff to use #1 or 2.*
- A **capital plan** for the next 5-10 years for the asset that would be purchased with grant funds. Must include the maintenance program for the asset(s) you would purchase with grant funds and how you will pay for it, including renewal, replacement and additional investment schedule; and the insurance company you intend to have insure any assets purchased with grant funds. *The level of detail is up to you, but the grant review committee needs to have confidence you have a plan for caring for grant-funded assets involved in the project.*
- A **simple financial analysis** that explains how the project will lead to a financially sustainable outcome. This could include return on investment (ROI), internal rate of return (IRR), or cash flow and break-even analysis. The analysis should reflect the requested grant, and it should bring together the revenues, margins and costs to demonstrate this project will be financially viable. Include a narrative explanation to explain the results for the review committee. *See an example and guidance documentation in the Document Library in ZoomGrants.*

### Optional:

- 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** will be accepted only if they are from the community that will be impacted by the project. No more than 3 pages in total. Examples include local jurisdictions, project partner, community-based organizations, or neighborhood associations.
- Your business or organization's overall **budget**.
- Business plan** to support the capital need that is the subject of the grant request.

**Documents that would help establish the validity and attributes of the market(s) for your end products**, such as, in the case where most of your product will likely be sold to a couple of large quantity buyers, a letter from a current or potential buyer describing the quantity, material specifications, and price range the buyer would accept.

## APPENDIX E: MATCH FOR INVESTMENT AND INNOVATION CAPITAL 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

Capital grants of \$50,000- \$750,000 require that grantees contribute a minimum of 100 percent of the grant amount in match. This match must be in the form of cash only (with the exception of labor/personnel, described below). For example, a \$75,000 grant would require the applicant to demonstrate at least \$75,000 in its own investment.

### II. General Match Eligibility

The following guidelines outline the requirements for project contributions to be eligible as match for an Investment and Innovation grant.

1. The contributions must be related to, necessary, and reasonable for the accomplishment of the Investment and Innovation grant-funded project.
2. The match must be identified at the time of Full 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, for example. 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 (or in the case of in-kind personnel, incurred) 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 ratio outlined above in "the Required Match Amount" section (1:1 for capital grants). For example, if a grantee requests reimbursement of \$100,000 of Investment and Innovation funds, the grantee must demonstrate that \$100,000 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 Match

Expenditures of cash for project-related costs qualify as match for Investment and Innovation grants. 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. Up to 33 percent of the match can be in the form of in-kind contributions of personnel, as described in more detail in #6 below.

Acceptable expenditures of match for project-related expenses are the same as qualifying include:

1. Construction activities
2. Permits and fees
3. Contracted professional services
4. Materials and supplies
5. Equipment
6. Labor and personnel costs. To be eligible, these costs must be directly tied to the I&I grant activities. Eligible labor costs are limited to grant-related work of overseeing construction activities and acquiring and installing equipment, and must be tracked to provide a detailed accounting of how the costs are calculated and relationship to the grant activities. Labor/personnel costs for general work that would be paid regardless of whether the grant project takes places is not eligible. Personnel costs may not exceed 33 percent of the grantee's total identified matching contributions.

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

### IV. Ineligible Match

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

1. 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. Costs incurred outside of the scope or timeframe (grant period) of the funding agreement
4. Other Metro funding
5. The purchase of land
6. Lease or rent payments made by grantee
7. Labor and personnel costs, except as described in III(6) above
8. Indirect or overhead costs
9. Payments of fines, penalties, arrears, judgments or other such obligations
10. Costs paid for by another award, except where authorized by Metro