



# Investment and Innovation Grants

Capital grant proposal handbook  
2022

[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

Gerritt Rosenthal, District 3

Juan Carlos Gonzalez, District 4

Mary Nolan, District 5

District 6 (currently vacant)

**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)



## TABLE OF CONTENTS

|  |    |
|--|----|
| Investment and Innovation capital grants .....                     | 2  |
| Application timeline.....  | 2  |
| Purpose and objectives .....                                       | 3  |
| Minimum qualifications .....                                       | 4  |
| Equity requirement.....  | 8  |
| Priority focus areas .....   | 10 |
| Overview of the grant application process .....                    | 13 |
| Proposal instructions .....  | 14 |
| Contracting and grant agreement .....                              | 15 |
| Confidentiality of application materials .....                     | 16 |
| Contact.....   | 16 |
| Appendix A: A Glossary of equity-related terms.....                | 17 |
| Appendix B: I&I capital grant evaluation criteria .....            | 18 |
| Appendix C: I&I capital grant pre-proposal .....                   | 20 |
| Appendix D: I&I capital grant full proposal.....                   | 24 |
| Appendix E: Match for I&I capital grants.....                      | 29 |
| Appendix F: Evaluation metric examples from prior I&I grants ..... | 31 |

## INVESTMENT AND INNOVATION CAPITAL GRANTS

The Metro Council initiated the Investment and Innovation program to invest in private sector efforts to reduce environmental and human health impacts associated with products consumed in the Metro region, and to provide benefits and reduce harms from the solid waste system for communities of color and other historically marginalized groups. Since 2018, Metro’s Investment and Innovation program has awarded nearly \$8.5 million in grants, leveraging more than \$18 million in additional private investments in these projects benefiting greater Portland.

A total of up to \$2 million will be available for the 2022 grant cycle to fund both program and capital grants. This solicitation is for **capital grants between \$50,000 and \$500,000** for investments in equipment, machinery and/or facility infrastructure.

***Program grants** are solicited through a separate process; see the *Program Grants Handbook* at [oregonmetro.gov/investmentandinnovation](https://oregonmetro.gov/investmentandinnovation) for instructions for applying for a grant up to \$100,000 for smaller projects or programs.*

### 2022 PRIORITY FOCUS AREAS

Metro encourages proposals in three priority focus areas: **Recycling infrastructure, reuse and repair, and food waste prevention and rescue**. Proposals for projects that qualify for these focus areas are automatically awarded additional scoring points. More information on the priority focus areas is on page 10.

### Application timeline

|                                     |  |
|-------------------------------------|--|
| January 3, 2022                     | Application available in ZoomGrants                            |
| January 13, 2022                    | Optional informational session; <i>link on page 14</i>         |
| January 25, 2022                    | Optional virtual office hours for one-on-one support           |
| <b>February 15, 2022, 5:00 p.m.</b> | <b>Pre-proposals due in ZoomGrants</b>                         |
| March 17, 2022                      | Responses to pre-proposals (invitations to submit or declined) |
| April 12 and 14, 2022               | Optional virtual office hours for one-on-one support           |
| <b>May 2, 2022, 5:00 p.m.</b>       | <b>Full proposals due in ZoomGrants (by invitation)</b>        |
| June 30, 2022                       | Awards announced   |
| July/August 2022                    | Contracts executed   |

## PURPOSE AND OBJECTIVES

### I&I program purpose

The Investment and Innovation (I&I) grant program aims to reduce environmental and human health impacts associated with products consumed in the Metro region, and promotes a solid waste system that benefits communities of color and other historically marginalized groups. The program funds for-profit businesses, not-for-profit organizations and colleges and universities to develop and sustain efforts to reduce disposal of materials through waste prevention, reuse and repair, and material recovery (including recycling and composting).

The grants help reduce greenhouse gas emissions that drive climate change and emissions of toxic particulates—impacts which disproportionately burden communities of color. At the same time, the program supports efforts to advance racial equity in the solid waste system, including by expanding services and employment opportunities for underserved communities and reducing harms from facility operations. The I&I program advances progress towards achieving multiple goals of the [2030 Regional Waste Plan](#) and Metro's [Strategic Plan to Advance Equity, Diversity and Inclusion](#).

### I&I program objectives

Projects funded by I&I grants are intended to:

- **Reduce harmful environmental and health impacts** by reducing the amount and toxicity of waste associated with products consumed in the Metro region.
- **Advance equity** by creating benefits from the solid waste system for historically marginalized groups including career opportunities, expanded access to waste-related services, and reduced harms from garbage and recycling operations; and by developing the capacity of businesses and organizations in the solid waste system to create more equitable workplaces.
- **Build system resilience** by strengthening, improving and increasing the capacity of the region's waste prevention, reuse/repair, and material recovery infrastructure and workforce.
- **Catalyze innovation** by encouraging projects that test or expand new strategies.

### 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 decade. 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 also seeks to build a more inclusive and equitable solid waste system through a range of actions and tools, including grant funding.

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

## MINIMUM QUALIFICATIONS

Applicants and projects must meet all of the following criteria in order to be eligible for I&I funding:

### Applicants must:

- Be one of the following:
  - Non-profit organization (or fiscal sponsor) with a federal 501(c) designation.
  - For-profit business.
  - Institution of higher education (college or university).
- Be in compliance with local, state, and federal requirements applicable to its operations.
- Demonstrate a clear commitment to integrating diversity, equity and inclusion principles into its grant project and/or internal structures and operations. (See page 8 for more detail about this requirement.)
- If applicable, secure all relevant permitting, licensing, approvals, waivers and other authorizations for the grant-funded project at the time of full proposal submission, or have these processes substantially completed with a plan for completion included in the proposal.
- For-profit business and college/university applicants, demonstrate that it has matching funds to share in the cost of the project. See Appendix E for more information on match requirements.

This section describes minimum qualifications and eligibility requirements for all applicants, projects and expenses. Review this section to ensure your proposal is eligible for funding. Contact I&I staff on page 16 if you have questions about these requirements.

### Projects must:

- Align with the I&I purpose and demonstrate clear, quantifiable impacts that will advance one or more of the I&I program objectives listed on page 3.
- Impact the regional solid waste system, as opposed to a single business or organization. Projects that only impact a single organization or business will not be competitive. For example, grants will not be awarded to pay for recycling or compost bins at a business or organization, or for food waste prevention efforts at a single restaurant.
  - **Examples of how a project can “impact the regional solid waste system” include but are not limited to:** Investments in new technology or infrastructure that will improve ability to sort and process comingled recyclables; Projects to significantly reduce the amount of waste generated across multiple sites or large campuses; Creation or expansion of opportunities in the garbage and recycling system for underserved communities such as jobs, career ladders, or expanded services; Applied research that could lead to systemic improvements in the regional solid waste system. *Contact program staff if you are unsure about whether your project impacts the regional solid waste system.*

- Take place within [Metro’s jurisdictional boundary](#) or significantly advance I&I program objectives for the Metro region.
- Take place within a 24-month grant term, including completing all project activities and spending of grant and match funds. The grant term would begin upon signing the grant contract (anticipated July or August 2022). Grant recipients may request a longer grant term for extenuating circumstances.
- Be described in a complete proposal using the process described in this handbook, and submitted online through ZoomGrants (see page 14).

### **Eligible grant expenses**

Grant funds may be used for the following costs that are directly tied to the grant project and supported by legible proof of payment documentation:

- 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 (consultant or contractor) services hired for the purpose of the project, including architects, engineers, geotechnical, environmental, etc.
- Equipment.
- Materials and supplies.
- Permit and licensing fees.
- For businesses or organizations with an annual operating budget of \$500,000 or less only, up to 20 percent of the total capital grant award may be used for labor/personnel/salaries and related costs such as benefits, necessary for implementing the grant project.

### **Ineligible projects and costs**

Grant funds cannot be used for:

- Costs not directly tied to the grant project.
- Labor/personnel/salaries and related costs, except as described for smaller businesses and organizations in the “eligible grant expenses” section above.
- Projects related to hauling services and related materials/supplies for recyclables.
- Projects related to collection and disposal of garbage (as opposed to activities that prevent materials from becoming garbage, which could qualify for funding).
- Projects related to human waste.
- Costs incurred outside of the scope or timeframe (grant term) of the funding agreement, which is anticipated to start in July or August 2022.
- Costs related to transactions with a company that is affiliated or related to the I&I 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.
- Purchase, rent or lease of land or buildings, except for grants to nonprofit applicants for projects within the Reuse and Repair Priority Focus Area (see page 10).
- Payment of fines, penalties, arrears, judgments, or other such obligations.
- Activities that may degrade the quality of air, water and land resources.

### Multiple applications

- An applicant may apply for funding for multiple projects within a grant cycle, but must submit a separate proposal for each individual project.
- An applicant may apply for both a capital grant and a program grant for the same project through separate applications and according to the respective application processes. If you have questions about whether the applications can/should be combined, contact I&I grant staff (page 16) to discuss.

### Match requirement

**For-profit businesses and colleges/universities** are required to share in the costs of grant-funded projects and leverage the public investment by contributing a minimum of 100 percent of the grant amount. 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 requirements are detailed in Appendix E. *There is no match requirement for nonprofit organizations.*

### Clean air standards for diesel-powered vehicles and equipment—engines and fuel

Any 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 shall meet the U.S. EPA tier 4 off-road emissions standards.
- All diesel-powered on-road vehicles/trucks must have engine model years that are 2010 or later.
- A low emissions fuel must be used in grant-funded diesel equipment for (at a minimum) the duration of the grant term, whether or not the cost of the fuel is funded by the grant.

**Low emissions fuel** is defined as any fuel that has a carbon intensity that is lower than the Oregon Clean Fuel Standards for 2021 set in Oregon Administrative Rule (OAR) 340-253-8010 and using the most current (as of July 6, 2021) list of carbon intensity values published by the Oregon Department of Environmental Quality. The standard for diesel and diesel substitutes in 2021 is to have a carbon intensity value of less than 96.12 grams of carbon dioxide equivalent per megajoule



(gCO<sub>2</sub>e/MJ). As of September 30, 2021, the diesel fuels that meet the definition of low emissions fuel include renewable diesel and biodiesel.

Commercially available B5 diesel meets this minimum standard and is what is being sold as conventional diesel fuel at all Oregon gas stations. However, Metro encourages grant applicants to investigate the larger selection of lower emissions fuel available at card lock fuel stations including Pacific Pride, as well as some general retail gas stations including Sequential and Jay's Garage in the Portland region. Card lock pricing for B20, B50, B99 and R99 (made from renewable sources) may even be available at the same or lower cost than B5 diesel fuel.

## EQUITY REQUIREMENT

To be considered for an I&I grant, all applicants must demonstrate a clear commitment to integrating diversity, equity and inclusion (DEI) principles into their grant projects and/or internal structures and operations. I&I grants are intended to advance Regional Waste Plan goals and actions related to racial equity by:

- Increasing access to economic and other benefits generated by the region’s garbage and recycling system;
- Reducing harms of the system on BIPOC and other underserved communities; and
- Building the capacity of businesses and organizations operating in the system to advance diversity, equity and inclusion.

The list below illustrates some of the ways that applicants could demonstrate a commitment to DEI principles. This list is not exhaustive, and the application provides an opportunity for applicants to describe other DEI-focused actions and practices.

### **Economic benefits**

- Applicant organization or business is owned, led by and/or primarily serves BIPOC individuals and communities.
- Grant will fund COBID-certified (or COBID-eligible) contractors and subcontractors to complete project activities.
- Grant will fund new jobs for BIPOC individuals, particularly those that provide living wages and benefits.
- Grant will fund new measures to recruit, retain and develop career ladders for BIPOC employees.

### **Organizational/business capacity**

- Grant will fund facility or operations improvements to ensure safe and healthy working environments for frontline employees, the majority of which are BIPOC.
- Grant will fund meaningful DEI training opportunities and/or the development of inclusive organizational policies and practices.

### **Community benefits**

- Grant will fund new or expanded culturally-responsive programs and services for BIPOC communities.

This section describes the minimum threshold to be eligible for a grant; it does not ensure a grant will be awarded. The more significantly an applicant demonstrates that the project or program will advance racial equity, the higher the application will be scored and greater the chances of being awarded a grant.

A glossary of equity-related terms can be found in Appendix A.

- Grant will fund investments in the surrounding community by reducing harms (such as odor and noise).
- Grant project will be co-created with community in which it will take place (i.e., community is informing and shaping the work, as well as benefitting from it directly).

### **Inclusive contracting**

- Develop a strategy for hiring BIPOC/COBID-certified contractors and subcontractors.
- Demonstrate that all contracted professional services funded by I&I grant will be paid living and/or prevailing wages for all work on the I&I grant-funded project.

### **Good jobs and inclusive workforce**

- Demonstrate that all workers at grantees' business or organization are paid a living wage and benefits by describing employee compensation structure, healthcare and other benefits provided to employees. Details should include wage scales, annual cost of living adjustments (COLA), healthcare program, vacation and sick time, and any other related benefits or incentives to provide a clear picture of how applicant defines "living wage."
- Demonstrate diversity of the applicant business/organization and project team, as well as any proposed contractors/subcontractors, including race, gender, veteran status and disability, as well as other measures of diversity. Distinguish between staff and management to demonstrate diversity at all levels, not just frontline staff.
- Identify an activity promoting workforce equity, diversity and inclusion within applicant business or organization that will be undertaken if awarded the grant, and explanation of how the results will be reported to Metro. Examples include support for employee resource groups for staff that identify as people of color, LGBTQ, or other marginalized identities, or an accessibility audit or facilities improvements to improve access for staff and customers with disabilities.
- Identify an activity promoting workforce diversity within applicant's local community that will be undertaken if awarded the grant, and explanation of how the results will be reported to Metro. Examples could include partnering with a community workforce/training organization to provide mentoring, technical job shadows or hosting job fairs targeting underserved communities.

## PRIORITY FOCUS AREAS

In the 2022 grant cycle, Metro encourages and will prioritize proposals addressing the three focus areas described below: recycling infrastructure, reuse and repair, and food waste prevention and rescue. These types of projects will automatically be awarded additional scoring points according to the grant evaluation criteria in Appendix B. In addition to the qualifications below, priority focus area projects must also comply with eligibility requirements in the “Minimum Qualifications” section starting on page 4. Projects that don’t fall into one of the priority focus areas still qualify for funding if they meet the minimum qualifications.

*Note: The focus area descriptions are the same in both the capital and program solicitations. Some outcomes and examples will apply more to capital grants than program grants, and vice versa.*

### Recycling Infrastructure

Projects that strengthen and build resiliency into the recycling system that serves residents and businesses in the Metro region, to ensure that materials collected now and in the future are as marketable as possible.

#### Desired outcomes and examples:

- Material Recovery Facilities (MRFs) are set up to maximize effective sorting of recyclables and removal of contaminants, so that the region’s recyclables are clean and can meet the specifications of markets.
  - *Example projects include:* Equipment upgrades and infrastructure improvements that improve the performance of MRFs in sorting and preparing recyclables.
- The local industry of processors of recyclables, and manufacturers of recycled content products can grow and attract new entrants because of a consistent and reliable supply of high quality feedstock.
- Opportunities to increase recovery of materials that are not collected curbside from residents and businesses.
  - *Example projects include:* Depots or collection events located in underserved communities where people can drop materials for recycling or reuse for free.

### Reuse and Repair

Projects that increase the reuse, repair and donation of materials and consumer products. This focus area includes sustaining and expanding the region’s reuse and repair infrastructure that helps residents and businesses extend the lifespan of products and materials already in circulation through effective collection, processing and resale/redistribution.

*Grants for purchase, lease or rent of real property are limited to nonprofit applicants, in this focus area only.*

### Desired outcomes and examples:

- Creation or expansion of markets for reuse, repair and share of electronics, building materials, textiles, bulky waste (mattresses, furniture, etc.) and other high impact products and packaging.
  - *Example projects include:* “Value added” applications of building materials such as repurposing into furniture; Supply chain improvements to allow contractors to order larger quantities of reused dimensional lumber in one place; Replacement of single-use packaging with reusable packaging used to transport or distribute goods for a collaborative/consortium of like business types.
- Build capacity and employment opportunities within the region’s reuse and repair organizations and businesses.
  - *Example projects include:* Coalition building to develop shared strategies and training opportunities (DEI, trauma-informed care, business skills, marketing and cross-promotion, etc.); Specific skills training or pre-apprenticeship courses; Expansion or retrofitting facilities for additional space for processing donations, off-season storage, accessibility improvements and education/workshop spaces.
- Improved customer knowledge, repair skills, and adoption of best practices for extending the lifespans of projects and materials already in circulation.
  - *Example projects include:* Targeted educational and outreach campaigns informed by data to increase the quantity of high-value materials that are kept in use rather than disposed; Projects to reduce barriers to reuse/repair such as language translation to enable greater access to reuse opportunities.

### **Food waste prevention and rescue**

Projects that establish or expand food waste prevention efforts to reduce the amount of food being disposed in landfills or composted.

### Desired outcomes and examples:

- Prevention of food waste from being generated at the source (i.e., before excess food is created).
  - *Example projects include:* Modifications to manufacturing or distribution processes to prevent loss or waste of food; Software applications to support food waste tracking, inventory management and other practices shown to reduce food waste; Creating or expanding education and training to a consortium of chefs and food service staff on food waste prevention practices across multiple food service sites.
- Rescue of high-quality, edible food that would otherwise be disposed, and redistribution of that food in culturally responsive ways to people experiencing, or at risk of experiencing, hunger.

- *Example projects include:* Purchase of refrigerated trucks or other capital equipment to expand transportation and distribution capacity; Technology and program solutions to connect food donors with recovery organizations.
- Creation of value-added food products from surplus food and food byproducts.
  - *Example projects include:* Production of marketable baked goods from spent grains or sauces from produce scraps.

## OVERVIEW OF THE GRANT APPLICATION PROCESS

The proposal process occurs in two stages: a **pre-proposal phase** and a **full proposal phase**.

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

Proposals will be evaluated based on the information submitted by applicants; alignment with the I&I purpose, objectives and review criteria; and the review committee's professional and collective judgment.

### 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 14). For reference, the pre-proposal questions are included in Appendix C. The purpose of a pre-proposal is to provide the review committee with enough information about your proposed project for the committee to determine whether it aligns with the grant program purpose and objectives and meets the minimum qualifications.

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 request that you include with the full proposal a response to specific feedback or questions from the committee.

### Full proposal phase

Metro will accept full proposals only from applicants who are invited to apply based on the success of their pre-proposal. Full proposal requirements are included in Appendix D.

An invitation to submit a full proposal does not guarantee funding. The review committee will evaluate full proposals using the criteria attached as Appendix B to make funding recommendations to the Metro Waste Prevention and Environmental Services Director. During the review process, Metro staff may contact you to ask questions that clarify or elaborate on your proposal.

***The full proposal is included in this handbook in Appendix D so applicants 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.***

### Final award decisions

The Metro Waste Prevention and Environmental Services Director will consider the grant review committee's recommendations and make a final determination on grant awards. The Metro Council will have seven days after notice of the Director's determination to request a briefing or take action to deny or approve the decision, if it so chooses. After completion of the Council notice period (and Council action, if applicable), the award decisions will become final. At that point, all applicants will be notified of the outcome of their proposal.

## PROPOSAL INSTRUCTIONS

### Proposal assistance

During the application period (outlined on page 2), Metro will provide opportunities for assistance with developing your proposal:

- **Optional informational webinar (January 13, noon):** Registration is required; sign up here: [https://us06web.zoom.us/webinar/register/WN\\_L9zpOXh9Rf6zp53cfvT-bA](https://us06web.zoom.us/webinar/register/WN_L9zpOXh9Rf6zp53cfvT-bA). The 60-minute session will be recorded and posted to the grant program website soon after for those unable to attend. Participants will be able to ask staff questions using the Q&A feature.
- **Optional pre-proposal virtual “office hours” (January 25 in the morning):** Metro grant staff will be available to discuss your project specifically and answer questions. Sessions are on a first-come basis and advance registration is required; please sign up for an available 20-minute slot at <https://oregonmetro.wufoo.com/forms/q1cgim80lmon1h/>.
- **Optional full proposal virtual “office hours” (April 12 and 14):** Link to be provided for applicants invited to submit full proposals.

If you are unable to attend the above opportunities, email your questions to [investmentandinnovation@oregonmetro.gov](mailto:investmentandinnovation@oregonmetro.gov) and staff will respond as soon as possible.

### Online proposal

Metro accepts proposals only via the online system [ZoomGrants](#) at [oregonmetro.gov/grants](https://oregonmetro.gov/grants) or directly at <https://www.zoomgrants.com/gprop.asp?donorid=2199&limited=3737>. For your reference, see Appendix C and D for the proposal questions applicants will answer via ZoomGrants.

Within 24 hours of your submission, Metro staff will send an email via ZoomGrants confirming receipt. 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 send an email to [investmentandinnovation@oregonmetro.gov](mailto:investmentandinnovation@oregonmetro.gov).

### Important notes for working in ZoomGrants

- You will need to have a [ZoomGrants account](#) in order to be able to submit an application.
- 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. Remove all formatting (e.g. bullets, hyphens) before pasting into ZoomGrants.
- You may add partners or a fiscal sponsor as collaborators on ZoomGrants. However, only the applicant may submit the proposal.
- For technical support, use the Help button at the top of the ZoomGrants page, access tutorials at [help.zoomgrants.com](https://help.zoomgrants.com), or contact the Help Desk at [Questions@ZoomGrants.com](mailto:Questions@ZoomGrants.com).



## CONTRACTING AND GRANT AGREEMENT

### Grant agreement and insurance requirements

Metro staff will work with successful applicants to enter into grant agreements with Metro. These contracts will outline specific responsibilities and legal obligations of each party, including insurance requirements, reporting and acknowledgements. Please visit the Investment and Innovation document library in [ZoomGrants](#) to review the current grant agreement template. You may also email [investmentandinnovation@oregonmetro.gov](mailto:investmentandinnovation@oregonmetro.gov) to request a copy of the template.

All grant recipients will be required to have the following types of insurance and provide proof of coverage during the contracting phase:

- Commercial general liability insurance covering personal injury, property damage, and bodily injury with automatic coverage for premises and operation and product liability must be a minimum of \$1,000,000 per occurrence. The policy must be endorsed with contractual liability coverage. **Metro, its elected officials, departments, employees and agents must be named as an ADDITIONAL INSURED.**
- Automobile bodily injury and property damage liability insurance. Insurance coverage must be a minimum of \$1,000,000 per occurrence. **METRO, its elected officials, departments, employees, and agents must be named as an ADDITIONAL INSURED.**
- Worker's compensation coverage in compliance with Oregon law.

Please email [investmentandinnovation@oregonmetro.gov](mailto:investmentandinnovation@oregonmetro.gov) if these insurance requirements would present a barrier to your organization or business.

### Payment of grant funds

Capital grant funds are paid out on a reimbursable basis. Metro will hold back 10 percent of each reimbursement request until Metro receives and approves the final report. Grant recipients must spend their grant funds within 24 months of contract signature, unless otherwise agreed to by Metro.

### Evaluating project success

If invited to submit a full proposal, you will be required to describe as concretely as possible, the metrics your team will use to evaluate the impacts of your grant-funded project. If awarded a grant, these metrics will be incorporated into the grant agreement. Grant recipients will be required to report on the project's status, successes and challenges in quarterly progress reports, and on the overall project impacts in a more detailed final report at the end of the grant. If you are awarded a grant, Metro may suggest refinements to your proposed metrics during the contracting phase.

Metro will require capital 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.

## 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 electronically on a Metro server 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/investmentandinnovation](https://oregonmetro.gov/investmentandinnovation), or contact:

### **Suzanne Piluso**

Investment and Innovation program manager

[suzanne.piluso@oregonmetro.gov](mailto:suzanne.piluso@oregonmetro.gov)

(971) 378-3459 (work cell)

### **Laura van der Veer**

Investment and Innovation program coordinator

[laura.vanderveer@oregonmetro.gov](mailto:laura.vanderveer@oregonmetro.gov)

## 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: 2022 I&I CAPITAL GRANT EVALUATION CRITERIA

The grant review committee reviews proposals based on the following criteria. Scoring is intended to help the committees sort and assess proposals to assist the committee deliberation process, but scores do not solely determine the final funding recommendations. Final funding recommendations are made through the committee's deliberations as a group.

| Proposal Review Criteria  | Possible points |
|---|-----------------|
| <p><b>Waste stream, environmental and/or human health impacts</b><br/> <i>Proposal demonstrates <u>one or both</u> of following:</i></p> <ul style="list-style-type: none"> <li>• Project will prevent waste, increase reuse/repair of products, increase recycling, or increase composting of materials that would otherwise be disposed as garbage.</li> <li>• Project will improve environmental and human health impacts of the products manufactured, consumed or disposed in the region.</li> </ul>   | <b>5</b>        |
| <p><b>Equity impacts</b><br/> <i>Proposal demonstrates <u>one or both</u> of following:</i></p> <ul style="list-style-type: none"> <li>• Project will directly benefit people of color or other historically marginalized communities.</li> <li>• Applicant is currently demonstrating a commitment to equity through its workplace practices or community impact, or applicant has identified specific actions it will take during the grant term to build its capacity to advance equity.</li> </ul>  | <b>10</b>       |
| <p><b>Work plan and dependencies</b><br/> <i>Proposal demonstrates <u>all</u> of following:</i></p> <ul style="list-style-type: none"> <li>• Provides complete descriptions and time estimates of the project activities, milestones and deliverables necessary to achieve desired outcomes.</li> <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>10</b>       |
| <p><b>Project budget</b><br/> <i>Proposal demonstrates <u>all</u> of following:</i></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> </ul>  | <b>10</b>       |

|  |                        |
|--|------------------------|
| <ul style="list-style-type: none"> <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>   |                        |
| <p><b>Applicant readiness</b><br/> <i>Proposal demonstrates <u>all</u> of following:</i></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> </ul> | <b>5</b>               |
| <p><b>Evaluation of impacts</b><br/> <i>Proposal demonstrates <u>all</u> of following:</i></p> <ul style="list-style-type: none"> <li>• Proposal clearly describes how progress and impacts will be measured, including specific metrics related to waste reduction, environmental, human health and equity impacts.</li> <li>• Demonstrates likelihood that the project impacts will be sustained after the grant is complete.</li> </ul>   | <b>5</b>               |
| <b>TOTAL POSSIBLE GENERAL EVALUATION CRITERIA POINTS</b>   | <b>45</b>              |
| <p><b>Bonus points for Priority Focus Area projects</b><br/> <i>Proposal aligns with one of the following Priority Focus Areas, as defined in the grant solicitation:</i></p> <ul style="list-style-type: none"> <li>• <b>Recycling infrastructure</b></li> <li>• <b>Reuse and repair</b></li> <li>• <b>Food waste prevention and rescue</b></li> </ul>  | <b>10 (automatic)</b>  |
| <b>TOTAL POSSIBLE SCORE (general evaluation criteria points + bonus points)</b>  | <b>Up to 55 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 - \$500,000)*

**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)
2. Which Investment and Innovation objective(s) will the project advance? Select all that apply from the list below.
  - Reduce harmful environmental and health impacts** by reducing the amount and toxicity of waste associated with products consumed in the Metro region.
  - Advance equity** by creating benefits from the solid waste system for historically marginalized groups including career opportunities, expanded access to waste-related services, and reduced harms from garbage and recycling operations; and by developing the capacity of businesses and organizations in the solid waste system to create more equitable workplaces.
  - Build system resilience** by strengthening, improving and increasing the capacity of the region’s waste prevention, reuse/repair, and material recovery infrastructure and workforce.
  - Catalyze innovation** by encouraging projects that test or expand new strategies.

### Project need and impacts

3. Will the project advance desired outcomes for one of the priority focus areas? If yes, which priority focus area?
  - Recycling infrastructure**
    - Material Recovery Facilities (MRFs) are set up to maximize effective sorting of recyclables and removal of contaminants, so that the region’s recyclables are clean and can meet the specifications of markets.
    - The local industry of processors of recyclables, and manufacturers of recycled content products can grow and attract new entrants because of a consistent and reliable supply of high quality feedstock.
    - Opportunities to increase recovery of materials that are not collected curbside from residents and businesses.
  - Reuse and repair**
    - Creation or expansion of markets for reuse, repair and share of electronics, building materials, textiles, bulky waste (mattresses, furniture, etc.) and other high impact products and packaging.

- Build capacity and employment opportunities within the region’s reuse and repair organizations and businesses.
  - Improved customer knowledge, repair skills, and adoption of best practices for extending the lifespans of projects and materials already in circulation.
  - Food waste prevention and rescue**
    - Prevention of food waste from being generated at the source (i.e., before excess food is created).
    - Rescue of high-quality, edible food that would otherwise be disposed, and redistribution of that food in culturally responsive ways to people experiencing, or at risk of experiencing, hunger.
    - Creation of value-added food products from surplus food and food byproducts.
  - No, the project does not qualify within a priority focus area (but is eligible for I&I funding).
4. Describe how the project will directly address a specific need relating to waste prevention, reuse or repair of products, or material recovery including recycling or composting. Why is meeting this need important to the Metro region? (*maximum 3000 characters*)
  5. Describe the impacts that your project will have on the waste stream, environment and/or human health, if any. Include specific estimates where possible. Only include impacts that can be directly attributed to the project. (*maximum 3000 characters*)

**Examples include:** *Quantity and types of additional material that will be reused, repaired, recycled, composted, or food rescued for donation; Estimates of reduced diesel particulates or toxic air contaminants as a result of the project; Ways that the project will improve working conditions for frontline workers in the garbage and recycling system, including reduced exposure to hazardous dust or materials on sort lines.*

6. How will your project meet the I&I Equity Requirement described on page 8 of the Proposal Handbook? Include any or all of the following that are applicable: (1) how the grant will directly benefit historically marginalized communities; (2) how your organization or business is demonstrating an ongoing commitment to advancing equity at work or in your community; and/or (3) any specific actions your organization or business will take to grow its capacity to advance equity. (*maximum 3000 characters*)

### **Methods and implementation**

7. Describe the specific work that will be accomplished, the methods that will be used, and the timeframe to complete the work to achieve the outcomes you propose. (If invited for a full proposal, you will be required to provide additional detail on project activities and deliverables.) (*maximum 3000 characters*)



### **Dependencies and external factors**

8. 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. (*maximum 3000 characters*)

***Examples include:*** *Securing all required permits/authorizations/approvals; Market development; Staff or contractor availability; Securing financing; Completion of pre-project engineering designs; Securing purchasing material supply agreements.*

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

9. Identify the amount of funding requested from Metro.
10. Required for-profit businesses and university/college applicants; optional for nonprofit applicants: List the anticipated matching funds (sources and corresponding dollar amounts).
11. Identify the total project cost. Describe how the grant request amount fits into your overall plan for funding the project.

### **Miscellaneous**

12. Have you reviewed the Confidentiality section of the Proposal Handbook (page 16) and marked your proposal accordingly, if applicable?  
 Yes  
 No

## APPENDIX D: I&I CAPITAL GRANT FULL PROPOSAL—BY INVITATION ONLY

The full proposal builds on the pre-proposal, and includes the following additional questions, tables and documents:

### **Applicant readiness and sustaining impacts**

13. Describe how the project team has sufficient business planning, management experience and staff resources to ensure that the project is likely to succeed. Include any partners that were involved in developing the proposal or will be involved in implementation. Also include whether your business or organization has successfully completed past projects utilizing external funding. *(maximum 2000 characters)*
14. Explain how the benefits achieved through the project will continue beyond the grant term. How will project outcomes be sustained on an ongoing basis? *(maximum 2000 characters)*

### **Additional detail about markets**

15. If applicable to your project, 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.]. *(maximum 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. *(maximum 10000 characters)*

### **Miscellaneous**

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

- Yes
- No

**Full proposal tables**

**Table 1: Work Plan**

In the table below, describe the project’s major milestones—all of the significant activities 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 Activities<br>Describe primary project tasks, milestones and deliverables | Would I&I grant funding be used to complete this? (yes/no) | Who will complete this task? Include any partners and consultants. | Timeframe<br>month/year - month/year |
|-------------|---|--|--|--------------------------------------|
| 1           | <b>Example:</b> Complete preliminary site layouts/operations plans                | Yes  | Applicant  | 01/20 - 02/20                        |
|             |   |  |  |                                      |
|             |   |  |  |                                      |
|             |   |  |  |                                      |

**Table 2: Evaluation of project impacts**

In the table below, describe how you will evaluate the impacts associated with the project deliverables. How will you know whether your project succeeded in reaching its goals? Focus on impacts directly attributable to the project. Include data and metrics related to waste reduction, environmental and/or health impacts and equity, and be as specific as possible. **See Appendix E for examples of metrics from past grants.**

| Anticipated impacts          | Metric/ data to evaluate the impact |
|------------------------------|-------------------------------------|
| See Appendix E for examples. |                                     |
|                              |                                     |

**Table 3: Matching Contributions—required for for-profit businesses and college/university applicants; optional for nonprofit applicants**

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)

| Section 2: I&I Grant budget  |                       |  |  |
|--|-----------------------|--|--|
|  | GRANT PERIOD ONLY     |  |  |
| PROJECT EXPENSES   | Metro I&I grant funds | Matching funds for I&I grant<br>(100% required for<br>businesses/universities) | Total grant project<br>(I&I grant + match) costs |
| <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 (professional services)</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: Grant budget narrative.</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 document as needed.  |                       |  |  |
| <u>Construction costs:</u> Break down costs in a way that makes the most sense for your project's current design status and cost estimating approach. Include 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 these budget items.  |                       |  |  |
| <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. REFERENCE THE CAPITAL GRANT HANDBOOK TO ENSURE ONLY ELIGIBLE GRANT + MATCH COSTS ARE INCLUDED. |                       |  |  |

## 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 if required**, including documentation showing that the funds identified as match have been approved for use within the grant term. 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 maintaining the grant-funded assets involved in the project.*

### 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 from the stakeholders 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 (I&I) grants have a match requirement that applies to **for-profit businesses and colleges/universities**, 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. There is no match requirement for nonprofit organizations.

### I. Match Requirement

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

### II. General Match Eligibility

The following guidelines outline the requirements for project contributions to be eligible as match for an I&I grant.

1. The contributions must be necessary for, directly related to, and reasonable for the accomplishment of the 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.
3. The matching funds must be spent during the grant term. The “grant term” means within the grant start and end date as set forth in an executed grant contract. In special circumstances Metro may grant a limited exception to this requirement and approve match spent beginning at the date the Waste Prevention and Environmental Services Director makes the final award determination (before the grant contract is executed), on a case-by-case basis.
4. Match expenditures must be reported along with requests for reimbursement of 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 \$50,000 of I&I grant funds, the grantee must demonstrate that \$50,000 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 and made available for review by Metro upon request.

### III. Eligible Match Sources

Expenditures of cash for project-related costs qualify as match for I&I 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 project expenditures on personnel/salaries and related costs, as described in more detail in #6 below.

Acceptable expenditures of match for project-related expenses 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 are not eligible. Personnel and related costs may not exceed 33 percent of the grantee's total identified matching contributions.

Documentation of match expenditures will be submitted to Metro with request for reimbursement of grant funds, on the form provided by Metro.

### 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 term) 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



## APPENDIX F: EVALUATION METRIC EXAMPLES FROM PRIOR I&I GRANTS

| Anticipated deliverables and impacts  | Metric/data to evaluate deliverables and impacts  |
|---|---|
| <b>Environmental Impacts</b>  |   |
| Recover an additional 45 tons of lumber (including increased purchase and resale of large beams by 20 percent or 6.5 additional tons), with resulting reductions in CO2 equivalents | Volume of wood from large beams and percent change over baseline of prior year(s); calculated CO2 reductions based on tons of lumber diverted from disposal during the grant term.  |
| Increased recovery of food rescued for donation   | Pounds and increase in pounds over prior year of donated foods; breakdown of prepared foods vs. grocery items   |
| Increase dry waste recovery rate  | Tons of additional dry waste recovery and change in recovery rate over baseline of prior years  |
| Increase transfer station capacity for yard debris and dry waste  | Tons of capacity for mixed yard debris/food waste and commercial food scraps compared to baseline of prior year; Tons of capacity for dry waste compared to baseline of prior year  |
| <b>Equity Impacts</b>   |   |
| Hire two new employees, with goal of hiring from underserved communities  | Number of jobs created, position description, hourly wages and scheduled hours, regular or temp status, wage/benefits provided, demographics (gender/race/ethnicity) of new hires<br><br>Narrative description of recruiting process and partners |
| Updated employee handbook and other internal policies to address equity, including policies on recruitment, hiring and promotion  | Details on any updates to organizational policies and practices to address equity.  |
| Investments in diversity, equity and inclusion professional development training for staff and management   | Details on DEI trainings for staff and management, including who provided training, information covered, number of staff and managers trained, and follow-up activities (including relevant updates to policies or procedures)                    |
| Hiring and purchasing from COBID-certified firms for materials and contracting.   | Number of firms contracted with during grant term and percentage of which are COBID-certified.  |
| Enhanced culturally responsive services at repair events  | Description of event materials translated into different languages, and description of interpretation services provided.  |