

West Central Missouri Solid Waste Management District

REGION F



FY 2020 DISTRICT E-GRANT APPLICATION, INSTRUCTIONS AND GUIDANCE DOCUMENT

For additional information about the West Central Missouri Solid Waste Management District, visit our web site at

<http://www.MOSWMD-F.com>

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West Central Missouri Solid Waste Management District

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Or

2304 West Broadway #196, Sedalia, MO 65301

Or on the grant due date hand deliver to
802 South Gordon Street, Concordia, MO 64020

(Basement Office)

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1. Before Completing a District Grant Application Things to Know

A. Technical Assistance Available to Assist in Completing Grant Applications

Are you new to the solid waste grant application process and would like help in completing the application? If you would like assistance in completing the grant application or in determining exactly what documents or information you need to submit for a complete application, please feel free to contact the Solid Waste Management District office. District Planner Meghan England or Derrick Standley will be happy to assist you with completing the process. You may reach them via phone at (660) 619-3652 or e-mail at:

dstandley@moswmd-f.com or mhuth@moswmd-f.com

B. Where Does the Money For Grants Come From? What is the Purpose of the District Grant Program?

District grants are funded from the State tonnage fee of \$2.11 charged per ton of solid waste entering landfills in Missouri and by Missouri transfer station hauling waste for disposal out-of-state. (Note: Fees on waste passing through Missouri transfer stations going to in-state landfills are paid by the landfill receiving the waste for disposal.)

A portion of the tonnage fees is allocated via a funding formula to 20 solid waste management districts, whose allocations are divided between funding for their grant program (at least 50%) and funding of their administrative costs and projects to implement a district's long-range plan (up to 50%). Each district is guaranteed a minimum of \$95,000 per year. Districts receiving \$95,000 per year do not have a landfill or transfer station within their area; however, waste is generated by their residents and businesses, so reuse/recovery/recycling programs are needed. The criteria used for distribution of the remaining district funds was revised in 2005 and is now based upon 40% of the funds being distributed based on population of the area served at the last decennial census and 60% based on the tonnage fees collect at landfills and transfer stations within the district.

The purpose of the District Grant program is to provide grant funding to cities, counties, non-profit and other organizations, so they have money available to develop new or make improvements to programs that reduce the generation of solid waste, reuse materials that would have been landfilled, create new markets or improve markets for recovered materials (recycling), or improve the handling of items banned by Missouri law from landfills.

These funds are intended to be given to projects scheduled to become self-sustaining (i.e., able to generate money from the materials) and that result in long-term waste diversion from disposal. State law, the implementing regulations and direction received from the State Government is clear: "The purpose of solid waste management district grants is to fund projects with the maximum impact on waste minimization and to create and sustain

jobs directly related to waste reduction and reuse of materials previously destined for disposal.”

C. What is the Maximum Amount of Funds that May Be Requested for a Project? May a Grant Applicant be offered less than 100% Funding for a Project? Termination due to Lack of Funds or Loss of Appropriation

The District Executive Board does not, currently set a maximum on the amount of grant funding that an applicant may request with one exception. The exception is for market development-recreational equipment projects which are limited to \$20,000 per project. These projects include items, such as: playground equipment, tiles, fencing, signage, flooring, benches, picnic tables and similar items.

The District Executive Board **reserves the right to offer partial awards (i.e., grants of less than 100% of the grant amount requested)** to grant applicants based upon evaluation of the grant submissions and funding available during the grant cycle.

The District Executive Board reserves the right to terminate grant agreements without any obligation or penalty based upon availability or appropriation of funds from the Missouri Department of Natural Resources. Grant recipients will be reimbursed for expenditures incurred through the receipt date of notice of termination.

D. Eligible Grant Applicants and Match Requirements: What are the Local Cash Match Requirements? Is In-kind Allowed to be Used as Match?

i. Eligibility

a. *Who May be a Grant Applicant?*

Eligible applicants include any municipality, county, public institution, not-for-profit organization or other businesses or individuals (sole proprietorships) currently operating within the district boundaries.

Applicants previously receiving district grants are required to list those prior projects on the current grant application request.

b. *Eligible Types of Projects*

The following project categories will be considered for funding:

- Recycling, reuse and recovery processing equipment including, but not limited to, materials processing and manufacturing, hauling equipment or materials collection.

- Feasibility or similar studies including, but not limited to, engineering or consulting costs and laboratory analysis for solid waste industrial enhancements and job creation, limited to 50% of study costs.
- District public education and outreach including, but not limited to, the creation of citizen groups (i.e., advisory committees, student groups, internships and workshops).
- Recreational equipment using recycling materials, limited to \$20,000 per project.

c. *Conflicts of Interest*

Applicants are ineligible to receive district grant funds if they are directly involved in the selection and award of financial assistance under the district grant rule (10 CSR 80-9.050) or have a conflict of interest in the selection and receipt of such assistance. It is the practice of the WCMSWD Executive Board that members must abstain from scoring or voting on a grant when a conflict of interest or the potential for a conflict of interest exists.

ii. Match Requirements

The District Executive Board has established a local “cash” match requirement of 15% for all projects other than feasibility or similar studies.

For feasibility or similar studies, the District Executive Board has established a local “cash” match requirement of 50%; however, the Board reserves the right to waive this match requirement dependent on the district’s specific need for the information from the study in relation to their long-range plan.

In-kind **is not** accepted as match by the District.

a. *Match Percentage*

Grant recipients are required to provide a 15% cash match with the exception of feasibility and other studies. The applicant must document the availability of matching funds through a signed letter of commitment or similar supporting documentation.

Note: The district reserves the right to make exceptions to this requirement on a case-by-case basis, based on the District’s need for the project in relation to the district’s long term plan.

- **Required:** Signage must inform the public of what product was recycled and how its use benefits the environment

- **Encouraged:** Creative facts and calls to action

b. *Match Calculation Methodology*

The easiest way to calculate and verify the amount needed for cash match is the formula below:

Total Project Cost	15% Cash Match Required	Grant Funds that can be Requested
\$25,000	$\$25,000 \times 15\% = \$3,750$	\$21,250

To verify the accuracy of the calculation, add grant funds (\$21,250) + cash match (\$3,750) to get total project cost (\$25,000). Then divide the cash match funds (\$3,750) by the total project cost (\$25,000). The result should indicate 0.15 or 15% of the total project cost.

To verify the accuracy of the match amount:

Total Project Cost	Divided Amount of Cash Match	% of Cash Match
\$25,000	$\$3,750 \div \$25,000 =$	15%

If an applicant is pursuing a project with a total project cost of more than \$50,000, **additional documentation is required** (See District Grant Completeness Checklist).

Total Project Cost	15% Cash Match Required	Grant Funds that can be Requested
\$58,823	$\$58,823 \times 15\% = \$8,823$	\$50,000

As noted above, verify the accuracy of the cash match amount:

Total Project Cost	Divided Amount of Cash Match	% of Cash Match
\$58,823	$\$8,823 \div \$58,823 =$	15%

c. *Feasibility and Other Studies Local Cash Match*

The District Executive Board established a local cash match requirement of 50% for these studies; however, the Board reserves the right to waive this match requirement, dependent on the district's specific need for information from the study in relation to the District's long-range plan.

The District's focus is on implementation of projects to directly impact waste materials being disposed. In order for any study to receive funding from the District, it must be able to show it will directly address a hard-to-recycle material or materials banned from landfilling.

E. What Costs are Eligible for Grant Funds and Can Be Used as Match?

The following list of eligible and ineligible costs will assist the applicant with budget development, an important part of the application process. The District's goal is to develop a sustainable infrastructure for waste reduction and diversion.

i. Eligible costs include, but may not be limited to:

- a. Collection, processing, manufacturing or hauling equipment
- b. Engineering or consulting fees incurred within the project period
- c. Equipment installation cost
- d. Laboratory analysis costs
- e. Planning and implementation of educational forums
- f. Overhead costs directly related to the project
- g. Travel necessary for project completion
- h. Professional services

Costs such as processing fees, hauling fees, salaries, travel and overhead must be justified on a project-by-project basis and be directly required for successful completion of the project. These costs **must be specifically identified** as a line-item in the budget to give sufficient information for the District Board to approve such costs.

ii. Ineligible costs include, but may not be limited to, the following list.

Ineligible costs **are not** to be included in the grant application and **are not eligible** for district grant funding or for use as district grant funding match.

- a. Operating expenses of local and county governments not directly related to approved projects; no salaries eligible
- b. Cost incurred before the project start date or after the project end date
- c. Taxes
- d. Legal Costs
- e. Contingency Funds
- f. Land acquisition
- g. Gifts

- h. Disposal costs (projects that collect solid waste for disposal on a continuous basis are not eligible)
- i. Fines and penalties
- j. Food and beverage for board members, district employees, or sub-grantees
- k. Memorial donations for board members, district employees, or sub-grantees
- l. Office decorations
- m. Lobbying, pursuant to 105.470 RSMo

F. MDNR Scrap Tire Material Grants

An applicant may apply for a grant for the purchase of scrap tire material molded products or playground material. However, the District encourages applicants to apply for scrap tire surface and non-playground material grant funds from MDNR, which has a separate grant program devoted specifically to these types of scrap tire material grants.

Information about the MDNR Scrap Tire Material Grant Program can be found online at:

<https://dnr.mo.gov/env/swmp/tires/tirefinassistance.htm>

2. Filling Out Grant Application Forms and Gathering Supporting Documents

The following forms are required to be completed by all applicants. Some sections will require supporting documents to be attached to complete the grant application package.

A. Grant Application Profile Form

The grant applicant **does not** include a project number on the application. The District will number the grants when opened.

The grant applicant **must** provide a short project name (no more than 50 characters).

1. *Executive Summary*

Provide a scope of work statement in an Executive Summary format (i.e., what will be accomplished by the project), limited to two (2) pages. Describe the project, its objectives, including the physical location of the project, ownership status of the project site and performance measures (i.e., tonnage diverted, citizens served). A narrative explanation of the project's performance measures must be included for use throughout the reporting period if the grant is funded. Both qualitative and quantitative methods are required to measure project success.

Information should include: Applicant introduction; Why is there a need for the project; How will the project be accomplished; Where will the project be located; Who will be served by the project; When and how quickly will the project be implemented and operational; Does this project fit with other projects previously funded by the District; How does this project "fit" into the District's long-term plan?

A worksheet is provided to show the types of materials that may be reported as diverted from disposal. This worksheet mirrors the quarterly reporting requirement.

2. *Miscellaneous Items*

- i. Permits, Approvals, Licenses or Waivers: The grant applicant must review the attestation statement and verify that all applicable federal, state and local permits, approvals, licenses or waivers necessary to implement the project have been obtained or are in the approval process.

Examples: Business licenses, proof of 501(c)(3) status, federal tax ID number, Commercial Driver's License and National Pollutant Discharge Elimination System (NPDES) Clean Water Act permit for compost sites of more than two acres accepting yard waste materials per 10 CSR 20-6.015 (3)(b)(7).

- ii. Zoning: The grant applicant must review the attestation statement related to compliance with zoning requirements and verify that all zoning ordinances are complied with or that compliance will be achieved prior to project start-up.

Example: Compliance letter from the local zoning authority.

3. *Physical Location of Project*

Provide street address, city, state and zip code for the actual physical project location which may be different than the address of the grant applicant. This will allow District and MDNR staff and any auditors to locate equipment and other assets purchased with funds under the grant award.

4. *Work Plan*

Identify tasks required to complete the project and provide a concise description of each task. Number each task as Task 1, Task 2, etc. to allow for easy identification should District staff need to discuss a task with the applicant.

5. *Key Personnel and Qualifications*

Provide a resume or job description for each position, including qualifications of key personnel. Explain the roles of each staff member related to management, operations and technical capabilities. The District Executive Board knows a qualified project manager is essential for success of these projects. Therefore, of specific interest are qualifications and management experience of the project manager.

6. *Project Completion and Grant Reporting Timeline*

Complete the timeline on the form, including a brief description of the task. Show anticipated dates for major planned activities, expenditures, submittal of reports/. A full four quarters of reports are required by the District and MDNR, as well as a final report.

7. *Budget Detail Narrative*

To complete Part 2 of the District Subgrantee or Plan Implementation Budget Form, a brief narrative of the method used to arrive at each of the line item costs and the need for the line item must be provided. Budget line items above certain cost thresholds require additional information and supporting documents, as detailed below. The information on these cost categories is required to be submitted to MDNR for their final approval.

- i. \$3,000 or more: For Cost Categories with a total cost of \$3,000 or more, whether the line item is for one or multiple units, one quote is required to be attached to the application. This quote may be a copy of a catalog page, a website page, an e-mail quote received directly from a vendor or a scanned/faxed copy of quote from a vendor on their letterhead.
- ii. \$25,000 or more: For Cost Categories completed with a total cost of \$25,000 or more, whether the line item is for one or multiple units, one formal quote from a vendor on their letterhead is required to be attached to the application.

B. District Subgrantee or Plan Implementation Budget Form

Complete the Budget Form. A separate instruction sheet is provided.

1. *District Identification*: Fill in the letter “F”.
2. *Project Number*: To be completed by the District.
3. *Project Name*: Fill in the short name entered on the Grant Application Profile Form
4. *Name of Applicant*: Fill in the official name of the grant applicant.
5. *Type of Entity (Non-Profit, Individual, Public Entity or Business)*: Using an X or a √ in the box provided, indicate if the entity is a non-profit, an individual, a public entity or a business.
6. *Mailing address*: List the applicant’s mailing address, including city, state, zip code and county.
7. *Federal Tax ID or Social Security Number*: Fill in the federal taxpayer identification number for a business or entity, or the federally issued Social Security Number for the applicant. The Social Security Number for the applicant may be blacked out on the two (2) copies of the application.
8. *Project Type*: Use an X or a √ in the box provided to indicate if the project is targeted as Waste Reduction (WR), Recycling (RE), Composting (CO), Market Development for Recyclables (MD), Education (EDU) or Plan Implementation (PI).
9. *Performance Measures*:
 - i. Estimated Tonnage Diverted – Fill in the estimated amount of diverted tonnage.
 - ii. Other Quantifiable Measure – Fill in a quantifiable measure for projects that do not generate tonnage i.e., number of students attending a training session.

- iii. Jobs Created – Fill in the number of jobs to be created as a direct result of this project.
- iv. Jobs Retained – Fill in the number of jobs retained as a direct result of this project.
10. *Specific Waste* (white goods, oil, yard waste, tires, household hazardous waste, electronics, etc.): Identify types of waste materials to be diverted by the project.
11. *Project Description*: Provide three (3) sentences to be used to describe the project in future communications to MDNR, the media, the general public and other grant applicants.
12. *Official authorized to sign for the applicant*: Provide the name of the person authorized by the company or governmental entity to sign for the grant applicant.
13. *Title*: Fill in the official title of the authorized official named in Item 12.
14. *Address*: List the mailing address for the authorized official the Department will use to send official notices.
15. - 17. *City/State/ZIP*: List mailing city, state, and ZIP code of the authorized official.
18. - 20. *Telephone/ Fax/ Email* – List the authorized official’s telephone number, fax number and email .
21. *Project manager*: Fill in the name of the project manager in the space provided.
22. *Title*: Fill in the official title of the project manager named in Item 21.
23. *Address*: List the mailing address for the project manager the Department will use to send official notices.
24. - 26. *City/State/ZIP*: List mailing city, state and ZIP code of the project manager.
27. - 29. *Telephone/ Fax/ Email*: List the project manager’s telephone number, fax number and email.
30. *Amount awarded by district*: To be completed by District.
31. *Amount of district match to be provided by applicant*: To be completed by District.
32. *Project start date*: Fill in the official start date of the project, i.e., 30 days from execution of the FAA with the District.
33. *Project end date*: Fill in the official end or completion date of the project.
34. – 37. *Has applicant previously received district grant funding*: In the space provided, list previous district grant funded projects. Include project numbers, dollars awarded, disbursed and carry over for the past five fiscal years.

Part Two – Fiscal Year District Sub-grantee Project Budget

1. *District Identification (A-T)*: Fill in the letter “F”.
2. *Project Number*: To be filled in by the District
3. *Project Name*: Fill in the short name entered on the Grant Application Profile Form and the front page of this form.
4. *Personnel (List each employee)*: Fill in employee’s name, hours and hourly rate, funds requested and total funds, i.e., John Doe, 2,080 hours at \$10 per hour. Attach additional sheets if necessary.
5. *Fringe Benefits*: Fill in fringe benefits associated with employees in Item 4, along with the fringe benefit rate expressed as a percentage, funds requested and total funds. If all employees receive fringe benefits at the same percentage rate, you may list the percentage and a single line containing funds requested and total funds. Attach additional sheets if necessary.
6. *Contractual Services (list each professional service being paid with state grant funds.)*: In the space provided, list any contractual services planned, the requested funds and total funds. Attach additional sheets if necessary.
7. *Equipment*: List equipment to be purchased in the space provided. An equipment definition is available in the General Terms and Conditions.
8. *Supplies*: Using the space provided list supplies to be purchased. Attach additional sheets as needed.
9. *Travel*: List all travel-related expenses. Attach additional sheets if necessary.
10. *Other*: List other items not listed above. Attach additional sheets if necessary.
11. *Total Direct Charges*: List the sum of Items 4 - 10 in the appropriate column, the requested funds, match funds, match-in-kind and total funds to be paid with state grant funds. If using computer fill-in form, these cells will self-fill. **Note: The District does not accept in-kind as match**
12. *Indirect Charges*: In the space provided, list any indirect charges.
13. *Total Budget*: This is the sum of Items 11 plus 12. List the total budget in the space provided. If using computer fill-in form, these cells will self-fill. **Note: The Total Funds column will also self-fill on the computer form.**

. **Preparing and Submitting the Grant Application Package**

A. Completeness Checklist (REQUIRED)

The Completeness Checklist included as part of this guidance document **is required** to be submitted with each grant application. The Completeness Checklist is to be the first document at the front of your grant application submittal. The Checklist **must be** signed and dated by the authorized official attesting that the grant application package is complete and ready for the District's review.

Failure to submit the completed, signed and dated Checklist will result in the application being rejected as incomplete.

B. Supporting Documentation

All grant application packages are evaluated based upon the materials submitted. Throughout this guidance document, reference is made to attaching copies of other documents to ensure the District's Executive Board and MDNR have all the information necessary to fully evaluate the proposed project. Cooperative agreements, detailed letters of support, and clear and concise details of the project will greatly enhance the project's consideration for approval of grant funding.

DO NOT ASSUME the evaluators of the grant application will understand what you are proposing to do, why you are proposing to do it and what the measurable outcomes will be unless you provide facts and documents to support the methods proposed to complete the project.

C. Recycled Content Paper Required When Submitting Original Paper Grant Application

Use of at least a 30% recycled content paper is required for when submitting hard copy grant applications. The applicant is required to provide proof of content with the grant application. (Example: Copy of paper ream wrapper showing recycled content percentage.)

D. Electronic Application Packages Encouraged and Hard Copy Originals Accepted

1. *Electronic application packages* and associated supporting documentation may be submitted via e-mail addressed to:

dstandley@moswmd-f.com or mengland@moswmd-f.com

Those submitting electronic grant application packages will need to request a delivery receipt from their e-mail software application or need to confirm receipt of the application package via a telephone call to the District Planner. **It is the grant**

applicant's sole responsibility to verify receipt of the grant application package by the District.

2. *Original paper application delivery* by mail, hand delivery or via courier service are solely the responsibility of the grant applicant for ensuring that timely delivery by the date and time stated below occurs. Any grant applications received after the stated date and time will not be considered. Applications delayed by mail or courier service shall not be opened or considered, and shall be rejected. Arrangements may be made for their return at the applicant's request and expense. **Postmarks are not accepted as timely delivery or submission.**

The outside of the envelope used to submit the grant application packet should be clearly marked with the following:

GRANT APPLICATION ENCLOSED

Via U.S. postal service or courier service to:
West Central Missouri SWMD
27 Point Hickory Court
Lake Ozark, MO 65049

or

Hand-delivery to:
West Central Missouri SWMD802 South Gordon Street, Concordia, MO 64020
(Basement Office)

E. One Original Grant Application and Supporting Documents Required for Submittal

Applicants submitting other than electronic application packages must submit one (1) original, signed and dated application package along with the associated supporting documentation.

F. Due Date of Grant Application Submittals

Grant applications are due to the address stated below by 3:00 p.m. on September 20, 2019.

G. Evaluation of Grant Applications

Grant applications are evaluated by the West Central Missouri Solid Waste Management District Executive Board and are rated/ranked for award consideration, then sent to MODNR for final approval.

H. Presentation of Grant Proposals and Grant Application Evaluation by Executive Board

The formal review of all grant applications determined to be complete and eligible is planned for the **September 26, 2019 Executive Board Meeting**. Please monitor the District Website for details at <http://www.MOSWMD-F.com>.

The District Executive Board's Meeting is a public meeting and grant applicants are welcome to attend. Dependent on the number and types of grants requested, grant applicants may be requested to present their grant proposal prior to the Board's evaluation. Due to the number of grant applications routinely submitted, each grant overview presentation is limited to five minutes.

I. When May a Grant Recipient Begin Bidding, Ordering and Purchasing Supplies and Equipment or Incurring Other Costs Related to the Grant Award?

Grants are finally approved upon the Missouri Department of Natural Resources notification of their approval to the District.

The grant project cannot begin and costs cannot be incurred until the District's Financial Assistance Agreement with the grant recipient is fully executed (i.e., signed by both parties, the District and the grant recipient's authorized officials).

To determine the status of a grant award, the grant recipient may contact either, Derrick Standley or Meghan England, at (660) 619-3652 prior to spending any grant funds, making matching expenditures or if you have any questions about the project's start date.

4. Responsibilities of Grant Recipients (Reporting and Other Terms and Conditions)

A. Financial Assistance Agreement

After grant award, the district will enter into a financial assistance agreement (FAA) (i.e., contract) with the approved grant recipients. It is important that grant recipients understand all obligations as identified in the FAA and its attachments prior to signing this document. A sample FAA is included for your information (see Attachment 6). Additional Special Terms and Conditions may be added based on the project's scope of work.

Grant funds are allocated by the Missouri Department of Natural Resources to the WCMSWMD for subsequent award to recipients. Approved grant recipients are required to fully comply with the pass-through requirements contained in the Department of Natural Resources' *General Terms and Conditions*. A copy of the Missouri Department of Natural Resources' *General Terms and Conditions* (Exhibit 10) and *Special Terms and Conditions*, if applicable, can be found on MDNR's website at:

<https://dnr.mo.gov/env/swmp/swmd/docs/SWMDTermsandConditions-ATT2GTCFY1706-21-2017.pdf>

B. Reporting and Accountability

Quarterly Reports: Projects receiving financial assistance are required to submit quarterly reports communicating grant performance to the district by the reporting deadlines established in the financial assistance agreement.

The report is required to contain the following, at a minimum:

- a. The volume or weight of waste diversion reported in tons (waste recycled, composted or otherwise diverted from a landfill or incinerator) for each type of material recovered in the project, if appropriate, and jobs created/retained, if applicable, for the quarter being reported.
- b. A brief status of project
- c. Problems encountered in project execution
- d. Summary of expenditures made during the quarter and cumulative amounts for the project
- e. Budget adjustments made within budget categories, with justifications
- f. Amendments to the financial assistance agreement, if appropriate
- g. Other information necessary for proper evaluation of the progress of the project

Final Reports: Further, projects receiving financial assistance are required to submit a final report to the district within twenty-one (21) days of the completion date of the project. The report shall contain the same information as described for quarterly

reports, as well as a comparison of actual accomplishments to the goals established, and reasons why the goals were either not met or were exceeded.

Failure to comply with these reporting requirements may result in the 15% retainage fee being permanently withheld.

Accounting System: The sub-grantee is required to maintain an accounting system in accordance with generally accepted accounting principles. The accounting system must accurately reflect all fiscal transactions, incorporate appropriate controls and safeguards over grant-funded assets and provide clear reference to the project proposal. Accounting records must be supported by source documentation, such as, but not limited to, canceled checks, paid bills, payrolls, time and attendance records, contracts and agreement award documents.

The District requires that a lien be registered with the appropriate state agency on any equipment purchased using more than \$5,000 in district grant funds for any one item. The terms of the liens are described in the sample FAA in Attachment 6. Most equipment liens are registered by filling a UCC-1 form with the Missouri Secretary of State. The UCC-1 may be obtained from the Missouri Secretary of State's Office or via their website at:

<https://www.sos.mo.gov/ucc/forms.asp>

For vehicles (i.e., cars, pick-ups, trailers), a lien on the vehicle's title is required and can be accomplished by filing Form 4809, Notice of Lien, Lien Release, or Authorization to Add/Remove Name From Title with the Missouri Department of Revenue. The Form 4809 may be obtained from the Missouri Department of Revenue or via their Internet website at:

<http://dor.mo.gov/forms/4809.pdf>

Prior to receiving any reimbursement for equipment or vehicles, the grant recipient is required to provide proof of the lien being established to the District.

C. Time Period

The award of grant funds routinely requires reporting of material diversion or other performance measures for a period of four (4) full quarters or twelve months after full implementation of the project. To allow for bidding and receipt of equipment and supplies after project start-up, the District routinely enters into 18-month financial assistance agreements with grant recipients. This allows for all grant activities to be completed within the grant award period without a grant extension being necessary.

An amendment to the financial assistance agreement extending the project period when delays have been encountered or to adjust the budget may be made if properly justified by the sub-grantee and approved by the District's Executive Board. With

justification, grants may be extended up to twenty-four (24) months. The District Executive Board may extend the grant period up to six (6) months beyond the twenty-four (24) months (i.e., a total of 30 months). Any extension beyond thirty (30) months requires both the District Executive Board's approval and MDNR's approval.

Requests for extensions to allow for completion of grant projects must be submitted prior to expiration of the current grant agreement.

D. Expenditure of Funds

Only costs incurred during the project period and contained within the approved budget in the fully executed grant agreement are eligible for reimbursement from the grant award. This means no expenditures may be made or quotes/bids accepted before the start date contained in the grant recipient's Financial Assistance Agreement (FAA) with the District.

Grant recipients are required to obtain bids for all purchases in accordance with 34.040 RSMo. Below are summarized some of the most commonly used sections of these purchasing requirements:

All purchases in excess of three thousand dollars (\$3,000.00) are required to be competitively bid (unless specifically exempted elsewhere in Chapter 34 RSMo).

Purchases of \$0.00 - \$3,000	Does not require competitive bids. (Note: The District encourages obtaining more than one price quote to ensure economical use of grant funds provided.)
\$3,000.01 - \$24,999.99	Requires a minimum of three (3) competitive bids or proposals, but does not require the bid to be advertised.
\$25,000 or more	Requires a formal competitive sealed bid or proposal process, such bid to be publically advertised in at least two newspapers with daily circulation at least five days before such bids are to be opened. Bids may also be solicited by mail or other reasonable method generally available to the public from prospective suppliers.

In order to be reimbursed for items requiring a formal bid, the sub-grantee must submit bid documentation to the District to show

proof that multiple bids were solicited and proper notice was given.

E. Reimbursement

Federal, State and Local Permits, Approvals, Licenses and Waivers:

District grant recipients must demonstrate that all applicable federal, state, and local permits, approvals, license or waivers required by law and necessary to implement the project have been obtained prior to requesting reimbursement from the District. It benefits the grant recipient to file the necessary documentation with the District as soon as possible after the financial assistance agreement is fully executed to ensure timely processing of reimbursement requests.

Grant payments are made on a reimbursement basis only. Reimbursements are made in accordance with the terms of the financial assistance agreement and the policies and administrative rules of the District.

Supporting documentation for eligible expenditures is required and includes, but is not limited to, invoices, contracts, canceled checks, monthly employee time records, mileage records, etc., as appropriate.

Requests for payment must identify the grant recipient's share of matching funds and must include proper documentation of expenditures of such funds.

Reimbursements will be made on a cost share basis as identified in the financial assistance agreement.

If the District is entitled to a lien on a piece of equipment or a vehicle, the **lien must be filed and a copy provided before** any reimbursements are paid for that particular piece of equipment/vehicle.

A copy of proof of insurance for grant-funded equipment/vehicles is required to be provided at the time reimbursement is requested. Proof of insurance **must be** on file at the District prior to any reimbursement of grant funds being provided.

F. Sales Tax Exemption for Recycling Equipment

Any grant recipient not already exempted from sales tax should determine their exemption status for recycling equipment under 144.030.2(4) RSMo. To acquire the necessary tax form 149, or for more information regarding the sales tax exemption, applicants should contact the Technical Support Section of the Tax Administration Bureau of the Missouri Department of Revenue (MDOR) at (573) 751-2836. The form may also be obtained from the MDOR website at:

<http://dor.mo.gov/forms/149.pdf>

The district does not provide interpretation of 144.030.2(4) RSMo and is not responsible for taxes not paid due to misinterpretation of this exemption by a grant recipient.

G. Pass-through of the Federal E-verify Requirement Related to Employment

Pursuant to State law at 285.530 (1) RSMo, as a condition for the award of any grant or subgrant in excess of five thousand dollars (\$5,000), no grantee or subgrantee shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the state of Missouri.

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

E-verify is an electronic program through which employers verify the employment eligibility of their employees after hire. The program was authorized by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA). In short, employers electronically submit information taken from a new hire's Form I-9 (Employment Eligibility Verification Form), passing it through E-Verify to the Social Security Administration and U.S. Citizenship and Immigration Services (USCIS) to determine whether the information matches government records and whether the new hire is authorized to work in the United States.

To be eligible to receive a District Grant, the grant applicant **must submit** E-verify documentation as part of the grant application package for their business entity as explained below.

Pursuant to Section 285.530 RSMo, if the grantee or subgrantee meets the Section 285.525 RSMo definition of a “business entity” included in Exhibit 1, the grantee or subgrantee must affirm the entity’s enrollment and participation in the E-Verify federal work authorization program with respect to employees hired after enrollment in the program proposed to work in connection with the services requested herein. The grantee or subgrantee shall complete applicable portions of Exhibit 2, Business Entity Certification, Enrollment Documentation, and Affidavit of Work Authorization or Affidavit of Work Authorization Annual

Renewal Document: The applicable portions of Exhibit 2 must be completed, notarized, and submitted prior to award of a grant or a contract.

The District requires that grant recipients comply with the requirements of the federal government for use of the free Internet-based E-verify system. This means any

employees, contract workers and business entities that involved with the grant will need to be E-verified.

The following link provides additional information on the E-verify enrollment process:

<http://everify.uscis.gov/enroll>

Exhibit 1
E-Verify Guidelines

Exhibit 1

Sections 285.525 To 285.550 RSMo Guidelines

Revised December 5, 2014

Section 285.530, RSMo, states

1. No business entity or employer shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the state of Missouri.
2. As a condition for the award of any contract or grant in excess of five thousand dollars by the state or by any political subdivision of the state to a business entity, or for any business entity receiving a state-administered or subsidized tax credit, tax abatement, or loan from the state, the business entity shall, by sworn affidavit and provision of documentation, affirm its enrollment and participation in a federal work authorization program with respect to the employees working in connection with the contracted services. Every such business entity shall sign an affidavit affirming that it does not knowingly employ any person who is an unauthorized alien in connection with the contracted services. Any entity contracting with the state or any political subdivision of the state shall only be required to provide the affidavits required in this subsection to the state and any political subdivision of the state with which it contracts, on an annual basis. During or immediately after an emergency, the requirements of this subsection that a business entity enroll and participate in a federal work authorization program shall be suspended for fifteen working days. As used in this subsection, “emergency” includes the following natural and manmade disasters: major snow and ice storms, floods, tornadoes, severe weather, earthquakes, hazardous material incidents, nuclear power plant accidents, other radiological hazards, and major mechanical failures of a public utility facility.
3. All public employers shall enroll and actively participate in a federal work authorization program.
4. An employer may enroll and participate in a federal work authorization program and shall verify the employment eligibility of every employee in the employer’s hire whose employment commences after the employer enrolls in a federal work authorization program. The employer shall retain a copy of the dated verification report received from the federal government. Any business entity that participates in such program shall have an affirmative defense that such business entity has not violated subsection 1 of this section.

5. A general contractor or subcontractor of any tier shall not be liable under sections 285.525 to 285.550 when such general contractor or subcontractor contracts with its direct subcontractor who violates subsection 1 of this section, if the contract binding the contractor and subcontractor affirmatively states that the direct subcontractor is not knowingly in violation of subsection 1 of this section and shall not henceforth be in such violation and the contractor or subcontractor receives a sworn affidavit under the penalty of perjury attesting to the fact that the direct subcontractor's employees are lawfully present in the United States.

DEFINITIONS

Section 285.525, RSMo, provides the following definitions that pertain to sections 285.530 to 285.550, RSMo.

1. A **business entity** is defined as any person or group of persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood. The term "**business entity**" shall include but not be limited to self-employed individuals, partnerships, corporations, contractors, and subcontractors. The term "**business entity**" shall include any business entity that possesses a business permit, license, or tax certificate issued by the state, any business entity that is exempt by law from obtaining such a business permit, and any business entity that is operating unlawfully without such a business permit. The term "**business entity**" shall not include a self-employed individual with no employees or entities utilizing the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.
2. "**Contractor**" is defined as a person, employer, or business entity that enters into an agreement to perform any service or work or to provide a certain product in exchange for valuable consideration. This definition shall include but not be limited to a general contractor, subcontractor, independent contractor, contract employee, project manager, or a recruiting or staffing entity.
3. "**Employee**" is defined as any person performing work or service of any kind or character for hire within the state of Missouri.
4. "**Employer**" is defined as any person or entity employing any person for hire within the state of Missouri, including a public employer. Where there are two or more putative employers, any person or entity taking a business tax deduction for the employee in question shall be considered an employer of that person for purposes of sections 285.525 to 285.550.
5. "**Employment**" is defined as the act of employing or state of being employed, engaged, or hired to perform work or service of any kind or character within the state of Missouri.

6. **“Federal Work Authorization Program”** is defined as any of the electronic verification of work authorization programs operated by the United States Department of Homeland Security or an equivalent federal work authorization program operated by the United States Department of Homeland Security to verify information of newly hired employees, under the Immigration Reform and Control Act of 1986 (IRCA), P.L.99-603.
7. **“Knowingly”** is defined as a person acts knowingly or with knowledge (a) with respect to the person’s conduct or to attendant circumstances when the person is aware of the nature of the person’s conduct or that those circumstances exist; or (b) with respect to a result of the person’s conduct when the person is aware that the person’s conduct is practically certain to cause that result.
8. **“Political Subdivision”** is defined as any agency or unit of this state which now is, or hereafter shall be, authorized to levy taxes or empowered to cause taxes to be levied.
9. **“Public Employer”** is defined as every department, agency, or instrumentality of the state or political subdivision of the state.
10. **“Unauthorized Alien”** is defined as an alien who does not have the legal right or authorization under federal law to work in the United States, as defined in 8 U.S.C. 1324a(h)(3).
11. **“Work”** is defined as any job, task, employment, labor, personal services, or any other activity for which compensation is provided, expected, or due, including but not limited to all activities conducted by business entities.

SOLICITATION REQUIREMENTS

1. Section 285.530, RSMo, pertains, in part, to all state contracts for services over \$5,000. It does not apply to solicitations for commodities only or to solicitations that include services in which the resulting contract will have no cost to the state (even though there may be “value” to the contractor). If a solicitation is for services and commodities, section 285.530, RSMo, applies if the services portion of the solicitation is over \$5,000.

NOTE:

- a. Section 285.530, RSMo, may not pertain to some purchases that will be paid using exempt object codes. It is advised that each agency speak with its General Counsel if it has any questions as to the applicability of section 285.530, RSMo.
- b. Section 285.530, RSMo, does not apply to procurements in which an agency contracts with a Missouri state agency or federal governmental entity. Section 285.530, RSMo, does pertain to procurements in which an agency contracts with a Missouri school, a Missouri university, an out of state agency, an out of state school,

an out of state university, all political subdivisions, an instate vendor, or an out of state vendor.

- c. When renewing a contract that includes section 285.530, RSMo, requirements, state agencies are not required to re-verify that the contractor is currently enrolled and participating in the E-Verify federal work authorization program and has submitted an Affidavit of Work Authorization or Affidavit of Work Authorization Annual Renewal Document completed, signed, and notarized within the past twelve months.
2. **Written Solicitation** – All solicitation documents for services over \$5,000 must include the AFFIDAVIT OF WORK AUTHORIZATION AND DOCUMENTATION bidder language, CONTRACTOR’S PERSONNEL contractor language **with** the additional highlighted language, SUBCONTRACTOR USAGE or SUBCONTRACTOR USAGE – NO PRIOR APPROVAL contractor language **with** the additional highlighted language [NOTE: Include Subcontractor Usage or Subcontractor Usage – No Prior Approval contractor language if awarded contract may include a subcontractor(s).] and the BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION, AND AFFIDAVIT OF WORK AUTHORIZATION EXHIBIT.
3. **Non-Written Solicitation** –Section 285.530, RSMo, needs to be addressed if solicitation for services is over \$5,000. Proceed to **Non-Written Solicitation** under **EVALUATION REQUIREMENTS** below.
4. All SFS solicitation documents for services over \$5,000 must include
 - AFFIDAVIT OF WORK AUTHORIZATION AND DOCUMENTATION bidder language (using contractor in place of the reference to bidder),
 - CONTRACTOR’S PERSONNEL contractor language **with** the additional highlighted language, and
 - BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION, AND AFFIDAVIT OF WORK AUTHORIZATION EXHIBIT

EVALUATION REQUIREMENTS

1. **Written Solicitation** – Review and evaluate bids/SFS company responses to determine if bidders/potential SFS contractors have provided the following with their bids/SFS company responses or through follow-up clarification prior to award:

BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION, AND AFFIDAVIT OF WORK AUTHORIZATION EXHIBIT – The bidder/SFS company must certify their current business status by completing Box A, Box B, or Box C.

Box A Completed:

- a. If bidder/SFS company has completed Box A, the bidder/SFS company has certified that the bidder/SFS company does not currently meet the definition of a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo. By completing Box A, the bidder/SFS company is responsive regarding Section 285.530 RSMo, and is not required to enroll and participate in the E-Verify federal work authorization program, is not required to submit the required E-Verify documentation, and is not required to submit a completed, notarized Affidavit of Work Authorization to be considered for an award.
- b. If awarded a contract and the contractor's business status changes during the life of the contract to become a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo, then the contractor shall, prior to the performance of any services as a business entity under the contract:
 - 1) Enroll and participate in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required in the contract; AND
 - 2) Provide documentation affirming the contractor's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include EITHER the E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the contractor's name and the MOU signature page completed and signed, at minimum, by the contractor and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the contractor's name and company ID, then no additional pages of the MOU must be submitted; AND
 - 3) Complete and submit a notarized Affidavit of Work Authorization.

Box B Completed:

- a. If bidder/SFS company has completed Box B, the bidder/SFS company has certified that the bidder/SFS company does meet the definition of a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo. By completing Box B, the bidder/SFS company must:
 - 1) Enroll and participate in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required in the RFQ/IFB/SFS document; AND
 - 2) Provide documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include EITHER the E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the

bidder's/SFS company's name and the MOU signature page completed and signed, at minimum, by the bidder/SFS company and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the bidder's/SFS company's name and company ID, then no additional pages of the MOU must be submitted; AND

- 3) Complete and submit a notarized copy of the Affidavit of Work Authorization.
- b. If a bidder/SFS company provides the documents stated in paragraphs a2) and a3) above prior to award of a contract, then the bidder/SFS company meets the requirements of Section 285.530 RSMo. NOTE: Confirm notarization on Affidavit of Work Authorization by checking for notary's black ink rubber stamp seal or notary's engraved embosser seal for a State of Missouri notary. If non-Missouri notary, absence of a seal may or may not be an issue. Confirm notary's commission has not expired by checking the expiration date entered on the affidavit or stated in the notary's seal. A copy of a completed, notarized Affidavit of Work Authorization may be accepted.
 - c. If a bidder/SFS company does not provide the documents stated in paragraphs a2) and a3) above prior to award of a contract, then the bidder/SFS company is non-responsive. The bidder/SFS company cannot be considered for award.
 - d. Forward a copy of the E-Verify Employment Eligibility Verification page or the E-Verify MOU signature page and the Affidavit of Work Authorization to the Division of Purchasing and Materials Management (DPMM) via fax at (573) 526-9815 or e-mail at purchase@oa.mo.gov – Attention: Work Authorization Program. The vendor's name and company ID number will be added to the DPMM Internet database located at <http://oa.mo.gov/sites/default/files/affidavits.pdf>. If multiple copies of the affidavit are received for a vendor, the affidavit with the earliest date will be used to establish their annual renewal date.

Box C Completed:

- a. If bidder/SFS company has completed Box C, the bidder/SFS company has certified that the bidder/SFS company does meet the definition of a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo. By completing Box C, the bidder/SFS company has:
 - 1) Enrolled and participated in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required in the RFQ/IFB/SFS document; AND
 - 2) Provided documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation included EITHER the E-Verify Employment Eligibility Verification page OR a page

from the E-Verify Memorandum of Understanding (MOU) listing the bidder's/SFS company's name and the MOU signature page completed and signed, at minimum, by the bidder/SFS company and the Department of Homeland Security – Verification Division; AND

- 3) Completed and submitted a notarized copy of the Affidavit of Work Authorization dated within the past twelve months.
- b. If Box C is completed, check the database located at DPMM's site at <http://oa.mo.gov/sites/default/files/affidavits.pdf> to see if the bidder/SFS company is listed. (A bidder/SFS company listed on the database has provided the required E-Verify documentation and a notarized Affidavit of Work Authorization.). If the bidder/SFS company is listed on the database, document this by signing and recording the date verification of the documentation was completed in the For State Use Only section of Box C. If the bidder/SFS company is not listed on the database, then the documents will need to be requested from the agency noted in Box C. If the agency is unable to supply documentation, the bidder/SFS company must be contacted to provide a copy.
2. **Non-Written Solicitation** – If solicitation is over \$5,000, the BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION, AND AFFIDAVIT OF WORK AUTHORIZATION EXHIBIT must be faxed/mailed to the potential awardee. The potential awardee must be instructed to certify their current business status by completing Box A, Box B, or Box C on the exhibit.

Review BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION, AND AFFIDAVIT OF WORK AUTHORIZATION EXHIBIT submitted by potential awardee to determine if potential awardee completed Box A, Box B, or Box C.

Box A Completed:

- a. If bidder/SFS company has completed Box A, the bidder/SFS company has certified that the bidder/SFS company does not currently meet the definition of a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo. By completing Box A, the bidder/SFS company is responsive regarding Section 285.530 RSMo, and is not required to enroll and participate in the E-Verify federal work authorization program, is not required to submit the required E-Verify documentation, and is not required to submit a completed, notarized Affidavit of Work Authorization to be considered for an award.
- b. If awarded a contract and the contractor's business status changes during the life of the contract to become a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo, then the contractor shall, prior to the performance of any services as a business entity under the contract,:

- 1) Enroll and participate in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required in the contract; AND
- 2) Provide documentation affirming the contractor's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include EITHER the E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the contractor's name and the MOU signature page completed and signed, at minimum, by the contractor and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the contractor's name and company ID, then no additional pages of the MOU must be submitted; AND
- 3) Complete and submit a notarized Affidavit of Work Authorization.

Box B Completed:

- a. If bidder/SFS company has completed Box B, the bidder/SFS company has certified that the bidder/SFS company does meet the definition of a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo. By completing Box B, the bidder/SFS company must:
 - 1) Enroll and participate in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required in the RFQ/IFB/SFS document; AND
 - 2) Provide documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include EITHER the E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the bidder's/SFS company's name and the MOU signature page completed and signed, at minimum, by the bidder/SFS company and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the bidder's/SFS company's name and company ID, then no additional pages of the MOU must be submitted; AND
 - 3) Complete and submit a notarized copy of the Affidavit of Work Authorization.
- b. If a bidder/SFS company provides the documents stated in paragraphs a2) and a3) above prior to award of a contract, then the bidder/SFS company meets the requirements of Section 285.530 RSMo. NOTE: Confirm notarization on Affidavit of Work Authorization by checking for notary's black ink rubber stamp seal or notary's engraved embosser seal for a State of Missouri notary. If non-Missouri notary, absence of a seal may or may not be an issue. Confirm notary's commission has not expired by checking

the expiration date entered on the affidavit or stated in the notary's seal. A copy of a completed, notarized Affidavit of Work Authorization may be accepted.

- c. If a bidder/SFS company does not provide the documents stated in paragraphs a2) and a3) above prior to award of a contract, then the bidder/SFS company is non-responsive. The bidder/SFS company cannot be considered for award. Determine the next potential awardee and proceed to paragraph 2 **Non-Written Solicitation** above.
- d. Forward a copy of the E-Verify Employment Eligibility Verification page or the E-Verify MOU signature page and the Affidavit of Work Authorization to the Division of Purchasing and Materials Management (DPMM) via fax at (573) 526-9815 or e-mail at purchmail@oa.mo.gov – Attention: Work Authorization Program. The vendor's name and company ID number will be added to the DPMM Internet database located at <http://oa.mo.gov/sites/default/files/affidavits.pdf>. If multiple copies of the affidavit are received for a vendor, the affidavit with the earliest date will be used to establish their annual renewal date.

Box C completed:

- a. If bidder/SFS company has completed Box C, the bidder/SFS company has certified that the bidder/SFS company does meet the definition of a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo. By completing Box C, the bidder/SFS company has:
 - 1) Enrolled and participated in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required in the RFQ/IFB/SFS document; AND
 - 2) Provided documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation included EITHER the E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the bidder's/SFS company's name and the MOU signature page completed and signed, at minimum, by the bidder/SFS company and the Department of Homeland Security – Verification Division; AND
 - 3) Completed and submitted a notarized copy of the Affidavit of Work Authorization within the past twelve months.
- b. If Box C is completed, check the database located at DPMM's site at <http://oa.mo.gov/sites/default/files/affidavits.pdf> to see if the bidder/SFS company is listed. (A bidder/SFS company listed on the database has provided the required E-Verify documentation and a notarized Affidavit of Work Authorization.). If the bidder/SFS company is listed on the database, document this by signing and recording the date

verification of the documentation was completed in the For State Use Only section of Box C. If the bidder/SFS company is not listed on the database, then the documents will need to be requested from the agency noted in Box C. If the agency is unable to supply documentation, the bidder/SFS company must be contacted to provide a copy.

VIOLATION OF SUBSECTION 1 OF SECTION 285.530

1. **First Violation** - Upon the first violation of subsection 1 of Section 285.530 by any business entity awarded a state contract or grant or receiving a state-administered tax credit, tax abatement, or loan from the state, the business entity shall be deemed in breach of contract and the state may terminate the contract and suspend or debar the business entity from doing business with the state for a period of three years. Upon such termination, the state may withhold up to twenty-five percent of the total amount due to the business entity. Reference subsection 9 of Section 285.535 RSMo.
2. **Second or Subsequent Violation** – The business entity shall be deemed in breach of contract and the state may terminate the contract and permanently suspend or debar the business entity from doing business with the state. Upon such termination, the state may withhold up to twenty-five percent of the total amount due to the business entity. Reference subsection 9 of Section 285.535 RSMo.

BUSINESS ENTITY DATABASE

The Attorney General shall maintain a database that documents any business entity whose permit, license, or exemption has been suspended or state contract has been terminated. Reference Section 285.543 RSMo.

FEDERAL WORK AUTHORIZATION PROGRAM

E-Verify is a federal work authorization program. Information regarding E-Verify is available at http://www.dhs.gov/files/programs/gc_1185221678150.shtm. A copy of the E-Verify Memorandum of Understanding (MOU) can be viewed at: [http://www.uscis.gov/USCIS/E-Verify/Customer%20Support/Employer%20MOU%20\(September%202009\).pdf](http://www.uscis.gov/USCIS/E-Verify/Customer%20Support/Employer%20MOU%20(September%202009).pdf).

Exhibit 2

Business Entity Certification, Enrollment Documentation and Affidavit of Work Authorization

EXHIBIT 2

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

BUSINESS ENTITY CERTIFICATION:

The bidder/contractor must certify their current business status by completing either Box A or Box B or Box C on this Exhibit.

BOX A:	To be completed by a non-business entity as defined below.
BOX B:	To be completed by a business entity who has not yet completed and submitted documentation pertaining to the federal work authorization program as described at http://www.dhs.gov/files/programs/gc_1185221678150.shtm .
BOX C:	To be completed by a business entity who has current work authorization documentation on file with a Missouri state agency including Division of Purchasing and Materials Management.

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

Note: Regarding governmental entities, business entity includes Missouri schools, Missouri universities (other than stated in Box C), out of state agencies, out of state schools, out of state universities, and political subdivisions. A business entity does not include Missouri state agencies and federal government entities.

BOX A – CURRENTLY NOT A BUSINESS ENTITY

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

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

I certify that I am not an alien unlawfully present in the United States and if _____ (Company/Individual Name) is awarded a contract for the services requested herein under _____ (Bid/SFS/Contract Number) and if the business status changes during the life of the contract to become a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo, then, prior to the performance of any services as a business entity, _____ (Company/Individual Name) agrees to complete Box B, comply with the requirements stated in Box B and provide the _____ (insert agency name) with all documentation required in Box B of this exhibit.

Authorized Representative's Name (Please Print)

Authorized Representative's Signature

Company Name (if applicable)

Date

EXHIBIT 2, continued

(Complete the following if you DO NOT have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the West Central Missouri Solid Waste Management District. If completing Box B, do not complete Box C.)

BOX B – CURRENT BUSINESS ENTITY STATUS

I certify that _____ (Business Entity Name) **MEETS** the definition of a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530.

Authorized Business Entity Representative's
Name (Please Print)

Authorized Business Entity
Representative's Signature

Business Entity Name

Date

E-Mail Address

As a business entity, the bidder/contractor must perform/provide each of the following. The bidder/contractor should check each to verify completion/submission of all of the following:

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

EXHIBIT 2, continued

AFFIDAVIT OF WORK AUTHORIZATION:

The bidder/contractor who meets the Section 285.525 RSMo, definition of a business entity must complete and return the following Affidavit of Work Authorization.

Comes now _____ (Name of Business Entity Authorized Representative) as _____ (Position/Title) first being duly sworn on my oath, affirm _____ (Business Entity Name) is enrolled and will continue to participate in the E-Verify federal work authorization program with respect to employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the West Central Missouri Solid Waste Management District for the duration of the contract(s), if awarded in accordance with subsection 2 of Section 285.530 RSMo. I also affirm that _____ (Business Entity Name) does not and will not knowingly employ a person who is an unauthorized alien in connection with the contracted services provided under the contract(s) for the duration of the contract(s), if awarded.

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

_____ Authorized Representative's Signature	_____ Printed Name
_____ Title	_____ Date
_____ E-Mail Address	_____ E-Verify Company ID Number

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

Signature of Notary

Date

EXHIBIT 2, continued

(Complete the following if you have E-Verify documentation and a current Affidavit of Work Authorization already on file with the West Central Missouri Solid Waste Management District. If completing Box C, do not complete Box B.)

BOX C – AFFIDAVIT ON FILE - CURRENT BUSINESS ENTITY STATUS

I certify that _____ (Business Entity Name) **MEETS** the definition of a business entity as defined in Section 285.525 RSMo, pertaining to Section 285.530 RSMo, and have enrolled and currently participates in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the West Central Missouri Solid Waste Management District. The documentation that was previously provided included the following.

- ✓ The E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the bidder's/contractor's name and the MOU signature page completed and signed by the bidder/contractor and the Department of Homeland Security – Verification Division
- ✓ A current, notarized Affidavit of Work Authorization (must be completed, signed, and notarized within the past twelve months).

Date of Previous E-Verify Documentation Submission: _____

Previous **Bid/Contract Number** for Which Previous E-Verify Documentation Submitted:

(if known)

Authorized Business Entity Representative's
Name (Please Print)

Authorized Business Entity
Representative's Signature

E-Verify MOU Company ID Number

E-Mail Address

Business Entity Name

Date

FOR STATE USE ONLY

Documentation Verification Completed By:

Buyer

Date

Exhibit 3

District Grant Completeness Checklist

2019 District Grant Completeness Checklist

Project No:	Project Title:		
<p>To ensure the district grant application is complete, the following form is required to be completed. Failure to submit this form will result in the grant application being categorized as “incomplete”. Only if you can answer Yes or Not Applicable to all the questions on the form is the grant application complete and ready for submission. This Checklist must be signed and dated by the authorized official submitting the application as the signature is an affirmative attestation in regard to the requirements set forth at Section 2. Miscellaneous Items on the 2019 District Grant Application Profile Form.</p>			
Description	Application Page #	Initials of Applicant	District Verification
<i>WORKSHEET</i>			
Performance Measures Worksheet Total Diversion Estimated from Project is completed. See Exhibit 4.			
<i>FORMS</i>			
Grant Application Profile Form. All items on the form are completed or marked not applicable. See Exhibit 5 and Page 7.			
District Subgrantee or Plan Implementation Budget Form. All items are completed and the form is mathematically accurate. See Exhibit 7 and Page 9.			
<i>SUPPORTING DOCUMENTATION</i>			
Match Commitment Documentation (District required match.) See Page 2.			
E-verify documentation, if the grant applicant is a business entity for federal employment reporting purposes. See Page 20.			
1 Quote for each budget line item \$3,000.01 or over. See Page 9.			
1 Formal Quote for each budget line item \$25,000.00 or over. See Page 19.			
Additional sheets, if needed, to report more Personnel than lines allow on District Subgrantee or Plan Implementation Budget Form			
Other additional sheets, if needed, to report more Contractual Services, Supplies, Travel, or Other lines than allowed on the District Subgrantee or Plan Implementation Budget Form			
Any other document(s) , the grant applicant believes are necessary to complete the grant application.			
Documentation related to use of Recycled Content Paper. See Page 13.			

2019 District Grant Completeness Checklist

Description	Application Page #	Initials of Applicant	District Verification
Information required for Projects totaling \$50,000 or more.			
A. Demonstrate technical feasibility by submitting:			
1.) A preliminary project design; or			
2.) Engineering plans and/or specifications for any facilities/equipment.			
B. Financial report including			
1) A three (3) year business plan. For projects involving recycling and reuse technologies, the plan shall include a market analysis with information demonstrating that the applicant has secured the supply of and demand for the recovered material and recycled products necessary for sustained business activity.			
2) A description of project financing, including projected revenue from the project.			
3) A credit history.			
4) Up to three (3) years previous financial statements or reports.			
2019 District Grant Application Checklist is present, signed and dated.			
<i>GRANT APPLICATION PACKAGE</i>			
Grant application package was received by 3:00 p.m. on September 20, 2019. Package was sealed and appropriately marked "Grant Application Enclosed".	District	District	
Grant application package contains one (1) original, signed and dated grant application or was electronically filed and emailed.			
<i>CHECKLIST</i>			
District Grant Application Checklist is included in grant application package and is signed and dated by authorized official.			

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

Signed: _____

Date: _____

Title: _____

Exhibit 4
Performance Measures Worksheet
Total Diversion Estimated from Project

Use the following worksheet to develop your estimate for waste diversion to be reported for the life of the project. Once the project is fully operational, twelve full months of diversion reporting is required; you may be reporting diversion for a partial month(s).

Type of Waste Diverted	Total Tonnage for Life of Grant Project	Type of Waste Diverted	Total Tonnage for Life of Grant Project	Type of Waste Diverted	Total Tonnage for Life of Grant Project	Type of Waste Diverted	Total Tonnage for Life of Grant Project
Cardboard		Other Paper		Clear Glass		Other Glass	
Newspaper				Brown Glass			
Magazines				Green Glass			
Office Paper				Fluorescent Bulbs/Tubes			
Mixed Paper							
Aluminum		Other Metal		PET #1		Other Plastic	
Food Cans				HDPE			
Non-ferrous				Plastic Film			
Oil Filters				Styrofoam			
Food		Other Organics		Household Hazardous Waste		Waste Oil	
Wood				Electronics		Tires	
Pallets				Construction and Demolition Waste		Commingled Single Stream or Dual Stream	
Textiles				Lead Acid Batteries		White Goods	
				Yard Waste		Other	

Other performance measures to consider dependent on the type of your project:

Estimated Jobs to be Created	
Estimated Jobs to be Retained	
Estimated individuals Attending Training Provided	
Other Measurable Outcome:	

Exhibit 5

2019 Grant Application Profile Form

(Available at <http://www.MOSWMD-F>)

West Central Missouri Solid Waste Management District - Region F
FY 2019 Grant Application Profile Form

Project No:	Project Title:
1. Executive Summary: (Include specific information about the project as well as how the project is Beneficial, who it benefits and the evaluation methods used to quantitatively and qualitatively measure success of the project. Answer within the space provided.)	

West Central Missouri Solid Waste Management District - Region F
2018 Grant Application Profile Form

3. Physical Location of Project:	
Address Line 1:	
Address Line 2:	
City:	
State:	
Zip Code:	
4. Work Plan: Identify project task as task 1, task 2, etc. and provide an explanation of each.	

West Central Missouri Solid Waste Management District - Region F
2018 Grant Application Profile Form

5. Key Personnel and Qualifications: Resumes may be attached or provide below a description of qualifications of key personnel assigned to the project especially the project manager.

West Central Missouri Solid Waste Management District - Region F
2018 Grant Application Profile Form

7. Budget Detail Narrative: For Cost Categories having line items with cost of \$3,000.00 or more, provide a brief explanation of why the item is needed and the methodology used for estimating the cost.

Exhibit 6

Information to Assist in Completing Budget Form

Budget Worksheet

Equipment:

“Equipment” means tangible, nonexpendable, personal property having a useful life of more than one year. Vehicles are always reported as equipment.

For items with an estimated cost of more than \$3,000, one quote/estimate is required. If you communicate directly with the vendor, you should let them know you are requesting the quote for budgetary purposes only. Upon grant award, you will be required to obtain a formal bid from at least three sources prior to equipment purchase.

For items with an estimated cost of more than \$25,000, regardless of whether the line item is for one or multiple units, one formal quote from a vendor on their letterhead is required to be attached to the grant application. If you communicate directly with the vendor, you should let them know you are requesting the quote for budgetary purposes only. Upon grant award, you will be required to competitively bid for purchase of the equipment/vehicle, etc.

Supplies:

“Supplies” means all tangible personal property other than equipment/vehicles, building and building site improvements. No documentation is required for the application unless a line item is estimated to cost more than \$3,000.

For items with an estimated cost of more than \$3,000, one quote/estimate is required. If you communicate directly with the vendor, you should let them know you are requesting the quote for budgetary purposes only. Upon grant award, you will be required to obtain a formal bid from at least three sources prior to purchase of the supplies.

Travel:

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

A maximum rate is set by MDNR each year. The rate in effect from July 1, 2019 through December 31, 2019 is 43¢ per mile. The rate may be found on the Office of Administration's website at:

<https://oa.mo.gov/accounting/state-employees/travel-portal-information/mileage>

Exhibit 7

District Subgrantee or Plan Implementation Budget Form

(Available at <https://dnr.mo.gov/forms/780-1991-f.pdf>)

Exhibit 8

Project Evaluation Criteria

**Evaluation Criteria Pursuant to
10 CSR 80-9.050, Solid Waste Management Fund -- District Grants**

- 1) Conformance with the integrated waste management hierarchy as described in the Missouri Policy on Resource Recovery as incorporated by reference in this rule
- 2) Degree to which the project contributes to community-based economic development
- 3) Degree to which funding of the project will adversely affect existing private entities in the market segment
- 4) Degree to which the project promotes waste reduction, recycling or results in an environmental benefit related to solid waste management through the proposed process
- 5) Demonstrates cooperative efforts through a public/private partnership or among political subdivisions
- 6) Compliance with federal, state, or local requirements
- 7) Transferability of results
- 8) The need for information
- 9) Technical ability of the applicant
- 10) Managerial ability of the applicant
- 11) Ability to implement in a timely manner
- 12) Technical feasibility
- 13) Ability to find adequate feedstock
- 14) Level of commitment for financing
- 15) Type of contribution by applicant
- 16) Effectiveness of marketing strategy
- 17) Quality of budget
- 19) Selected financial ratios

Exhibit 9

Financial Assistance Agreement Example

Exhibit 10

MDNR General Terms and Conditions