

**SOUTHEAST MISSOURI
SOLID WASTE MANAGEMENT
DISTRICT**

**FISCAL YEAR 2020-21
DISTRICT GRANTS
APPLICATION PACKET**

Southeast Missouri Solid Waste Management District
1 West St. Joseph Street
Perryville, Missouri 63775
573-547-9357
573-547-7283 (Fax)

Reduce, Reuse, Recycle...for a better tomorrow!

April 28, 2020



**SOUTHEAST MISSOURI
SOLID WASTE MANAGEMENT DISTRICT
DISTRICT GRANTS PROGRAM**

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INTRODUCTION

Major revisions to Missouri's Solid Waste Management Law (Senate Bill 530) became effective in August of 1990. The intent of this legislation was to provide clear direction to Missourians concerning the solid waste management practices necessary to reach a 40% reduction in the amount of solid waste generated for disposal by 1998.

Pursuant to Section 260.305.1 *Revised Statutes of the State of Missouri (RSMo)*, the Southeast Missouri Solid Waste Management District was created and officially recognized by the Missouri Department of Natural Resources on June 18, 1992.

In accordance with state law, the Missouri Department of Natural Resources (MDNR) has authorization to provide grant funds to each of the officially designated Solid Waste Management Districts for the utilization and funding of solid waste management projects.

A major provision included in Senate Bill 530 was the creation of financial incentives designed to stimulate resource recovery within the State. The source of these funds is a per ton tipping fee levied on solid waste sanitary landfills and transfer stations and a per ton tipping fee on demolition landfills. This fee is adjusted according to the cost of living. The Solid Waste Management Fund was created to receive these fees. The fund is being administered by the Missouri Department of Natural Resources' Solid Waste Management Program (Appendix V).

Award of any grant funds is dependent upon the appropriation of funds by the legislature of the State of Missouri and approval of the transfer of funds and authorization for the projects by the Missouri Department of Natural Resources' Solid Waste Management Program to the Southeast Missouri Solid Waste Management District.

GENERAL INFORMATION

STATEMENT OF AUTHORITY

The authority to provide District Grants from the Southeast Missouri Solid Waste Management District is in accordance with Section 260.335.2(3) and (4), *Revised Statutes of Missouri (RSMo)*.

The requirements and the evaluation criteria developed for this packet were based on the administrative rule, 10 CSR 80-9.050. Copies of the Missouri's Solid Waste Management Law are available from:

Missouri Department of Natural Resources
Solid Waste Management Program
P.O. Box 176
Jefferson City, Missouri 65102
(573) 751-5401

Or via the internet at –

www.moga.mo.gov to reach the Missouri General Assembly
use the “Missouri Revised Statutes” link
to see the relevant statutes.

www.sos.mo.gov to reach the Missouri Secretary of State's Office
use the “Administrative Rules” link
and then the “Code of State Regulations” link
to find the relevant administrative rules.

ELIGIBILITY

Grant monies will only be available for projects which will be included in the updates to the Southeast Missouri Solid Waste Management District's solid waste management plan. No grant funds will be made available for incineration without energy recovery or solid waste disposal area projects.

Proposed projects should be in conformance with the integrated waste-management hierarchy as described in the Missouri Policy on Resource Recovery (Appendix VI). The following project categories have been identified by the Missouri Department of Natural Resources. These projects were based upon 10 CSR 80-9.040.2C), the regulation which administers Section 260.225(5) RSMO:

Waste Reduction Projects:

Waste Reduction
Information on Waste Reduction
Research and Development and Waste Reduction

Recycling Projects:

Collection/Processing
Composting

Information on Recycling
Recycling Marketing
Market Development
Research and Development on Recycling

Projects that are awarded financial assistance from this fund are to work toward implementing Missouri's Policy on Resource Recover (Appendix VI). This, in turn, will help the State achieve its goal to reduce the amount of waste generated for disposal by 40% in weight.

TIME LINE

4/28/2020	Written notice to all governing officials of each county and city with a population over 500 and publication in the officially designated newspaper for public notices for every county and city with a population over 500 within the District.
4/28/2020 – 6/5/2020	Grant Call. Applications must be received at the Solid Waste Management District Office, 1 West St. Joseph Street, Perryville, Missouri 63775 between these dates and the final application deadline at 5:00 p.m. on June 5, 2020
Fourth Week of June 2020	Review of grant applications by the District Staff and the Proposal Review Committee and recommendations made to the Solid Waste Management District membership for funding.
6/23/2020	SWMD Board decision
July/August 2020	District grant applications submitted to MDNR SWMP.
September 1 –	Missouri Department of Natural Resources – Solid Waste Management program receives signed District Grant Agreements and begins disbursement of district grant funds to districts which have submitted all required project documentation per 10 CSR 80-9.050; are in compliance with all requirements of 10 CSR 80-9 and Sections 260.325 and 260.335, RSMo; and have submitted properly executed invoices and financial assistance agreements between the District and the subgrantees.

APPLICATION PROCESS

Potential applicants should review the District's "Targeted Materials List" (Appendix III). If there are questions applicants are invited to discuss their proposals with the District's officers or administrative staff. A list of the District Officers and staff is provided in Appendix IV.

Applicants are ineligible if they are directly involved in the selection and award of financial assistance under the administrative rule, 10 CSR 80-9.050, or have a conflict of interest in the selection and receipt of such assistance. For the purpose of this application, a conflict of interest occurs when an applicant's employee, spouse or partner participates in the selection, award or administration of financial assistance under 10 CSR 80-9.050, and receives an award, contract, gratuity or favor from such participation.

REQUIRED PROPOSAL CONTENT AND SUPPORTING DOCUMENTS

In order to comply with the regulations and laws of the State of Missouri, the Southeast Missouri Solid Waste Management District requires that the following information be included in all proposals submitted for funding. All applications are to address the following headings. In order to facilitate the review process, it is **required** that all proposals be submitted in the following order:

1. **Application Form, Profile Sheet and Checklist (Appendix I).**

Complete the Application Form, Profile Sheet and Checklist and place it at the beginning of your proposal.

2. **Estimate of Costs**

Complete a budget using the Budget Summary (Appendix II) and place immediately after the Checklist in your proposal. Subheadings may be adjusted to suit your specific proposal. Itemize the estimated costs for conducting the project. Costs shall be provided for all major planned activities or purchases and shall be supported by written documentation showing how each cost estimate was determined. The budget should include a column showing the amount of funds that the applicant is committing toward the various line items, the amount of funds being requested from the Solid Waste Management District for each line item and the total amount of funds required for each line item.

3. **Executive Summary**

An executive summary of the project objectives and the problem to be solved. **This requires sufficient narrative to fully describe the proposed project.**

4. Site Location

The location of the project, to include the name of the county; if within the corporate boundaries of a city, the name of the city; the street or road location (i.e., 821 Elm Street, County Road 854, etc.). Ownership status of the project site shall also be included under this heading.

5. Workplan and Personnel

A workplan which identifies each of the project tasks, the key personnel that are to be involved with the project and their qualifications to manage the project and their experience in solid waste recycling is required. This information shall be sufficient to determine what the project tasks are to be and a workplan to accomplish these, along with sufficient information on the key personnel and their qualifications. Detailed resumes must be included with the proposal for the key personnel to be involved. The resumes must include the individual's experience, training and capability in solid waste management/recycling.

6. Time Line Graph

A time line graph showing planned dates for individual project tasks, major planned activities and expenditures, and submittal of quarterly reports and the final report. List all project tasks below the graph in order of occurrence with a narrative explanation. A sample time line graph is included on page 8. On page 9 there is a graph form that you may use. It is not necessary to generate the graph by computer or have it professionally prepared; however, it must be readable and understandable.

7. Verification of Permits, Approvals, Licenses or Waivers

Verification that all applicable federal, state and local permits, approvals, licenses or waivers necessary to implement the project have been obtained or applied for and will be obtained prior to an award. (If you are not sure if a permit is required, call the MDNR Solid Waste Management Program staff at (573) 751-5401.) This shall include, in the case of existing transfer stations or landfill sites, copies of existing permits, providing that the project being proposed does not violate the permit that has been issued. Letters and copies of applications for other required approvals and licenses shall be included. Also, a written statement guaranteeing that the permits will be received prior to initiating any project action must be signed and submitted to the Solid Waste Management District, if a permit is required.

8. Project Evaluation Procedures

A Project Narrative must be included describing the proposed project in sufficient detail to allow a review of the project by a proposal evaluation committee without relying on an in-person presentation. This should include a narrative description of the evaluation procedures to be used throughout the project to quantitatively measure the success of the project.

9. Commitment Documentation

The District requires that applicants for recycling project funds provide a minimum of twenty-five percent (25%) in local match for the District funds.

Documentation that shows a commitment for the match must be included. A letter signed by the highest elected official of the county or city or the president of the corporation or school district must be submitted on the entity's letterhead with an original signature in **blue ink** verifying that the funds are committed in an approved budget, readily available, and will be expended as a part of the project. The budget that the funding is committed within must be cited, along with the dates that the budget is in effect.

If "in kind" match is proposed a description must be included identifying what match is proposed and how it will be documented.

10. Supporting Documents

The following supporting documents for projects involving grant allocations over \$20,000 are required:

- A. To demonstrate technical feasibility, a preliminary project design, engineering plans and specifications for any facilities and equipment required for a proposed project.
- B. If the project is proposed by a private firm or individual, a financial report including:
 1. A three year business plan, and for projects involving recycling and reuse technologies, the plan shall include a market analysis with information demonstrating that the applicant has secured the supply of and demand for recovered material and recycled products necessary for sustained business activity;
 2. A description of project financing, including projected revenue from the project;
 3. A credit history;

4. Up to three years' previous financial statements or reports.

11. Confidential Business Information and Availability of Information

Any person may assert a claim of business confidentiality covering a part or all of the information by including a letter in the proposal which requests protection of specific information from disclosure. Confidentiality shall be determined or granted in accordance with Chapter 610, *Revised Statutes of the State of Missouri*. However, if no claim accompanies the proposal when it is received by the District, the information may be made available to the public without further notice to the person submitting it.

Sample Time Line Graph

Month	1	2	3	4	5	6	7	8	9	10	11	12	13+
Task 1													
Task 2													
Task 3													
Task 4													
Task 5													
Task 6													
Task 7													
Task 8													
Task 9													
Task 10													
Task 11													
	Project Elapsed Time (in months)												
Description of nature of each task (be specific)													
Task 1:	Prepare final bid specs.												
Task 2:	Solicit/Review/Accept bid.												
Task 3:	Installation and shakedown												
Task 4:	Quarterly Reports												
Task 5:	etc												
Task 6:	etc												
Task 7:													
Task 8:													
Task 9:													
Task 10:													
Task 11:													

Time Line Graph

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

Project Elapsed Time (in months)

Description of nature of each task (be specific)

Task 1:	
Task 2:	
Task 3:	
Task 4:	
Task 5:	
Task 6:	
Task 7:	
Task 8:	
Task 9:	
Task 10:	
Task 11:	

SUBMITTAL OF APPLICATIONS

- Deadline Time and Date:** June 5, 2020 at 5:00 p.m.
- Number of Copies:** The original and nine (9) copies of the entire application and supporting documents must be submitted. Facsimiles are not acceptable.
- Signature and Date:** Be sure that the application is signed and dated, in the area provided, by the highest ranking official of the organization. Signatures must be in BLUE INK.

Mail or deliver your application to:

Southeast Missouri Solid Waste Management District Grants Program
c/o Southeast Missouri Regional Planning Commission
1 West St. Joseph Street
Perryville, Missouri 63775
(573) 547-9357

Applications received after the above deadlines shall be returned to the applicant and shall not be considered for funding. The envelope shall have the following notation:

SWMD Application Enclosed.
Attn: Rebecca Pecaut, Program Manager

PROPOSAL REVIEW COMMITTEE AND EVALUATION

For all applications received by the deadline, the Proposal Review Committee of the Board will determine the eligibility of the applicant, the eligibility of the proposed project, the eligibility of the costs defined in the proposal, and the completeness of the proposal.

If the Proposal Review Committee determines that the applicant or the project is ineligible or incomplete, the Board will reject the proposal and notify the applicant.

The Proposal Review Committee will evaluate each proposal that is determined to be eligible and complete. The evaluation method will include the following criteria as appropriate per project category:

- A. Conformance with the Solid Waste Management hierarchy as described in the Missouri Policy on Resource Recovery (Appendix VI);
- B. Conformance with the District Targeted Materials List (Appendix III);
- C. Degree to which the project contributes to community-based economic development;
- D. Degree to which the project promotes waste reduction or recycling through the proposed process;

- E. Compliance with federal, state or local requirements;
- F. Transferability of results;
- G. Technical ability of the applicant;
- H. Managerial ability of the applicant;
- I. Ability to implement in a timely manner;
- J. Technical feasibility;
- K. Level of commitment for financing;
- L. Type of contribution by applicant;
- M. Quality of budget;
- N. Past performance on District grants (timeliness of reports, completion of project by deadline, and provision of appropriate and complete documentation).

APPROVED PROJECT STIPULATIONS

ELIGIBILITY OF COSTS

All costs must be specified on the budget sheets and major expenditures must be shown in the timetable.

Eligible costs include (but may not be limited to):

- A. Collection, processing, manufacturing or hauling equipment;
- B. Materials and labor for construction of buildings;
- C. Engineering or consulting fees;
- D. Salaries directly related to the project;
- E. Equipment installation costs including installation, freight or preparation of the equipment;
- F. Development and distribution of informational materials
- G. Planning and implementation of education forums, including, but not limited to workshops;
- H. Travel necessary for project completion;
- I. Overhead costs directly related to the project;
- J. Laboratory analysis costs.

Ineligible Costs include:

- A. Operating expenses, such as salaries and expenses that are not directly related to the project activities;
- B. Costs incurred before the project start date or after the project end date;
- C. Taxes;
- D. Legal costs;
- E. Contingency funds;
- F. Land acquisition.

10 CRS 80-9.050(1)E)1, allows land acquisition costs only as match for district grants.

ACCOUNTABILITY

Recipients of financial assistance will be required to maintain an accounting system according to generally accepted accounting principles that accurately reflects all fiscal transactions, incorporates appropriate controls and safeguards, and provides clear references to the project proposal. Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contracts, and agreement award documents. The submission of an approved audit, which includes any funds granted by the Southeast Missouri Solid Waste Management District, may be required. This can be a comprehensive audit which includes grant funds awards by the Southeast Missouri Solid Waste Management District.

Records will be maintained which will reflect the following information to be submitted to the SEMO Solid Waste Management District on a quarterly basis:

- A. The details of progress, including the volume of waste disposal abatement for each type of recovered material utilized in the project, if appropriate;
- B. Problems encountered in project execution;
- C. Budget adjustments made within budget categories, with justifications; (Changes of budget or scope of project require prior approval of the SEMO SWMD Executive Committee.)
- D. Other information necessary for proper evaluation of the progress of the projects.

FINANCIAL ASSISTANCE AGREEMENT

All District grant awards are subject to the appropriation process. The department of Natural Resources' Solid Waste Management Program cannot guarantee funding of a District approved project after the close of the fiscal year in which the project was approved.

Before awarded funds are distributed to an applicant, the applicant will do the following:

- A. Obtain all applicable federal, state and local permits, approvals, licenses or waivers required by law and necessary to implement the project; and
- B. Enter into a financial assistance agreement issued by the District which is consistent with the Missouri Department of Natural Resource's terms and conditions.

APPENDICES

- I. District Grant Application Form, Profile Sheet and Checklist
- II. Budget Summary
- III. Southeast Missouri Solid Waste District Targeted Materials List
- IV. District Grant Contact List
- V. Missouri Department of Natural Resources Financial Assistance Program
- VI. Missouri Policy on Resource Recovery
- VII. Evaluation Criteria Score Sheet
- VIII. Missouri Department of Natural Resources Guidelines for Planning Information Activities
- IX. Special Terms and Conditions-District Grants
- X. Department of Natural Resources-General Terms and Conditions

APPENDIX I

**Southeast Missouri
Solid Waste Management District
District Grants Program
FY2020-21**

**APPLICATION FORM
(Place at the front of your packet)**

I. Project Information.

1. Name of Project: _____
2. Type of Project: _____
3. Project Description: _____
4. Indicate any other affiliated federal, state or local agencies funding this project: _____

II. Applicant Profile

1. Legal Name of Business or Organization: _____

Tax Identification No.: _____
Mailing Address: _____
City: _____ Zip: _____
Phone: _____ Fax: _____

2. Name of Authorized Official: _____
Official Title: _____
Address: _____
City: _____ Zip: _____
Phone: _____ Fax: _____

3. Type of Applicant:
____ Individual
____ Business
____ Public Entity or Institution
____ Non-Profit Organization (include legal status documentation)

4. Project Manager: _____

The Project Manager must be an official or an employee of the applicant).

Address: _____

City: _____ Zip: _____

Phone: _____ Fax: _____

Email: _____

5. This project is (check one):

_____ A new business or undertaking

_____ An expansion of a current business or organization

_____ A completely new venture for an existing business or organization

_____ Other (explain): _____

III. Recovered Materials

1. Type and amount of waste material(s) currently being recovered annually:

Material	Amount (pounds or tons)
_____	_____
_____	_____
_____	_____

2. Source of recovered materials used by proposed project (Check all that apply)

_____ Post-consumer

_____ Post-industrial

_____ Internal

Signature of Highest Official
SIGN ORIGINAL IN BLUE INK ONLY

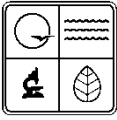
Date

**Missouri Department of Natural Resources
Division of Environmental Quality
Solid Waste Management Program**

FISCAL YEAR 2020-21 DISTRICT GRANT APPLICATION CHECKLIST

Before submitting a district payment request, you **MUST** complete this form. Only if you can answer YES to all questions on this form regarding subgrantee application content should it be submitted to the department for approval.

For All Funded Projects	Yes	District Personnel Verification Initials
1. Applicant Profile sheet		
2. Executive Summary		
3. Location of Project (physical, mailing addresses)		
4. A Work Plan or Scope of Work identifying: a) project tasks and descriptions (directly related to the project intent), b) main key personnel involved in the project, and c) project manager's qualifications (why this person is qualified to manage the project)		
5. Line-item budget (independent support of items \$5000 and over total cost)		
6. Intent or verification of Permits, Approvals, Licenses, Waivers, Titles and UCC-1		
7. Match Commitment Documentation (if applicable)		
8. An Evaluation Procedure describing both quantitatively and qualitatively how the success of the project will be measured.		
9. Additional Information for Projects over \$20,000 a) Demonstrate technical feasibility 1) A preliminary project design or 2) Engineering plans and/or specifications for any facilities and 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 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		
10. Applicant certified all information was true and conforms to the application Requirements		
11. Authorized applicant official signature		

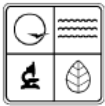


State of Missouri
 Missouri Department of Natural Resources
 Solid Waste Management Program

DISTRICT GRANT SUBGRANTEE PROFILE AND PLAN IMPLEMENTATION FORM

SOLID WASTE MANAGEMENT DISTRICT District R		PROJECT NUMBER	PROJECT NAME		
NAME OF APPLICANT			FEDERAL ID OR SOCIAL SECURITY NUMBER		
ADDRESS (STREET, CITY, STATE, ZIP, COUNTY)			TYPE OF ENTITY (NON PROFIT, PUBLIC ENTITY, INDIVIDUAL, BUSINESS) <input type="checkbox"/> NON- PROFIT <input type="checkbox"/> INDIVIDUAL <input type="checkbox"/> PUBLIC ENTITY <input type="checkbox"/> BUSINESS		
PROJECT INFORMATION					
Project Type <input type="checkbox"/> WR <input type="checkbox"/> RE <input type="checkbox"/> CO <input type="checkbox"/> MD <input type="checkbox"/> EDU					
Estimated Tonnage Diverted			Specific Waste (white goods, oil, yard waste, tires, household hazardous waste, electronics, etc.)		
BRIEFLY DESCRIBE SERVICES OR DUTIES IMPLEMENTED WITH THIS PROJECT AND ATTACH EXECUTIVE SUMMARY AND TASKS FROM APPLICATION.					
APPLICANT INFORMATION					
Official authorized to sign for the applicant			Project manager		
Title			Title		
Address			Address		
City	State	ZIP	City	State	ZIP
Phone		Fax		Phone	
Phone		Fax		E-mail	
E-mail			E-mail		
Amount awarded by district:			Amount of district match to be provided by applicant:		
Project start date			Project end date		
HAS APPLICANT PREVIOUSLY RECEIVED DISTRICT GRANT FUNDING? List project number(s) and awarded/dispensed/carryover amount(s).					
Project Number	Funding Awarded (\$)		Dispensed		Carryover

MO 780-1991 (06-08)



District Grant Subgrantee Profile and Plan Implementation Budget Application Instructions for Form 780-1991

Solid Waste Program fact sheet

7/2008

Solid Waste Management District

In the first row of the form fill in the official name of the public Solid Waste Management District. The department recommends the official name of the district appear on each document submitted.

Project number

List the number assigned to the project being reported on this form.

Project name

Fill in the name assigned to the project being reported on this form.

Name of Applicant

Fill in the official name of the subgrantee.

Federal 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 in the space provided.

Mailing address

List the mailing address for the applicant including the city, state and ZIP code.

Type of Entity (Non-Profit, Public Entity, Individual Business)

Use an X to indicate if the entity is non-profit, individual, public or business.

Project Information, Project Type

Use an X to indicate if the project is targeted as Waste Reduction (WR), Recycling (RE), Composting (CO), Marketing Development for Recyclables (MD) or Education (EDU).

Estimated Tonnage Diverted

Fill in the estimated amount of tonnage to be diverted by the project.

Specific Waste (white goods, oil, yard waste, tires, HHW, electronics, etc.)

Describe the waste that will be diverted by the project.

Briefly describe services or duties implemented with this project and attach executive summary and tasks from the application.

In the space provided, or on a separate sheet of paper, describe services or duties to be implemented by this project. Also, attach an executive summary.

Applicant Information

Official authorized to sign for the applicant

Provide the name of the person designated to sign for the grant applicant.

Project manager

Fill in the name of the project manager.

Title

Fill in the official title of the authorized official and the project manager named in the boxes above.

Address

List the mailing address for the authorized official or project manager. The department will use this information to send official notices concerning the project.

City/State/ZIP

List the authorized official and project manager's mailing city, state and ZIP code.

Phone/ Fax/ E-mail

Please list the phone number, fax number and e-mail where the authorized official and project manager may be reached.

Amount awarded by district

Fill in the amount of funds to be awarded by the Solid Waste Management District for the project.

Amount of district match to be provided by applicant

Fill in the amount of funds the applicant will provide as match for the project.

Note: The project start and end date should coincide with the dates shown on the original financial assistance agreement.

Project start date

Fill in the official starting date of the project.

Project end date

Fill in the official ending or completion date of the project.

Has applicant previously received district grant funding?

List project number(s) and awarded/disbursed/carryover amount(s).

List project numbers, funding awarded in dollars, disbursed and carried over. You may attach additional sheets

Part Two - Fiscal Year District Subgrantee Project Budget

1. Personnel – (List each employee.)

Using the example provided on the form, fill in the employee's name, the funds requested and total funds. Attach additional sheets if needed.

2. Fringe Benefits

Fill in the fringe benefits associated with the employees in Item 1, and the funds requested and total funds. Attach additional sheets if needed.

3. Contractual Services (list each professional service being paid with state grant funds.)

Using the spaces provided, list any contractual services planned, the requested funds and total funds. Attach additional sheets if needed.

4. Equipment

List equipment to be purchased. A definition of equipment may be found in the General Terms and Conditions.

5. Supplies

List supplies that planned to be purchased. Attach additional sheets if needed.

6. Travel

List all travel related expenses to be paid for. Attach additional sheets if needed.

7. Other

List all other items not listed above. Attach additional sheets if needed.

8. Total Direct Charges

List the sum of each item 1-7 in the appropriate column. Requested Funds, Match Funds, Match-in-kind and Total funds to be paid for with state grant funds.

9. Indirect charges

In the space provided, please list any indirect charges. Attach additional sheets if needed.

10. Total Budget

List the total budget. This is the sum of 8 plus 9.

For More Information

Missouri Department of Natural Resources

Solid Waste Management Program

P.O. Box 176

Jefferson City, MO 65102-0176

573-751-5401, 573-526-3902 fax

www.dnr.mo.gov/env/swmp/index.htm

Appendix II

Missouri Department of Natural Resources Division of Environmental Quality Solid Waste Management Program

FISCAL YEAR 2020-21 BUDGET

Project Budget:	Requested Funds	Match Funds	Match In-kind	Total Funds
1. Personnel (list each employee paid with state grant funds)				
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
2. Fringe Benefits				
	\$	\$	\$	\$
3. Contractual Services (list each professional service being paid with by state grant funds)				
	\$	\$	\$	\$
	\$	\$	\$	\$
4. Equipment (list equipment to be purchased with state grant funds)				
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
5. Supplies				
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
6. Travel				
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
7. Other (list all other items to be paid with state grant funds)				
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$
8. Total Direct Charges (sum 1. – 7.)				
	\$	\$	\$	\$
9. Indirect Charges				
	\$	\$	\$	\$
TOTAL BUDGET (sum of 8. plus 9.)				
	\$	\$	\$	\$

*Must have a minimum of twenty-five percent (25%) in local cash as match for the District funds

An electronic version of the District Grant Subgrantee Profile and Plan Implementation Form and the Budget form is available at

<http://www.dnr.mo.gov/forms/780-1991-f.pdf>.

Under the “District Grant Forms” section select District Grant Application Form. Form-MO 780-1991 (05/12) for a fill-in .pdf Document. This form includes both the Subgrantee Profile and the Budget. Instructions are available in a “pdf” format.

APPENDIX III

Southeast Missouri Solid Waste Management District Adopted April 24, 2012

Targeted Materials List

- 7 points – The project reduces or recycles material(s) listed 1 through 5 on the District's Targeted Materials List.
- 5 points – The project supports reduction or recycling of Electronic Waste in a single county.
- 3 points – The project supports reduction or recycling of Yard Waste in a single county.

NOTE: Materials ranked from Highest (1) to Lowest (6) are:

1. Fiber (paper, cardboard, etc.)
2. Plastics
3. Metal (including containers and other metals)
4. Construction/Demolition
5. Glass
6. Electronic Waste
7. Yard Waste

APPENDIX IV

Southeast Missouri Solid Waste Management District Region R –District Executive Board Members and Staff

Executive Board

Mr. Happy Welch
Chairman
City Administrator
City of Ste. Genevieve
165 South Fourth Street
Ste. Genevieve, MO 63670
Email:
Ste. Genevieve County

Honorable Jay Wengert
Secretary/Treasurer
Associate Commissioner
Perry County Commission
321 N. Main Street
Perryville, Missouri 63775
573-547-4242
Email: jpwwb@yahoo.com
Perry County

Honorable Larry Kemp
Associate Commissioner
Madison County Commission
Email: kemplarryd@gmail.com
Madison County

Staff

Jeremy Tanz
Executive Director
SEMO Solid Waste Mgmt. District
Perryville, MO 63775
(573) 547-9357

Erica Palmer
Fiscal Officer
SEMO Solid Waste Mgmt. District
1 West St. Joseph Street
Perryville, MO 63775
(573)547-9357

Rebecca Pecaut
District Planner
SEMO Solid Waste Mgmt. District
1 West St. Joseph Street
Perryville, MO 63775
(573)547-9357

APPENDIX V

Missouri Department of Natural Resources Solid Waste Management Program Financial Assistance Program

I. Background Information

The signing of Senate Bill 530 on July 9, 1990, substantially amended Missouri Solid Waste Management Law. Senate Bill 530 contained provisions for financial incentives to stimulate resource recovery activities within the State of Missouri. The source of these funds is a fee of \$2.04 per ton levied at solid waste sanitary landfills and transfer stations and \$1.36 per ton levied at demolition landfills. A Solid Waste Management Fund has been created pursuant to Section 260.330.1, for the fees collected from these permitted solid waste management facilities.

II. Market Development Financial Assistance - Environmental Improvement and Energy Resources Authority (EIERA)

Monies for the Market Development Program are also generated from the Solid Waste Management Fund. This program is currently being administered jointly by the Department of Natural Resources, the Department of Economic Development and the lead agency, the EIERA.

III. Department of Natural Resources' Solid Waste Management - Financial Assistance Program

Solid Waste Management Districts/Counties/Cities

At least 50% of the moneys remaining in the Fund shall be allocated, upon appropriation, to participating cities, counties and districts. Fifty percent of the moneys generated within each region shall be allocated to the cities and counties within the district.

Waste Reduction and Recycling Projects

The remaining moneys in the fund shall be used, upon appropriation, to provide grants or loans for solid waste management projects to any district, county or city of the state or to any other person or entity involved in waste reduction or recycling activities.

APPENDIX VI

MISSOURI POLICY ON RESOURCE RECOVERY

STATEMENT

It is the policy of the State of Missouri to integrate appropriate resource-recovery philosophies and practices into all relevant activities in order to minimize the amount of solid waste that requires disposal, reduce environmental and public health threats, increase the manufacture and use of products made from recycled materials and preserve our natural resources.

GOALS

The goals of this policy are as follows:

To incorporate solid waste reduction, recycling, and resource recovery into the solid waste management activities of state and local governments, industries and citizens.

To apply an integrated waste management hierarchy when managing local and regional solid waste streams to minimize possible environmental impacts associated with any one technology and to achieve the maximum feasible use of waste reduction, recycling, and resource recovery. This hierarchy is as follows:

- First - reduce the amount of solid waste created
- Second - reuse, recycle and compost
- Third - recover and use energy from solid waste
- Fourth - incinerate or dispose of in a sanitary landfill

To facilitate the use of recycled materials by Missouri manufacturers and encourage the development of markets for recycled materials by incorporating solid waste reduction, recycling and resource recovery concepts into programs involving procurement, industrial development, capital works and other appropriate areas.

To coordinate technical and financial assistance for solid waste reduction, recycling and resource recovery in accordance with state and local solid waste management plans.

OBJECTIVES FOR STATE GOVERNMENT

State government shall assure that the implementation of state, regional and local solid waste management systems and plans support the Missouri Policy on Resource Recovery, the Missouri Solid Waste Management Law and Rules and the Missouri Resource Recovery Feasibility and Planning Study.

State government shall coordinate financial assistance to promote programs for waste reduction, resource recovery, market development for recovered materials, recycled materials procurement and solid waste management programs that are in accordance with the Missouri

Policy on Resource Recovery, the Missouri Solid Waste Management Plan and the Missouri Resource Recovery Feasibility and Planning Study.

State government shall provide a clearinghouse of consumer information regarding the need to support resource recovery; to utilize and develop new resource recovery programs around existing enterprises; to promote the development of markets for recovered materials; to request and purchase recycled products; and to participate in resource conservation activities and other relevant issues.

State government shall update the state's solid waste management plan so it addresses the state resource recovery policy.

State government shall assure that the implementation of state and local solid waste management systems and plans are based upon the integrated solid waste management hierarchy.

OBJECTIVES FOR LOCAL GOVERNMENT

To promote waste reduction, market development for recovered materials and resource recovery, local governments, industries and citizens shall coordinate and implement economically feasible policies for integrated waste management systems, and shall increase procurement of products made from recycled materials.

Local and regional solid waste management shall be mutually supportive and consistent with the Missouri Policy on Resource Recovery, the Missouri Solid Waste Management Law and Rules and the Missouri Resource Recovery Feasibility and Planning Study.

Local solid waste management plans shall implement solid waste management systems based upon the integrated solid waste management hierarchy, protect the public health and the environment and meet the residential, commercial, industrial and agricultural needs of the region.

OBJECTIVES FOR LEGISLATIVE ACTION

The state legislature shall appropriate funds to fully implement the Missouri Solid Waste Management Law, especially those areas that implement the state's resource recovery policy.

The state legislature also shall promote legislation consistent with the state resource recovery policy.

**Appendix VII
Evaluation Criteria Scoresheet**

Project: _____

NOTE: For education/outreach projects complete A.1., C. 1.-4., E. and F. For all other projects complete all sections.

Points

A. Consistency of the Proposed Project with State Resource Recovery Priorities

- _____ 1. Conformance with the Solid Waste Management Hierarchy:
- 5 points - The project is for waste reduction.
 - 5 points – The project provides education/outreach in support of recycling/reduction/reuse.
 - 3 points – The project is for collection/processing, composting or marketing development.
 - 1 point – The project is for the recovery and use of energy from waste materials.

- _____ 2. Waste Reduction/Recycling Process:
- 9 points – The project results in the reduction of more than one waste stream component through changes in the design or manufacturing process, or stimulates the demand for an end-product which utilizes recovered materials.
 - 7 points – The project results in the reduction of a single waste stream component through changes in the design or manufacturing process, or stimulates the demand for an end-product which utilizes recovered materials.
 - 0 points – The project does not result in the reduction of waste stream components through changes in the design or manufacturing process, or stimulates the demand for an end-product which utilizes recovered materials.

B. Potential Impact Upon Public/Private Sectors

- _____ 1. Community-Based Job Development:
- 5 points – The project is very likely to result in the development and retention of jobs for the community.
 - 3 points – The project has the potential to result in the development and retention of jobs for the community.
 - 1 point – The project does not directly result in the development of jobs for the community.

C. Administrative Considerations

- _____ 1. Technical Capability of Applicant:
10 points – The applicant has strong technical qualifications for implementing the project.
5 points – The applicant has acceptable technical qualifications for implementing the project.
1 point – The applicant has questionable technical qualifications for implementing the project.
- _____ 2. Managerial Capability of Applicant:
10 points – The applicant has strong managerial qualifications for implementing the project.
5 points – The applicant has acceptable managerial qualifications for implementing the project.
1 point – The applicant has questionable managerial qualifications for implementing the project.
- _____ 3. Operational Experience of Applicant:
10 points – The applicant or operator demonstrates the experience and training needed to implement the project.
5 points – The proposal includes a means to obtain the training needed to implement the project.
0 points – The applicant or operator does not demonstrate the experience and/or training needed to implement the project.
- _____ 4. Project Implementation:
10 points – The project is very likely to be implemented in a timely manner, based upon the timeline provided in the application.
5 points – There are concerns about whether the project will be implemented in a timely manner, based upon the timeline provided in the application or past experience with this applicant.
1 point – The project is unlikely to be implemented in a timely manner.

D. Technical Considerations

- _____ 1. Technology:
5 points – The technology to be used in the project is a proven technology (previously operated on a commercial scale).
3 points – The project consists of combining technologies proven individually but not simultaneously.
0 points – The project utilizes unproven technology(s).

- _____ 2. Compliance with Federal, State and Local Requirements:
 - 10 points – The proposal demonstrates that all federal, state and local permits, approvals, licenses or waivers necessary to implement the project have been obtained and/or demonstrates that permits are not needed.
 - 5 points – The proposal demonstrates that all federal, state and local permits, approvals, licenses or waivers necessary to implement the project have been applied for.
 - 2 points – The proposal indicates awareness of necessary permits but applications have not been submitted.
 - 0 points – The applicant submitted no evidence of obtaining needed permits or documentation that permits are not needed.

- _____ 3. Landfill Diversion:
 - 10 points – The project directly results in a sustainable long-term reduction in the amount of waste being generated for disposal in Missouri.
 - 5 points – The project results in a sustainable intermediate-term reduction in the amount of waste being generated for disposal in Missouri.
 - 1 point – The project results in a one-time reduction in the amount of waste being generated for disposal in Missouri.

- _____ 4. Targeted Materials List:
 - 7 points – The project reduces or recycles material(s) listed 1 through 4 on the District's Targeted Materials List.
 - 5 points – The project supports reduction or recycling of Electronic Waste in a single county.
 - 3 points – The project supports reduction or recycling of Yard Waste in a single county.
 - NOTE: Materials ranked from Highest (1) to Lowest (6) are:
 - 1. Fiber (paper, cardboard, etc.)
 - 2. Plastics
 - 3. Metal (including containers and other metals)
 - 4. Glass
 - 5. Electronic Waste
 - 6. Yard Waste

E. Economic Feasibility

- _____ 1. Private, Not-for-Profits and Public Entities Committed Financing:
 - 10 points – All financing for the project is committed and documented.
 - 6 points – Sufficient financing for the project is likely, but not yet committed.
 - 1 point – The likelihood of the project obtaining sufficient financing is questionable.

- _____ 2. Applicant's Contribution:
- 10 points – Project financing includes over 50% local match of the total project costs.
 - 5 points – Project financing includes over 33% local match of the total project costs.
 - 3 points – Project financing includes 25% local match of the total project cost.

- _____ 3. Project Site Identification:
- 5 points – The applicant currently owns or leases the site for the proposed project.
 - 3 points – The applicant has identified a site for the project but cannot demonstrate commitment for obtaining it for the specified use.
 - 0 points – The applicant does not identify a site.

F. Financial Consideration

- _____ 1. Budget:
- 5 points – The project budget is well thought out and reasonable.
 - 3 points – The project budget contains some questionable items.
 - 1 point – The project budget is incomplete, confusing or problematic.

_____ TOTAL POINTS

Miscellaneous Considerations (“Extra Credit” and “Tiebreakers”)

_____ **Market Viability:**

- 9 points – Includes documented commitments from end-markets for all of the end-product.
- 5 points – Includes documented commitments from end-markets for 50% of the end-product.
- 3 points – Includes documented commitments from end-markets for less than 50% of the end-product.
- 0 points – Does not include targeted end-markets for the end-product.

_____ **Marketing Strategy:**

- 5 points – The project has a strong marketing strategy.
- 3 points – The project has an acceptable marketing strategy.
- 1 point – The marketing strategy for the project is questionable.
- 0 points – The project has no marketing strategy included.

_____ **Partnerships**

- 5 points – The project results in the development of a public/private cooperative partnership.
- 3 points – The project may result in the development of a public/private cooperative partnership.
- 0 points – The project does not result in the development of a public/private cooperative partnership.

_____ **Supply of Recovered Material(s):**

- 5 points – The applicant provides documentation that sufficient supply of recovered materials(s) has been secured for the project or that recovered material(s) are not needed.
- 3 points – The applicant has identified an adequate supply of recovered material(s) for the project.
- 1 point – Adequate supply of recovered material(s) for the proposal are questionable.

_____ **TOTAL “Extra Credit”**

Name of Reviewer _____

Signed: _____

Date: _____

APPENDIX VIII

MISSOURI DEPARTMENT OF NATURAL RESOURCES

Guidelines for Planning Information Activities

Maximizing the effectiveness of information activities requires considerable thought and planning. Choosing whether to use written or audio-visual material and how the project should look depend largely on the purpose of the project. The following steps describe issues and details to decide before any information piece is produced.

Definitions:

Information is the range of printed, spoken, recorded, taped, and displayed communications, and other materials that may be used in media relations, or in a marketing or education program.

Education is systematic instruction delivered to a targeted audience that facilitates learning through defined objectives, measured content, review, and evaluation.

Objective is a clearly stated goal that defines the desired result of the information or education program in terms of changes in behavior of the targeted audience.

Target Audience is the specific group of people to receive information or education.

Evaluation is a system for determining the effectiveness of the information or education program in fulfilling the objective.

Time Line is a schedule of deadlines to encourage the development of realistic objectives and to determine progress over a short period of time.

Information Plan

- * 1. Define problem to be solved or situation to be changed
- * 2. Set objective(s)
- * 3. Determine target audience(s)
- 4. Choose most effective tool to convey message
- 5. Determine content
- * 6. Define method of evaluating effectiveness of tool

Implementation Plan

- * 1. Determine budget (consider the following):
 - research costs
 - production and duplication or printing costs

- distribution costs (shipment, postage; see "Distribution Plan" below)
- * 2. Set time line

Distribution Plan

- * 1. Determine total number to be printed or copied
- * 2. Determine possible methods and logistics for distribution
- * 3. Decide most effective way to distribute materials or services
- * 4. Define method of evaluating effectiveness of distribution

Materials Development

Information and Awareness Tools:

- fact sheets
- technical bulletins
- brochures
- news releases
- public service announcements
- paid advertisements
- newsletters
- periodicals
- audio-visual productions
- posters
- exhibits
- public meetings
- displays

Creation

- 1. use most effective writing style and graphics to reach target audience
- 2. Review for technical content
- 3. Edit writing and graphics

*Identifying the department

Credit Missouri Department of Natural Resources as a funding source when applicable. Use full name of the department and its logo. Camera-ready copies of logo are available from the Division Information Officer, (573) 751-4810. (See "Missouri Department of Natural Resources Grants: Identifying the Department in Grant Projects for Public Distribution.")

*Using recycled materials

Any printed materials should be produced on recycled paper stock if at all possible.

**Should be addressed in grant applications*

Appendix IX
MISSOURI DEPARTMENT OF NATURAL RESOURCES
Solid Waste Management Program
General Terms and Conditions
Attachment 2

I. Administrative Requirements

These General Terms and Conditions include requirements that are especially pertinent to solid waste management district grant awards made by the Missouri Department of Natural Resources (MDNR), Solid Waste Management Program (SWMP) to Missouri's Solid Waste Management Districts (Districts). These General Terms and Conditions do not set out all of the provisions of the applicable laws and regulations, nor do they represent an exhaustive list of all requirements applicable to this award. A certain number of these requirements are emphasized here because they are frequently invoked and their violation is of serious concern. Definitions of terminology used within these General Terms and Conditions are set forth in Section III of this document.

These General Terms and Conditions apply to district grant applications approved and signed by the District's Executive Board for use of Solid Waste Management Funds (SWMF). In addition to these terms and conditions, the District and District Subgrantee must comply with all governing requirements of the District's subgrant award.

A. Use and Award of Solid Waste Management Funds

1. All district funds shall be used for implementation of a solid waste management plan, district operations, solid waste management, waste reduction, recycling and related services as approved by the District's Executive Board and the SWMP.
2. District grant or subgrant funds shall be awarded by the District for projects that will implement the District's approved solid waste management plan. These funds shall be used for solid waste management projects as finally approved for funding by the SWMP. However, no district grant or subgrant funds shall be made available for incineration without energy recovery.
3. A District may elect to use more than one fiscal year's allocation of funds to finance a project.
 - a. Prior to the SWMP encumbering funds for this project, the District shall submit a request to the SWMP for approval that provides justification for the project and shall include financial supporting documentation.
 - b. Following the SWMP's approval, the District may request that these funds be disbursed to the District.
 - c. All interest income earned by the District shall be obligated to this project until the total amount needed for the project is reached.
4. District grant or subgrant funds shall not be awarded for a project whose applicant is directly involved in the evaluation and ranking of that particular project.

5. District grant or subgrant funds shall not be awarded for a project that displaces existing resource recovery services, unless the District demonstrates how the proposed project will result in improved or expanded services.
6. District grant or subgrant funds shall not be awarded for a project that collects solid waste for disposal on a continuous basis.
7. Any funds awarded and disbursed to a District, which are not expended or encumbered, for the purpose for which the funds were awarded, shall be repaid by the District to the SWMP for deposit into the SWMF for reallocation.
8. District grant or subgrant funds may be withheld or may be required to be repaid to the SWMP if the District has an unresolved audit with significant findings or questioned costs.
9. Any funds allocated to a District that are not requested by the District pursuant to the procedures outlined in 10 CSR 80-9.050, within twenty-four (24) months of the end of the state fiscal year in which the funds were allocated may be reallocated by the SWMP pursuant to section 260.335.2, RSMo.
10. Special Terms and Conditions may apply to grantees or subgrantees considered “high risk” in accordance with 260.335.5, RSMo.
 - a. The SWMP, in conjunction with the Solid Waste Advisory Board (SWAB), shall periodically review the performance of Districts and District Subgrantees that have had significant findings or questioned costs.
 - b. The SWMP may determine and declare that a District or District Subgrantee is “high risk”, if the District or District Subgrantee:
 - i. has a history of unsatisfactory performance;
 - ii. is not financially stable;
 - iii. has a management system that does not meet the management standards set forth in these General Terms and Conditions;
 - iv. has not conformed to terms and conditions of previous awards; or
 - v. is otherwise not responsible.
 - c. If SWMP determines that an award will be made to a “high risk” District or District Subgrantee, then special conditions and/or restrictions shall be set to correspond to the high risk declaration and shall be included in the award as a separate attachment.
 - d. Special conditions or restrictions may include:
 - i. authorizing payment on a reimbursement basis only;
 - ii. withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given funding period;
 - iii. requiring additional, more detailed financial reports;
 - iv. requiring additional project monitoring;
 - v. requiring the grantee or subgrantee to obtain technical or management assistance; or

- vi. establishing additional requirements to obtain prior approvals from SWMP and/or the District, where appropriate.
- e. If the SWMP declares a District or District Subgrantee to be high risk and prior to imposing special conditions or restrictions, the SWMP will notify the District or District Subgrantee as early as possible, in writing, of:
 - i. the nature of the special conditions/restrictions;
 - ii. the reason(s) for imposing the special conditions/restrictions;
 - iii. the corrective actions that must be taken to abate the problems that gave rise to the special conditions/ restrictions and the time allowed for completing such corrective actions; and
 - iv. the method of requesting reconsideration of the special conditions/restrictions imposed.

11. In consideration for the ability to utilize SWMF monies, the District and the District Subgrantee agree to comply with all applicable terms and conditions of the Financial Assistance Agreement (FAA) and any documents incorporated therein, including these General Terms and Conditions. Districts must incorporate the General Terms and Conditions into the District's Subgrantee FAAs and any documents incorporated therein and either provide copies or make copies available to the District's Subgrantees.

B. Project and Budget Periods

- 1. District Operations: The District's grant and budget period shall cover up to a one (1) year time period, unless otherwise approved by the SWMP.
- 2. Plan Implementation and District Subgrantee Projects:
 - a. Districts are to assign project and budget periods for district subgrants to allow for up to a two (2) year time period for project completion.
 - b. A maximum of one (1) six (6)-month extension may be allowed beyond the two (2) year completion period when approved by the District's Executive Board. All project and budget period extensions must be documented in executive board meeting minutes with a copy of the extension and executive board meeting minutes provided to SWMP.
 - c. Any extension of the project or budget periods beyond two (2) years and six (6) months must have prior approval of the District's Executive Board and the SWMP.

C. Method of Payments and Disbursements

- 1. The District must be in compliance with all reporting requirements to receive disbursements.
- 2. Disbursements from SWMP to the District.

- a. For District Operations. Funds allocated to the District are disburseable to the District by the SWMP for all eligible and approved expenses for performing the agreed upon scope of services identified in the approved application, required attachments, and supporting documentation, if applicable. In order to receive funds, the District shall submit original invoices requesting disbursements to the SWMP as agreed upon per the Attachment 1 of the approved and fully executed FAA. For Districts entering into contracts for district operations, no disbursements will be made for such expenditures incurred before the SWMP approval date or after the closing budget date. Budget closing dates can be extended when prior approval has been granted by the SWMP.
- b. For Plan Implementation Projects. Funds allocated to the District are disburseable to the District by the SWMP for all eligible and approved expenses for performing the agreed upon scope of services identified in the approved application, required attachments, and supporting documentation, if applicable. In order to receive funds, the District shall submit original invoices for payment to the SWMP as agreed upon per the Attachment 1 of the approved and fully executed FAA. No disbursements will be made for district plan implementation expenditures incurred before the SWMP approval date or after the closing budget date. Budget closing dates can be extended when prior approval has been granted by the SWMP.
- c. For District Subgrantee Projects. Funds are disburseable to the District by the SWMP for all eligible and approved expenses as specified in the agreed upon scope of services identified in the approved district subgrantee project application(s). In order to receive funds, the District shall submit original invoices and a copy of the fully executed District Subgrantee FAAs supporting the amounts requested from the SWMP, as agreed upon per the Attachment 1 of the SWMP's FAA. No disbursements will be made for district subgrantee project expenditures incurred before the SWMP approval date or after the district subgrantee project closing date. Project closing dates can be extended when prior approval has been granted by the District's Executive Board and SWMP as provided for in section B., above.
- d. All invoices submitted by the Districts to the SWMP must include:
 - i. the project name, project identification number, and the amount of allocation funds requested for disbursement for each project;
 - ii. the award amount set forth in the fully executed FAA by the District or District's Subgrantee; and
 - iii. copies of fully executed FAAs for each project for which the District is requesting funds, as attachments.
- e. All requests for disbursement must include the following certification signed by the authorized district official: I certify that to the best of my knowledge and belief the data above are correct and that all outlays were made or will be made in accordance with the grant or subgrant and that payment is due and has not been previously requested.

- f. No disbursements will be made for costs incurred before or after the project's approved budget period or for costs incurred prior to the approval of the project by the SWMP.
 - g. No disbursements will be made for expenditures incurred after the closing budget period unless a budget time period extension has been granted. (See section B., above.)
3. Payments from the District to the District Subgrantee
- a. The approved and fully executed FAA between the District and the District Subgrantee shall include:
 - i. the District issued sequential project identification number;
 - ii. the District Subgrantee's name;
 - iii. the project name;
 - iv. the project start and completion dates;
 - v. a breakdown of award amount from allocation, carryover, and interest;
 - vi. the Subgrantee and District authority signatures;
 - vii. an executive summary;
 - viii. project tasks;
 - ix. a budget summary/notes contained in the district subgrantee project application;
 - x. a requirement that the District will retain 15% of the amount to be paid to the District Subgrantee until the District Executive Board gives its final approval of the District Subgrantee's final report and final accounting of project expenditures;
 - xi. a requirement that records be retained for 3-years;
 - xii. for a minimum 5 year security interest in buildings, building site improvements, or equipment costing five thousand dollars or more and purchased, in whole or in part, with SWMF monies; and
 - xiii. a copy of the District's Special and/or General Terms and Conditions, if referred to.
 - b. Invoices submitted to the District by the District's Subgrantee must include:
 - i. the award amount provided in the fully executed FAA; and
 - ii. the project name, project identification number, and the amount of funds being requested for reimbursement.
 - c. All requests for disbursement must include the following certification signed by the authorized District Subgrantee official: I certify that to the best of my knowledge and belief the data above are correct and that all outlays were made or will be made in accordance with the subgrant and that payment is due and has not been previously requested.
 - d. No reimbursements will be made for costs incurred before or after the project's approved budget period by the District or for costs incurred prior to the approval of the project by the SWMP.

- e. No reimbursements will be made for expenditures incurred after the closing budget period unless a budget time period extension has been granted (See section B., above).
- f. Where the District requires match, payments under non-construction subgrants are to be based on the subgrant sharing ratio as applied to the total project cost. Each invoice submitted to the District must be based on the subgrant sharing ratio unless the District's subgrant specifically provides for advance payments.
- g. Advance payments may only be made upon a showing of good cause or special circumstances, as determined by the SWMP. Advance payments will only be made on a monthly basis to cover estimated expenditures for a 30-day period or as otherwise agreed. The SWMP will not approve the District advancing more than 25% of the total amount of the subgrant unless the Subgrantee demonstrates good cause.
- h. The District shall retain 15% of the funds awarded to the project until a District Subgrantee's final report has been provided to the District and the District's Executive Board approves the project's final report and final accounting of expenditures.
- i. The District has the option of making payment directly to a vendor instead of reimbursing the District Subgrantee. In order for payment to be made directly to a vendor, the District's Executive Board must approve such direct payment for goods or services being purchased by the District Subgrantee and the goods or services must have been actually received by the District Subgrantee. The District's Executive Board is nevertheless still bound by the requirement to retain 15% of the project funds until it approves the final report and final accounting of expenditures submitted by the District Subgrantee.
- j. The District's Executive Board and the SWMP may approve waiving of the 15% retention upon written request by the District Subgrantee.

D. Withholding of District Funds

1. The SWMP may withhold or reduce district grant awards if the District is not in compliance with:
 - a. The Solid Waste Management Law and regulations;
 - b. Planning requirements pursuant to section 260.325, RSMo;
 - c. All General and Special Terms and Conditions of the District's FAA;
 - d. Audit requirements as set forth in 260.325.10 RSMo and as detailed herein at Subsection J.5 ;
 - e. Significant audit findings and questioned costs resolution plans; and
 - f. All reporting requirements and plan revisions detailed in 10 CSR 80-9.050.

2. The SWMP may immediately withhold funds for significant audit findings. For other situations for which the SWMP determines the withholding of funds would be appropriate, the SWMP shall provide written notice of noncompliance prior to such withholding, and such notice shall allow at least thirty (30) days for the District to comply with the requirements contained in the SWMP's notice of noncompliance.
3. The SWMP may withhold funds for failure to timely submit reports. To determine whether a report has been timely submitted, the SWMP shall use the postmark date as the date submitted by the District. If no postmark date is available, the SWMP shall use the date the SWMP receives the report. Withholdings for failure to timely submit reports shall be done as follows:
 - a. If a District fails to submit to the SWMP a complete quarterly report, annual report, or plan revision (i.e., assessment inventory) by the due date indicated in the SWMP's notice of noncompliance, the SWMP shall withhold and reallocate funds equal to one percent (1%) of the District's most recent quarterly allocation for each day past the notice due date.
 - b. Extensions from the required due dates are allowed if the following provisions have been met:
 - i. The District has requested an extension prior to the notice due date and the SWMP has granted that extension; and
 - ii. The District has submitted complete reports by the dates indicated in previous SWMP approved extensions.
4. The SWMP may withhold disbursements for costs it determines to be inappropriate or unnecessary. In such event, the District shall repay the SWMP or the SWMP shall withhold from the District's allocation the amount of the costs, following the SWMP's written request.
5. Funds withheld or repaid by a District shall be reallocated by the SWMP to all Districts that, at the time of the reallocation, are in compliance with all requirements and have addressed all deficiencies identified in a District's audit to the satisfaction of the SWMP. The reallocation shall be made to Districts in accordance with the allocation criteria pursuant to section 260.335, RSMo.

E. Recordkeeping

1. The District or District Subgrantee shall retain financial records, supporting documents, and other records pertinent to the subgrant for a period of three years starting from the date of submission of the final financial status report.
2. If any litigation, claim, negotiation, audit, or other action involving the records has been initiated before the expiration of the 3-year period, the District or District Subgrantee shall retain records until completion of the action and resolution of all issues that arise from it, or until the end of the regular 3-year period, whichever is later.
3. The SWMP and the Missouri State Auditor's Office and any of their authorized agents, shall have the right of access to any pertinent books, documents, papers, or

other records of the District or District Subgrantees which are pertinent to the subgrant, in order to make audits, examinations, excerpts, and transcripts and the SWMP shall have the right to inspect any and all such documents and records so long as they are maintained by the District or the District Subgrantee, regardless of whether the requirement to maintain those records has expired.

4. For equipment and building or site improvement records the 3-year retention period begins from the date of the disposition, replacement, or transfer of the asset at the direction of the SWMP or District.
5. The District will include these provisions for compliance with the record retention requirements of these General Terms and Conditions in every subgrant.
6. The District's records shall be maintained as public records pursuant to Chapter 610, RSMo.

F. Program Income

1. The District or District Subgrantee is encouraged to earn income to defray program costs.
2. Program income shall be deducted from outlays (i.e., expenditures) that may be both district grant funds and non-district grant funds as described below, unless the District Grant regulations at 10 CSR 80-9.050 or the FAA specify another alternative (or a combination of alternatives). In specifying alternatives, the SWMP may distinguish between income earned by the District and income earned by District Subgrantees and between the sources, kinds, or amounts of income. When the SWMP authorizes use of the alternatives in paragraphs 2.b. and 2.c. of this section, program income in excess of any limits stipulated shall also be deducted from outlays.
 - a. Deduction. Ordinarily program income shall be deducted from total allowable costs to determine the net allowable costs. Program income shall be used for current costs unless the SWMP authorizes otherwise. Program income which the District or District Subgrantee did not anticipate at the time of the award shall be used to reduce the SWMP and District contributions rather than to increase the funds committed to the project.
 - b. Addition. With the prior written approval of the SWMP, program income may be added to the funds committed to the FAA by the SWMP and the District. The program income shall be used for the purposes and under the conditions stated in the FAA.
 - c. Cost sharing or matching. With the prior written approval of the SWMP, program income may be used to meet the cost sharing or matching requirement of the FAA, if applicable. The amount of the district grant award remains the same.
 - d. Program income after the award period.

- i. Program income generated from project activities occurring after the expiration of the FAA between the District and District Subgrantee remains with the District Subgrantee.
- ii. Program income generated from project activities funded from district grant funds occurring after the expiration of the District's FAA with the SWMP must be expended in compliance with 10 CSR 80-9.050.

G. Interest Income

1. Expenditure of interest income earned on district grant agreement funds must be in compliance with 10 CSR 80-9.050.
2. Interest income earned from grant monies may be used to fund costs as long as those costs are reimbursable under the provisions established in 10 CSR 80-9.050 and directly benefit the District Subgrant Program and are budgeted and spent as part of a subgrant approved by the SWMP.
3. The expenditure of interest income, like other grant expenditures, must be reported to the SWMP quarterly on forms provided by the SWMP.

H. Match or Cost Share Funding

1. At this time, the SWMP does not require Districts to match state funds allocated pursuant to 260.335, RSMo.
2. The District may elect to require a matching share from their District Subgrantees. The matching share will usually be prescribed as a minimum percentage. In-kind (non-cash) contributions are allowable project costs when the in-kind contributions directly benefit and are specifically identifiable to the project or program. Any in-kind match must be assigned a fair market value stated in dollars and the rationale used to calculate the value must be provided. Neither costs nor the values of third party in-kind contributions count towards satisfying a cost sharing or matching requirement of a subgrant agreement if such costs have been or will be counted towards satisfying a cost sharing or matching requirement of another SWMF subgrantee agreement, a SWMF procurement contract, or any other award of SWMF funds. MDNR funds from another MDNR grant or subgrant shall not count towards satisfying a cost sharing or matching requirement of a district subgrant agreement. Any match funds are considered state funds and may only be used for purposes allowed by 10 CSR 80-9.050.

I. Financial Management Systems

The financial management systems used by Districts and District Subgrantees must be in accordance with generally accepted accounting principles and meet the following standards:

1. Financial Reporting. Accurate, current, and complete disclosure of financial results of financially assisted activities must be made in accordance with the financial reporting requirements of the subgrant;

2. Accounting Records. Records shall be maintained that adequately identify the source and use of funds provided for financially assisted activities. These records must contain information pertaining to subgrant awards and authorizations, restrictions on use of funds, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income, permit preparation of reports required by the SWMP, permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes;
3. Internal Control. Effective control to prevent loss or misuse and accountability shall be maintained for all District and District Subgrantee cash, real and personal property, and other assets. Subgrantees must adequately safeguard all such property and must assure that it is used solely for authorized purposes;
4. Budget Control. Actual expenditures or outlays must be compared with budgeted amounts for each subgrant;
5. Allowable Costs. Allowability of costs shall be determined in compliance with the Solid Waste Management Law and the implementing rules as well as cost principles contained in Office of Management and Budget Circular No. A-87 for state and local governments (Attachment A), and Office of Management and Budget Circular No. A-122 (Attachment B) for nonprofit organizations. The District Grant rules and regulations at 10 CSR 80-9.050, and the subgrant scope of work will be followed in determining the reasonableness, allowability, and allocability of costs. The District and its Executive Board are responsible for ensuring proper use of the SWMF. Districts will repay the amount of any improperly expended funds to the SWMP.
6. Eligible and Ineligible Costs. Eligible and ineligible costs may vary depending on the services, materials, and activities being performed. The District shall refer to 10 CSR 80-9.050(2)(D) for specifics for district fund use. Items not listed in 10 CSR 80-9.050(2)(D) or in sections (3)(A) District Operations, Eligible Costs and (4)(B) Plan Implementation Projects, Eligible Costs may be allowed with prior approval of the District's Executive Board and SWMP;
7. Source Documentation. Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract and subgrant award documents. Appropriate electronic verification of cleared checks may also be considered source documentation in lieu of actual cancelled checks. The documentation must be made available by the District or District Subgrantee at the SWMP's request; and
8. The District shall have procedures in place to minimize the time lapsed between money disbursed by the SWMP and money spent by the District or District Subgrantee.

J. Reporting of Program Activities

The District shall submit to the SWMP:

1. District Annual Report. The District shall submit within 120 days following the close of the just completed state fiscal year the following information:

- a. Goals and accomplishments;
 - b. Types of projects and results during the fiscal year;
 - i. Projects resulting in tonnage diversion from landfills. Include the number and cost of the projects, tons diverted, and average cost per ton diverted. Identify separate statistics for items banned and not banned from landfills;
 - ii. Projects not resulting in tonnage diversion including the number and cost of projects; and
 - iii. Projects closed.
 - c. A description of the grant proposal evaluation process; and
 - d. District council and executive board members: list names along with the organization represented.
2. Quarterly Report(s). On quarterly status report forms provided by the SWMP, the District shall submit the following information to the SWMP thirty (30) days after the end of each state fiscal year quarter (Note: State fiscal year quarters end on September 30, December 31, March 31, and June 30. Quarterly reports are due on: October 30, January 30, April 30, and July 30 respectively.):
- a. Project status. For each plan implementation and district subgrantee project in progress, the District shall provide:
 - i. The details of progress addressing the project tasks outlined in the plan implementation application or subgrantee financial assistance agreement;
 - ii. Problems encountered in project execution;
 - iii. Budget adjustments made within budget categories, with justifications;
 - iv. The weight in tons of waste diverted for each type of recovered material utilized in the project for the most recent quarter following the implementation of the diversion activity or other measurable outcomes, as appropriate;
 - v. A copy of an amended District Subgrantee FAA , if appropriate;
 - vi. Other information necessary for proper evaluation of the progress of the projects; and
 - vii. In the event that a time period for a project is less than a full year, only quarterly information appropriate to the project time period need be included in the district report.
 - b. District Operations Status: For the district operations status report, the District shall provide:
 - i. The details of progress in completing the district operations tasks outlined in the district operations application;
 - ii. Problems encountered in district operations;
 - iii. Required budget amendments; and
 - iv. Other information necessary for proper evaluation of district operations.

- c. Project Financial Summary. For each grant (district operations, plan implementation and district subgrantee project) the District shall provide:
 - i. The original award amount taken from the accrued allocation held by the SWMP;
 - ii. Any district carryover used to fund a project or district operations;
 - iii. Any accrued interest income used to fund a project or district operations;
 - iv. Total grant award for that project or district operations. (The total J.2.c.i, J.2.c.ii, and J.2.c.iii);
 - v. Cumulative amount of District disbursement of funds to each District Subgrantee or to the District during that reporting period;
 - vi. Balance of that district subgrant project or district operations during that reporting period;
 - vii. Any carryover funding held by the District that has not been obligated for projects or district operations; and
 - viii. Any accrued interest income held by the District that has not been obligated for projects or district operations.
3. Final Project Reports. The District shall submit to the SWMP a final report for each plan implementation or district subgrantee project that shall contain the same information as described for project status in J.2.a. as well as a comparison of actual accomplishments to the goals established and a description of how goals were met, not met, or were exceeded. Final Project Reports shall be provided along with the next quarterly report submitted by the District (i.e., thirty (30) days after the end of the next state fiscal year quarter.).
4. Assessment Inventory: Pursuant to section 260.325, RSMo, the District Executive Board shall review the District's recycling and solid waste management planning activities at least every twenty-four (24) months for the purpose of evaluating the District's progress in expanding and improving waste reduction and recycling efforts within their District and shall submit revisions to planning information to the Department and District Executive Board or Council. At a minimum, the District Executive Board shall submit revisions by April 1 of each odd numbered year that include, but are not limited to:
 - a. An inventory of solid waste services in the planning area on forms provided by the SWMP. Service information shall include:
 - i. the solid waste collection services available to residential and commercial customers;
 - ii. the recycling services available to residential and commercial customers;
 - iii. the services available for management of items banned from Missouri landfills, pursuant to section 260.250, RSMo; and
 - iv. the services available for management of household hazardous wastes.
 - b. Pursuant to section 260.320.3, RSMo, a list of advisory boards, members of each and documentation of meetings; and
 - c. A description of illegal dumping identification, public education, and household hazardous waste activities and programs established by the District Executive Board, pursuant to section 260.320.3, RSMo.

5. Financial Audit Requirements:

- a. The District's Executive Board shall have their records audited by a certified public accountant or firm of certified public accountants pursuant to section 260.325, RSMo. Districts receiving two hundred thousand dollars or more of financial assistance shall have annual independent financial audits and Districts receiving less than two hundred thousand dollars of financial assistance shall have independent audits at least once every two (2) years. The due date for audit reports will be within one hundred eighty (180) days of the close of the District's fiscal year.
- b. The District's Executive Board shall address all deficiencies identified in a District's audit to the satisfaction of the SWMP. Districts failing to adequately address deficiencies identified in the audit may have funds withheld or may be required to repay any and all disbursements of funds in accordance with 10 CSR 80-9.050(9) Withholding of District Funds.
- c. For questioned costs that the SWMP determines to be inappropriate or unnecessary, the District shall repay the SWMP or the SWMP shall withhold from the District's allocation the amount of the cost.
- d. The SWMP may withhold or reduce district grant awards until the District is in compliance with the audit requirements, and has resolved significant audit findings and questioned costs.
- e. The basic financial statements and required supplementary information shall be audited and provide, at a minimum, for all fund types and account groups in accordance with generally accepted government auditing standards and include the following:
 - i. An Independent Auditor's Report on the Financial Statements and Schedule of Receipts and Expenditures of State Awards.
 - ii. Management's Discussion and Analysis (MDA) providing an analytical overview of the district's financial activities.
 - iii. Basic Financial Statements
 - 1) With statements identifying, at a minimum, the following accounts:
 - a) Assets: cash, investments, receivables, fixed assets.
 - b) Liabilities: accounts payable, deferred grant revenue, deferred interest revenue.
 - c) Net Assets
 - d) Revenues: grant revenue, program income, interest revenue, and other revenue.
 - 2) With the following minimum statements:
 - a) Statement of Net Assets
 - b) Statement of Activities
 - c) Fund Financial Statements
 - 3) Notes to the Financial Statements
 - iv. Schedule of Receipts and Expenditures of State Awards
 - 1) The schedule for each subgrant including district operations shall include, at a minimum, subgrant period; subgrant project number;

subgrantee name; subgrant award amount; prior period subgrant funds expended; current period subgrant amount expended; program income earned and expended, as applicable; interest income earned and expended, as applicable; subgrant amount remaining available; program income amount remaining available; and unobligated amount by source as identified by the District's Executive Board.

2) Notes to the Schedule of Receipts and Expenditures of State Awards

- v. Report on Internal Controls over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards, issued by the Comptroller General of the United States.
- vi. Schedule of Findings and Questioned Costs, if applicable.
- vii. Corrective Action Plan, if applicable.
- viii. Summary Schedule of Prior Audit Findings and Questioned Costs.

6. Performance Reports:

- a. The SWMP pursuant to 260.335.5 RSMo may require the District Grantee or Subgrantee to submit periodic reports and such other data as are necessary, both during the grant or subgrant period and up to five years thereafter to ensure the Grantee or Subgrantee complies with the specific goals and implementation dates contained in their grant or subgrant application and that grantees or subgrantees shall be contractually obligated to fulfill same.
- b. The District Grantee or Subgrantee shall file quarterly program status reports during the grant or subgrant period including waste material diversion tonnage information, as established in the grant or subgrant application.
- c. The District Grantee or Subgrantee acquiring equipment from district grant funds shall thereafter provide an annual waste material diversion tonnage report for a period of up to four years after the expiration of the grant period, but no longer than a five year period in total. The annual waste material diversion tonnage report shall be due to the district from the grantee or subgrantee by September 30 of each year. The district shall be responsible for submitting all such annual waste material diversion tonnage reports for the applicable district to the SWMP along with the district's annual report.

K. Performance Audits and Other Examinations or Reviews

The SWMP or its designees have the right to conduct audits, examinations or reviews of the District or District Subgrantees at any time.

- 1. Audits or examinations must confirm that records accurately reflect the operations of the District; the internal control structure provides reasonable assurance that assets are safeguarded, and the District or District Subgrantee is in compliance with applicable laws and regulations.

2. A District or a District Subgrantee receiving SWMF which are audited shall address all deficiencies identified in the audit to the satisfaction of the SWMP and/or the District.
3. The District's Executive Board shall address all deficiencies identified in a District's audit to the satisfaction of the SWMP. Districts failing to adequately address deficiencies identified in the audit may have funds withheld or may be required to repay any and all disbursements of funds in accordance with 10 CSR 80-9.050(9) Withholding of District Funds.
4. For questioned costs that the SWMP determines to be inappropriate or unnecessary, the District shall repay the SWMP or the SWMP shall withhold from the District's allocation the amount of the cost.
5. The SWMP may withhold or reduce district grant awards until the District is in compliance with the audit requirements and has resolved significant audit findings and questioned costs.

L. Budget and Scope of Work Revisions

The District and District Subgrantees are permitted to rebudget within the approved direct cost budget to meet unanticipated requirements. However, the District and District Subgrantees must request approval in writing to revise budgets and scopes of work under the following conditions:

1. For non-construction projects, the District and District Subgrantees shall obtain the prior approval of the SWMP, unless waived in writing by the SWMP, for cumulative transfers among direct cost categories, or, if applicable, among separately budgeted programs, projects, functions, or activities when the accumulative amounts of such transfers exceed or are expected to exceed 10% of the current total approved budget which includes current year grant award amount, carryover amount, and interest income amount, whenever the SWMP's share exceeds \$100,000.
2. For construction and non-construction projects, the District and District Subgrantees shall obtain prior written approval from the SWMP for any budget revision which would result in the need for additional SWMF monies.
3. For combined non-construction and construction projects, the District and District Subgrantee must obtain prior written approval from the SWMP before making any fund or budget transfer from a non-construction project to a construction project or vice versa.
4. The District or District Subgrantee under non-construction projects must obtain prior written approval from the SWMP whenever contracting out, subgranting or otherwise obtaining a third party to perform activities, which are central to the purpose of the award.
5. Changes to the scope of services described in the application and FAA must receive prior approval from the District or SWMP, as applicable. Approved changes in the scope of work or budget shall be incorporated by written amendment to the FAA with

copies immediately provided to SWMP upon the obtaining of the District and District Subgrantee's official signatures.

6. To extend the subgrant past the original completion date, see section B., above.

M. Equipment

Equipment is defined in Section III below. The District and District Subgrantee agree that any equipment purchased pursuant to this agreement shall be used for the performance of services under the FAA during the term of the FAA. Notwithstanding anything to the contrary contained in this agreement, the equipment shall not be removed from the State of Missouri without the written approval of the SWMP.

The following standards shall govern the utilization and disposition of equipment acquired with District or District Subgrantee funds:

1. Title to equipment acquired under a grant or subgrant will vest with either the District or District Subgrantee upon acquisition.
 - a. Equipment shall be used by the District or District Subgrantee in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by SWMF. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported by the SWMP or MDNR.
 - b. The District or District Subgrantee shall not transfer, sell, or pledge any assets including equipment purchased using SWMF monies during the term of the grant and for four years thereafter without first obtaining the prior written consent of the SWMP.
 - c. The District or District Subgrantee shall not sell, give away, relocate, or abandon the assets including equipment without the SWMP's prior written approval.
 - d. The District or District Subgrantee shall also make equipment available for use on other projects or programs currently or previously supported by the SWMP or other MDNR programs, if such use will not interfere with the work on the projects or program for which it was originally acquired. First preference for other use shall be given to other programs or projects supported by the SWMP or MDNR. User fees should be considered, if appropriate. This fee may be considered program income. See Section F, above.
 - e. The District or District Subgrantee must not use equipment acquired with SWMF to provide services for a fee to compete unfairly with private companies that provide equivalent services, unless specifically allowed by state law.
 - f. When acquiring replacement equipment, the District or District Subgrantee may use the equipment to be replaced as a trade-in or sell the equipment and use the proceeds to offset the cost of the replacement equipment, subject to the prior written approval of the SWMP or District.

- g. The District or District's Subgrantee hereby agrees that any equipment purchased pursuant to this agreement shall be used for the performance of services under this agreement during the term of this agreement, and for four years thereafter. The District or District's Subgrantees shall annually submit a statement as provided by the District certifying that the use(s) of said equipment is for project activities. Use(s) of said equipment for activities not related to the performance of services of this agreement must be reported in quarterly reports required by this agreement.
2. Equipment Management. The District's and District Subgrantee's procedures for managing equipment (i.e., including replacement equipment), whether acquired in whole or in part with subgrant funds, will, at a minimum, meet the following requirements until disposition takes place:
- a. Equipment records must be maintained that include a description of the equipment, a serial number or other identification number, the source of the equipment, who holds the title, the acquisition date, cost of the equipment, percentage of state participation in the cost of the equipment, and the location, use and condition of the equipment, and any ultimate disposition data including date of disposal, and sale price of the equipment.
 - b. A physical inventory of the equipment must be taken and the results reconciled with the equipment records at least once every two years.
 - c. A control system must be developed to ensure adequate safeguards to prevent against loss, damage, or theft of the equipment. Any loss, damage, or theft shall be reported to and investigated by local authorities.
 - d. The control system shall include permanent tagging of equipment to identify the equipment as belonging to the District or being funded by district grant funds.
 - e. For all equipment purchased, in whole or in part, with SWMF, the District or District Subgrantee shall procure and maintain insurance covering loss or damage to equipment purchased with a District or District Subgrantee award, with a financially sound and reputable insurer in such amounts and covering such risks as are usually carried by similarly situated companies engaged in the same or similar business. Alternatively, the Subgrantee may provide documentation of self-insurance to cover the amount of the equipment purchased.
 - f. The District and District Subgrantee must utilize adequate maintenance procedures to keep the equipment in good condition.
 - g. If the District or District Subgrantee is authorized or required to sell the equipment, proper sales procedures must be established to ensure the highest possible return.
3. Security Interest in Equipment.
- a. The District hereby grants to the SWMP, its successors and assigns a security interest in all equipment purchased by the District for five thousand dollars or more, in whole or in part, with SWMF monies.

- i. The District hereby agrees to apply the funding provided for equipment to the purchase of the equipment specified in the FAA as negotiated with the SWMP.
 - ii. The security interest in equipment owned by the District shall be equivalent to the amount of funding provided by SWMP for the purchase of the equipment. Unless the SWMP notifies the District in writing of a material breach of the FAA or any documents incorporated herewith, the security interest of SWMP shall decrease at a rate of 20% of the provided funding per year, beginning one year from the purchase date shown on the equipment invoice.
 - iii. The District hereby covenants that it will not transfer, sell, or pledge the SWMP's security interest in the equipment as collateral for any indebtedness without first obtaining the prior written consent of the SWMP. When the security interest is fully depreciated, the SWMP will, on written demand by the District, send the District a termination statement that the SWMP no longer claims a security interest in the financing statement (identified by file number).
 - iv. If the equipment owned by the District is purchased with SWMF monies and is required to be titled through the Missouri Department of Revenue (MDOR), the SWMP must be listed as a lien holder on said title. The District must provide the SWMP a clear title to be held until the security interest (lien) has been fully depreciated. In the case of more than one lien holder, the District must provide the SWMP with documentation that the SWMP is listed as a lien holder on the title.
 - v. If the equipment owned by the District is purchased with SWMP monies and is not required to be titled through MDOR, the District must provide the SWMP with documentation that the SWMP is listed as a lien holder on the certificate of title, UCC-1 form, or other security instrument.
 - vi. It is the responsibility of the District to obtain the proper forms and meet all requirements regarding the use of such forms. This documentation must be obtained within 30 days of purchase.
- b. The District Subgrantee hereby grants to the District, its successors, and assigns a security interest in all equipment purchased by the District Subgrantee for five thousand dollars or more, in whole or in part, with SWMF monies.
- i. The District Subgrantee hereby agrees to apply the funding provided for equipment to the purchase of the equipment specified in the FAA as negotiated with the District.
 - ii. The security interest in equipment owned by the District Subgrantee shall be equivalent to the amount of funding provided by the District for the purchase of the equipment. Unless the SWMP or District notifies the District Subgrantee in writing of a material breach of the FAA or any documents incorporated herewith, the security interest of the District may decrease at a rate of 20% per year, beginning one year from the purchase date shown on the equipment invoice.
 - iii. The District Subgrantee hereby covenants that it will not transfer, sell, or pledge the District's security interest in the equipment as collateral for any indebtedness without first obtaining the prior written consent of the District. When the security interest is fully depreciated, the District will, on written demand by the District Subgrantee, send the District Subgrantee a

- termination statement that the District no longer claims a security interest in the financing statement (identified by file number).
- iv. If the equipment owned by the District Subgrantee is purchased with SWMF monies and is required to be titled through the MDOR, the District must be listed as a lien holder on said title. The District's Subgrantee must provide the District a clear title to be held until the security interest (lien) has been fully depreciated. In the case of more than one lien holder, the District's Subgrantee must provide the District with documentation that the District is listed as a lien holder on the title.
 - v. If the equipment owned by the District Subgrantee is purchased with SWMF monies and is not required to be titled through MDOR, the District's Subgrantee must provide the District with documentation that the District is listed as a lien holder on the certificate of title, UCC-1 form, or other security instrument.
 - vi. It is the responsibility of the District's Subgrantee to obtain the proper forms and meet all requirements regarding the use of such forms. This documentation must be obtained within 30 days of purchase.
4. When original or replacement equipment acquired by the District or District's Subgrantee with SWMF monies is no longer needed for the original project or program or for other activities currently or previously supported by the MDNR, the equipment shall be disposed of as follows:
- a. Items of equipment with a current per-unit fair market value of less than five thousand dollars may be retained, sold or otherwise disposed of with no further obligation to the SWMP or the District.
 - b. For items of equipment with a current per unit fair market value of five thousand dollars or more:
 - i. When the equipment is District owned, the SWMP shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the SWMP's remaining interest in the equipment as established in M.3.a.ii of this agreement.
 - ii. When the equipment is owned by a District Subgrantee, the District shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the District's remaining interest in the equipment as established in M.3.b.ii of this agreement.
 - c. When appropriate disposition actions are not taken by the equipment owner:
 - i. For District owned equipment, the SWMP may direct the District on how to dispose of the equipment.
 - ii. For District Subgrantee owned equipment, the District may direct the District Subgrantee on how to dispose of the equipment.
 - d. If the equipment owner is put on notice by either the SWMP or the District that grant assets are not being used for the intended purpose, then:

- i. For District owned equipment, the District shall not sell, give away, move, relocate, abandon or dispose of the asset without the SWMP's prior written approval.
- ii. For District Subgrantee owned equipment, the District's Subgrantee shall not sell, give away, move, relocate, abandon or dispose of the asset without the District's prior written approval.

N. Buildings or Site Improvements

Buildings or site improvements is defined in Section III below. The District or District Subgrantee agrees that any buildings or site improvements purchased pursuant to this agreement shall be used for the performance of services under the FAA during the term of the FAA. Notwithstanding anything to the contrary contained in this agreement, the buildings or site improvements shall not be removed from the State of Missouri without the written approval of the SWMP.

The following standards shall govern the utilization and disposition of buildings or site improvements acquired with district funds:

1. Title to buildings or site improvements acquired under a grant will vest with either the District or District Subgrantee upon acquisition.
 - a. The funding provided for buildings or site improvements specified in the FAA as negotiated with the SWMP or District shall be used for acquisition of the buildings or site improvements.
 - b. The District or District Subgrantee shall not transfer, sell, or pledge any assets including buildings or site improvements purchased using SWMF monies during the term of the grant and for four years thereafter without first obtaining the prior written consent of the District and SWMP.
 - c. The District or District Subgrantee shall not sell, give away, relocate, or abandon the assets including buildings or site improvements without the District and SWMP's prior written approval.
 - d. The District or District Subgrantee must not use the buildings or site improvements acquired with SWMF to unfairly compete with private companies that provide equivalent services, unless specifically permitted or contemplated by state law.
 - e. Buildings or site improvements constructed or purchased pursuant to this agreement shall be used for the performance of services under this agreement during the term of the FAA, and for four years thereafter. Annually a statement must be submitted to the District certifying that the use of said buildings or site improvements is for project activities. The District shall provide and use a form for such statement.
2. Buildings or Site Improvements Management. The District's or Subgrantee's procedures for managing buildings or site improvements whether acquired in whole or in part with subgrant funds, will, at a minimum, meet the following requirements until disposition takes place:

- a. A control system must be developed to ensure adequate safeguards to prevent against loss, damage, or theft of the buildings or site improvements. Any loss, damage, or theft shall be reported to and investigated by local authorities.
 - b. For all buildings or site improvements purchased, in whole or in part, with SWMF, the District or District Subgrantee shall procure and maintain insurance covering loss or damage to buildings or site improvements, with a financially sound and reputable insurer in such amounts and covering such risks as are usually carried by similarly situated companies engaged in the same or similar business.
3. Security Interest in Buildings or Site Improvements.
- a. When buildings or site improvements are acquired with SWMF monies under this agreement, the following conditions apply or equivalent conditions are required to be set by the District and certified as appropriate by the District's legal counsel:
 - b. The District shall grant to the SWMP, its successors, and assigns a security interest or lien in all buildings or site improvements purchased or constructed for five thousand dollars or more, in whole or in part, with SWMF monies.
 - i. For such buildings or site improvements to be owned by the District, the SWMP must be granted a security interest or lien and be listed as the lien holder. The District shall complete a deed of trust or certificate of title, whichever applies, and return a copy of such document along with the FAA packet to the SWMP.
 - ii. The security interest or lien shall be equivalent to the amount of funding provided by the SWMP.
 - iii. The District hereby covenants that it will not transfer, sell or pledge the SWMP's security interest in the buildings or site improvements as collateral for any indebtedness whatsoever without first obtaining the prior written consent of the SWMP.
 - iv. If the District is granting the security interest to the SWMP, the District must provide a copy of the documentation to the SWMP showing that the SWMP is listed as a lien holder on the certificate of title, the deed of trust, or other security instrument.
 - v. Unless the SWMP notifies the District in writing of a material breach of the FAA or any documents incorporated herewith, the security interest of the SWMP shall decrease at a rate of 20% per annum, beginning one year from the date the financing statement is fully executed.
 - vi. When the security interest is fully depreciated, the SWMP will, on written demand by the District, send the District a termination statement that a security interest in the financing statement is no longer claimed.
 - c. The District Subgrantee hereby grants to the District, its successors, and assigns a security interest or lien in all buildings or site improvements purchased or constructed by the District Subgrantee for five thousand dollars or more, in whole or in part, with SWMF monies.
 - i. For such buildings or site improvements to be owned by the District Subgrantee, the District must be granted a security interest or lien and be

listed as the lien holder. The District Subgrantee shall complete a deed of trust or certificate of title, whichever applies, and return a copy of such document along with the FAA packet to the District.

- ii. The security interest or lien shall be equivalent to the amount of funding provided by the District.
 - iii. The District Subgrantee hereby covenants that it will not transfer, sell or pledge the District's security interest in the buildings or site improvements as collateral for any indebtedness whatsoever without first obtaining the prior written consent of the District.
 - iv. If the District Subgrantee is granting the security interest to the District, the District Subgrantee must provide the District a copy of the documentation showing that the District is listed as a lien holder on the certificate of title, the deed of trust, or other security instrument.
 - v. Unless the SWMP or the District notifies the District Subgrantee in writing of a material breach of the FAA or any documents incorporated herewith, the security interest of the District may decrease at a rate of 20% per annum, beginning one year from the date the financing statement is fully executed.
 - vi. When the security interest is fully depreciated, the secured party will, on written demand by the debtor, send the debtor a termination statement that a security interest in the financing statement is no longer claimed.
4. When a building or site improvement acquired by the District or District Subgrantee is no longer needed for the original project or program or for other activities currently or previously supported by the MDNR, the building or site improvement shall be disposed of as follows:
- a. Buildings or site improvements with a current fair market value of less than five thousand dollars may be retained, sold or otherwise disposed of with no further obligation to the SWMP or the district.
 - b. For a building or site improvement with a current fair market value of five thousand dollars or more:
 - i. When a building or site improvement is District owned, the SWMP shall have a right to an amount calculated by multiplying the current market value or proceeds from the sale by the SWMP's remaining interest in the building or site improvement as established in N.3.b.v. of this agreement.
 - ii. When the building or a site improvement is owned by a District Subgrantee, the District shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the District's remaining interest in the building or a site improvement as established in N.3.c.v. of this agreement.
 - c. When appropriate disposition actions fail to be taken by the building or site improvement owner:
 - i. For District owned buildings or site improvements, the SWMP may direct the District on how to dispose of the building or site improvement.

- ii. For District Subgrantee owned buildings or site improvements, the District may direct the District Subgrantee on how to dispose of the buildings or site improvements.
- d. If the building or site improvement owner is put on notice by either the SWMP or the District that grant assets are not being used for the intended purpose, then:
 - i. For District owned buildings or site improvements, the District shall not sell, give away, move, relocate, abandon or dispose of the asset without the SWMP's prior written approval.
 - ii. For District Subgrantee owned buildings or site improvements, the District's Subgrantee shall not sell, give away, move, relocate, abandon, or dispose of the asset without the District's prior written approval.

O. Public Access and Transparency.

1. Districts shall be "public governmental bodies" as that term is defined in Chapter 610 RSMo, commonly known and referred to as the Missouri Sunshine Law. Consequently, Districts shall maintain records, conduct meetings, and provide access as required in that Chapter.
2. The District shall either have a principal designated office with established office hours or provide all District records including postings of meeting and other public notices required open under Chapter 610 RSMo through an Internet website. Principal designated offices of districts in order to be open to the public must be located in commercial, governmental or stand-alone buildings not used as a residence as defined herein.

P. Travel.

Travel will be conducted according to the District's written travel policy and procedures with the following additional limitations imposed by the SWMP which are based on Internal Revenue Service guidelines:

1. Travel expenses are limited to actual expenses that are reasonable and necessary as determined by the Department. The method of travel shall be that which is most economical and advantageous to the grant or subgrant funds.
2. Out-of-state travel must be approved in advance of travel by the SWMP. The District or District Subgrantee must provide a written justification for such travel, which shall include the purpose of the trip and how it relates to the scope of the project. The District or District Subgrantee shall not incur out-of-state travel expenses on project business until receiving written approval by the SWMP. Out-of-state travel requests may be included as part of the annual District Operations or Subgrant approval process or separately as the need for travel arises after original approval of District Operations or the Subgrant.
 - a. Travel by personal vehicle instead of air travel, shall be limited to the District or District Subgrantee's established mileage allowance as stated in their written travel policy (not to exceed the state rate) plus any actual expenses that would have been allowed or provided if taking air transportation.

- b. If traveling by air, the total allowable costs cannot exceed the reasonable coach fare available at the time to the same destination.
 - c. No meals, additional lodging, or incidentals will be reimbursed for personal extended stays while traveling.
 - d. Reimbursement for out-of-state travel by train or bus shall not exceed the actual cost of the train or bus fare, plus any actual expenses that would have been allowed or provided if taking air transportation.
2. Meal costs shall be allowed during project-related travel, in-state or out-of state, provided that there are at least twelve consecutive hours of travel involved. The District or District Subgrantee will indicate on the travel expense voucher “twelve hour status” and provide time records as back up documentation. Twelve-hour travel status includes the allowable breaks for meals in the District’s or District Subgrantee’s travel policy. A definition of eligible meals is provided in Section III. When in twelve-hour travel status, an eligible meal is as defined in Section III.
3. Reimbursement shall be provided for reasonable meal and hotel expenses as specified in the State of Missouri Travel Regulations or the District’s or District Subgrantee’s Travel policy, whichever is less. The website link provided herein may be utilized as reference for State of Missouri Per Diem Rates <http://oa.mo.gov/travel/>.

Q. Food.

1. Food purchases for events, meetings, etc. must be approved in advance by the SWMP. The events must fit the scope of work and provide a benefit to the success of the subgrant project. The District or District Subgrantee shall not make food purchases until receiving written approval by the SWMP. Food purchase requests may be included as part of the annual District Operations or Subgrant approval process or separately as the need for such purchases occur.
 - a. The SWMP shall allow Districts and District Subgrantees to provide food in conjunction with official District or District Subgrantee business and district grant or subgrant sponsored activities within parameters outlined below.
 - b. As used in this section, “official business” includes council, advisory council, and board meetings, and similar functions when they are conducted as part of the District or District Subgrantee’s scope of work.
 - c. As used in this section, “other agency sponsored activities” include board meetings, workshops, and other specific subgrant related activities. Costs associated with such events are allowable to the extent the primary purpose is the dissemination of technical information.
2. Districts and District Subgrantees are to be accountable for their decisions to provide food at official or sponsored functions within the limits of this section. Districts and District Subgrantees are expected to establish sufficient controls to ensure agency-provided food expenses are incurred only when appropriate and in compliance with this section and with written approval from the SWMP granted prior to the event at which food is to be served.
3. Food at Official Business Functions

- a. The District or District Subgrantee may provide food to serve during official District and District Subgrantee business functions when it is determined that providing food or beverage service will promote the efficient conduct of a specific project activity (e.g., workshops, cleanup events or collection events) and such purchases have been approved by SWMP in writing prior to the event at which food or beverages are to be served. Under no circumstances, however, will alcoholic beverages be a permitted or allowable cost.
 - b. During meeting breaks, light snacks and beverages may be provided. Costs for snacks and beverages should be at a nominal charge per person.
 - c. Lunch or dinner may be provided if there is a substantial reason for doing so that directly and demonstrably creates a benefit to the scope of the District or District Subgrantee's work, and if the cost of which is reasonable and necessary as determined by the SWMP.
 - d. Official business functions does not include those where the only individuals in attendance are employees of the District or District Subgrantee. Food shall not be allowed for the District's or District Subgrantee's general staff meetings or other similar functions that only relate to day-to-day operations.
 - e. Lunch expenses shall not automatically be allowed when incurred in conjunction with a District or District Subgrantee's related meeting. Typically lunch expenses will only be allowed when a meeting extends through the typical lunch periods or an all-day meeting, training, etc.
4. Food at Other Agency Sponsored Activities
- a. Districts or District Subgrantees may purchase light refreshments in conjunction with board or council meetings, advisory committee meetings, sponsored workshops, sponsored conference, or like activity. Costs for such events should be at a nominal charge per person and be prior approved by SWMP.
 - b. Lunch or dinner may be provided for similar events if there is a substantial reason for doing so which demonstrates a benefit to the District or District Subgrantee's scope of work, be at a reasonable cost and be prior approved by SWMP.

5. Meals Provided to Public Officials

Expenditures made for food for public officials, except those meals that are given to a public official or employee when such person is acting in his or her official capacity with the District, or District Subgrantee should be reported to the Missouri Ethics Commission as lobbying expenses as provided in 105.470-473 RSMo.

R. Supplies

- 1. Title to supplies acquired under a subgrant will vest, upon acquisition, in the District or the District's Subgrantee.

2. If there is a residual inventory of unused supplies exceeding five thousand dollars in total aggregate fair market value upon termination or completion of the grant or subgrant award, and if the supplies are not needed for any other SWMP sponsored programs or projects, then the District or District Subgrantee shall compensate the SWMP or District for its share.

S. Promotional Items

Unallowable advertising and public relations costs include the costs of promotional items and memorabilia, including models, gifts, and souvenirs.

1. Costs considered ineligible for district grant funding include the costs of gifts as provided in 10 CSR 80-9.050(2)(D)2.
2. Nominally priced educational items containing recycled materials are allowable, but shall not exceed 10% of the total subgrant project budget. These educational items shall be directly related to a measureable subgrant project outcome. The educational items may promote the project or overall reduce/reuse/recycle goals. The educational item shall be necessary to accomplish the purpose of the subgrant and shall have a direct effect on the success of the project.

T. Invention and Patents

1. If any District or District Subgrantee produces subject matter, which is or may be patentable in the course of work sponsored by the Subgrantee, the District or District Subgrantee shall promptly and fully disclose such subject matter in writing to the SWMP and District.
2. In the event that the District or District Subgrantee fails or declines to file Letters of Patent or to recognize patentable subject matter, the SWMP reserves the right to file the same.
3. The SWMP grants to the District or District Subgrantee the opportunity to acquire an exclusive license, including the right to sublicense, with a royalty consideration paid to the SWMP. Payment of royalties by the District or District Subgrantee to the SWMP will be addressed in a separate royalty agreement.

U. Copyrights

1. Except as otherwise provided in the terms and conditions of this subgrant, the author, the District or District's Subgrantee is free to copyright any books, publications, or other copyrightable material developed in the course of this subgrant.
2. The SWMP and District reserve a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use, with the approval of the SWMP, the work for the District or SWMP purposes.

V. Prior Approval for Publications

1. The District or District's Subgrantee shall submit to the SWMP and the District two draft copies of each publication and other printed materials which are intended for distribution and are financed, wholly or in part, by SWMF monies.
2. The District or District Subgrantee shall not print or distribute any publication until receiving written approval by the SWMP.

W. Mandatory Disclosures

District and District Subgrantees receiving grant funding from the SWMF shall identify the MDNR as a funding source on all equipment, buildings, site improvements, publications and other printed materials which are intended for distribution and paid for, in whole or in part, with Solid Waste Management Funds.

1. Identification shall include the MDNR's logo with the full "Missouri Department of Natural Resources" name.
2. This requirement applies to publications, news releases, videos, displays, signs, and all other projects from which information may be obtained by reading, watching, hearing, or simply seeing the material.
3. Camera ready copies of the MDNR logo will be provided to any District requesting the copies by the SWMP. The Districts will provide logos to District Subgrantees requesting copies of the logos.
4. For other projects, such as audiocassette tapes and news releases, the SWMP shall be identified audibly by including its full name. Guidelines pertaining to placement of logos along with the "Missouri Department of Natural Resources" name and audible identification of the "Missouri Department of Natural Resources" can be obtained from the SWMP.

X. Procurement Standards

District or District Subgrantees shall use their own procurement procedures provided that procurement conforms to standards set forth in the "Uniform Administrative Requirements For Grants and Cooperative Agreements to State and Local Governments", "Uniform Administrative Requirements for Grants and Agreement with Institutions of Higher Education, Hospitals, or Other Non-Profit Organizations", or 34.040, RSMo, "State Purchasing and Printing", as applicable.

1. Within eighteen months after the October 30, 2007 effective date of 10 CSR 80-9.050 which date is April 30, 2009, the District's Executive Board shall use a competitive bid process to obtain administrative services, office space rental, and other district operations services, except for employees who are directly employed by the District. Contracts shall not exceed five (5) years in duration.
2. No work or services, paid for wholly or in part with state funds, will be contracted without the written consent of the SWMP.

3. The District and/or District Subgrantee agree that any contract, interagency agreement, or equipment to be procured under this award which was not included in the approved workplan must receive formal District and SWMP approval prior to expenditure of funds associated with that contract, interagency agreement, or equipment purchase.

Y. Employment

1. Pursuant to 285.530 (1), RSMo as a condition for the award of any grant, subgrant, contract, or subcontract in excess of five thousand dollars, no grantee, subgrantee, contractor, or subcontractor shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the state of Missouri.
2. The grantee, subgrantee, contractor, or subcontractor 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.
3. Pursuant to section 285.530, RSMo, if the grantee, subgrantee, contractor, or subcontractor meets the section 285.525, RSMo definition of a “business entity” included in Attachment 2, the grantee, subgrantee, contractor, or subcontractor must affirm the entity’s enrollment and participation in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services requested herein. The grantee, subgrantee, contractor, or subcontractor shall complete applicable portions of Attachment 2, Business Entity Certification, Enrollment Documentation, and Affidavit of Work Authorization or Affidavit of Work Authorization Annual Renewal Document. The applicable portions of Attachment 2 must be completed, notarized, and submitted prior to award of a grant or a contract.
4. If the grantee, subgrantee, contractor, or subcontractor is found to be in violation of this requirement or the applicable state, federal, and local laws and regulations, and if the Department has reasonable cause to believe that the grantee, subgrantee, contractor, or subcontractor has knowingly employed individuals who are not eligible to work in the United States, the Department shall have the right to cancel the grant or contract immediately without penalty or recourse and suspend or debar the grantee, subgrantee, contractor, or subcontractor from doing business with the Department or State of Missouri. The Department may also withhold up to twenty-five percent of the total amount due to the grantee.
5. The grantee, subgrantee, contractor, or subcontractor shall agree to fully cooperate with any audit or investigation from federal, state, or local law enforcement agencies.

Z. Conflicts of Interest

No party to this subgrant, nor any officer, agent, or employee of either party to this subgrant, shall participate in any decision related to such subgrant which could result in a real or apparent conflict of interest, including any decision which could affect their personal or pecuniary interest, directly or indirectly.

1. The District's Executive Board shall adopt a conflict of interest policy regarding subgrants to District Subgrantees. The policy shall include a requirement that any non-governmental member of the District's Executive Board, or the business or institution to which a member is affiliated, who applies for District Subgrants shall not review, score, rank, or approve any of the subgrantees applications in the same grant call.
2. The District or District Subgrantee is advised that no state employee or former state employee, as defined in Chapter 105, RSMo, shall perform any service for consideration paid by the District or District Subgrantee for one year after termination of the employee's state employment by which the former state employee attempts to influence a decision of a state agency. A state employee who leaves state employment is permanently banned from performing any service for consideration for any person, firm or corporation after termination of his or her office or employment in relation to any case, decision, proceeding or application with respect to which he or she was directly concerned or in which he or she personally participated during the period of his or her service or employment with the state.

AA. State Appropriated Funding

1. The District and District Subgrantee agree that funds expended for the purposes of this subgrant must be appropriated and made available by the Missouri General Assembly for each fiscal year included within the subgrant period, as well as being awarded by the state agency supporting the project. Therefore, the subgrant shall automatically terminate without penalty or termination costs if such funds are not appropriated and/or granted.
2. In the event that funds are not appropriated and/or granted for the subgrant, the District or District Subgrantee shall not prohibit or otherwise limit the SWMP's right to pursue alternative solutions and remedies as deemed necessary for the conduct of state government affairs. The requirements stated in this paragraph shall apply to any amendment or the execution of any option to extend the subgrant.

AB. Eligibility, Debarment and Suspension

By applying for this award, the District or District Subgrantee verifies that it, its board of directors, and all of its principles are currently in compliance with all state and federal environmental laws including those referenced below and court orders issued pursuant to those laws, and that all environmental violations have been resolved (for example, no pending or unresolved Notices of Violation (NOV) at the time of application).

1. If compliance issues exist, the District or District Subgrantee shall disclose to the District and SWMP all pending or unresolved violations noted in an NOV, administrative order, or civil and criminal lawsuit, but only where those alleged violations occurred in the past two years in the State of Missouri.
2. The SWMP will not make any award at any time to any party which is debarred or suspended, under federal or state authority, or is otherwise excluded from or ineligible for participation in federal assistance under Federal Executive Order 12549, "Debarment and Suspension."

3. The District or District Subgrantee shall complete a Debarment/Suspension form when required by the SWMP. Furthermore, the District or District Subgrantee is also responsible for written debarment/suspension certification of all subcontractors receiving funding through a state funded grant.

AC. Restriction on Lobbying Costs

Lobbyists as defined in section 105.470, RSMo, and related costs are ineligible for district grant funds.

AD. Recycled Paper

The District or District Subgrantee receiving SWMF is required to use recycled paper consisting of at least 30% post consumer waste for all reports and materials which are prepared as part of this grant award and delivered to the District or SWMP or otherwise distributed as part of this subgrant.

1. If paper containing 30% post consumer material is not reasonably available, does not meet reasonable performance requirements, or is available at an unreasonable price, then the District or District Subgrantee shall use paper containing no less than 20% post consumer material.
2. The chasing arrows symbol representing the recycled content of the paper will be clearly displayed on at least one page of any materials provided to any and all parties other than the SWMP.
3. This requirement applies even if the cost of recycled paper is higher than that of virgin paper.

AE. Contracting with Small and Minority Firms, Women's Business Enterprise, and Labor Surplus Area Firms

In order for the SWMP to meet the provisions of Executive Order 05-30, it is desired the District and District Subgrantees secure participation of certified MBEs and WBEs in providing the products and/or services obtained with district grant funds. The targets of participation recommended by the State of Missouri are 10% MBE and 5% WBE of the total dollar value of the products and/or services obtained.

The District or District Subgrantee agrees to take all necessary affirmative steps required to assure that small and minority firms, women's business enterprises and labor surplus area firms are used when possible as sources when procuring supplies, equipment, construction, and services related to the subgrant. The District and District Subgrantee agrees to include information about these requirements in solicitation documents. Affirmative steps shall include:

1. Placing qualified small and minority business and women's business enterprises on solicitation lists;
2. Ensuring that small and minority and women's business enterprises are solicited whenever they are potential sources;

3. Dividing total requirements, when economically feasible, into small tasks or quantities to permit maximum participation by small and minority and women's business enterprises;
4. Establishing delivery schedules, where the requirements of work will permit participation by small and minority and women's business enterprises;
5. Using the services of the Small Business Administration and the Minority Business Development Agency of the U.S. Department of Commerce; and
6. Requiring any prime contractor or other subgrantee, if subgrants are to be allowed, to take the affirmative steps in subparagraphs 1 through 5 of this section.

AF. Subgrants

The District is responsible for the day-to-day operations of subgrant supported activities. The District must monitor subgrant supported activities to assure compliance with applicable state requirements and that performance goals are being achieved. Subgrant monitoring must cover each program, function, or activity.

AG. Later Disallowances and Adjustments

The closeout of a subgrant does not affect:

1. The SWMP's right to disallow costs and recover funds on the basis of a later audit or other review.
2. The District or District Subgrantee's obligation to return any funds due as a result of later refunds, corrections, or other transactions.
3. Recordkeeping as required by section E above.
4. Equipment and building or site improvements management requirements as required by sections M and N above.
5. Audit requirements in sections J and K.

AH. Dispute Resolution

1. The District and the SWMP shall attempt to resolve disagreements concerning the administration or performance of the District.
2. If an agreement cannot be reached within ninety (90) days of the issuance of the notice of noncompliance, the MDNR's SWMP director will provide a written decision. The SWMP director may consult with the SWAB prior to providing this decision. Such decision of the SWMP director shall be final unless a request for review is submitted to MDNR's Division of Environmental Quality (DEQ) director within thirty (30) days of the receipt of the SWMP director's decision. The DEQ director shall provide a final decision within thirty (30) days of the district's request. Such district request shall include:

- a. A copy of the SWMP director's written decision;
 - b. A statement of the amount in dispute;
 - c. A brief description of the issue(s) involved; and
 - d. A concise statement of the objections to the final decision.
3. A decision by the DEQ director shall constitute final MDNR action.

AI. Termination

1. Termination for Cause.

a. By MDNR:

- i. The MDNR may terminate any subgrant, in whole or in part, at any time before the date of completion whenever it is determined that the District or District Subgrantee has failed to comply with the terms and conditions of the subgrant.
- ii. The MDNR shall promptly notify the subgrantee in writing of such a determination and the reasons for the termination, together with the effective date.
- iii. The MDNR reserves the right to withhold all or a portion of grant funds if the District or District Subgrantee violates any term or condition of the subgrant.

b. By District:

- i. The District may terminate any subgrant, in whole or in part, at any time before the date of completion whenever it is determined that the District Subgrantee has failed to comply with the terms and conditions of the subgrant.
- ii. The District shall promptly notify the subgrantee in writing of such determination and the reasons for the termination, together with the effective date.
- iii. The District reserves the right to withhold all or a portion of subgrant funds if the District Subgrantee violates any term or condition of the subgrant.

2. Termination for Convenience.

- a. The MDNR, the District, or the District's Subgrantee may terminate the subgrant, in whole or in part, when the parties agree that the continuation of the project would not produce beneficial results commensurate with the further expenditure of funds.
- b. This agreement is not transferable to any person or entity.
- c. District subgrant agreements are not transferable to any person or entity without prior written approval of the District's Executive Board and the SWMP.

AJ. Enforcement: Remedies for Noncompliance

If a District or District Subgrantee falsifies any award document, fails to maintain records or submit reports, refuses the SWMP access to records, fails to meet the SWMP's

performance standards, or materially fails to comply with any term of a grant, award, or subgrant, then the SWMP may take one or more of the following actions, as appropriate:

1. Suspend or terminate, in whole or in part, the award or grant of current or future funds;
2. Disallow all or part of the cost of the activity or action not in compliance;
3. Temporarily withhold cash payments pending subgrantee's correction of the deficiency;
4. Withhold further awards from the District or District Subgrantee;
5. Compel the repayment of funds provided to the District or District Subgrantee pursuant to the award or grant;
6. Order the District or District Subgrantee not to transfer ownership of assets purchased with district grant funds without prior SWMP approval; or
7. Pursue any other remedies that may be legally available, including cost recovery, breach of contract, and suspension or debarment with respect to the District, the District Subgrantee, or both and further may pursue criminal charges against any individual who commits any crime within the context or during the work performed under the grant or subgrant.

AK. District's and District Subgrantee's Signature

In consideration for the ability to utilize SWMF monies, the District's and District Subgrantee's signature on the application, FAA, and other award documents signify the District or District Subgrantee's agreement to all of the terms and conditions of the award which include the FAA and the documents incorporated therein, including these General Terms and Conditions.

AL. Human Trafficking.

This requirement applies to non-profit grantees or subgrantees. The subgrantee, its employees, subgrantees under this award, and subgrantees' employees may not engage in severe forms of trafficking in natural persons during the period of time that the award is in effect; procure a commercial sex act during the period of time that the award is in effect, or use forced labor in the performance of the award or subawards under the award. The SWMP hereby adopts and will implement section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA) (22 U.S.C. § 7104(g)), modified so as to apply to the state and its agencies, departments, and political subdivisions and all respective agents that would correspond with those federal agents referred to in the TVPA, and as such the SWMP has the right to unilaterally terminate this agreement and any awards made in conjunction herewith if there is a violation of the TVPA.

AM. Illegal Immigration

Section 67.307 2 RSMo applies to this agreement, and consequently any municipality that enacts or adopts a sanctuary policy will be ineligible for moneys provided through grants or subgrants administered by any state agency or department until the policy is repealed or is no longer in effect.

AN. Illegal Immigration

Section 285.530 RSMo applies, and consequently 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. The SWMP may unilaterally terminate this agreement and any awards made in conjunction herewith if there is a violation §§ 285.525 – 285.550 R.S.Mo.

II. Statutory Requirements

A. Laws and regulations related to nondiscrimination and employment:

1. Chapter 213 of the Missouri Revised Statutes, which prohibits discrimination on the basis of race, color, religion, national origin, sex, age, and disability;
2. Title VI of the Civil Rights Act of 1964, 42 U.S.C. §2000d, as amended, which prohibits discrimination on the basis of race, color, or national origin;
3. Title VII of the Civil Rights Act of 1964, 42 U.S.C. §2000e, as amended, which prohibits discrimination on the basis of race, color, religion, national origin, or sex;
4. Civil Rights Restoration Act of 1987, 20 U.S.C. §1687, 29 U.S.C. § 794, 42 U.S.C. § 2000d-4a, and 42 U.S.C. § 6101, as amended;
5. Civil Rights Act of 1991, 42 U.S.C. § 1981a and 42 U.S.C §§ 2000e-2(k) - (n), as amended;
6. Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 794, as amended, which prohibits discrimination on the basis of disability;
7. Age Discrimination in Employment Act of 1967 (ADEA), 29 U.S.C. § 621 et seq., as amended, which prohibits discrimination on the basis of age;
8. Drug Abuse Office and Treatment Act of 1972, P.L. 92-255, 21 U.S.C. § 1101 et seq., as amended, relating to nondiscrimination on the basis of drug abuse;
9. Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, P.L. 91-616, 42 U.S.C. § 4541 et seq., as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
10. Family and Medical Leave Act of 1993 (FMLA), 29 U.S.C. § 2601 et seq.;
11. The Americans with Disabilities Act of 1990 (ADA), P.L. 101-336, 42 U.S.C. §12101 et seq., as amended, relating to nondiscrimination against individuals with disabilities; and

12. Fair Labor Standards Act of 1938 (FLSA), 29 U.S.C. § 201 et seq., as amended.

B. State and Federal Environmental Laws:

1. The Federal Clean Air Act, 42 U.S.C. § 7401 et seq., as amended, which prohibits the award of assistance by way of grant, loan, or contract to noncomplying facilities.
2. The Federal Water Pollution Control Act (Clean Water Act), 33 U.S.C. §1251 et seq., as amended, prohibiting award of assistance by way of grant, loan, or contract to noncomplying facilities.
3. The Federal Safe Drinking Water Act, 42 U.S.C. § 300f et seq., as amended, which prohibits the award of assistance by way of grant, loan, or contract to non-complying facilities.
4. The Federal Solid Waste Disposal Act, 42 U.S.C. 6901 et seq., as amended.
5. The Federal Comprehensive Environmental Response, Compensation, and Liability Act, 42 USC 9601 et seq., as amended.
6. The Federal Toxic Substance Control Act, 15 USC 2601 et seq., as amended.
7. The Federal Insecticide, Fungicide and Rodenticide Act, 7 USC 136 et seq., as amended.
8. The Federal Endangered Species Act, 16 USC 1531 et seq., as amended.
9. The National Environmental Policy Act of 1969, 42 U.S.C. §4321 et seq., as amended, particularly as it relates to the assessment of the environmental impact of federally assisted projects.
10. Earthquakes – Seismic Building and Construction Ordinances, §§ 319.200 – 319.207, RSMo relating to the adoption of seismic design and construction ordinances by certain cities, towns, villages and counties.
11. The Missouri Clean Water Law, Chapter 644, RSMo.
12. Chapters 260 and 319, RSMo including the Missouri Hazardous Waste Management Law, and the Missouri Solid Waste Management Law including laws relating to petroleum storage tanks.
13. The Missouri Air Conservation Law, Chapter 643.
14. Chapter 444, RSMo including the Metallic Minerals Waste Management Act, the Land Reclamation Act, and the Surface Coal Mining Law.

- C. **Chapter 105, RSMo, as it relates to conflicts of interest and lobbying.**
- D. **Chapter 610, RSMo, Governmental Bodies and Records commonly referred to as the Missouri “Sunshine Law”.**
- E. **The Archaeological and Historic Preservation Act of 1974 (Public Law 93-291) relating to potential loss or destruction of significant scientific, historical, or archaeological data in connection with federally assisted activities.**
- F. **The Wild and Scenic Rivers Act of 1968 (16 U.S.C. § 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.**
- G. **The flood insurance purchase requirements of § 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires subgrantees in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.**
- H. **The Privacy Act of 1974, P.L. 93-579, as amended prohibiting the maintenance of information about any individual in a manner which would violate the provision of the Act.**
- I. **Public Law 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.**
- J. **The Laboratory Animal Welfare Act of 1966 (P.L. 89-544), 7 U.S.C. § 2131 et seq., pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.**
- K. **The following additional requirements apply to projects that involve constriction:**
 - 1. The Davis-Bacon Act as amended, 40 U.S.C. §276 et seq.
 - 2. The Copeland (Anti-Kickback) Act, 18 U.S.C. §874, 40 U.S.C. § 276c.
 - 3. The Contract Work Hours and Safety Standards Act, 40 U.S.C. §327 et seq.
 - 4. Convict labor shall not be used on construction projects unless by convicts who are on work release, parole, or probation.
 - 5. The Lead-Based Paint Poisoning Prevention Act (42 U.S.C. § 4801 et seq.) which prohibits the use of lead paint in construction or rehabilitation of residence structures.
 - 6. The National Historic Preservation Act of 1966, 16 U.S.C §470 et seq., as amended, relating to the preservation of historic landmarks.
- L. **Trafficking Victims Protection Act of 2000, Section 106, as amended (22 U.S.C. 7104(g) relating to termination of contract award based upon any employee of the department, grantee or subgrantee violating this act.**

- M. Missouri House Bill 1549, 1771, 1395 & 2366 – Illegal Aliens and Immigration Status Verification – This bill changed May 25, 2011, the laws regarding illegal aliens and immigration status verification. Effective January 1, 2009, no business entity or employer shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform working within the state of Missouri.**

III. Definitions

As used in these General Terms and Conditions:

- A. “Accrued expenditures” means the charges incurred by the grantee during a given period requiring the provision of funds for: (1) Goods and other tangible property received; (2) Services performed by employees, contractors, subgrantees, subcontractors, and other payees; and (3) Other amounts becoming owed under programs for which no current services or performance is required, such as annuities, insurance claims, and other benefit payments.
- B. “Accrued income” means the sum of: (1) Earnings during a given period from services performed by the grantee and goods and other tangible property delivered to purchasers; and (2) Amounts becoming owed to the grantee for which no current services or performances is required by the grantee.
- C. “Acquisition cost of an item of purchased equipment” means the net invoice unit price of the property including the cost of modifications, attachments, accessories, or auxiliary apparatus necessary to make the property usable for the purpose for which it was acquired. Other charges such as the cost of installation, transportation, taxes, duty or protective in-transit insurance, shall be included or excluded from the unit acquisition cost in accordance with the grantee’s regular accounting practices.
- D. “Administrative requirements” means those matters common to grants in general, such as financial management, kinds and frequency of reports, and retention of records. These are distinguished from programmatic requirements, which concern matters that can be treated only on a program-by-program or grant-by-grant basis, such as kinds of activities that can be supported by grants under a particular program.
- E. “Allocated district funds” means the monies from the Solid Waste Management Fund that are set aside to be disbursed to each District by the MDNR.
- F. “Awarding agency” means (1) with respect to a grant, the SWMP of the MDNR, and (2) with respect to a subgrant, the party that awarded the subgrant.
- G. “Building or site improvements” includes any structures or appurtenances of a permanent nature related to real estate, excluding movable machinery and equipment.
- H. “Competitive bid process” means the procurement of goods or services that follows the guidelines outlined in 1 CSR 40.
- I. “Contract” means (except as used in the definitions for grant and subgrant in this section) a procurement contract under a grant or subgrant, and means a procurement subcontract under a contract.

- J. "Disposal cost" means fees charged to collect, transport or deposit solid waste in a landfill, transfer station, or other approved facility.
- K. "District" refers to one of the twenty solid waste management districts established pursuant to the Solid Waste Management Law, 260.200 through 260.345, RSMo.
- L. "District Subgrantee" refers to the District or other entities receiving district subgrant awards of SWMF from the SWMP or a District.
- M. "District administrative grant" means a grant for planning and organizational grants disbursed by the Department prior to August 28, 2004.
- N. "District carryover" means any remaining district funds of any completed grants that have been disbursed by the Department to each District for district administrative grants, district operations grants, plan implementation grants, or district subgrants.
- O. "District funds" means the revenue generated from the solid waste tonnage fee collected and deposited in the Solid Waste Management Fund that is allocated to each District pursuant to section 260.335.2, RSMo, plus district carryover, interest income earned, and state required local match funds.
- P. "District funds paid" means funds paid to each District or Subgrantee.
- Q. "Eligible meal" means the reasonable costs incurred for any of the following meals when overnight lodging is required to fulfill the project:
 - Breakfast* – is eligible on the day of departure if travel status begins two hours before the normal start time of the employee's typical work day plus any other day until the employee returns.
 - Lunch* – is eligible on the day of departure if travel status begins no later than 10:00 a.m. plus any other day where travel status continues past 2:00 p.m. including the day the employee returns.
 - Dinner* – is eligible on the day of departure if travel status begins no later than 5:00 p.m. plus any other day where travel status continues past 7:00 p.m. including the day the employee returns.
- R. "Equipment" means tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of five thousand dollars or more per unit. A grantee may use its own definition of equipment provided that such definition would at least include all equipment defined above.
- S. "Executive board" means the board established by each District's solid waste management council or by the alternative management structure chosen by a District as provided for in section 260.315.4(2), RSMo.
- T. "Financial Assistance Agreement or FAA" refers to the agreement entered into by the SWMP and the District or District and a District Subgrantee and includes these General Terms and Conditions and other incorporated documents.
- U. "Government" means the federal, state, or local government.

- V. "Grant" means an award of financial assistance, including cooperative agreements, in the form of money to an eligible grantee.
- W. "Grantee" means the government or other entity to which a grant is awarded and which is accountable for the use of the funds provided. The grantee is the entire legal entity even if only a particular component of the entity is designated in the grant award document.
- X. "Interest income" means all interest earned by each District from the holding of revenue generated from the Solid Waste Management Fund.
- Y. "Local government" means a county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (whether or not incorporated as a nonprofit corporation under State law), any other regional or interstate government entity, or any agency or instrumentality of a local government.
- Z. "Missouri Department of Natural Resources or MDNR" refers to the Missouri Department of Natural Resources including its agents, successors, or assignees.
- AA. "Obligations" means the amounts of orders placed, contracts and subgrants awarded, goods and services received, and similar transactions during a given period that will require payment by the grantee during the same or a future period.
- AB. "Outlays or Expenditures" mean charges made to the project or program. They may be reported on a cash or accrual basis. For reports prepared on a cash basis, outlays are the sum of actual cash disbursement for direct charges for goods and services, and the amount of indirect expense incurred, the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors and subgrantees. For reports prepared on an accrued expenditure basis, outlays are the sum of actual cash disbursements, the amount of indirect expense incurred, the value of in-kind contributions applied, and the new increase (or decrease) in the amounts owed by the grantee for goods and other property received, for services performed by employees, contractors, subgrantees, subcontractors, and other payees, and other amounts becoming owed under programs for which no current services or performance are required, such as annuities, insurance claims, and other benefit payments.
- AC. "Program income" means gross income received by the grantee or subgrantee directly generated by a grant supported activity, or earned only as a result of the grant agreement during the grant period. Examples of program income include income from fees for services performed, from the use or rental of real or personal property acquired with grant funds, from the sale of commodities or items fabricated under the subgrant, and from payments of principal and interest on loans made with subgrant funds. Program income does not include items such as interest on grant funds, rebates, credits, discounts, or refunds and any interest earned on these items.
- AD. "Project" means all approved components of an organized undertaking described in a proposal, including any supporting documents as required by project type.
- AE. "Residence" means a place that is being used as a dwelling or home.

- AF. “Share, when referring to the awarding agency’s portion of building or site improvements, equipment or supplies” means the same percentage as the awarding agency’s portion of the acquiring party’s total costs under the grant to which the acquisition costs of the property was charged. Only costs are to be counted—not the value of third-party in-kind contributions.
- AG. “Solid Waste Management Fund or SWMF” means the fund created in section 260.330, RSMo, to receive the tonnage fee charges submitted by sanitary and demolition landfills for waste disposed of in Missouri and transfer stations for waste transported out of state for disposal.
- AH. “Solid Waste Management Program or SWMP” refers to the Missouri Department of Natural Resources, Division of Environmental Quality, Solid Waste Management Program or any other departmental organization to whom the SWMP duties may be assigned in the future.
- AI. “State” means the State of Missouri or any other agency instrumentality of the state.
- AJ. “State required local match funds” means funds committed by local governments to each District as match for district administrative grants.
- AK. “Subgrant” means an award of financial assistance in the form of money made under a grant by a grantee to an eligible subgrantee. The term includes financial assistance when provided by contractual legal agreement, but does not include procurement purchases.
- AL. “Subgrantee” means the government or other legal entity to which a subgrant is awarded and which is accountable to the grantee for the use of funds provided.
- AM. “Supplies” means all tangible personal property other than equipment, building, or building site improvements, as defined in this part.
- AN. “Suspension” means depending on the context, either (1) temporary withdrawal of the authority to obligate grants funds pending corrective action by the grantee or subgrantee or a decision to terminate the grant, or (2) an action taken by the SWMP to immediately exclude a person from participating in grant transactions for a period, pending completion of an investigation and such legal or debarment proceedings as may ensue.
- AO. “Termination” means permanent withdrawal of the authority to obligate previously-awarded grant funds before that authority would otherwise expire. It also means the voluntary relinquishment of that authority by the grantee or subgrantee. Termination does not include: (1) Withdrawal of funds awarded on the basis of the grantee’s underestimate of the unobligated balance in a prior period; (2) Withdrawal of the unobligated balance as of the expiration of a grant; (3) Refusal to extend a grant or award additional funds, to make a competing or non-competing continuation, renewal, extension, or supplemental award; or (4) Voiding of a grant upon determination that the award was obtained fraudulently, or was otherwise illegal or invalid from inception.
- AP. “Terms of a grant or subgrant” means all requirements of the grant or subgrant, whether in statute, regulations, the award document, or any documents incorporated therein.

AQ. "Unencumbered district funds" means the district funds that have not been obligated in the form of purchase orders for goods and services.

AR. "Unliquidated obligations for reports prepared on a cash basis" means the amount of obligations incurred by the grantee that have not been paid. For reports prepared on an accrued expenditure basis, they represent the amount of obligations incurred by the grantee for which an outlay has not been recorded.

AS. "Unobligated balance" means the portion of the funds authorized by the SWMP that has not been obligated by the grantee and is determined by deducting the cumulative obligations from the cumulative funds authorized.