



CAPITAL AREA COUNCIL OF GOVERNMENTS FY 2020 – 2021 SOLID WASTE GRANT REQUEST FOR APPLICATIONS

October 18, 2019

GENERAL

The Capital Area Council of Governments (CAPCOG) is announcing the availability of regional solid waste grant funding for 2020 and 2021. CAPCOG is a Regional Planning Commission and a political subdivision of the State of Texas created under Chapter 391 of the Texas Local Government Code. The 10-County CAPCOG region includes Bastrop, Blanco, Burnet, Caldwell, Fayette, Hays, Lee, Llano, Travis, and Williamson counties.

The purpose of this funding is to implement projects that will support the goals of CAPCOG's Regional Solid Waste Management Plan (RSWMP). These goals are:

1. Encourage a household hazardous waste (HHW) collection and diversion program
2. Promote public education on integrated solid waste management
3. Promote community clean-up events to provide citizens with an alternative to illegal dumping
4. Continue and enhance current illegal dumping enforcement programs
5. Encourage effective and efficient management and operation of recycling services
6. Explore alternatives to dealing with the disposal of special wastes
7. Encourage the proper management and disposal of municipal solid waste (MSW)
8. Promote reduction in the disposal amount of yard waste and encourage recycling
9. Determine whether access to and the availability of legal disposal options in the CAPCOG region are adequate
10. Promote administrative structures to ensure some measure of local control in the siting, expansion, and operation of MSW facilities

11. Promote incentives for recycling activities and increased recycling participation rates across the region
12. Reduce the amount of MSW generated and disposed of within the region
13. Increase the CAPCOG region's recycling rate
14. Provide permanent HHW collection facilities throughout the region
15. Use the conformance/facility application review process and provisions of §363.066, Health and Safety Code, to address land use compatibility and other local issues in order to avoid if possible, or minimize if avoidance is not possible, adverse impacts from MSW facilities on human health and the environment

CAPCOG's current RSWMP is available online at: <https://www.capcog.org/divisions/community-economic-development#solid-waste> .

ELIGIBLE PROJECTS

The following categories of projects are eligible for funding under this Request for Applications (RFA):

- ❖ Local Enforcement.
- ❖ Litter and Illegal Dumping Cleanup and Community Collection Events.
- ❖ Source Reduction and Recycling.
- ❖ Local Solid Waste Management Plans.
- ❖ Municipal Solid Waste Facilities Eligible for Funding.
- ❖ Household Hazardous Waste Management.
- ❖ Technical Studies.
- ❖ Educational and Training Projects.
- ❖ Other Types of Projects.

PROJECT PRIORITIES

The following types of projects are considered the highest-priority types of projects for this RFA, based on the priorities described in Volume II of the RSWMP and subsequent input from CAPCOG's Solid Waste Advisory Committee (SWAC).

1. Permanent HHW facilities and/or reuse centers (including equipment used specifically for the collection and transportation of HHW materials)
2. HHW collection events and/or programs that deal with scrap tires
3. Litter and illegal dumping cleanup and community collection events
4. Illegal dumping and local enforcement programs
5. Recycling services, programs, and market development

Projects that involve establishing a new program or permanently expanding the region’s solid waste management capacity may be prioritized over projects that involve on-going operations.

Projects that are regionally coordinated and/or multi-jurisdictional may be prioritized over projects that only serve a single jurisdiction. Projects that involve public-private partnership may be prioritized over projects that only involve the public sector.

ELIGIBLE ENTITIES

The following types of entities located in the CAPCOG region are eligible to apply for funding under this RFA:

1. Municipalities
2. Counties
3. Public schools and school districts (not including Universities or post-secondary educational institutions)
4. Other general and special law districts with the authority and responsibility for water quality protection or municipal solid waste management, including river authorities
5. Councils of Government

FUNDING AMOUNTS AVAILABLE

At least \$244,000 total for FY 2020-2021 (\$112,000.00 each fiscal year).

Matching funds or in-kind services are not required to be eligible for grant funding, but local commitment is strongly considered when determining the entities’ commitment to the program.

RESTRICTIONS

Applications for which the full cost of the project is already included in the applicant’s FY 2020 budget without expectation of receiving funding from CAPCOG are not eligible for consideration.

Applications for which a portion of the project cost is already included in the applicant’s FY 2020 budget will only be eligible for the portion of the project cost that is not covered by the applicant’s existing budget.

NOTE ON MULTIPLE APPLICATIONS AND APPLICATION PRIORITY

Eligible entities are not restricted to submitting only one application. However, all applicants must assign a priority level to each application submitted on Form 1, e.g., primary project, secondary project, or tertiary project. If an applicant is only submitting one application, then they should assign “primary” to that application on form 1. All applications identified as primary priority which are scored and ranked as eligible for funding will be funded prior to any

secondary applications, and secondary applications will be funded prior to any tertiary applications, etc.

APPLICATION ASSISTANCE AND QUESTIONS ABOUT RFA

CAPCOG will host several grant workshops in November and December 2019 as described in the timeline later on in this document. The purpose of these workshops is to help applicants understand the requirements for completing the application; how to ensure that an application makes it through the screening process; how projects will be scored, ranked, and awarded; and post-award requirements.

CAPCOG staff will offer individual assistance to any individuals who attend one of these workshops, including a preliminary review of an application to ensure that it will pass all screening criteria, as long as such requests are received by December 15, 2019.

If you have any questions about this RFA, submit your question to Suzanne Zaloga at Szaloga@capcog.org. Throughout the RFA process, CAPCOG staff will assemble these questions and provide a Question & Answer (Q&A) document online responding to all questions submitted. Beginning the week of November 11, 2019, CAPCOG staff expects to provide an updated Q&A document each week through the timeline of this RFA. There is a Q&A document currently posted on the website which is from the FY 2018-2019 biennium which may prove helpful as well. Each of the responses remains applicable this biennium.

RELATED DOCUMENTS

The following documents are associated with this RFA and applicants should review these documents prior to applying for a grant:

- *Application Forms 1-6.pdf*
- *Application Form 7 & Reimbursement Form Template.zip*
- *TCEQ solid waste grant contract 582-20-10206 with CAPCOG, which includes a number of provisions that will pass through to any grant recipients.pdf*
- *TCEQ administrative procedures document for FY 2020-2021 solid waste grants.pdf*
- *CAPCOG Staff Application Screening Sheet.pdf*
- *SWAC Scoring Sheet.pdf*
- *SWAC Scoring Guidance.pdf*
- *Attachment 6 – Results_Follow-Up Report.xlsx*
- *FY 2020-21 Site Visit Form.pdf*
- *SW Timeline FY 2020-2021_10172019.pdf*
- *CAPCOG Solid_Waste Grants_QandA- 11-28.pdf*

All of these files, along with any Q&A documents and addenda, will be posted online at <https://www.capcog.org/what-we-do/funding-grants/solid-waste/>.

PRIVATE INDUSTRY REVIEW

In accordance with TCEQ's Administrative Procedures for the FY 2020-2021 Solid Waste Grant Program, CAPCOG is required to notify private industry solid waste service providers in writing at least seven (7) days prior to the beginning of the period that applications will be available for public review. Applicants will be notified of any objections and have an opportunity to resolve any issues prior to the SWAC scoring meeting. Private industry objections to any applications must be received in writing no later than 5:00 pm, January 12, 2020.

SCREENING OF APPLICATIONS

In accordance with the terms of CAPCOG's contract with TCEQ, CAPCOG is required to complete a preliminary screening of applications following the application due date. This screening is intended to ensure the following:

1. The application must be complete and all application requirements and procedures followed, including requirements to notify private sector providers of the proposed project, when applicable
2. The proposed project must conform to eligible standards, eligible recipient standards, and allowable expense and funding standards, as established by the TCEQ and the COG and under all applicable laws and regulations
3. The applicant must agree to document the results of the project as required by the COG.
4. The proposed project must be technically feasible, and there must be reasonable expectation that the proposed project can be satisfactorily completed within the required time frames.
5. The proposed project activities and expenses must be reasonable and necessary to accomplish the goals and objectives of the project. One factor in determining reasonableness of expenses shall be whether comparable costs are proposed for comparable goods and services.
6. The proposed project must be consistent with the approved regional solid waste management plan (RSWMP), and must directly support implementation of the regional plan.

For screening criteria 1, CAPCOG staff will strive to complete an initial screening of any applications received prior to the application deadline and provide feedback to the applicant if the application is incomplete or has material errors that would preclude consideration by the SWAC. Once the application deadline has passed, there will not be any additional opportunities for corrections to an application.

Due to timing constraints that can limit an entity's ability to secure a resolution from the entity's governing board, CAPCOG staff can deem an application substantially complete without a copy of the required resolution if the application is otherwise complete as submitted by the deadline. If this occurs, the application must include in Form 4 documentation that the applicant will be able to submit the approved resolution from the governing body no later than 5:00 pm, January 15, 2020. If an applicant does not provide the required, signed resolution by 5:00 pm on January 15, 2020, the application will be deemed ineligible for further consideration and will not be submitted to the SWAC for scoring and ranking.

For screening criteria 2-5, CAPCOG materially relies upon the certifications and assurances provided by the applicant in Form 3 to ensure that these criteria are met. CAPCOG will summarize pertinent information related to criteria 4, 5, and 6 for the SWAC's consideration in scoring and ranking applications. CAPCOG staff will also review each application to ensure that the applicant is not debarred from state contracts or is delinquent in payment of solid waste disposal fees owed the State of Texas.

If an application indicates on form 6h that the project is an activity that was already included in the applicant's FY 2020 budget for FY 2020 grants, and FY 2021 for FY 2021 grants, without grant funding or indicates on form 6g that it was an activity funded exclusively by the applicant in FY 2018 or FY 2019 without grant funding, the applicant will need to demonstrate how awarding grant funding for the project would not constitute "supplanting" as described in the Uniform Grant Management Standards (UGMS). CAPCOG staff will review this explanation and any supporting documentation and make a determination if the UGMS prohibition on supplanting renders the application ineligible.

CAPCOG staff will prepare a "CAPCOG Staff Summary Form" to complete the application screening and provide additional information for the SWAC to assist with their evaluation of applications, including information on past performance, if applicable.

SWAC REVIEW OF APPLICATIONS

On January 16, 2020, CAPCOG staff will distribute all applications, staff summary sheets, and scoring guidance to all SWAC members, along with any information about any private industry objections and concerns that were identified for any applications. Applicants will be provided an opportunity to present their application for up to five minutes at the SWAC meeting scheduled for January 23, 2020. Following each presentation, and up to 10 minutes for questions and answers from the SWAC, each SWAC member will score the application based on following criteria (up to 100 points):

- 1. Identified Need/ problem resolution/ innovative or progressive/ long term vs. short term (20 Points)**
- 2. Well planned, organized and technically feasible project (15 Points)**
- 3. Regional coordinated effort or public/ private partnership/ multi-jurisdictional (20 Points)**
- 4. Cost effectiveness of project (10 Points)**
- 5. Direct services vs. administrative overhead (10 Points)**

6. Sustainability of project (10 Points)

7. Local commitment to project (15 Points)

A SWAC member must abstain from scoring a grant application if they have a conflict of interest as defined in the SWAC bylaws.

CAPCOG staff will tally all scores assigned by SWAC members, then sort the eligible applications, first by the priority level assigned by the applicants (primary, secondary, tertiary), then by the total score. The total funding available will be assigned to each application in descending order until all funding has been allocated based on the funding requested. All eligible primary-priority applications will be assigned funding prior to a second-priority application, regardless of the secondary application's score, and a secondary application will be considered before a tertiary application, etc. CAPCOG staff will then present the results of the scoring and ranking to the SWAC. The SWAC will then consider any modifications, including how to assign any partial funds, and whether to identify any eligible projects that did not realize funding to be considered "contingency projects," should additional funding become available later in the biennium. The SWAC must approve a final recommendation on how to award the funding prior to the end of the meeting.

CONSIDERATION BY CAPCOG'S EXECUTIVE COMMITTEE

The SWAC's funding recommendation will be presented to CAPCOG's Executive Committee for consideration. This is anticipated to occur on February 12, 2020. CAPCOG's Executive Committee has the discretion to modify the SWAC's recommendation.

FINAL APPROVAL OF GRANT AWARDS BY TCEQ

TCEQ is the final authority for approving any grants that will be awarded under this RFA. CAPCOG staff will provide TCEQ with a copy of the SWAC's recommendation following the January SWAC meeting and will provide TCEQ staff with a copy of the agenda and backup for the February Executive Committee meeting at which the grant awards will be considered. TCEQ staff may notify CAPCOG staff at any time prior to the Executive Committee meeting of any issues it identifies with the applications recommended for funding that would preclude it from being able to approve the sub-grant. Following consideration by CAPCOG's Executive Committee, CAPCOG staff will submit the Executive Committee's decision to TCEQ staff for final approval. CAPCOG's Executive Director will execute grant contracts for each project awarded funding by TCEQ.

GRANT CONTRACTS

Each application awarded funding will require a separate grant contract between CAPCOG and the applicant. The application will constitute the scope of work for the contract, along with any other provisions attached to the project by CAPCOG's Executive Committee (i.e., such as awarding less than the full amount requested). Among other provisions, the contracts will include the following provisions:

- Grant funding will be provided on a reimbursement basis only, and all requests for reimbursement must be handled through the COG.
- Grant recipients will be required to submit reimbursement requests for reimbursement upon completion of the project.
- Grant recipients must agree to provide data related to the results of the project to the COG and/or the TCEQ. As appropriate to the project, the grant recipient will also be asked to commit to monitoring the results of the project beyond the grant term, and periodically provide the COG and/or the TCEQ additional reports on the status of the project.
- Grant recipients must agree to allow staff of the COG and/or the TCEQ to perform on-site visits to monitor the progress of projects.
- All Terms and Conditions, including compliance with TCEQ’s Administrative Procedures, identified in CAPCOG’s contract with TCEQ will be fully enforced in all pass-through recipient contracts. A copy of these Terms and Conditions and TCEQ’s Administrative Procedures are available on the CAPCOG’s Solid Waste website.

Unless otherwise specified by CAPCOG’s Executive Committee, the performance period for grant contracts will be based on the project type and priority. All funded projects will be allowed a minimum of 8 months to be completed, unless the project is to purchase equipment, and these may be as short as a 3-month contract. Projects involving construction of a facility will be programmed into the first year of the biennium and will have until April 30, 2021, in order to complete the project. All other projects will be programmed into FY 2020 in order of project priority and ranking as determined by CAPCOG’s Executive Committee until FY 2020 is not available. All applications recommended for funding that remain after FY 2020 funding is assigned will be programmed into FY 2021. The target start date for FY 2020 contracts is April 1, 2020, and the target start date for FY 2021 contracts is September 1, 2020.

MANDATORY GRANT MANAGEMENT WORKSHOP AND NOTICE TO PROCEED

The grant contract will include a provision requiring that the project representative for each funded application complete a mandatory grant management workshop. Project representative must attend one of two workshops to be held on March 10, 2020 in order to help ensure that all grants are successfully completed. One workshop will be hosted in the a.m. and one in the p.m. This workshop will include detailed instructions on how to fill out reimbursement requests correctly, how to fill out grant reports correctly, how to fill out follow-up results reports correctly, and other information. Once the project representative completes the required workshop, CAPCOG will issue a “Notice to Proceed.” Any activities that occur prior to the issuance of the notice to proceed will not be eligible for reimbursement.

TIMELINE

- 11/1/2019: Request for Application (RFA) opens 11/19/2019: First grant-writing workshop (a.m. and p.m. workshops available) <https://training.capcog.org/by-topic/planning-and-economic-development>

- 12/3/2019: Second grant-writing workshop (a.m. and p.m. workshops available) <https://training.capcog.org/by-topic/planning-and-economic-development>
- 12/15/2019: Last date to submit questions for grant Q&A summary
- 12/15/2019: Final Q&A Summary posted online and last date to request pre-application assistance
- 1/2/2020: RFA closes at 5:00 pm
- 1/10/2020: CAPCOG notice to private industry review for opportunity to review applications prior to public review
- 1/16/2020: Due date for any resolutions from governing bodies if not included in original application package and due date for private industry objections to any applications
- 1/17/2020: Scoring meeting materials distributed to SWACq
- 1/23/2020: SWAC meeting to score and rank applications & make funding recommendation to CAPCOG Executive Committee (Applicant attendance is mandatory)
- 1/27/2020: CAPCOG staff submit SWAC's recommendations to Executive Director
- 2/12/2020: CAPCOG Executive Committee Meeting makes grant award decisions
- 2/13/2020: Staff submit Executive Committee grant award decisions to TCEQ
- 3/2/2020: Target date for TCEQ approval of grant awards, distribution of grant contracts to awardees for execution
- 3/10/2020: Mandatory grant management training for all funded entities, a.m. or p.m. classes available. Training registration will open the week of 3/2/2020
- 3/30/2020: Target date for return of signed grant contracts
- 4/1/2020: Target Date for Notice to Proceed with FY 2020 Contracts
- 9/1/2020: Target Date for Notice to Proceed with FY 2021 Contracts
- 12/1/2020: Target End Date for FY 2020 Contracts
- 4/30/2021: Target End Date for FY 2021 Contracts and FY 2020 Facility Contracts

INSTRUCTIONS FOR APPLICATION FORMS

This application is a response to the RFA issued by the Capital Area Council of Governments (CAPCOG). Submission of this application is an offer to contract with CAPCOG based on the terms, conditions, and specifications contained in the RFA and corresponding contract documents. Please review this application carefully, sign it where signatures are required, fill in the requested information, and attach all required documents.

Form 1. Application Information and Signature Page

This page contains general information about the Applicant, including name, contact person, address of Applicant, telephone and fax numbers, date application was submitted to the COG, amount of grant funding requested, the project category the application falls under, and assignment of priority for multiple applications as primary, secondary, or tertiary as applicable. Fill out the information completely. Funding will be assigned to all primary applications deemed eligible before secondary applications will be considered, and then tertiary, etc.

Project categories are defined in the TCEQ's Administrative Procedures document.

By signing this document, the Applicant is certifying that the certifications, assurances, and deliverables included in this application have been reviewed, that to the best of the Applicant's knowledge and ability all certifications are true and correct, and that all required deliverables are included in the application. Please be certain you have reviewed and fully completed any applicable certifications and deliverables before signing this document. Note, the bottom of the page is reserved for CAPCOG's use.

Form 2. Authorized Representatives

This form allows the Applicant to designate the project and financial representatives who will be authorized to receive direction from CAPCOG, manage the work being performed, and to act on behalf of the Applicant. These individuals are required to attend one of the March 10, 2020 SW Grant Management Workshops, a.m. and p.m. workshops will be available. If assigned staff change during the performance of the contract, the funded entity must make arrangements with CAPCOG for them to attend this mandatory training.

Form 3. Certifications and Assurances

This section contains certifications and assurances the Applicant must review prior to submitting the application materials. Certifications are required to assist CAPCOG in ensuring that the Applicant and the project are eligible for funding. Assurances are summaries of pertinent contract provisions, and ensure that the Applicant understands that there are certain obligations associated with accepting the grant funds. If awarded, Applicants will be asked to enter into a contract with CAPCOG which will contain the entire provisions required for the grant-funded project. NOTE: IF YOUR ORGANIZATION REQUIRES AUTHORIZATION BY THE GOVERNING BOARD IN ORDER TO APPLY FOR THIS GRANT, SIGNING THESE AUTHORIZATIONS PRIOR TO APPROVAL BY YOUR GOVERNING BOARD CONSTITUTES A MATERIAL MISSTATEMENT ON THIS APPLICATION.

Form 4. Resolution

A resolution demonstrating that the organization's governing board approves the application for funding must be provided in the application. However, if a resolution is not included along with the application, the applicant must document that the governing body is scheduled to consider approval of the resolution by January 15, 2020 for form 4 along with the rest of the application. When submitting the required form 4 along with the resolution, the form provided must be specifically **signed and notarized** in addition to the signature required in Form 1. This provision is applicable to all Applicants.

Form 5. Explanation of Private Industry Notification

Form 5a and 5b must be completed for funding under the following grant categories:

- Source Reduction and Recycling
- Citizens' Collection Stations
- A demonstration project under the Educational and Training Projects category
- Other

According to state law (*Section §361.014(b) TX Health & Safety Code*), a project or service funded under this program must promote cooperation between public and private entities, and the grant-funded project or service may not be otherwise readily available or create a competitive advantage over a private industry that provides recycling or solid waste services. In accordance with grant requirements established by the TCEQ, an Applicant for funding under one of the above listed project categories must adhere to the requirements listed below.

1. Contact in person or in writing the known private service providers of similar services which, at the time of the application development, are providing services within the geographic service area that the project intends to serve, prior to making the application. A list of private service providers within the region is available from CAPCOG.
2. Inform the private service providers of the basic details of the proposed project and consider any input and concerns from the private service providers about the project when completing the project application.
3. Consider, where appropriate, meeting directly with private service providers that may have a concern about the proposed project to attempt to resolve any concerns before an application is submitted.
4. Complete applicable information on Forms 5a and 5b to provide documentation that private service providers were notified of the project prior to submission of the application. It is important to document the private service provider's name and title for each provider contacted.

Form 5a. List of Private Service Providers Notified

List the private service provider's company name, the name and title of the individual spoken with, and telephone numbers of private service providers notified of the proposed project. Include the date of notification.

Form 5b. Summaries of Discussions with Private Industry

Provide summaries of any input and concerns raised by the private service providers; summaries of any meetings or discussions held between the Applicant and the private service providers; an explanation of any changes made to the proposed project to address private service provider concerns; and an explanation of any remaining concerns that were not addressed and why the Applicant determined that the concerns are not valid under the statutory requirements. Attach to the application any written comments or concerns provided by a private service provider concerning the project.

Form 6. Project Description

Provide a detailed description of the proposed project that describes who, what, when, how, where, and why. As concisely as possible, include information as to why the proposed project is needed; clearly state the goal of the proposed project, and reference the goals, objectives, and recommendations from the regional solid waste management plan for which the project is

intended to implement; estimate the number of people who would be served or benefited; define the geographic area affected; target the specific waste stream of the project; and, identify all recycling and/or waste diversion efforts projected for the project. Reference the specific goals, objectives, and/or recommendations from the regional solid waste management plan that apply to the project, and how the project will assist in implementing the plan. Identify the levels of customer incentives, public education, or input, as appropriate to the project. Describe the project in sufficient detail to demonstrate its overall feasibility or workability. If the project includes equipment, explain how the specified equipment is appropriate for the work to be performed, provide the physical address for where the equipment will be maintained, and state the percentage of solid waste program use anticipated. If the proposed grant-funded project will be a part of an overall program, provide a description of the program. Adequately describe the expected benefits of the proposed project. Provide physical address and applicable TCEQ Municipal Solid Waste Notification, Registration, or Permit numbers when funding is for such services or facilities. Applicant must identify cradle to grave disposition of all solid waste, HHW, scrap tire, or special waste for collection events, e.g., XYZ community will host a community collection event at ABC location and all waste collected will be transported by DEF company (Transporter ID No.) to LMNOP landfill (MSW Permit No.).

Provide information related to the Applicant's level of commitment to preferred solid waste management practices. If the proposed project is an ongoing service, demonstrate the ability to sustain the program beyond the term of the grant. Explain the extent to which the appropriate governing bodies support the proposed project.

List previously demonstrated commitment to preferred solid waste management practices, such as implementing other solid waste management projects, involvement in a local or sub-regional solid waste management plan, study, project, or membership in the State of Texas Alliance for Recycling, Keep Texas Beautiful Organization, or participation with any solid waste professional organizations such as the Solid Waste Association of North America.

If the proposed project has received previous grant funding under this program, explain to what extent the application involves expansion of current services or operations; present quantifiable documentation of the success of the project in order to warrant further funding. Demonstrate a good record of past grant contractual performance.

As directly as possible, ensure to address the following questions, which may be used by the SWAC to evaluate the project's technical viability and merits:

- What is the regional solid waste management need that this project would address?
- What is the specific waste stream targeted by this project?
- What would this project do to address this regional solid waste management need?
- What are the goals and objectives of this project?
- What are the specific tasks that will be needed to be completed to successfully implement this project within the timeframe allowed for the project? (either 18 months for facility construction or 9 months for all other project types).
- What is the geographic area that this project would serve?

- What is the estimated number of people would be served or would benefit from this project?
- How will the project sustain constructive regional solid waste management activities long-term?
- What types of customer incentives, public education, or public input would be involved in this project, if applicable?
- Which specific organizations and individuals will be responsible for carrying out the various tasks associated with this project?
- Can the project be scaled up or down depending on the amount of funding available?

If the application indicates on form 6g that the entity funded this type of activity in FY 2018 or FY 2019 without CAPCOG solid waste grant funding or on form 6h that any of the funding for this project is already included in the entity’s FY 2020 budget, please also include an explanation as to how an award of FY 2020-2021 solid waste grant funding would not be considered “supplanting” under UGMS on this form.

Form 6a. Project Timeline and Milestone Summary

Provide a detailed timeline for completion of the project, including specific milestones for completion of the project and submission of deliverables. Use generic time-frames based on the start date of the contract and issuance of a notice to proceed, rather than specific fiscal years, since grants may be programmed into either FY 2020 or 2021 if the project is anything other than construction of a new facility.

For HHW collection events and community collection events, the application should describe how many events are being proposed and how long after the start date of the contract the collection events would occur. If the applicant wishes to apply for more than one event as part of an application, all of the events associated with that application will need to occur within a 8-month time frame. If the applicant wishes to apply for collection events in more than one fiscal year, it will need to submit two different applications, differentiating the application by whether it is the primary or secondary application.

Example:

Within 1st month after notice to proceed:

[Describe all activities expected to be completed within this time frame]

Within 2nd month after notice to proceed:

[Describe all activities expected to be completed within this time frame]

Within 3rd month after notice to proceed:

[Describe all activities expected to be completed within this time frame]

Within 4th month after notice to proceed:

[Describe all activities expected to be completed within this time frame]

Within 5th month after notice to proceed:

[Describe all activities expected to be completed within this time frame]

Within 6th month after notice to proceed:

[Describe all activities expected to be completed within this time frame]

Within 7th month after notice to proceed:

[Describe all activities expected to be completed within this time frame]

Within 8th month after notice to proceed:

[Describe all activities expected to be completed within this time frame]

Within 9th month after notice to proceed:

[Describe all activities expected to be completed within this time frame]

Form 6b. Project Cost Evaluation

Fill out the amounts as shown. You may use form 7a, which contains the same information, in order to ensure that your math is correct.

Provide an evaluation of the costs associated with the proposed project. Explain how the total related costs of the proposed project were adequately considered; compare project costs to established averages or to normal costs for similar projects. Present the costs in unit terms, such as cost per ton, cost per customer, or cost per capita, as applicable. Describe any measurable costs savings, or reasonably justified costs of the project.

Consider addressing following questions that may be considered by the SWAC in assigning its score for this project:

- How cost-effective is the project?
- Are the costs of the proposed project compared to any established averages, or to normal costs for similar projects?
- Will the proposed project result in a measurable cost savings, or are the costs of the proposed project otherwise reasonably justified?
- To what extent is the applicant requesting funding for salaries or operational expenses?
- What is the extent of local commitment to project?
- Are the total related costs of the proposed project (not just grant expenditures) adequately considered?
- Are the costs of the proposed project presented in unit terms, such as cost per ton, cost per customer, or cost per capita, as applicable?
- Is the applicant providing any level of matching funds or in-kind services?

Form 6c: Priority Project Types in the CAPCOG RSWMP

CAPCOG’s RSWMP promotes priority to certain project types as supporting the goals of the RSWMP. Check the box that best describes whether the project type is one of these high-priority categories. CAPCOG staff will verify the applicant’s categorization of its project against the project description in form 6 and project category on form 1. TCEQ’s Administrative Procedures document includes detailed descriptions of different project categories.

Form 6d: Use of Funding for New or Expanded Programs

CAPCOG’s RSWMP promotes priority to projects that serve as seed money for new programs or expand existing programs, rather than maintain on-going programs. Check the box that best describes whether the project: a) serves as seed money for a new program, b) expands a current program, or c) maintains an on-going program. Provide an explanation as to how the project fits the description indicated on the check box. CAPCOG will review this explanation and verify that the correct check box was marked.

Form 6e: Regionally-Coordinated or Multi-Jurisdictional Project

CAPCOG’s RSWMP promotes priority to projects that are regionally coordinated or multi-jurisdictional. Indicate on this form whether this project meets these criteria. If so, explain how and provide any supporting documentation with this form. CAPCOG will review this explanation and documentation and verify that it is in fact regionally coordinated or multi-jurisdictional.

Form 6f: Public-Private Partnership

CAPCOG’s RSWMP promotes priority to projects that involve a public-private partnership. Indicate on this form whether this project meets these criteria. If so, explain how and provide any supporting documentation with this form. A specific private sector firm or non-profit organization does not necessarily need to be identified yet, at a minimum, a process for identifying and bringing a private partner into the project needs to be identified. CAPCOG will review this explanation and documentation and verify any claim for the project being a public-private partnership.

Form 6g: Funding in Prior Biennium

CAPCOG’s grant funding is most useful to support activities that are not likely to proceed without the award of this funding. Providing as many communities as possible the opportunity to benefit from these funds is also a priority to CAPCOG for this RFA. If the applicant funded an activity in FY 2018 or 2019 without grant funding, the applicant will need ensure they justify how seeking these monies will not be deemed supplanting.

Form 6h: FY 2020 Budget Consideration

In order to avoid these funds supplanting existing funding for the proposed activities, form 6h asks applicants to indicate whether or not any portion of the proposed project is already included in the organization’s FY 2020 budget. If so, calculate the percentage of the total

project cost that is already budgeted for FY 2020, and explain how this funding would expand the activity already budgeted, rather than supplanting it.

Form 7. Grant Budget Summary

NOTE: USE these instructions to enter Form 7 through 7h data in the associated Excel Workbook entitled *CAPCOG_FY_2020-2021_Solid_Waste_RFA_Form_7_final.xlsx*

Provide a breakdown of the total amount of grant funding being requested for the proposed project using this form. The expenses must be consistent with the category expense standards provided with the RFA. Complete any of the detailed budget forms which are applicable. Ensure each budget item identified is line itemized to provide the number requested and per unit costs. Verify the proper budget categories based on the definitions in TCEQ's Administrative Procedures document and the UGMS. Make sure that each budget category total matches the budget category-specific forms (7b-7h).

Form 7a. Detailed Matching Funds/In-Kind Expenses

Matching funds or contribution of in-kind services are not required under this grant program. However, the SWAC may take into consideration an application that provides matching or in-kind contributions to fully evaluate the proposed project. Therefore, any match of funds or in-kind services should be disclosed in this application. This budget form should be completed if any matching funds or in-kind services are directly related to the proposed project. This information is tracked and reported to the TCEQ and included in summary report to the Texas State Legislature.

Form 7b. Detailed Personnel/Salaries Expenses

This budget form should be completed if any expenses are entered for personnel/salaries on Line 1 of your Grant Budget Summary. Appropriate salaries for employees working directly on the funded project may be authorized under most of the grant categories. If the project or program proposes personnel to be funded wholly or in part by this grant, complete this budget form listing each employee. Any changes to the personnel funded under the grant must be approved by the COG. If changes to the personnel assigned to the project are necessary, you may submit a revised Form 7b to the COG with a letter requesting changes. The revised documents and the COG response will be included in your contract file.

- Please refer to the following definitions in completing this form:
- FTE (portion of a full-time employee equivalent dedicated to the described function; e.g., 100% = 1.0 FTE, 50% = 0.5 FTE)
- Status (full-time or part-time, permanent or temporary)
- Function (describe only those responsibilities directly related to the solid waste grants program)
- Salary (monthly salary)

Form 7c. Detailed Travel Expenses

This budget form should be completed if any expenses are entered for travel on Line 3 of your Grant Budget Summary. Travel expenses directly related to the conduct of the funded program may be authorized. Only the employees of the funds recipient assigned to the project should receive reimbursement for travel expenses.

In accordance with the UGMS, in those instances where grantees do not have an established organization-wide written travel policy approved by the governing board of the local jurisdiction, all employee-related travel expenses must be claimed at no higher than the same rates allowed by the State of Texas for its employees. Out-of-state travel for pass-through grant recipients will not normally be authorized.

On the detailed budget form for grant-funded travel, describe the types of travel expenses expected, whether the travel is routine in-region travel expense or the travel is not routine, and the purpose for the travel.

Non-routine travel, including out-of-state travel or travel to special conferences or events must be approved by the COG in advance of the travel event. If changes to the non-routine travel expenses detailed in this application are necessary, you may submit a revised Form 7c to the COG with a letter requesting changes. The revised documents and the COG response will be included in your contract file.

Form 7d. Detailed Supply Expenses

This budget form should be completed if any expenses are entered for supplies on Line 4 of your Grant Budget Summary.

Supplies are non-construction related goods and materials having a unit acquisition cost (including freight) of less than \$5,000. Such expenditures shall generally relate to the routine purchase of office supplies or other goods that are consumed by the grant recipient in a relatively short period of time, in the regular performance of the funded project. (Expenses for food and beverages are not allowable. Further, any items not routinely used in conducting normal business over the year should be listed under the "other" budget category).

"General office/desk supplies" typically include such items as notepads, folders and three-ring binders, pens and pencils, paper clips and binder clips, staplers and staples, tape and dispensers, calendars, computer diskettes, and other similar items.

"Other supplies" may include such items as film and film processing, audio and video tapes, copier and printer toner and paper, etc.

On the detailed budget sheet for grant-funded supplies, list the general types of supplies you intend to purchase with grant funding.

Form 7e. Detailed Equipment Expenses

This budget form should be completed if any expenses are entered for equipment on Line 5 of your Grant Budget Summary.

Expenses included under the Equipment expense category should be for non-construction related, tangible, personal property having a unit acquisition cost of \$5,000 or more (including freight and set up costs) with an estimated useful life of over one year. Any equipment that will be used for other projects or activities, in addition to the funded project, may only be funded at an amount reflecting the appropriate percentage of time that the equipment will be directly used for solid waste related projects.

All equipment purchases must be approved in advance of purchase by the COG, following established procedures. If changes to the equipment expenses detailed in this application are necessary, or when specific details to the equipment must be added after the grant is awarded, you may submit a revised Form 7e to the COG with a letter requesting changes. The revised documents and the COG response will be included in your contract file.

Please note that your contract will include specific language on title to and management of real property and equipment. By entering into the grant contract, the Applicant must agree to continue to use the grant-funded equipment only for the purposes intended under the grant.

Form 7f. Detailed Construction Expenses

This budget form should be completed if any expenses are entered for construction on Line 6 of your Grant Budget Summary.

Expenses budgeted under this category should be for costs related to the enhancement or building of permanent facilities. Appropriate costs that may be included are:

1. *The cost of planning the project;*
2. *The cost of materials and labor connected to the construction project;*
3. *The cost of equipment attached to the permanent structure; and*
4. *Any subcontracts, including contracts for services, performed as part of the construction.*

On the detailed budget form for grant-funded construction, list the construction expenses you expect to incur with grant funding, and if the work or part of the work will be subcontracted.

No construction costs shall be incurred by a pass-through grant recipient unless the construction details are approved in advance by the COG, following established procedures.

For construction activities to be conducted through a subcontract, the pass-through grant recipient must also submit evidence that the contract price is reasonable and necessary. As applicable under state law and regulations for the activity or service being contracted for, this evidence may take the form of bid tab sheets or other form of evaluation of competitive price offers or competitive applications, and/or a cost analysis of price analysis under the UGMS. If changes to the construction expenses detailed in this application are necessary, you may submit a revised Form 7f to the COG with a letter requesting changes. The revised documents and the COG response will be included in your contract file.

Form 7g. Detailed Contractual Expenses

This budget form should be completed if any expenses are entered for contractual services on Line 7 of your Grant Budget Summary.

Expenses included under this category should be for costs for professional services or tasks provided by a firm or individual who is not employed by the grant recipient. Note that the contractual costs for construction-related services should be included under the Construction category.

Applicable laws and regulations concerning bidding and contracting for services must be followed.

Note that any expenses (including legal fees, staff time, travel, and communications) related in any way to drafting legislation, lobbying for legislation, or other political activities are not allowable under this program.

On the detailed budget form for grant-funded contractual expenses, describe the contractual expenses associated with the proposed project.

No contractual costs may be incurred by a pass-through grant recipient unless the subcontract is approved in advance by the COG, following established procedures. The pass-through grant recipient must also submit evidence that the contract price is reasonable and necessary.

As applicable under state law and regulations for the activity or service being contracted for, this evidence may take the form of bid tab sheets or other form of evaluation of competitive price offers or competitive applications, and/or a cost analysis of price analysis under the UGMS. If changes to the contractual expenses detailed in this application are necessary, you may submit a revised Form 7g to the COG with a letter requesting changes. The revised documents and the COG response will be included in your contract file.

Form 7h. Detailed Other Expenses

This budget form should be completed if any expenses are entered under "Other" on Line 8 of your Grant Budget Summary.

Other expenses, not falling under the main expense categories, may be included, if appropriate for the proposed project. If you will have additional "Other" expenses, not already listed, please itemize those expenses on the second table. The restrictions set forth in the grant contract apply. If any of the expenses listed are included in the calculation of indirect charges, do not itemize them on this sheet.

On the detailed budget form for grant-funded other expenses, list the other expenses associated with the proposed project.

Computer hardware not listed in the equipment budget form (computer equipment with a unit cost of less than \$5,000), computer software, and additional other expenses must be authorized in advance of purchase by the COG, following established procedures. If changes to the other expenses detailed in this application are necessary, you may submit a revised

Form 7h to the COG with a letter requesting changes. The revised documents and the COG response will be included in your contract file.

APPLICATION CHECKLIST

- Complete Forms 1-6 in CAPCOG Pass-Through Application FY20-21_Forms.docx
- Form 1: Application Information and Signature Page
- Form 2: Authorized Representative
- Form 3: Certification and Assurances
- Form 4: Resolution
- Form 5: Explanation of Private Industry Notification
- Form 5a: List of Private Service Providers Notified
- Form 5b: Summaries of Discussions with Private Service Providers Notified
- Form 6: Project Description
- Form 6a: Project Timeline and Milestone Summary
- Form 6b: Project Cost
- Form 6c: Priority Project Types in the CAPCOG RSWMP
- Form 6d: Use of Funding for New or Expanded Programs
- Form 6e: Regionally-Coordinated or Multi-Jurisdictional Project
- Form 6f: Public-Private Partnership
- Form 6g: Funding in Prior Biennium
- Form 6h: FY 2020 Budget Consideration
- If applying for indirect costs, provide a copy of the applicant's last indirect cost allocation plan, including documentation of approval of the plan and the indirect cost rate by the applicant's federal cognizant agency or state coordinating agency
- If applicable, attach any written comments submitted by private industry in response to notification requirements under form 5.
- If the applicant is a law enforcement entity, and if compliance with TCOLE rules is still pending, attach certification from TCOLE to indicate that the applicant is in the process of achieving compliance with the rules (see form 3, certification no. 11)
- Complete Form 7 spreadsheet, including 7a-7h in *CAPCOG_FY_2020-2021_Solid_Waste_RFA_Form_7_final.xlsx* Form 7: Grant Budget Summary
- Form 7a: Project Cost Summary
- Form 7b: Detailed Personnel/Salaries Expenses
- Form 7c-Detailed Travel Expenses
- Form 7d: Detailed Supply Expenses

- Form 7e: Detailed Equipment Expenses
- Form 7f: Detailed Construction Expenses
- Form 7g: Detailed Contractual Expenses
- Form 7h: Detailed Other Expenses

One of the following submission options for application:

- ELECTRONICALLY (PREFERRED):
 - File 1: Assemble completed forms 1-6 and supplemental documents into a single PDF file with all information in the correct order, saving the file using the following file-naming convention: “[applicant name]_[project priority # 1, 2, 3, etc.]_Forms_1-6_and_attachments_[YYYYMMDD].pdf”;
 - File 2: Saving the completed form 7 spreadsheet, naming the file using the following file-naming convention: “[applicant name]_[project priority # 1, 2, 3, etc.]_Form_7_[YYYYMMDD].xlsx”;
 - E-mail both files to Ken May at kmay@capcog.org by 5:00 pm, Thursday, January 2, 2020, using “SOLID WASTE GRANT APPLICATION” in the subject line. Ensure CC to Suzanne Zaloga at Szaloga@capcog.org.

ALTERNATIVE 1: Mail a printed copy of forms 1-7 to CAPCOG, attention Ken May, sufficiently ahead of 5:00 pm Thursday, January 2, 2020, so as to ensure that the application arrives by the deadline. Only applications received by this deadline will be considered.

ALTERNATIVE 2: Hand-deliver a printed copy of forms 1-6 by 5:00 pm Thursday, January 2, 2020.

If a signed resolution was not included with the application documents submitted by Thursday, January 2, 2020, submit a PDF copy of the resolution to Ken May at kmay@capcog.org by 5:00 pm, 1/15/2020. Ensure CC to Suzanne Zaloga at Szaloga@capcog.org.