

## OVERVIEW

**Federal Agency:** U.S. Environmental Protection Agency Region 5

**Funding Opportunity Title:** Resource Conservation Challenge Program

**Announcement Type:** Request for Proposals

**Funding Opportunity Number:** EPA- R5 – LCD - 2009

**Catalog of Federal Domestic Assistance (CFDA) Number:** 66.808 Solid Waste Management Assistance

### Dates:

Proposals are Due: April 13, 2009

EPA Notifies Selected Finalists: May 20, 2009

EPA Notifies all applicants: May 27, 2009

Expected Grant Awards by: September 30, 2009

**Summary:** EPA Region 5 is soliciting proposals that address the national Resource Conservation Challenge (RCC) priorities of increasing recycling of municipal solid waste, construction and demolition debris, industrial materials *in Region 5* [Region 5 encompasses the states of Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin]. Specific Region 5 priorities are listed in the full text under each RCC priority. This funding supports EPA's strategic goal of land preservation and restoration. Applicants are encouraged to partner and collaborate on projects with other organizations involved in similar efforts.

**Funding Availability/Awards:** Total program funding for 2009 is uncertain, but levels similar to previous years are expected. In 2008 approximately \$190,000 was awarded to 5 projects ranging from \$30,000 to \$40,000. In 2007, approximately \$180,000 was awarded to 5 projects ranging from \$20,000 to \$45,000.

## CONTENTS BY SECTION

- I. Funding Opportunity Description
- II. Award Information
- III. Eligibility Information
- IV. Proposal and Submission Information
- V. Proposal Review Information
- VI. Award Administration Information
- VII. Agency Contacts

## **I. Funding Opportunity Description**

### **Region 5 Resource Conservation Challenge Priorities**

EPA Region 5 is soliciting proposals that address the priorities listed below. Applicants are encouraged to partner and collaborate on projects with other organizations involved in similar efforts. Region 5 encompasses the states of Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin.

1. **FOOD WASTE:** Increase the recycling or source reduction of food waste in Region 5. Projects can include, but are not limited to: an evaluation or demonstration of innovative approaches for collecting or processing food waste; training or technical assistance to commercial generators and composters; an evaluation of existing barriers to food waste recovery and implementation of actions to address the barriers. Projects addressing this priority must establish a method for determining increases to recycling or waste reduction due to the project.
2. **FOUNDRY SANDS, COAL COMBUSTION PRODUCTS, ASPHALT SHINGLES and/or TIRES in ROADWAYS or INFRASTRUCTURE:** Increase the use of foundry sands, coal combustion products, asphalt shingles, and/or tires in state and/or local road construction or infrastructure projects in Region 5. Projects can include, but are not limited to: technical training and outreach on the appropriate use of these materials (please note, for training or outreach projects only, all four materials must be addressed), demonstration pilots, and development of needed specifications. Proposals addressing this priority must establish a method for measuring increases in the use of these materials as a result of the project.
3. **CONSTRUCTION & DEMOLITION (C&D) DEBRIS:** Develop and pilot a municipal ordinance or policy that will promote C&D reuse and recycling, evaluate its effectiveness, and promote the adoption of the model to other municipalities in Region 5. Ordinances or policies could include, but are not limited to, any of the following: (a) require a construction waste management plan that includes an evaluation of potential reuse (via deconstruction) and recycling opportunities as a prerequisite for obtaining a building, demolition or renovation permit; (b) expedite permits or waive permit fees for projects that will employ deconstruction for material reuse rather than demolition; (c) create a mandatory waiting period before demolition can begin to allow for deconstruction and salvage of usable materials. Proposals addressing this priority must include an approach for measuring a baseline level of C&D reuse and recycling and any increase as a result of the project.
4. **FOUNDRY SANDS:** Increase the beneficial use of foundry sands in Region 5 by developing and distributing concise, detailed economic, environmental, and performance-related information to potential end users in the form of case studies, fact sheets, and/or trainings. Proposals addressing this priority should address a variety of end uses and must include an approach for measuring increases in the use of foundry sand as a result of the project. In addition projects must identify end user target audience(s) and a method for measuring their acceptance of foundry sand use.

### **EPA Strategic Plan Linkage**

This funding supports EPA's Strategic Plan Goal 3 (Land Preservation and Restoration), Objective 3.1 (Preserve Land), Sub-objective 3.1.1 (Reduce Waste Generation and Increase Recycling). For more information visit:

[http://www.epa.gov/ocfopage/plan/2006/entire\\_report.pdf](http://www.epa.gov/ocfopage/plan/2006/entire_report.pdf)

[About PDF files](#)

Projects awarded under this announcement will support the reduction of waste generation or the increase in recycling or reuse of waste materials. These innovative waste management practices will support the preservation and restoration of land by reducing the risks posed by releases of harmful substances from the disposal of waste or the production of virgin materials. Outcomes and outputs from this funding will help reduce virgin materials use, increase material recovery from wastes, reduce energy use, and/or prevent releases at waste management facilities.

### **Environmental Results/Anticipated Outcomes and Outputs**

In Compliance with EPA Policy Order: 5700.7 Environmental Results under EPA Assistance Agreements, applicants are required to address in their proposals outcome and/or output environmental results and how they will be tracked and measured. Consistent with the Order, each project work plan will contain defined outcomes and outputs.

The term “**outcome**” refers to the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature, but must be quantitative. Examples of outcome measures for projects under the Resource Conservation Challenge program include, but are not limited to, pounds of waste recycled or beneficially used, tons of greenhouse gases reduced, BTUs of energy conserved, number of road construction projects that used foundry sand, dollars saved through recycling or reuse efforts.

The term “**output**” refers to an environmental activity or effort and associated work product related to an environmental goal or objective that will be produced or provided over a period of time or by a specific date. Outputs may be quantitative or qualitative, but must be measurable during the assistance agreement funding period. Examples of output measures include, but are not limited to, number of stakeholders involved in the process, increase in knowledge and understanding, number of workshops, web-site hits, or number of training sessions.

### **Statutory Authority**

Awards will be made under the authority of Section 8001(a) of the Resource Conservation and Recovery Act of 1976.

### **Other**

EPA Region 5 will not fund projects to support capital equipment or pay for construction or construction planning.

## **II Award Information**

### **Funding Available**

Total program funding for 2009 is uncertain, but levels similar to previous years are expected. In 2008 approximately \$190,000 was awarded to 5 projects ranging from \$30,000 to \$40,000. In 2007, approximately \$180,000 was awarded to 5 projects ranging from \$20,000 to \$45,000. Summaries of previously awarded grants are online at <http://www.epa.gov/reg5rcra/wptdiv/solidwaste/projects/index.htm>. EPA reserves the right to reject any or all pre-proposals and/or applications and issue no awards.

Projects are normally funded for one year, although project periods can be extended if necessary. Project start dates can be negotiated, but most projects begin after September 1.

### **Type of Agreement**

Both grants and cooperative agreements are awarded under this program. A cooperative agreement is a type of grant in which EPA is substantially involved with the project. EPA involvement varies and may include technical assistance to the recipient, participation in decision-making, and assistance in the completion of the project. For both grants and cooperative agreements, EPA project officers will review progress reports to ensure that EPA funding is spent appropriately.

### **Additional Funding**

EPA reserves the right to make additional awards under this announcement, consistent with Agency policy, if additional funding becomes available after the original selections are made. Any additional selections for awards will be made no later than 6 months after the original selection decisions.

### **Partial Funding**

In appropriate circumstances, EPA reserves the right to partially fund proposals by funding discrete portions or phases of proposed projects. If EPA decides to partially fund a proposal, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal or portion thereof, was evaluated and selected for award, and therefore maintains the integrity of the competition and selection process.

## **III. Eligibility Information**

**Eligible Applicants.** In accordance with CFDA 66.808, proposals will be accepted from States, local governments, territories, Indian Tribes, interstate and intrastate government agencies and instrumentalities, public and private universities and colleges, hospitals, laboratories, other public or private non-profit organizations.

Non-profit organization, as defined by OMB Circular A-122, located at 2 CFR Part 230, means any corporation, trust, association, cooperative, or other organization which: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to

maintain, improve, and/or expand its operations. For this purpose, the term "non-profit organization" excludes (i) colleges and universities; (ii) hospitals; (iii) state, local, and federally-recognized Indian tribal governments; and (iv) those non-profit organizations which are excluded from coverage of this part in accordance with § 230.20(c)

Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

Individuals and for-profit organizations are not eligible to apply.

**Cost Sharing or Matching.** Matching funds are not required under this solicitation. All matching funds or other contributions provided by the grantee are subject to audits and all federal regulations.

**Other Eligibility Requirements.** The following requirements must be met to be considered eligible under this announcement. Only proposals from eligible entities (see above) that meet all threshold eligibility criteria will be evaluated against the ranking factors in Section V of this announcement. Applicants deemed ineligible for funding consideration as a result of the threshold eligibility review will be notified within 15 calendar days of the ineligibility determination.

1. Proposals must substantially comply with the proposal submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. However, where a page limit is expressed in Section IV with respect to the proposal and/or parts of the proposal, pages in excess of the page limitation will not be reviewed.
2. Proposals must be received by the EPA or received through [www.grants.gov](http://www.grants.gov), as specified in Section IV of this announcement, by 5:00 PM CST April 13, 2009. Applicants are responsible for ensuring that their proposal reaches the designated person/office specified in Section IV of the announcement by the submission deadline.
3. Proposals received after the submission deadline will be considered late and returned to the sender without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling **or because of technical problems solely attributable to the grants.gov website and not the applicant.** For hard copy submissions, where Section IV requires proposal receipt by a specific person/office by the submission deadline, receipt by an agency mailroom is not sufficient. Applicants should confirm receipt of their proposal with Susan Mooney as soon as possible after the submission deadline—failure to do so may result in your proposal not being reviewed.

#### **IV. Application and Submission Information**

### **How to obtain an application package**

EPA encourages applicants to obtain proposal materials and apply electronically through <http://www.grants.gov>.

Applicants may also download individual grant proposal forms from EPA's Office of Grants and Debarment website at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm) or <http://www.epa.gov/ogd/AppKit/application.htm>.

To obtain a hard copy of materials, please send an email or written request to the Agency contact listed in Section VII of this announcement.

### **Content and Form of Proposal Submission**

There is an 8 page limit for the narrative portion of the proposal (see #3 below). The 8 pages should be single spaced. The page limit does not apply to the required standard forms. Pages in excess of this limit will be removed and not evaluated.

Proposals must follow the format provided below and contain the following information.

1. Application for Federal Assistance; Standard Form (SF) 424  
Complete the form. There are no attachments. Please be sure to include organization fax number and email address in Block 5.

All applicants **are required** to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for a Federal grant or cooperative agreement. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com>.

2. Budget Information for Non-Construction Programs; SF-424A  
Complete the form. There are no attachments. The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included the amount of indirect costs should be entered on line 6j. The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

3. Narrative proposal  
The proposal narrative document should be prepared according to instructions below.

A. Contact Information including the following:

- Project Name
- Project Location
- Applicant's name, address
- Project Contact name, email address and phone number

B. Project Overview:

(1) Identification of the Region 5 priority(ies) addressed by the project

(2) Project Summary. Provide a summary of your proposal mentioning the objectives and your strategy for achieving those objectives. This section should cover what you will do, why you will do it and how you will do it.

(3) Anticipated outcomes and outputs and Measures of Success.

- a. Identify and estimate anticipated quantitative outcomes (See Section I of this solicitation for examples of outcome measures). Please specify a timetable for reporting quantifiable outcomes and describe how they will be measured. If certain outcomes will be measured after the overall project is completed, a grant may be extended to allow for reporting those outcomes. Project outcomes must be addressed in the final report submitted prior to closeout of grant.
- b. Identify and estimate quantitative and qualitative outputs. Explain how and when the outputs will be measured and tracked.
- c. Identify appropriate measures of success for the project as well as short and long term objectives for the project.

(4) Collaboration and Outreach. Identify key partners involved with the project and explain the collaborative nature of the project. Explain how the results of the project will be effectively communicated to interested stakeholders within Region 5. Explain how the proposed project will be useful to others in the Region 5 area.

(5) Schedule with milestones. Identify project milestones and project schedule. Identify key tasks and subtasks, indicating what will be done, by whom, and when. The timeline must be closely linked to the proposed scope of work. Output and outcome reporting must be addressed in the timeline.

(6) Detailed Budget Narrative. Provide a clear description of the budget for the project. Describe how federal and matching funding (if any) will be spent. Applicants must itemize costs related to personnel, fringe benefits, contractual costs, travel, equipment, supplies, other direct costs, indirect costs, and total costs.

C. Capability Documentation:

(1) Provide information on your organizational experience and plan for successfully achieving the objectives of the proposed project. Include your staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.

(2) Environmental Results Past Performance and Programmatic Capability: Submit a list of federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) that

your organization performed within the last three years (no more than 5, and preferably EPA agreements), and describe:

- a. how you documented and/or reported on progress towards achieving the expected environmental results (e.g., outputs and outcomes) under those agreements. If you were not making progress, please indicate whether, and how, you documented why not.
- b. whether, and how, you were able to successfully complete and manage those agreements
- c. your history of meeting the reporting requirements under those agreements including submitting acceptable final technical reports.

In evaluating applicants under these factors in Section V, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current and prior Federal agency grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the proposal and you will receive a neutral score (1/2 the points) for these factors under Section V. If you do not provide any response for this item, you may receive a score of 0 for this factor.

#### **How and When to Submit Proposals:**

Eligible applicants may choose to submit proposals electronically via grants.gov or hard copy by mail or delivery service. In either case, proposals must be received by 5:00 PM CST, April 13, 2009. Proposals will not be accepted via email or fax. If you wish to apply electronically via grants.gov, please follow the appropriate instructions under (1) below. If you wish to apply with a hard copy submission, please follow the instructions under (2) below.

#### **(1) Submit Electronically via Grants.Gov**

The electronic submission of your proposal must be made by an authorized representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information, go to <http://www.grants.gov> and click on “Get Registered” on the left side of the page. *Note that the registration process may take a week or longer to complete.* If your organization is not currently registered with Grants.gov, please encourage your office to designate an official representative and ask that individual to begin the registration process as soon as possible.

To begin the proposal process under this grant announcement, go to <http://www.grants.gov> and click on the “Apply for Grants” tab on the left side of the page. Then click on “Apply Step 1: Download a Grant Application Package” to download the compatible Adobe viewer and obtain the application package. **To apply through grants.gov you must use Adobe Reader applications and download the compatible Adobe Reader version ( Adobe Reader applications are available to download for free on the Grants.gov website. For more information on Adobe Reader please visit the Help section on grants.gov at**

<http://www.grants.gov/help/help.jsp> or  
[http://www.grants.gov/aboutgrants/program\\_status.jsp](http://www.grants.gov/aboutgrants/program_status.jsp)).

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number, EPA-R5-LCD-2009 or the CFDA number that applies to the announcement (CFDA 66.808), in the appropriate field. You may also be able to access the proposal/application package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

If you have any technical difficulties while applying electronically, you may email the Grants.gov center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726. You can also refer to <http://www.grants.gov/help/help.jsp>.

**Submission deadline for Grants.gov submittal:** Your organization's Authorized Representative must submit your complete proposal electronically to EPA through Grants.gov no later than 5:00 PM CST on April 13, 2009. Application packages submitted through grants.gov will be time/date stamped electronically.

For instructions on how to prepare and submit an application via Grants.Gov, please see Appendix A.

## **(2) Submit Hard Copy Proposals**

The address for receipt of hard copy proposals is:

Susan Mooney

U.S. EPA Region 5, mail code: LM-8J,

77 West Jackson Boulevard

Chicago, IL 60604.

Submit two copies of the proposal by U.S. Postal Service, commercial delivery service, or hand delivery to the person and address shown above.

### **Submission dates and times for hard copy:**

Proposals sent via U.S. Postal Service or commercial delivery service must be received by Susan Mooney by 5:00 PM CST on April 13, 2009. Proposals received after this date and time will be rejected.

**Confidential Business Information.** In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal package as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions thereof that they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure. However,

competitive proposals/applications are considered confidential and protected from disclosure prior to the completion of the competitive selection process.

**Pre-proposal/Application Assistance and Communications.** In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their applications/proposals. However, consistent with the provisions in the announcement, EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement.

**Management fees.** Management Fees: When formulating budgets for proposals/applications, applicants must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicants cognizant audit agency, or at the rate provided for by the terms of the agreement negotiated with EPA. The term "management fees or similar charges" refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA assistance agreements. Management fees or similar charges may not be used to improve or expand the project funded under this agreement, except to the extent authorized as a direct cost of carrying out the scope of work.

### **Contracts and Subawards.**

#### **a. Can funding be used for the applicant to make subawards, acquire contract services, or fund partnerships?**

EPA awards funds to one eligible applicant as the recipient even if other eligible applicants are named as partners or co-applicants or members of a coalition or consortium. The recipient is accountable to EPA for the proper expenditure of funds.

Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those contained in 40 CFR Parts 30 or 31, as appropriate. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 40 CFR Parts 30 or 31, as appropriate. The regulations also contain limitations on consultant compensation. Applicants are not required to identify subawardees/subgrantees and/or contractors (including consultants) in their proposal/application. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the proposal/application EPA selects for funding does not relieve the applicant of its obligations to comply with subaward/subgrant and/or competitive procurement requirements as appropriate. Please note that applicants may not award sole source contracts to

consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal/application.

Successful applicants cannot use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subawardee or subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance under Subpart B Section .210 of OMB Circular A-133 , and the definitions of subaward at 40 CFR 30.2(ff) or subgrant at 40 CFR 31.3, as applicable. EPA will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 40 CFR Part 30 or 40 CFR Part 31.36 and cannot use a subaward/subgrant as the funding mechanism.

**b. How will an applicant's proposed subawardees/subgrantees and contractors be considered during the evaluation process described in Section V of the announcement?**

Section V of the announcement describes the evaluation criteria and evaluation process that will be used by EPA to make selections under this announcement. During this evaluation, except for those criteria that relate to the applicant's own qualifications, past performance, and reporting history, the review panel will consider, as appropriate and relevant, the qualifications, expertise, and experience of:

- (i) an applicant's named subawardees/subgrantees identified in the proposal/application if the applicant demonstrates in the proposal/application that if it receives an award that the subaward/subgrant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use subawards/subgrants to obtain commercial services or products from for profit firms or individual consultants.
- (ii) an applicant's named contractor(s), including consultants, identified in the proposal/application if the applicant demonstrates in its proposal/application that the contractor(s) was selected in compliance with the competitive Procurement Standards in 40 CFR Part 30 or 40 CFR 31.36 as appropriate. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

EPA will not consider the qualifications, experience, and expertise of named subawardees/subgrantees and/or named contractor(s) during the proposal/application evaluation process unless the applicant complies with these requirements.

## **V. Proposal Review Information**

The proposals will be reviewed using the 6 evaluation criteria listed below on a **100 point** scale of assigned points.

### **Evaluation Criteria**

1. **FY09 Priorities (20 points)**. The application will be evaluated based on the extent to which the proposed project: (a) uses well-conceived, effective strategies to accomplish stated goals and achieve anticipated outcomes addressing one or more of the FY09 Priorities identified in Section 1. (**15 points**) (b) articulates goals that are realistic and will be implemented by the project's end (**5 points**).
2. **Expected Environmental Outcomes and Outputs (20 points/ 5 points for each element)**. The Application will be evaluated based on the extent the proposal addresses the following:
  - a. Clear measure(s) of success for the project, including short and long-term objectives,
  - b. Anticipated outcomes for the project (all outcomes including environmental, economic, and energy-related outcomes should be identified).
  - c. Anticipated outputs for the project
  - d. An effective plan or methodology for tracking and measuring progress toward achieving the anticipated outcomes (e.g., pounds of material recycled) and outputs (e.g., number of stakeholders trained) (see Section I for more information on outcomes and outputs).
3. **Past Performance Reporting on Environmental Results (10 points)**. The applicant will be evaluated based on the extent to which they adequately documented and/or reported on their progress towards achieving the expected results (e.g., outcomes and outputs) under Federal agency assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) performed within the last three years, and if such progress was not being made whether the applicant adequately documented and/or reported why not. Note: In evaluating applicants under this factor, EPA will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). Applicants with no relevant or available past performance reporting history will receive a neutral score (5 points) for this factor.
4. **Applicant's Programmatic Capability (12 points/3 points each element)**. The applicant will be evaluated based on their ability to successfully complete and manage the proposed project taking into account the applicant's:
  - a. past performance in successfully completing and managing federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope, and relevance to the proposed project performed within the last 3 years,

- b. history of meeting reporting requirements under federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope, and relevance to the proposed project performed within the last 3 years and submitting acceptable final technical reports under those agreements [Note: In evaluating applicants under (a) and (b) of this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). Applicants with no relevant or available past performance history or reporting history (items a and b above), will receive a neutral score (1.5 points) for those elements of this criterion. ]
  - c. organizational experience and plan for successfully achieving the objectives of the proposed project, and
  - d. staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.
5. **Communication, Collaboration, and Transferability (23 points).** The applicant will be evaluated based on the extent their proposal:
- a. provides an effective communication plan for sharing the results of the project; **(6 points)**
  - b. describes how the deliverables or outcomes of the project will be transferable and useful to other stakeholders in Region 5 **(11 points)**; and
  - c. creates or strengthens partnerships and collaboration **(6 points)**.
6. **Budget and Timeline (15 points/5 points each element).** The applicant will be evaluated based on the extent the proposal:
- a. provides a reasonable and detailed budget to support the scope of work, including the measurement aspects of the effort;
  - b. Provides a reasonable and detailed timeline to support the scope of work
  - c. will be an effective and efficient use of limited EPA funding.

### **Review and Selection Process.**

Proposals will be reviewed by EPA Region 5 reviewers based on the evaluation criteria listed above. The review panel will submit its recommendations for finalists to the Regional Approval Official who will consider the review panel rankings and recommendations and in addition may consider the following factors: (1) programmatic priorities (2) geographic distribution of funds and (3) the distribution across priority funding categories (see Section I of this announcement). Selected finalists will be asked to submit a full application to EPA Region 5.

**Anticipated Announcement and Award Dates.** Selected finalists will be notified by EPA Region 5 by May 20, 2009. Final assistance agreements are expected to be awarded by mid September 2009. Unsuccessful applicants will be notified by May 27, 2009

### **VI Award Administration Information**

**Award Notice and Final Applications.** Following EPA's evaluation of the proposals, all applicants will be notified regarding their status. Final applications will be requested from those eligible entities whose proposal has been successfully evaluated and preliminarily recommended for award. Those entities will be provided with instructions and a due date for submittal of the final application package.

**Administrative and National Policy requirements.** A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at: [http://www.epa.gov/ogd/AppKit/applicable\\_epa\\_regulations\\_and\\_description.htm](http://www.epa.gov/ogd/AppKit/applicable_epa_regulations_and_description.htm).

Executive Order 12372, Intergovernmental Review of Federal Programs, may be applicable to awards resulting from this announcement. Applicants selected for funding may be required to provide a copy of their proposal to their State Point of Contact (SPOC) for review, pursuant to Executive Order 12372, Intergovernmental Review of Federal Programs. This review is not required with the Initial Application and not all states require such a review. . . If you do not know who your Single Point of Contact is, please refer to the State Single Point of Contact web site at <http://www.whitehouse.gov/omb/grants/spoc.html>.

**DUNS Number.** All applicants **are required** to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for a Federal grant or cooperative agreement. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com>.

**Funding Restrictions.** EPA grant funds may only be used for the purposes set forth in the grant agreement and must be consistent with the statutory authority. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. All costs identified in the budget must conform to applicable Federal Cost Principles contained in OMB Circular A-87; A-122; and A-21, as appropriate. Ineligible costs will be reduced from the final grant award.

**Reporting.** Quarterly progress reports and a detailed final technical report will be required. Quarterly reports summarizing technical progress, planned activities for next quarter and summary of expenditures are required. The final technical report shall be completed within 90 calendar days of the completion of the period of performance. The final technical report should include: summary of the project or activity, advances achieved and costs of the project or activity. In addition, the final technical report shall discuss the problems, successes, and lessons learned from the project or activity that could help overcome structural, organizational or technical obstacles to implementing a similar project elsewhere. The schedule for submission of quarterly reports will be established by EPA, after award.

**PLEASE NOTE:** EPA requires that grant recipients provide to the Grant Project Officer quantitative estimates and actual results for outcomes and/or outputs on a semi-annual basis during the grant period. Methods to provide this information must be determined with the Grant Project Officer. In some cases this may mean extending the grant period past the final

completion of the project to properly obtain the status and final results of outcome and/or output measures.

**Dispute Resolution.** Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://www.epa.gov/ogd/competition/resolution.htm>. Copies of these procedures may also be requested by contacting Susan Mooney at 312-886-3585 or [mooney.susan@epa.gov](mailto:mooney.susan@epa.gov).

**Non-profit applicants** that are recommended for funding under this announcement are subject to pre-award administrative capability reviews consistent with Section 8b, 8c and 9d of EPA Order 5700.8 - Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards ([http://www.epa.gov/ogd/grants/award/5700\\_8.pdf](http://www.epa.gov/ogd/grants/award/5700_8.pdf)). In addition, non-profit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to the Grants Management Office the Administrative Capabilities Form with supporting documents contained in Appendix A of EPA Order 5700.8.

## **VII Agency Contacts**

Questions regarding this notice can be directed to:

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