

**Federal Agency Name:** U.S. Environmental Protection Agency, Office of Water, Immediate Office

**Funding Opportunity Title:** Urban Waters Small Grants

**Announcement Type:** Request for Proposals (RFP)

**Funding Opportunity Number:** EPA-OW-IO-12-01

**Catalog of Federal Domestic Assistance (CFDA) Number:** 66.440

**Dates:** Hard copy proposals must be received by the EPA Regional Contact (See Section IV.B.2 of this RFP) by **4:00 P.M. Eastern Standard Time (EST) January 23, 2012**. Proposals submitted electronically via <http://www.grants.gov> must be received by **11:59 P.M. EST January 23, 2012**. Late proposals will not be considered for funding. Questions must be submitted in writing via e-mail and must be received by the Agency Contact identified in Section VII by **January 16, 2012**. Written responses will be posted on EPA's website at: <http://www.epa.gov/urbanwaters/funding>.

*Following EPA's evaluation of proposals, all applicants will be notified regarding their status. Final applications will be requested from those eligible entities whose proposal have 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.*

**Note to Applicants:** If you name subawardees/subgrantees and/or contractor(s) in your proposal to assist you with the proposed project, pay careful attention to the information in Section II.C CONTRACTS AND SUBAWARDS.

#### **SUMMARY:**

The U.S. Environmental Protection Agency (EPA) is soliciting proposals from eligible applicants for projects that will contribute to improved water quality in urban areas. The goal of the Urban Waters Small Grants is to fund research, studies, training, and demonstration projects that will advance the restoration of urban waters by improving water quality through activities that also support community revitalization and other local priorities. In general, projects should promote a comprehensive understanding of local water quality issues; identify and support activities that address these issues at the local level; engage, educate and empower communities surrounding the urban water body; and benefit surrounding communities including those that have been adversely impacted by the water pollution issues affecting the urban water body.

The funding provided under this announcement supports the following goals of the Fiscal Year (FY) 2006 – 2011 EPA Strategic Plan: Goal 2: Clean and Safe Water, Objective 2.2: Protect Water Quality, Sub-objective 2.2.1: Improve Water Quality on a Watershed Basis. In addition, funding provided under this announcement supports the following goals of the FY 2011 – 2015 EPA Strategic Plan: Goal 2: Protecting America's Waters, Objective 2.2: Protect and Restore Watershed and Aquatic Ecosystems. Information on the FY 2006 – 2011 EPA Strategic Plan is available at <http://nepis.epa.gov/Adobe/PDF/P1001IPK.PDF> and information on the FY 2011 – 2015 EPA Strategic Plan is available at <http://www.epa.gov/planandbudget/strategicplan.html>.

The total estimated funding available for the awards under this competition is up to approximately \$3.8 million, with \$1.8 million currently available and up to an estimated additional \$2 million anticipated in FY 2012. Funding is contingent upon Agency funding levels, the quality of proposals received, and other applicable considerations.

EPA Regional Offices will award the cooperative agreements for projects resulting from this announcement. Approximately three to four cooperative agreements are anticipated to be awarded by each EPA Regional Office with funds currently available. Pending receipt of FY 2012 funds, it is anticipated that each EPA Regional Office may award up to approximately four additional cooperative agreements for projects resulting from this announcement. Applicants may not request more than \$60,000 in federal funding – proposals requesting more than \$60,000 in federal funds will not be reviewed. While there is no minimum, EPA suggests applicants request at least approximately \$40,000 in federal funds. A minimum non-federal cost share / match of \$2,500 is required (see Section III.B for information on the cost share / match requirement). It is anticipated that funded cooperative agreements will have a two-year project period.

## **I. FUNDING OPPORTUNITY DESCRIPTION**

### **A. BACKGROUND**

Many urban waters are impaired by pathogens, excess nutrients, and contaminated sediments that result from sanitary sewer and combined sewer overflows, polluted runoff from urban landscapes and contamination from abandoned industrial facilities. Under the Urban Waters Program, EPA is seeking to support communities in their efforts to access, improve, and benefit from their urban waters and the surrounding land. This program also recognizes that certain communities, including minority, low income and those with indigenous populations, are and have been particularly burdened by polluted urban waterways and have not reaped the benefits that healthy, accessible waters can bring.

The objective of EPA's Urban Waters Program is to protect and restore America's urban waterways. It is also expected that the awards under this program will help promote addressing environmental justice considerations by:

- Addressing water quality issues in communities, such as those containing minority, low income, or indigenous populations, that have been adversely impacted by polluted urban waters; and
- Involving these communities and others in performance of the project including the design, planning and performance of activities that contribute to water quality restoration.

Healthy and accessible urban waters can help grow local businesses and enhance educational, recreational, employment and social opportunities in nearby communities. By promoting public access to urban waterways, EPA will help communities become active participants in restoration and protection. By linking water to other community priorities, such as economic development,

EPA will help to sustain that involvement. By more effectively leveraging existing programs, EPA aims to support projects and build partnerships with a variety of federal, state, tribal, and local partners that foster increased connection, understanding, and stewardship of local waterways.

## **B. URBAN WATERS SMALL GRANTS**

The goal of the Urban Waters Small Grants being competed under this opportunity is to fund research, studies, training, and demonstration projects that will advance the restoration of urban waters by improving water quality through activities that also support community revitalization and local priorities. EPA's Urban Waters Small Grants RFP intends to fund proposals for water quality projects located in urban areas. It is anticipated that projects funded under this announcement will promote a comprehensive understanding of local water quality issues; identify and support activities that address these issues at the local level; engage, educate, and empower communities surrounding the water body; and benefit surrounding communities including those that have been adversely impacted by the water pollution issues affecting the urban water body.

In order to achieve the objectives of the program, proposals should address the following elements:

1. Leads to the environmental restoration of an urban water body.
  - i. **Water Quality Restoration**

Proposals should describe how the project will contribute to environmental restoration of an urban water body. The description should include the characteristics of the project area that identify it as "urban", using supporting information (such as total population relative to adjacent areas, population density, land use or density of created structures, etc.). The proposal should also describe the urban water body, which may include any body of water, all or an important part of which flows through or is located in the urban project area (e.g., wetlands, rivers, lakes, bays, estuaries, reservoirs, canals, etc.), and describe how the planned work addresses important water quality threats or impairments.
  - ii. **Relevance to Community Priorities**

Proposals should describe how the proposed project makes water quality restoration of the urban water body relevant to community priorities, which may include public health, social and economic revitalization, and livability goals. Community priorities may be demonstrated through available community information (e.g., documented community interests, community plans, surveys, polls, studies, etc.). The description should include how the project uses community priorities as a way to engage local residents and sustain their engagement over the time horizon required for water quality improvement beyond EPA Urban Waters Small Grants funding.
  - iii. **Success Potential/Feasibility**

Proposals should describe how the proposed project uses a creative or effective approach to restore water quality within the urban area. The description should discuss the readiness of the project (in particular, the project's success potential or feasibility).

## 2. Partnerships.

Proposals should identify appropriate and necessary partnerships to successfully conduct the project. Effective partnerships are very important to urban waters work. Partnerships between organizations focused on water quality, environmental justice concerns and other community priorities can greatly benefit from one another's experience. In their proposals, applicants should demonstrate their ability to identify appropriate and necessary partnerships to successfully conduct the project including how they plan to involve surrounding communities that have been adversely impacted by the water pollution issues affecting the urban water body (e.g., minority, low income or indigenous populations) in the design, planning, and performance of the project.

Partnerships should include organizations that have the skills, expertise and networks related to environmental justice, community revitalization and other local priorities. Some examples of key partners include local residents, industry businesses, academic institutions, non-profit organizations, communities surrounding the urban water body, and other suitable partners to work on urban water issues. If a working partnership already exists or is under development, the proposal should identify all parties involved, as well as provide a clear description of the roles of each partner in the project's components/tasks and how each partner will contribute to the success of the project.

If a working partnership exists, partnership letters of commitment should be included in the proposal package. Letters of commitment should describe the extent to which the partner will engage with the applicant to help effectively perform the project. If a partnership does not yet exist, proposals should describe how the applicant plans to engage partners and establish working partnerships to successfully complete the project. If the applicant does not intend to have partners, then an explanation should be provided on how it will effectively perform the project without partners. Please do not send letters of endorsement, recommendation, or support; they will not be considered.

## 3. Benefits to Community.

Proposals should address how the project will benefit communities surrounding the urban water body that have been impacted by the water pollution issues affecting the urban water body. This includes communities comprised of minority, low income, or indigenous populations, as well as others that may be adversely impacted by the urban water body's water pollution issues. For example, proposals should describe community impacts related to the water pollution, which may include but are not limited to economic, health and environmental conditions as well as how the proposed project will benefit the surrounding communities.

As discussed in Section I.D, the statutory authority for the cooperative agreements to be funded under this announcement is Section 104(b)(3) of the Clean Water Act (CWA). Examples of projects that are eligible for funding under this announcement include, but are not limited to, those that:

- Foster collaboration and/or coordinate a partnership among diverse stakeholders, including industry, environmental groups, upstream and downstream interests (actors), etc., to develop a plan or study. (\*Funds cannot be used to implement such a plan).
- Develop educational programs to provide training and recognition to schools, business, and homeowners on how to implement practices that reduce the amount of water pollution and/or stormwater entering the water body, or promote low-impact design (LID) and/or green infrastructure practices.
- Map trails and other walkways along water bodies to identify gaps or areas where additional connectivity is needed (e.g. identify properties for potential acquisition or maintenance).
- Establish a baseline monitoring program for routine water quality monitoring and support and /or establish monitoring to identify areas of concern and possible places where restoration efforts can be effectively targeted.
- Provide education and training related to preparing community members for anticipated jobs in green infrastructure, water quality restoration, or other water quality improvement projects (i.e., green jobs).

If the proposal includes a demonstration project, the applicant must describe how it meets the requirements set forth for demonstration projects, as discussed in Section I.D.

Examples of projects that are **not** eligible for funding under this announcement include, but are not limited to those that:

- Construct community access points such as overlooks, boat launches, and recreation areas;
- Implement stormwater infrastructure improvements, including installation of low-impact development and green infrastructure;
- Carry out community clean-ups;
- Construct habitat for birds and other wildlife along the water body;
- Construct connections between open space to provide corridors for birds and other wildlife; and

- Restore stream banks.

Proposals will be evaluated using the criteria outlined in Section V. Selections and awards will be made by EPA Regional Offices. Under this competition, only one proposal can be submitted per applicant. If an applicant submits more than one proposal, EPA will contact them before the review process begins to determine which one will be withdrawn. For the purposes of this RFP, EPA considers governmental units to be a single applicant per the definition of *Grantee* in 40 CFR 31.3 and they may submit only one proposal to EPA. The Agency will not accept proposals from more than one agency of the same governmental unit. However, applicants may list other eligible applicants as partners on proposals even if the partner also submits a proposal to EPA. Hard copy proposals must be submitted to the appropriate Regional Office, as described in Section IV. For all submittals (hard copy or electronic), the cover page of the Proposal Narrative (see Section IV.C) must include the appropriate Regional Office for the proposal. If an applicant is uncertain which Region to submit their proposal, they should contact Ji-Sun Yi by email at [urbanwaters@epa.gov](mailto:urbanwaters@epa.gov).

### **C. ENVIRONMENTAL RESULTS AND LINKAGE TO STRATEGIC PLAN**

The funding provided under this announcement supports the following goals of the FY 2006 – 2011 EPA Strategic Plan: Goal 2: Clean and Safe Water, Objective 2.2: Protect Water Quality, Sub-objective 2.2.1: Improve Water Quality on a Watershed Basis. In addition, funding under this announcement supports the following goals of the FY 2011 – 2015 EPA Strategic Plan: Goal 2: Protecting America's Waters, Objective 2.2: Protect and Restore Watershed and Aquatic Ecosystems. Information on the FY 2006 – 2011 EPA Strategic Plan is available at <http://nepis.epa.gov/Adobe/PDF/P1001IPK.PDF> and information on the FY 2011 – 2015 EPA Strategic Plan is available at <http://www.epa.gov/planandbudget/strategicplan.html>.

All proposed projects should demonstrate the linkage to both EPA Strategic Plans and include specific statements describing the environmental results of the proposed project in terms of well-defined outputs and, to the maximum extent practicable, well-defined outcomes that will demonstrate how the project will contribute to the overall goals listed above.

Environmental results are a way to gauge a project's performance and are described in terms of outputs and outcomes. Environmental outputs (or deliverables) refer to an environmental activity, effort, and/or associated work product related to an environmental goal or objective, that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative, but must be measurable during a cooperative agreement funding period.

Examples of anticipated environmental outputs from the cooperative agreements to be awarded under this announcement include, but are not limited to:

- Core partnership is established representing community interests with those living and working in the community, affected by the project, up- and downstream stakeholders and key local, state and federal departments and agencies with regulatory jurisdiction or programmatic assistance.

- Number of outreach education and presentations to residents, businesses, green industry workforce and local/state officials conducted to improve understanding of water quality and community health and environmental issues, and to understand management practices suitable to reduce pollution identified in the management plan.
- Maps are prepared illustrating all properties, current use and types of ownership. Maps are prepared illustrating designated or maintained trails, common paths, sidewalks, and railroad, pipeline and other right-of-ways for potential access.
- Number of new locations and indicators identified for monitoring, number of new volunteer training workshops conducted, and arrangement of laboratory analysis and preparation of a Quality Assurance Project Plan (QAPP).
- Number of green job trainings to improve the knowledge and experience in water quality improvement techniques provided to under-employed and unemployed residents. Number of workshops, educational materials, and other assistance applied during training.

Environmental outcomes are 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, and are used as a way to gauge a project's performance and take the form of output measures and outcome measures. Outcomes may be environmental, behavioral, health-related, or programmatic in nature. Outcomes must be quantitative and may not necessarily be achieved within a cooperative agreement funding period. Outcomes may be short-term (changes in learning, knowledge, attitude, skills), intermediate (changes in behavior, practice, or decisions), or long-term (changes in condition of the natural resource).

Examples of anticipated outcomes from the cooperative agreements to be awarded under this announcement include, but are not limited to:

- Local and state ordinances are enacted / enforced to manage and resolve significant threats identified in the Urban Watershed Management Plan. Environmental and community improvements are undertaken by partners with responsibilities under the management plan.
- Interest is generated and technical support is provided to X number of homeowners, business and community interests to design rain gardens, and other "green" practices that provide direct pollutant removal. As a result of this outreach campaign, X number of low-impact development educational sites are installed.
- 'Green' or open space, safe community access to waterways and surroundings are dedicated for public use; local or municipal maintenance is provided to improve community environment and safe access to waterways.

- Knowledge and awareness of baseline conditions are established, areas of concern are identified, and results are transferred to help educate community decisions makers, residents and state and federal agencies.
- Hands-on training and installation of demonstration projects provides a larger workforce knowledgeable of rain gardens and other practices leading to a direct improvement on water quality.

As part of the Proposal Narrative, an applicant will be required to describe how the project results will link the outcomes to both of the Agency's Strategic Plans. Additional information regarding EPA's discussion of environmental results in terms of outputs and outcomes can be found at: <http://www.epa.gov/ogd/grants/award/5700.7.pdf>.

#### **D. STATUTORY AUTHORITY**

The statutory authority for the cooperative agreements to be funded under this announcement is Section 104(b)(3) of the CWA, 33 USC §1254(b)(3). CWA Section 104(b)(3) restricts the use of these cooperative agreements to the following: conducting or promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. Projects that are demonstrations must involve new or experimental technologies, methods, or approaches. EPA expects that the results of the project will be disseminated so that others can benefit from the knowledge gained in the demonstration project. A project that is accomplished through the performance of routine, traditional, or established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not considered a demonstration project. For proposals that include demonstration projects, the applicant must describe how the project meets the above requirements. Implementation projects are not eligible for funding under this announcement.

### **II. AWARD INFORMATION**

#### **A. AMOUNT OF FUNDING**

The total estimated funding available for the awards under this competition is up to approximately \$3.8 million, with \$1.8 million currently available and up to an estimated additional \$2 million anticipated in FY 2012. Funding is contingent upon Agency funding levels, the quality of proposals received, and other applicable considerations.

EPA Regional Offices will award the cooperative agreements for projects resulting from this announcement. Approximately three to four cooperative agreements are anticipated to be awarded by each EPA Regional Office with funds currently available. Pending receipt of FY 2012 funds, it is anticipated that each EPA Regional Office may award up to approximately four additional cooperative agreements for projects resulting from this announcement. Applicants may not request more than \$60,000 in federal funding – proposals requesting more than \$60,000 in federal funds will not be reviewed. While there is no minimum, EPA suggests applicants



request at least approximately \$40,000 in federal funds. A minimum non-federal cost share / match of \$2,500 is required (see Section III.B for information on the cost share / match requirement). It is anticipated that funded cooperative agreements will have a two-year project period.

In appropriate circumstances, EPA reserves the right to partially fund a proposal by funding discrete portions or phases of a proposed project. 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.

EPA reserves the right to make no awards under this announcement, or make fewer awards than anticipated. In addition, EPA reserves the right to make additional awards under this announcement, consistent with Agency policy and guidance, if additional funding becomes available after the original selections are made. Any additional selections for awards will be made within six months after the original selection decisions.

## **B. TYPE OF FUNDING**

It is anticipated that cooperative agreements will be funded under this announcement. When a cooperative agreement is awarded, EPA will have substantial involvement with the project workplans and budget. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial federal involvement for a project selected may include:

1. Close monitoring of the recipient's performance to verify the results proposed by the applicant;
2. Collaboration during the performance of the scope of work;
3. In accordance with the applicable regulations at 40 CFR Parts 30 and 31, review of proposed procurements;
4. Review of qualifications of key personnel (EPA does not have authority to select employees or contractors employed by the recipient);
5. Review and comment on tasks/deliverables and reports prepared under the cooperative agreement(s) (the final decision on the content of these reports rests with the recipient); and
6. Upon request by the recipient and subject to the availability of personnel, EPA will provide the recipient with access to EPA scientific expertise, sampling protocols, publicly available data, and other forms of technical assistance.

## **C. CONTRACTS AND SUBAWARDS**

1. 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. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the proposal 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.

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.

2. 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 if the applicant demonstrates in the proposal 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 if the applicant demonstrates in its proposal 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 evaluation process unless the applicant complies with these requirements.

### **III. ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS**

States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia), public and private universities and colleges, public or private nonprofit institutions, intertribal consortia, and interstate agencies are eligible to apply. Individuals, for-profit commercial entities and all federal agencies are not eligible to apply. Nonprofit 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 1995 are not eligible to apply.

The term “interstate agency” is defined in CWA Section 502 as “an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial powers or duties pertaining to the control of pollution as determined and approved by the Administrator.”

An intertribal consortium is a partnership between two or more tribes that is authorized by the governing bodies of those tribes to apply for and receive assistance (see 40 CFR 35.502.). The intertribal consortium is eligible only if the consortium demonstrates that all of its members meet the eligibility requirements and authorize the consortium to apply for and receive assistance in accordance with 40 CFR 35.504 at the time of proposal submission. An intertribal consortium must submit with its proposal to EPA adequate documentation of the existence of the partnership and the authorization of the consortium by its members to apply for and receive the grant (see 40 CFR 35.504.).

Nonprofit organizations may be asked to provide documentation that they meet the definition of a nonprofit organization in OMB Circular A-122, now at 2 CFR Part 230. The OMB Circular A-122 is available at [http://www.whitehouse.gov/omb/circulars\\_a122\\_2004/](http://www.whitehouse.gov/omb/circulars_a122_2004/). Interstate agencies may be asked to provide a citation to the statutory authority, which establishes their status.

#### **B. COST SHARING / MATCH REQUIREMENTS**

For this RFP, EPA has determined that **an applicant must provide a minimum of \$2,500 as the non-federal cost share / match.**

The non-federal cost share / match may be provided in cash or can come from in-kind contributions, such as use of volunteers and/or donated time, equipment, expertise, etc., and is subject to the regulations governing matching fund requirements described in 40 CFR 30.23 or 40 CFR 31.24, as applicable. In-kind contributions often include salaries or other verifiable costs and this value must be carefully documented. In the case of salaries, applicants may use either minimum wage or fair market value. Cost share / match must be used for eligible and allowable project costs. Cost share / matching funds are considered grant funds and are included in the total award amount and should be used for the reasonable and necessary expenses of carrying out the workplan. All grant funds are subject to federal audit. Any restrictions on the use of grant funds (examples of restrictions are outlined in Section III.D of this announcement) also apply to the use of cost share / match. Other federal grants may not be used as cost share / match without specific statutory authority. **In order to be considered for funding, all applicants must describe in their proposal submission how they will contribute the appropriate cost share / match requirement.**

Indian Tribes may be exempt from this cost share / match requirement if fulfilling the cost share / match requirement would impose undue hardship. Tribal governments wishing to be exempt from the minimum \$2,500 cost share / match requirement must submit a one-page written request via e-mail to the Agency contact identified in Section VII with justification within 30 calendar days from the date of issuance of this announcement. EPA will notify the potential applicant of its decision within 10 business days of receipt of the written request. If the cost share / match exemption is approved, the proposal will be reviewed for threshold eligibility as satisfying the \$2,500 cost share / match.

### **C. THRESHOLD ELIGIBILITY CRITERIA**

Proposals must meet the following threshold criteria in order to be considered for funding. Only proposals that meet all of these criteria will be considered eligible and evaluated against the ranking factors in Section V of the 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. An applicant must meet the eligibility requirements in Section III.A of this announcement.
2. 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. Where a page limit is expressed in Section IV.C.3 with respect to the Proposal Narrative, pages in excess of the page limitation will not be reviewed. Section IV.C.3 establishes a 10-page, single-spaced Proposal Narrative page limit that includes the cover page.
3. Proposals must be in compliance with CWA 104(b)(3) and include projects that conduct or promote the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects that are demonstrations must involve new or experimental technologies, methods, or approaches. A project that is accomplished through the performance of routine, traditional, or

established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not considered a demonstration project. For proposals that include demonstration projects, the applicant must describe how the project meets the above requirements. Implementation projects are not eligible for funding under this announcement.

4. Proposals requesting federal funds in excess of \$60,000 will not be reviewed.
5. Applicants must demonstrate in their proposal how they will provide the minimum required non-federal cost share/match of \$2,500 as described in Section III.B.
6. Proposals must be received by EPA or received through Grants.gov, as specified in Section IV of this announcement, on or before the proposal submission deadline published in Section IV of this announcement. If submitting a hard copy proposal, applicants are responsible for ensuring that their proposal reaches the designated person / office specified in Section IV of the announcement by the submission deadline.
7. If the applicant chooses to submit a hard copy of the proposal, it must be submitted by hand delivery, express delivery service, or courier service. **Hard copy proposals submitted by any type of regular U.S. Postal Service mail will not be considered. EPA will not accept faxed or emailed submissions.**
8. Proposals received after the submission deadline will not be considered unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical issues attributable to grants.gov. 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 the appropriate Regional EPA contact listed in Section IV.B.2 as soon as possible after the submission deadline; failure to do so may result in your proposal not being reviewed.
9. Only one proposal per applicant can be submitted under this RFP. If an applicant submits more than one proposal, EPA will contact them before the review process begins to determine which one will be withdrawn.

#### **D. FUNDING RESTRICTIONS**

All costs incurred under this program must be allowable under the applicable Office of Management and Budget (OMB) Cost Circulars: A-87 (States and local governments), A-122 (nonprofit organizations), or A-21 (universities). Copies of these circulars can be found at <http://www.whitehouse.gov/omb/circulars/>. In accordance with EPA policy and the OMB circulars, as appropriate, any recipient of funding must agree not to use assistance funds for lobbying, fund-raising, or political activities (i.e., lobbying members of Congress or lobbying for other federal grants, assistance agreements, or contracts). Funds cannot be used to pay for travel by federal agency staff. Proposed project activities must also comply with all state and federal regulations applicable to the project area. It is the responsibility of the applicant to ensure compliance.

#### **IV. APPLICATION AND SUBMISSION INFORMATION**

##### **A. APPLICATION PACKAGES**

Grant application forms, including Standard Forms (SF) 424 and SF 424A, are available at [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm) and by mail upon request by calling the Grants and Interagency Agreements Management Division at (202) 564-5320.

## **B. FORM OF APPLICATION SUBMISSION**

Applicants have the option to submit their proposals in **one** of two ways: 1) electronically via [www.grants.gov](http://www.grants.gov) **or** 2) hard copy and CD by overnight delivery, hand delivery, or courier service to the EPA contact identified in Section IV.B.2. Proposals that are submitted via regular U.S. Postal mail, FAX or e-mail **will not** be considered. All proposals must be prepared, and include the information, as described in Section IV.C. CONTENT OF PROPOSAL SUBMISSION, regardless of mode of submission.

As discussed in Section I.B, selections and awards will be made by EPA Regional Offices. For hard copy submissions (electronic submittals are sent through [grants.gov](http://www.grants.gov)), the appropriate EPA Regional Office to send the proposal to is determined by the geographic location of the project, not the location of the applicant. For example, if the proposed project takes place in Louisiana, the proposal should be submitted to EPA Region 6 (see Section IV.B.2). If the project location is served by two or more EPA Regions (for example, the project is located in both Pennsylvania (served by EPA Region 3) and New Jersey (served by EPA Region 2)), the applicant must submit the proposal to the appropriate EPA Regional Office based on where the majority of the work will take place. Only one proposal per applicant can be submitted. For all submittals (hard copy or electronic), the cover page of the Proposal Narrative (see Section IV.C) must include the appropriate Regional Office for the proposal. If an applicant is uncertain which Region to submit their proposal to, they should contact Ji-Sun Yi by email at [urbanwaters@epa.gov](mailto:urbanwaters@epa.gov).

### **1. Grants.gov Submission**

Applicants who wish to submit their materials electronically through the Federal government's Grants.gov web site may do so. Grants.gov allows an applicant to download an application package template and complete the package offline based on agency instructions. After an applicant completes the required application package, it can submit the package electronically to Grants.gov, which transmits the package to the funding agency.

The electronic submission of your proposal must be made by an official 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 Authorized Organization Representative (AOR) 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 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 proposal package by entering the Funding Opportunity Number, **EPA-OW-IO-12-01**, or the CFDA number that applies to the announcement (CFDA 66.440), in the appropriate field. You may also be able to access the proposal 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).

### **Proposal Submission Deadline**

Your organization’s AOR must submit your complete proposal electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **11:59 PM EST January 23, 2012**.

Please submit *all* of the proposal materials described below.

### **Proposal Materials**

**The following forms and documents are required to be submitted under this announcement:**

- I. Application for Federal Assistance (SF-424).
- II. Budget Information for Non-Construction Programs (SF-424A).
- III. Proposal Narrative - prepared as described in Section IV.C of this announcement.

The proposal package *must* include all of the following materials:

#### **I. Standard Form (SF) 424, Application for Federal Assistance**

Complete the form. There are no attachments. Please be sure to include the organization fax number and e-mail address in Block 5 of the Standard Form SF 424.

Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.

#### **II. Standard Form SF 424A – Budget Information:**

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 6(j). 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.

### **III. Proposal Narrative**

Prepare the Proposal Narrative in accordance with the instructions in Section IV.C.3 of this announcement. The document should be readable in PDF or MS Word and consolidated into a single file.

#### **Proposal Preparation and Submission Instructions**

**Documents I through III** listed under Proposal Materials above should appear in the “Mandatory Documents” box on the Grants.gov Grant Application Package page.

For documents I and II, click on the appropriate form and then click “Open Form” below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click “Save.” When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, “Move Form to Submission List.” This action will move the document over to the box that says, “Mandatory Completed Documents for Submission.”

For document III, Proposal Narrative, you will need to attach electronic files. Prepare your proposal narrative as described in Section IV.C.3 of the announcement and save the document to your computer as an MS Word or PDF file. When you are ready to attach it to the application package, click on “Project Narrative Attachment Form,” and open the form. Click “Add Mandatory Project Narrative File,” and then attach your proposal narrative (previously saved to your computer) using the browse window that appears. You may then click “View Mandatory Project Narrative File” to view it. Enter a brief descriptive title of your project in the space beside “Mandatory Project Narrative File Filename;” the filename should be no more than 40 characters long. If there other attachments that you would like to submit to accompany your proposal narrative, you may click “Add Optional Project Narrative File” or use the “Other Attachments” form and proceed as before. When you have finished attaching the necessary documents, click “Close Form.” When you return to the “Grant Application Package” page, select the “Project Narrative Attachment Form” and click “Move Form to Submission List” The form should now appear in the box that says, “Mandatory Completed Documents for Submission.”

Once you have finished filling out all of the forms/attachments and they appear in one of the “Completed Documents for Submission” boxes, click the “Save” button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the



following format when saving your file: “Applicant Name – FY12 – Urban Waters Small Grants – 1st Submission” or “Applicant Name – FY 12 Urban Waters Small Grants – Back-up Submission.”

Once your proposal package has been completed and saved, send it to your AOR for submission to U.S. EPA through Grants.gov. Please advise your AOR to close all other software programs before attempting to submit the proposal package through Grants.gov.

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the fiscal year (e.g., FY12), and the grant category (e.g., Urban Waters Small Grants). The filing name should not exceed 40 characters. From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the proposal package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726, or e-mail at <http://www.grants.gov/help/help.jsp>, or contact Ji-Sun Yi at 1-202-566-0730, or e-mail at [urbanwaters@epa.gov](mailto:urbanwaters@epa.gov).

Proposal packages submitted thru Grants.gov will be time/date stamped electronically.

If you have not received a confirmation of receipt from EPA (*not from Grants.gov*) within 30 days of the proposal deadline, please contact **Ji-Sun Yi as indicated above**. Failure to do so may result in your proposal not being reviewed.

## **2. Hard Copy and Compact Disc (CD) Submission**

Two hard copies of all required documents listed in Section IV.C, CONTENT OF APPLICATION SUBMISSION, and an electronic version on a CD, are required to be sent by express delivery service, courier service, or hand delivered to the appropriate EPA Regional contact mailing address listed below. States / territories served by each Region are provided in parentheses. These Regional contacts are listed for the sole purpose of where applicants should send their hard copies. Please do not contact Regions with questions regarding this announcement. To help ensure that responses are consistent and made available to all potential applicants, all questions must be submitted in writing via email to [urbanwaters@epa.gov](mailto:urbanwaters@epa.gov), as specified in Section VII.

As noted above, the proposal must be submitted to the appropriate EPA Regional Office that serves the project location. If the project location is served by two or more EPA Regions (for example, the project is located in both Pennsylvania (served by EPA Region 3) and New Jersey (served by EPA Region 2), the applicant must submit the proposal to the appropriate EPA Regional Office based on where the majority of the work will take place. Only one proposal per applicant can be submitted. The cover page of the Proposal Narrative (see Section IV.C) must include the appropriate Regional Office for the proposal. If an applicant is uncertain which

Region to submit their proposal, they should contact Ji-Sun Yi, by e-mail at [urbanwaters@epa.gov](mailto:urbanwaters@epa.gov).

Please mark all submissions: **ATTN: FY12 URBAN WATERS SMALL GRANTS RFP**. The electronic version copied on the CD may be in PDF or MS Word format. Annotated resumes (preferably no more than two pages each) may need to be scanned so that they can be submitted electronically as part of the CD. Proposal submissions sent by hard copy with CD must be received by the appropriate Regional Office identified below by **4:00 P.M. EST January 23, 2012**.

**Hard copy proposal submission contacts:**

Region 1 (CT, MA, ME, NH, RI, VT)

Caitlyn Whittle  
U.S. EPA Region 1  
5 Post Office Square  
Suite 100 (OEP06-1)  
Boston, MA 02109-3912  
(617) 918.1748  
[whittle.caitlyn@epa.gov](mailto:whittle.caitlyn@epa.gov)

Region 2 (NJ, NY, PR, Virgin Islands)

Cyndy Kopitsky  
U.S. EPA Region 2  
290 Broadway, 24<sup>th</sup> Floor  
New York, NY 10007-1866  
(212) 637.3832  
[kopitsky.cyndy@epa.gov](mailto:kopitsky.cyndy@epa.gov)

Region 3 (DC, DE, MD, PA, VA, WV)

Catherine King  
U.S. EPA Region 3 (3WP10)  
1650 Arch Street  
Philadelphia, PA 19103  
(215) 814.2657  
[king.catherine@epa.gov](mailto:king.catherine@epa.gov)

Region 4 (AL, FL, GA, KY, MS, NC, SC, TN)

Franklin Baker  
U.S. EPA Region 4 (9T25)  
61 Forsyth Street, SW  
Atlanta, GA 30303  
(404) 562.9757  
[baker.frank@epa.gov](mailto:baker.frank@epa.gov)

Region 5 (IL, IN, MI, MN, OH, WI)

Peg Donnelly  
U.S. EPA Region 5 (WQ-16J)  
77 West Jackson Boulevard  
Chicago, IL 60604  
(312) 886.6109  
[donnelly.peggy@epa.gov](mailto:donnelly.peggy@epa.gov)

Region 6 (AR, LA, NM, OK, TX)  
Adele Cardenas  
U.S. EPA Region 6 (6WQ)  
1445 Ross Avenue, Suite 1200  
Dallas, TX 75202-2733  
(214) 665.7210  
[cardenas.adele@epa.gov](mailto:cardenas.adele@epa.gov)

Region 7 (IA, KS, MO, NE)  
Jennifer Ousley  
U.S. EPA Region 7 (WWPD/WPIB)  
901 N. 5<sup>th</sup> Street  
Kansas City, KS 66101  
(913) 551.7498  
[ousley.jennifer@epa.gov](mailto:ousley.jennifer@epa.gov)

Region 8 (CO, MT, ND, SD, UT, WY)  
Stacey Eriksen  
U.S. EPA Region 8 (8EPR-EP)  
1595 Wynkoop Street  
Denver, CO 80202-1129  
(303) 312.6692  
[eriksen.stacey@epa.gov](mailto:eriksen.stacey@epa.gov)

Region 9 (AZ, CA, HI, NV, Guam, Northern Mariana Islands)  
Jared Vollmer  
U.S. EPA Region 9 (WTR-3)  
75 Hawthorne Street  
San Francisco, CA 94105  
(415) 972.3447  
[vollmer.jared@epa.gov](mailto:vollmer.jared@epa.gov)

Region 10 (AK, ID, OR, WA)  
Mary Lou Soscia  
U.S. EPA Region 10  
Oregon Operations Office (OOO)  
805 S.W. Broadway, Suite 500  
Portland, OR 97205  
(503) 326.5873

### **C. CONTENT OF APPLICATION SUBMISSION**

**Applicants must read the following section very closely.** A complete proposal package must include the following three documents described below:

#### **1. Signed Standard Form (SF) 424, Application for Federal Assistance.**

Complete the form. There are no attachments. Please be sure to include organization fax number and e-mail address in Block 5 of the SF 424.

Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF 424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711 or by visiting the website at [www.dnb.com](http://www.dnb.com).

#### **2. SF 424A, Budget Information for Non-Construction Programs.**

Complete the form. There are no attachments. The total amount of federal funding requested for the project should be shown on line 5(e) and on line 6(k) of the SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22. If indirect costs are requested, a copy of the Negotiated Indirect Cost Rate Agreement must be submitted as part of the application package. In Section B, Budget Categories column (1) should be filled out for federal funds, column (2) should be filled out for non-federal cost share/match, if applicable.

#### **3. Proposal Narrative**

**NOTE: The Proposal Narrative (including cover page) must be limited to no more than 10 single-spaced, typewritten 8.5x11-inch pages (a page is one side of paper). Pages should be consecutively numbered for ease of reading. It is recommended that applicants use a standard 12-point type with 1-inch margins. While these guidelines establish the minimum type size recommended, applicants are advised that readability is of paramount importance and should take precedence in selection of an appropriate font for use in the proposal. Additional pages beyond the 10-page single-spaced limit will not be considered.** Supporting materials (such as annotated resumes, letters of commitment, documentation of community priorities, grant forms, etc.) do not have to be within the page limit. Documentation pertaining to Quality Assurance/Quality Control is also not covered by the page limit.

The **Proposal Narrative, including items 1-2 below**, must be typewritten and must include the information described below. If a particular item is not applicable, clearly state this.

- 1. Cover Page** including:
  - i. Name of Applicant;
  - ii. Regional Office for the Proposal;

- iii. Urban Project Area and Name of Urban Water Body;
- iv. Project Title (the project title should reflect the main project outcome/objective and should be 15 words or less);
- v. Key personnel and contact information (i.e., e-mail address and phone number);
- vi. Total project cost (specify the amount of federal funds requested, the non-federal cost share / match, and the total project cost); and
- vii. Abstract (the abstract should begin with one or two sentences describing the main objective of the proposal. It should also include a listing of the main tasks to be accomplished, and a description of the anticipated outputs and outcomes. The entire abstract should be 250 words or less).

**2. Project description** containing:

- a) Technical Approach – The technical approach should include a description of how the project addresses the following elements as discussed in Section I.B of this announcement.
  - i. Water Quality Restoration – Refer to Section I.B.
  - ii. Relevance to Community Priorities – Refer to Section I.B.
  - iii. Success Potential/Feasibility – Refer to Section I.B.
- b) Partnerships – Refer to Section I.B.
- c) Benefits to Community – Refer to Section I.B.
- d) Environmental Results and Measuring Progress -
  - i. Stated Objective/Link to EPA Strategic Plan - List the objective of the project and describe the linkage to the EPA Strategic Plans (see Section I.C of this announcement). The Urban Waters Small Grants support the following goals of the FY 2006 – 2011 EPA Strategic Plan: Goal 2: Clean and Safe Water, Objective 2.2: Protect Water Quality, Sub-objective 2.2.1: Improve Water Quality on a Watershed Basis. In addition, the Urban Waters Small Grants support the following goals of the FY 2011 – 2015 EPA Strategic Plan: Goal 2: Protecting America’s Waters, Objective 2.2: Protect and Restore Watershed and Aquatic Ecosystems.

- ii. Results of Activities (Outputs) - List the products/results which are expected to be achieved from accomplishment of the project activities and an approach for tracking your progress toward achieving the expected project output(s) (examples of outputs can be found in Section I.C of this announcement).
  - iii. Anticipated Environmental Improvement (Outcomes) - List the anticipated environmental improvements to be accomplished as a result of the project activities. These improvements are changes or benefits to the environment which are a result from the accomplishment of project outputs. Describe an approach for tracking your progress toward achieving the expected project outcome(s) (examples of outcomes can be found in Section I.C of this announcement).
- e) Milestone Schedule – Provide a projected milestone schedule that covers each year of the total grant period request and provides a breakout of the project activities into phases with associated tasks and a timeframe for completion of tasks. The project start date will follow award acceptance by the successful applicants.
- f) Transfer of Results – Provide a description of how the applicant will transfer the results of the project to state, tribal, and local governmental agencies, other community and watershed organizations, public and private organizations, and/or other interested stakeholders. For example, the applicant could create opportunities for sharing best practices and lessons learned in the form of meetings, web casts, or other mechanisms.
- g) Detailed Budget Narrative – Provide a detailed budget and estimated funding amounts for each project component/task. Identify the requested federal dollars, demonstrate how the non-federal cost share / match will be met and provide a total project cost. This section provides an opportunity for narrative description of the budget or aspects of the budget found in the SF 424A (i.e., personnel, travel, contractual, other). All subgrant funding should be located under the “other” category. Helpful tips on writing a budget may be found at <http://www.epa.gov/ogd/recipient/tips.htm>.
- i. Total costs must include separate breakdowns for federal costs and non-federal cost share / matching components (a minimum \$2,500 non-federal cost share / match is required). Explain if and how partners will contribute to the required cost share / match. Attach letters of commitment from intended cost share / match partners, to your proposal. Letters

of commitment are not counted in the page limit and should be submitted on applicable letterhead. Describe cost-effectiveness, reasonableness of costs, and value of in-kind contributions. If applicable, include any travel for applicant staff to attend any necessary meetings throughout the proposed project period, including having one representative from the recipient organization attend the Urban Waters Small Grants National Training Workshop (see Section VI.K of this announcement for additional information). Describe itemized costs in sufficient detail for EPA to determine the reasonableness and allowability of costs for each project component/task.

- ii. When formulating budgets for proposals, the applicant must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicant's 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.
- h) Programmatic Capability/Specialized Experience
- i. Organizational Experience – Provide a brief description of your organizational experience related to the proposed project, and your infrastructure as it relates to your ability to successfully implement the proposed project.
  - ii. Staff Expertise/Qualifications – Provide a list of key staff and briefly describe their expertise/qualifications and knowledge, and describe your resources or the ability to obtain them to successfully achieve the goals of the project. Include an estimate of the number of full-time equivalent (FTE) workers (based on 2080 hours per year/FTE). List proposed partner entities, and describe their roles, and whether they will participate as subgrantees. Annotated resumes of applicant's key staff (no more than two pages each) are also encouraged and are not included in the page limit.
- i) Past Performance – Briefly describe federally and/or non-federally funded assistance agreements (an assistance agreement is a grant

or cooperative agreement and not a contract) similar in size, scope, and relevance to the proposed project that your organization performed within the last five years (no more than three such agreements and preferably EPA agreements) and:

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

**Note:** In evaluating the applicant's past performance, the Agency will consider the information supplied by the applicant in its proposal, and may also consider relevant information from other sources including Agency files (e.g., Grantee Compliance Database) and prior/current grantors (e.g., to verify and/or supplement the information provided the by applicant). If you do not have any relevant or available past performance information, please indicate this in the proposal and you will receive a neutral score for these factors under Section V. Failure to provide any past performance information, or to include a statement in the proposal that you do not have any relevant or available past performance or reporting information, may result in a zero score for these factors (see also Section V).

- j) Quality Assurance/Quality Control (QA/QC) (not included in the page limit) – If you plan to collect or use environmental data or information, explain how you will comply with the Quality Assurance/Quality Control requirements (see Section VIII.A QUALITY ASSURANCE/QUALITY CONTROL (QA/QC) of this announcement for additional information).

**NOTE:** The applicant should also provide in its Proposal Narrative any additional information, to the extent not already identified above, that addresses the selection criteria found in Section V.

#### **D. SUBMISSION DATES AND TIMES**

Proposals submitted by hard copy with CD must be **received** by the appropriate EPA Regional Office contact identified in Section IV.B.2 by **4:00 P.M. EST January 23, 2012**. Proposals



submitted electronically via <http://www.grants.gov> must be **received** by **11:59 P.M. EST January 23, 2012**. Late proposals will not be considered for funding.

**E. CONFIDENTIAL BUSINESS INFORMATION**

EPA recommends that you do not include confidential business information (“CBI”) in your proposal. However, if CBI is included, it will be treated in accordance with 40 CFR 2.203. Applicants must clearly indicate which portion(s) of their proposal they are claiming as CBI. EPA will evaluate such claims in accordance with 40 CFR Part 2. 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. The Agency protects competitive proposals from disclosure under applicable provisions of the Freedom of Information Act prior to the completion of the competitive selection process.

**V. Application Review Information**

**A. SELECTION CRITERIA**

All eligible proposals, based on the Section III threshold eligibility review, will be evaluated based on the evaluation criteria and weights below (100-point scale). Points will be awarded based on how well and thoroughly each criterion and/or sub-criterion is addressed in the proposal package.

<p><b>1) Technical Approach (30 points)</b></p>	<p>Under this criterion, applicants will be evaluated based on the extent and quality to which the proposal demonstrates how the project addresses the following elements as described in Section I.B:</p> <ul style="list-style-type: none"><li>a) Water Quality Restoration – How well the proposal identifies the project area as “urban” and how well the proposed project will contribute to future environmental restoration of the urban water body. Restoration efforts include addressing important water quality threats or impairments. (15 points)</li><li>b) Relevance to Community Priorities – How well the proposed project makes water quality restoration of the urban water body relevant to community priorities and strives to engage local residents in a sustainable way. (5 points)</li><li>c) Success Potential/Project Feasibility – How well the proposed project demonstrates a creative or effective approach to restoring water quality within the urban area and is prepared to begin work. (10 points)</li></ul>
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<p><b>2) Partnerships (8 points)</b></p>	<p>Under this criterion, applicants will be evaluated based on their ability to demonstrate appropriate and necessary partnerships to successfully conduct the project (as described in Section I.B) including whether they have provided a clear description of the roles of specific partners in the project's components/tasks, and how these partnerships will contribute to the success of the proposed projects, and the extent to which communities surrounding the urban water body (including but not limited to minority, low income, or indigenous population communities) are participating in the project. (8 points)</p>
<p><b>3) Benefits to Community (7 points)</b></p>	<p>Proposals will be evaluated based on the extent to which they demonstrate how they will benefit communities surrounding the urban water body (as described in Section I.B) that have been impacted by the water pollution issues affecting the urban water body. This includes communities comprised of minority, low income, or indigenous populations, as well as others that may be adversely impacted by the urban water body's water pollution issues. (7 points)</p>
<p><b>4) Milestone Schedule/Detailed Budget/Transfer of Results (15 points)</b></p>	<p>Proposals will be evaluated based on the extent and quality to which the proposal demonstrates the following:</p> <ul style="list-style-type: none"> <li>a) Clearly articulated milestone schedule for project tasks. (5 points)</li> <li>b) Reasonableness of the budget and estimated funding amounts for each project task. Applicants will be evaluated based on: the adequacy of the information provided in the detailed budget; whether the proposed costs are reasonable and allowable; and how well the applicant demonstrated cost-effectiveness and value of the project. Total project costs must include both federal and required cost share / match (non-federal) components. (5 points)</li> <li>c) How well the applicant will transfer the results of the proposed project to state, tribal, and local governmental agencies, other community and watershed organizations, and/or other interested stakeholders. (5 points)</li> </ul>

<p><b>5) Environmental Results (20 points)</b></p>	<p>Proposals will be evaluated based on the following elements:</p> <ul style="list-style-type: none"> <li>a) The extent and quality to which the proposal demonstrates potential environmental results, anticipated outputs and outcomes, and how the outcomes are linked to EPA's Strategic Plans (see Section I of announcement). (10 points)</li> <li>b) The extent and quality to which the proposal demonstrates a sound plan for tracking progress toward achieving the expected outputs and outcomes (examples of outputs and outcomes are provided in Section I.C of the announcement). (10 points)</li> </ul>
<p><b>6) Programmatic Capability/Specialized Experience (10 points)</b></p>	<p>Under this criterion proposals will be evaluated based on the applicant's ability to successfully complete and manage the proposed project taking into account the applicant's:</p> <ul style="list-style-type: none"> <li>a) Organizational experience related to the proposed project, and their infrastructure as it relates to their ability to successfully implement the proposed project. (5 points)</li> <li>b) Staff experience/qualifications, staff knowledge, and resources, or the ability to obtain them, to successfully implement the proposed project. (5 points)</li> </ul>
<p><b>7) Past Performance (10 points)</b></p>	<p>Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account their:</p> <ul style="list-style-type: none"> <li>a) Past performance in successfully completing and managing federally and/or non-federally funded assistance agreements (an assistance agreement is a grant or cooperative agreement and not a contract) similar in size, scope, and relevance to the proposed project performed within the last five years (no more than three, and preferably EPA agreements). (4 points)</li> <li>b) History of meeting reporting requirements under federally and/or non-federally funded assistance agreements (an assistance agreement is a grant or cooperative agreement and not a contract) similar in size, scope, and relevance to the proposed project performed within the last five years (no more than three, and preferably EPA agreements) and submitting acceptable final technical reports under these agreements. (3 points)</li> </ul>

	<p>c) Extent and quality to which they documented and/or reported on their progress towards achieving the expected results (e.g. outcomes and outputs) under federally and/or non-federally funded assistance agreements (an assistance agreement is a grant or cooperative agreement and not a contract) performed in the last 5 years (no more than three, and preferably EPA agreements), and if such progress was not being made, whether the applicant adequately documented why not. (3 points)</p> <p>Note: In evaluating applicants under this criterion, the Agency will consider the information supplied by the applicant in its proposal, and may also consider relevant information from other sources including Agency files (e.g. Grantee Compliance Database) and prior/current grantors (e.g., to verify and/or supplement the information provided by the applicant). Applicants who have no relevant or available past performance information will receive a neutral score for these factors (i.e., 2 points for subcriterion a), 1.5 points for subcriterion b), and 1.5 points for subcriterion c)). Failure to provide any past performance information, or to include a statement in your proposal that you do not have any relevant or available past performance information, may result in a zero score for the factors.</p>
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**B. REVIEW AND SELECTION PROCESS**

Each Regional Office will review proposal submissions for proposed projects located in its associated geographic region. A proposal where the project location is served by two or more Regional Offices will be reviewed by the Regional Office to which the proposal was submitted to as described in Section IV.B.

All proposals received by EPA in hard copy or via grants.gov by the submission deadline will first be screened by EPA Regional staff against the threshold criteria in Section III of the announcement. Proposals that do not pass the threshold review will not be evaluated further or considered for funding.

All eligible proposals will then be evaluated by a Regional review panel, which will be composed of EPA staff, and which may also include representatives from other federal agencies that are part of the Urban Waters Federal Partnership. Evaluations will be based on the 100-point scale described in Section V.A above. Proposals will be ranked based on the reviewers' scores, and the scores and rankings will be provided to the EPA Regional Selection Official(s) for final funding decisions. In making the final funding decisions, the Regional Selection Officials may also consider geographic diversity, project diversity, and funding availability.

## **VI. AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

Following EPA's evaluation of 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 preliminary recommended for award. Those entities will be provided with instructions and a due date for submittal of the final application package.

EPA reserves the right to negotiate and/or adjust the final grant amount and workplan prior to award, as appropriate and consistent with Agency policy including the Policy for Competition of Assistance Agreements, EPA Order 5700.5A1. An approvable final workplan narrative is required to include:

1. Workplan components to be funded under the cooperative agreement;
2. Estimated work years and the estimated funding amounts for each workplan component;
3. Workplan commitments for each workplan component and a timeframe for their accomplishment;
4. Performance evaluation process and reporting schedule in accordance with §35.115 of 40 CFR; and
5. Roles and responsibilities of the recipient and EPA (for cooperative agreements only) in carrying out the workplan commitments.

In addition, successful applicants will be required to certify that they have not been Debarred or Suspended from participation in federal assistance awards in accordance with 40 CFR Part 32.

Any additional information about this RFP will be posted on EPA's Urban Waters website at <http://www.epa.gov/urbanwaters/funding>. Deadline extensions or other modifications will be posted on this website and [www.grants.gov](http://www.grants.gov).

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

The general award and administration process for this RFP is governed by regulations at 40 CFR Part 30 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations), 40 CFR Part 31 (States, Tribes, interstate agencies, intertribal consortia and local governments), and 40 CFR Part 35, Subpart A ("Environmental Program Grants for State, Interstate, and Local Government Agencies") and Subpart B ("Environmental Program Grants for Tribes"). These regulations can be found at <http://www.epa.gov/epacfr40/chapt-I.info/chi-toc.htm>. A description of the Agency's substantial involvement in the cooperative agreements will be included in the final assistance agreement.

### **C. NON-PROFIT ADMINISTRATIVE CAPABILITY CLAUSE**

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.

#### **D. SUBAWARD AND EXECUTIVE COMPENSATION REPORTING**

Applicants must ensure that they have the necessary processes and systems in place to comply with the sub-award and executive total compensation reporting requirements established under OMB guidance at [2 CFR Part 170](#), unless they qualify for an exception from the requirements, should they be selected for funding.

#### **E. CENTRAL CONTRACTOR REGISTRATION (CCR) AND DATA UNIVERSAL NUMBERING SYSTEM (DUNS) REQUIREMENTS**

Unless exempt from these requirements under OMB guidance at [2 CFR Part 25](#) (e.g., individuals), applicants must:

1. Be registered in the CCR prior to submitting an application or proposal under this announcement. CCR information can be found at <https://www.bpn.gov/ccr/>;
2. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by an agency, and
3. Provide its DUNS number in each application or proposal it submits to the agency. 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>.

If an applicant fails to comply with these requirements, it will, should it be selected for award, affect their ability to receive the award.

#### **F. UNLIQUIDATED OBLIGATIONS**

An applicant that receives an award under this announcement is expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the project activities described in the work-plan in a timely manner. The assistance agreement will include terms/conditions implementing this requirement.

#### **G. INTERGOVERNMENTAL REVIEW**

This program may be eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be

followed in applying for assistance, if the State has selected the program for review. Further information regarding this can be found at <http://www.whitehouse.gov/omb/grants/spoc.html>.

## **H. DISPUTE PROCEDURES**

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 may also be requested by contacting the Agency contact in Section VII.

## **I. COPYRIGHTS**

In accordance with 40 CFR 30.36 for institutions of higher education, hospitals, and other non-profit organizations, or 40 CFR 31.34 for other recipients, EPA reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use, for Federal Government purposes copyrighted works developed under a grant, subgrant or contract under a grant or subgrant. Examples of Federal purpose include but are not limited to: (1) Use by EPA and other Federal employees for official Government purposes; (2) Use by Federal contractors performing specific tasks for the Government; (3) Publication in EPA documents provided the document does not disclose trade secrets (e.g. software codes) and the work is properly attributed to the recipient through citation or otherwise; (4) Reproduction of documents for inclusion in Federal depositories; (5) Use by State, tribal and local governments that carry out delegated Federal environmental programs as “co-regulators” or act as official partners with EPA to carry out a national environmental program within their jurisdiction; (6) Limited use by other grantees to carry out Federal grants provided the use is consistent with the terms of EPA’s authorization to the grantee to use the copyrighted material.

## **J. REPORTING**

In general, recipients are responsible for managing the day-to-day operations and activities supported by the assistance funding, to assure compliance with applicable federal requirements, and for ensuring that established milestones and performance goals are being achieved. Performance reports and financial reports must be submitted semi-annually and are due 30 days after the reporting period. The final report is due 90 days after the assistance agreement has expired. Recipients will be required to report direct and indirect environmental results from the work accomplished through the award. In negotiating assistance agreements, EPA will work closely with the recipient to incorporate appropriate performance measures and reporting requirements in the workplan consistent with 40 CFR 30.51, 31.40, and 40 CFR Part 45. In addition, it is anticipated that by the end of the assistance agreement performance period, grantees will provide a report to describe the project as a success story that helps other communities across the country learn from their experience.

## **K. NATIONAL TRAINING WORKSHOP**

Urban Waters Small Grants recipients will be required to attend an EPA-sponsored Urban Waters Small Grants National Training Workshop. It is anticipated that the workshop will take place over a period of up to 2 days during the first year of the cooperative agreement performance period. One representative from the recipient organization should plan to attend. The purpose of this training is to help the recipient with strategic planning and cooperative agreement management, as well as afford grantees numerous opportunities to network with other Urban Waters community representatives. The workshop location has not yet been determined. The recipient will be allowed to use cooperative agreement funds to pay for one person's travel and lodging to attend the National Training Workshop. If the recipient wishes to use cooperative agreement funds for travel expenses to the National Training Workshop, these costs must be included in the submitted proposed budget.

## **VII. AGENCY CONTACTS**

**Note to Applicants:** 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 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. Questions must be submitted in writing via e-mail and must be received by the Agency Contact identified below by **January 16, 2012** and written responses will be posted on EPA's website at <http://www.epa.gov/urbanwaters/funding>.

### **Agency Contact**

Ji-Sun Yi

Phone Number: (202) 566-0730

E-mail: [urbanwaters@epa.gov](mailto:urbanwaters@epa.gov)

In addition, EPA will host two national Information Sessions regarding this announcement via webinar, based on the schedule below. EPA will attempt to answer any appropriate questions in these public forums. Registration information for both Information Sessions can be found at <http://www.epa.gov/urbanwaters/funding>.

Wednesday, December 14, 2011 at 2:00 p.m. (EST)

Thursday, January 5, 2012 at 2:00 p.m. (EST)

Questions and answers from these Information Sessions will also be posted at <http://www.epa.gov/urbanwaters/funding>.

## **VIII. OTHER INFORMATION**

### **A. QUALITY ASSURANCE/QUALITY CONTROL (QA/QC)**



Quality Assurance/Quality Control requirements apply to these grants (see 40 CFR 30.54 and 40 CFR 31.45). QA/QC requirements apply to the collection of environmental data. Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data include information collected directly from measurements, produced from models, and compiled from other sources such as databases or literature. Successful applicants should allow sufficient time and resources for this process. EPA can assist successful applicants in determining whether QA/QC is required for the proposed project. If QA/QC is required for the project, the successful applicant may work with the EPA QA/QC staff to determine the appropriate QA/QC practices for the project. See Section VII., AGENCY CONTACTS for Agency Contact information for referral to an EPA QA/QC staff.

The successful applicant must ensure all water quality data generated in accordance with an EPA approved Quality Assurance Project Plan, either directly or by subaward, is transmitted into the Agency's Storage and Retrieval (STORET) Data Warehouse annually or by project completion using either WQX or WQXweb. Water quality data that are appropriate for STORET include physical, chemical, and biological sample results for water, sediment and fish tissue. The data include toxicity data, microbiological data, and the metrics and indices generated from biological and habitat data. The Water Quality Exchange (WQX) is the water data schema associated with the EPA, State and Tribal Exchange Network. Using the WQX schema partners map their database structure to the WQX/STORET structure. WQXweb is a web-based tool to convert data into the STORET format for smaller data generators that are not direct partners on the Exchange Network. More information about WQX, WQXweb, and the STORET Warehouse, including tutorials, can be found at <http://www.epa.gov/storet/wqx/>

## **B. DATA SHARING**

All recipients of these assistance agreements may be required to share any data generated through this funding agreement as a defined deliverable in the final workplan.

## **C. DATA ACCESS AND INFORMATION RELEASE**

The Office of Management and Budget (OMB) Circular A-110 has been revised to provide public access to research data through the Freedom of Information Act (FOIA) under some circumstances. Data that are (1) first produced in a project that is supported in whole or in part with Federal funds and (2) cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (i.e., a regulation) may be accessed through FOIA. If such data are requested by the public, the EPA must ask for it, and the grantee must submit it, in accordance with A-110 and EPA regulations at 40 C.F.R. 30.36.

## **D. EXCHANGE NETWORK**

EPA, states, territories, and tribes are working together to develop the National Environmental Information Exchange Network, a secure, Internet- and standards-based way to support electronic data reporting, sharing, and integration of both regulatory and non-regulatory environmental data. States, tribes and territories exchanging data with each other or with EPA,

should make the Exchange Network and the Agency's connection to it, the Central Data Exchange (CDX), the standard way they exchange data and should phase out any legacy methods they have been using. More information on the Exchange Network is available at [www.exchangenetwork.net](http://www.exchangenetwork.net).

#### **E. URBAN WATERS FEDERAL PARTNERSHIP**

The Urban Waters Program supports the goals and principles of the Urban Waters Federal Partnership ([www.urbanwaters.gov](http://www.urbanwaters.gov)) which is a partnership of eleven federal agencies working to reconnect urban communities with their waterways by improving coordination among federal agencies and collaborating with community-led revitalization efforts to improve the nation's water systems and promote their economic, environmental and social benefits. The Urban Waters Federal Partnership closely aligns with and advances the work of the White House's place-based efforts, including the Partnership for Sustainable Communities (<http://www.sustainablecommunities.gov/aboutUs.html>), to revitalize communities, create jobs and improve the quality of life in cities and towns across the nation. The Urban Waters Federal Partnership also advances the work of President Obama's America's Great Outdoors Initiative. EPA's approach to protect and restore America's urban waters is outlined in the Urban Waters Strategic Framework, available at <http://www.epa.gov/urbanwaters/StrategicFramework.pdf>. This Strategic Framework strives to meet the following five Intended Outcomes: Improved connection to Urban Waters, understanding of urban waters and their potential, sense of public ownership of urban waters, protection and restoration of urban waters, and community revitalization.

#### **F. UNFUNDED PROPOSALS**

Subject to the availability of funds, funding authorities, and other considerations, the U.S. Forest Service (an Urban Waters Federal Partnership agency) may consider for funding proposals not selected for funding by EPA under this RFP.