

**U.S. EPA LAND AND CHEMICAL DIVISION**  
**Sustainable Materials Management**  
**2017 Request for Applications**

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

**Funding Opportunity Title:** Sustainable Materials Management Program

**Announcement Type:** Request for Applications

**Funding Opportunity Number:** EPA-R5-LCD-2017

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

**DATES:** The closing date and time for receipt of application submissions is **by June 1, 2017, 11:59 p.m., Eastern Time (ET)** in order to be considered for funding. Application packages must be submitted electronically to EPA through Grants.gov (<https://www.grants.gov>) no later than **June 1, 2017, 11:59 p.m. Eastern Time (ET)** in order to be considered for funding.

**Important Dates:**

Informational Call: April 4, 2017, 2p.m. CST (see section IV)

Applications are due: June 1, 2017, 11:59 p.m. Eastern Time (ET)

EPA notifies selected finalists: July 14, 2017

EPA notifies all applicants: July 21, 2017

Expected Grant Awards by: October 1, 2017

**Summary:** EPA Region 5 is soliciting applications that address one of the two Sustainable Materials Management priorities identified in Section I below. These projects must be implemented in Region 5. Region 5 includes Illinois, Wisconsin, Michigan, Indiana, Ohio, and Minnesota.

This funding supports EPA's Strategic Goal 3: Cleaning Up Communities and Advancing Sustainable Development.

**Funding Availability/Awards:** The total estimated funding for this competitive funding opportunity is approximately \$100,000. EPA Region 5 anticipates funding up to approximately three grants and/or cooperative agreements from this announcement, ranging in value from \$30,000 to \$60,000, contingent upon funding availability, the quality of applications received, and other applicable considerations. Some awards are expected to be made from funds that have not been appropriated as of the date of the announcement. If appropriation is delayed beyond the date for selection of projects or if the appropriation is less than expected, the number, amount, and timing of awards could be affected. Additionally, EPA expressly reserves the right to make no awards under a particular Funding Opportunity or to adjust the number of awards originally anticipated under a specific Funding Opportunity. In 2015, approximately \$80,000 was awarded to 2 projects ranging from \$30,000 to \$54,000.

## CONTENTS BY SECTION

- I. Funding Opportunity Description
- II. Award Information
- III. Eligibility Information
- IV. Application and Submission Information
- V. Application Review and Selection Process, including Criteria
- VI. Award Administration Information
- VII. Agency Contacts
- VIII. Appendix, Budget Narrative Sample

### I. Funding Opportunity Description

#### A.) Region 5 Sustainable Materials Management Priority

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

#### **Region 5 Sustainable Materials Management Priorities:**

##### 1.) Prevent or Reduce Wasted Food in a Tribal Community

Currently, over 30% of the food grown and processed in the U.S. goes uneaten even while some individuals and families do not have enough food to eat. This waste of food impacts the environment, our communities, and the financial bottom line. Under this priority, applications should develop, implement and measure the results of innovative, culturally appropriate community-wide efforts to prevent and reduce the amount of food wasted in a Tribal community in Region 5. Applications should consider using and/or building on existing tools, resources and research from EPA and other organizations (e.g., the [FTGTW toolkit](http://www.epa.gov/sustainable-management-food/food-too-good-waste-implementation-guide-and-toolkit): <http://www.epa.gov/sustainable-management-food/food-too-good-waste-implementation-guide-and-toolkit>, the [Wasted Food and Packaging Toolkit](http://www.epa.gov/sustainable-management-food/tools-assessing-wasted-food#packaging): <http://www.epa.gov/sustainable-management-food/tools-assessing-wasted-food#packaging>, [Food Recovery Challenge](http://www.epa.gov/sustainable-management-food/food-recovery-challenge-frc): <http://www.epa.gov/sustainable-management-food/food-recovery-challenge-frc>, or the [Tribal CBSM Training Guide](http://www.epa.gov/sites/production/files/2016-09/documents/socialmarketingguide_overall.pdf): [http://www.epa.gov/sites/production/files/2016-09/documents/socialmarketingguide\\_overall.pdf](http://www.epa.gov/sites/production/files/2016-09/documents/socialmarketingguide_overall.pdf).)

Projects addressing this priority must:

- Support the goals of the tribe's approved Integrated Waste Management Plan.
- Identify a baseline of the significant sources of wasted food in the community.
- Track, evaluate, and report amounts of wasted food prevented or reduced.
- Include plans to communicate the outcomes of the project with other tribes and communities, such as through a webinar, conference presentation, etc.

##### 2.) Demystify Potential Midwestern Recycling End Markets through Collaboration

Under this priority, applications should use a collaborative approach to identify existing and potential markets located in Region 5 for packaging materials (e.g., packaging made from ferrous

and non-ferrous metals, plastics, glass, paper) and/or building materials (e.g., wood, metals, concrete), two material categories that fall within the [EPA's 5 Year Strategic Plan for Sustainable Materials Management: https://www.epa.gov/smm/epa-sustainable-materials-management-program-strategic-plan-fiscal-years-2017-2022](https://www.epa.gov/smm/epa-sustainable-materials-management-program-strategic-plan-fiscal-years-2017-2022). Collaborations should engage a diverse array of industry, governmental, and other stakeholders, and result in an online information resource that would improve understanding of the local economic opportunity recycling presents.

Applications should consider using and/or building on these existing resources: Southeast Recycling Development Council [Resources: http://www.serdc.org/regionalresources](http://www.serdc.org/regionalresources), Michigan Recycling Coalition's "[State of Recycling in Michigan](http://www.michiganrecycles.org/images/bak-12-17-2013/newpdf/StateofRecycling2011MRC.pdf)" Report: <http://www.michiganrecycles.org/images/bak-12-17-2013/newpdf/StateofRecycling2011MRC.pdf>, Indiana Recycling Coalition's "[The Untapped Potential of Indiana's Recycling Industry](http://indianarecycling.org/jobs-study/)" Report: <http://indianarecycling.org/jobs-study/>, Report, EPA's [Recycling Economic Information Report: https://www.epa.gov/smm/2016-recycling-economic-information-rei-report-and-methodology](https://www.epa.gov/smm/2016-recycling-economic-information-rei-report-and-methodology).

Projects addressing this priority must:

- Create an information resource to identify end markets as well as the economic opportunity afforded by these potential markets using economic indicators such as jobs, wages and/or tax revenues.
- Provide estimates of the volume of materials that are and could be managed.
- Include a long term strategy for maintaining and sharing the end market information.
- Include a long term strategy for continuing and building on the collaboration established as part of the project.

## **B. EPA Strategic Plan Linkage & Anticipated Outcomes, Outputs & Performance Measures**

Pursuant to Section 6a of EPA Order 5700.7, "Environmental Results under EPA Assistance Agreements," EPA must link proposed assistance agreements to the Agency's Strategic Plan. EPA also requires that grant applicants and recipients adequately describe environmental outputs and outcomes to be achieved under assistance agreements (see EPA Order 5700.7, Environmental Results under Assistance Agreements, [http://www.epa.gov/sites/production/files/2015-03/documents/epa\\_order\\_5700\\_7a1.pdf](http://www.epa.gov/sites/production/files/2015-03/documents/epa_order_5700_7a1.pdf)).

**1. Linkage to EPA Strategic Plan. Linkage to EPA Strategic Plan.** This funding supports EPA's Strategic Plan Goal 3 (Cleaning Up Communities and Advancing Sustainable Development, Objective 2 (Preserve Land), Sub-objective 2.10 Reduce Waste Generation and Increase Recycling). For more information, visit: [http://www2.epa.gov/sites/production/files/2014-09/documents/epa\\_strategic\\_plan\\_fy14-18.pdf](http://www2.epa.gov/sites/production/files/2014-09/documents/epa_strategic_plan_fy14-18.pdf)

Projects awarded under this announcement will support the reduction of waste generated or increase recycling and reuse of materials. These innovative waste management practices will support the preservation and restoration of land by reducing materials sent to waste management facilities and conserve natural resources.

**2. Outcomes.** The term “**outcome**” refers to the result, effect or consequence that will occur from carrying out an environmental program or activity that relates to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature **must** be quantitative, and may not necessarily be achievable within a cooperative agreement funding period.

Examples of outcome measures for projects under the Sustainable Materials Management program include, but are not limited to, pounds of material reused, recycled, composted, or rebought; tons of greenhouse gases reduced; BTUs of energy conserved; dollars saved through recycling or reuse efforts; or jobs created or retained.

**3. Outputs.** 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, number of workshops, web-site hits, or number of training sessions held or individuals trained.

**4. Performance Measures.** The applicant should also develop performance measures they expect to achieve through the proposed activities and describe them in the application. These performance measures will help gather insights and will be the mechanism to track progress concerning successful process and outcome strategies and will provide the basis for developing lessons to inform future recipients.

The following are questions to consider when developing output and outcome measures of quantitative and qualitative results:

- i) What are the measurable short term and longer term results the project will achieve?
- ii) How does the plan measure progress in achieving the expected results (including outputs and outcomes) and how will the approach use resources effectively and efficiently?

### **C. Supplementary Information**

EPA has authority to award grants and cooperative agreements for research, investigations, experiments, training, surveys, demonstrations, public education programs, and studies in furtherance of the Solid Waste Management Plans. The statutory authority to take action is contained in Section 8001(a) of the Resources Conservation and Recovery Act of 1976.

Demonstrations must involve new or experimental technologies, methods, or approaches, where 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.

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

**1. Subawardees and/or Contractors:** If you name subawardees/subgrantees and/or contractor(s), including individual consultants, in your application as partners to assist you with the proposed project, pay careful attention to the information in Section III regarding "Coalitions" and to the "Contracts and Subawards" provisions at:

<http://www2.epa.gov/grants/epa-solicitation-clauses> (incorporated by reference in Section IV).

**2. Minority Serving Institutions:** EPA recognizes that it is important to engage all available minds to address the environmental challenges the nation faces. At the same time, EPA seeks to expand the environmental conversation by including members of communities which may have not previously participated in such dialogues to participate in EPA programs. For this reason, EPA strongly encourages all eligible applicants identified in Section III, including minority serving institutions, to apply under this opportunity.

For purposes of this solicitation, the following are considered MSIs:

1. Historically Black Colleges and Universities, as defined by the Higher Education Act (20 U.S.C. § 1061). A list of these schools can be found at White House Initiative on Historically Black Colleges and Universities;
2. Tribal Colleges and Universities, as defined by the Higher Education Act (20 U.S.C. § 1059(c)). A list of these schools can be found at American Indian Tribally Controlled Colleges and Universities;
3. Hispanic-Serving Institutions (HSIs), as defined by the Higher Education Act (20 U.S.C. § 1101a(a)(5)). There is no list of HSIs. HSIs are institutions of higher education that, at the time of application submittal, have an enrollment of undergraduate full-time equivalent students that is at least 25% Hispanic students at the end of the award year immediately preceding the date of application for this grant; and
4. Asian American and Native American Pacific Islander-Serving Institutions; (AANAPISIs), as defined by the Higher Education Act (20 U.S.C. § 1059g(a)(2)). There is no list of AANAPISIs. AANAPISIs are institutions of higher education that, at the time of application submittal, have an enrollment of undergraduate students that is not less than 10 % students who are Asian American or Native American Pacific Islander.

## **II. Award Information**

### **A.) Available Funding**

The total estimated funding expected to be available for awards under this competitive opportunity is approximately \$100,000. EPA anticipates award of up to 3 cooperative

agreements under this announcement ranging in value from approximately \$30,000 to \$60,000. The number of projects EPA will fund as a result of this announcement will be based on the quality of applications received, the availability of funding, and other applicable considerations. The anticipated total number and total amount of awards to be provided are estimates only and are being provided solely for application preparation purposes. Some awards are expected to be made from funds that have not been appropriated as of the date of the announcement. If appropriation is delayed beyond the date for selection of projects or if the appropriation is less than expected, the number, amount, and timing of awards could be affected.

### **B.) Funding Type**

Successful applicants will be issued a cooperative agreement. A cooperative agreement is an assistance agreement that is used when there is substantial federal involvement with the recipient during the performance of an activity or project. EPA awards cooperative agreements for those projects in which it expects to have substantial interaction with the recipient throughout the performance of the project. EPA will negotiate the precise terms and conditions of “substantial involvement” as part of the award process. Federal involvement may include close monitoring of the recipient’s performance; collaboration during the performance of the scope of work; in accordance with 2 CFR 200.317 and 2 CFR 200.318, as appropriate, review of proposed procurements; reviewing qualifications of key personnel; and/or review and comment on the content of printed or electronic publications prepared. EPA does not have the authority to select employees or contractors employed by the recipient. The final decision on the content of reports rests with the recipient.

### **C.) 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.

### **D.) Partial Funding**

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

### **E.) Start Date and Length of Project Period**

The estimated project period for awards resulting from this announcement will begin October 1, 2017, although project start dates can be negotiated. Projects are normally funded for one year. If necessary, project periods can be extended.

### **F.) Duplicate Funding**

Generally, applicants are not prohibited from submitting the same or virtually the same application to EPA under multiple EPA competitions, if appropriate. However, if an applicant does so, and the application (or one virtually the same) that was submitted under this solicitation is selected for award under another EPA competition, that may affect their ability to receive an

award under this competition for that application. Moreover, if an applicant will be funded by EPA or another agency or entity for the same or virtually the same project that it submitted to EPA under this solicitation then that may affect their ability to receive an award under this competition.

### **III. Eligibility Information**

#### **A.) Eligible Applicants**

Consistent with the Applicant Eligibility Section of CFDA No. 66.808, applications will be accepted from State (including the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, and Northern Mariana Islands), local, Tribal, interstate, and intrastate government agencies and instrumentalities, and non-profit organizations that are not 501(c)(4) organizations that lobby, including non-profit educational institutions and non-profit hospitals.

Non-profit organization, as defined by 2 CFR Part 200, means any corporation, trust, association, cooperative or other organization that: (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. Note that 2 CFR Part 200 specifically excludes the following types of organizations from the definition of “non-profit organization” because they are separately defined in the regulation: (i) institutions of higher education; and (ii) state, local and federally-recognized Indian tribal governments. While not considered to be a “non-profit organization(s)” as defined by 2 CFR Part 200, Institutions of Higher Education and state, local and federally-recognized Indian tribal governments are, nevertheless, eligible to submit applications under this RFA. Hospitals operated by state, tribal, or local governments or that meet the definition of nonprofit at 2 CFR 200.70 are also eligible to apply. For-profit colleges, universities, trade schools, and hospitals are ineligible

Individuals and for-profit organizations are not eligible for funding under this opportunity. Additionally, 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 of 1995 are not eligible to apply. Eligible non-profit organizations must have documentation of non-profit status from the U.S. Internal Revenue Service or their state of incorporation.

**Coalitions:** Groups of two or more eligible applicants may choose to form a coalition and submit a single application under this RFA; however, one entity must be responsible for the grant.

Coalitions must identify which eligible organization will be the recipient of the grant and which eligible organization(s) will be subawardees of the recipient. Subawards and subgrants must be consistent with the definitions of those terms in 2 C.F.R. § 200.92. The recipient must administer the grant, will be accountable to EPA for proper expenditure of the funds and reporting, and will be the point of contact for the coalition. As provided in 2 C.F.R. § 200.331(d), subrecipients or subgrantees are accountable to the recipient or grantee for proper use of EPA funding.

Coalitions may not include for-profit organizations that will provide services or products to the successful applicant. For-profit organizations are not eligible for subawards. For-profit organizations are eligible to receive contracts. Any contracts for services or products funded with EPA financial assistance must be awarded under the competitive procurement procedures of 2 C.F.R. § 200.319, as applicable. The regulations also contain limitations on consultant

compensation. (Please see 2 C.F.R. § 1500.9, formerly at 40 C.F.R. § 30.27(b) or 31.36(j), as applicable.) For additional information, please review the following Federal Register: <http://edocket.access.gpo.gov/2004/pdf/04-7867.pdf>.

### **B.) Eligible Activities**

Unless specifically excluded under this RFA, assistance is available to eligible applicants for research, investigations, experiments, training, surveys, demonstrations, public education programs, and studies in furtherance of the Solid Waste Management Plans and Section 8001(a) of the Resources Conservation and Recovery Act of 1976. Proposed projects **must** also either: develop, implement and measure the results of innovative, culturally appropriate community-wide efforts to prevent and reduce the amount of food wasted in a Tribal community, **or** must use a collaborative approach to identify existing and potential markets located in Region 5 for packaging materials (e.g., packaging made from ferrous and non-ferrous metals, plastics, glass, paper) and/or building materials (e.g., wood, metals, concrete). See section I for more details. Project should be completed in Region 5 states including Illinois, Wisconsin, Michigan, Indiana, Ohio, and Minnesota. For more information, visit: [http://www2.epa.gov/sites/production/files/2014-09/documents/epa\\_strategic\\_plan\\_fy14-18.pdf](http://www2.epa.gov/sites/production/files/2014-09/documents/epa_strategic_plan_fy14-18.pdf).

**Partially Ineligible Activities:** If an application is submitted that includes any ineligible tasks or activities, that portion of the application will be ineligible for funding and may, depending on the extent to which it affects the application, render the entire application ineligible for funding.

### **C.) Threshold Eligibility Requirements**

These are requirements that if not met by the applicant by the time of application submission will result in elimination of the application from consideration for funding. Only applications for eligible activities from eligible entities (see above definitions of **applicant eligibility**, **eligible activities**, and **ineligible activities**) that meet these criteria by the time of application submission will be evaluated against the ranking factors in Section V of this RFA. Applicants deemed ineligible for funding consideration as a result of the threshold eligibility review will be notified by e-mail within 15 calendar days of the ineligibility determination.

### **D.) Substantial Compliance**

1. Applications must substantially comply with the application 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 narrative portion of the application and/or parts of the narrative portion of the application, pages in excess of the page limitation will not be reviewed.
2. In addition, initial applications must be submitted through [Grants.gov](http://Grants.gov) as stated in Section IV of this announcement on or before the application submission deadline published in Section IV of this announcement. Applicants are responsible for following the submission instructions in Section IV of this announcement to ensure that their application is timely submitted.
3. Applications submitted after the submission deadline will be considered late and deemed ineligible without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical problems associated with



[Grants.gov](https://www.grants.gov) or relevant [SAM.gov](https://www.sam.gov) system issues. An applicant's failure to timely submit their application through [Grants.gov](https://www.grants.gov) because they did not timely or properly register in [SAM.gov](https://www.sam.gov) or [Grants.gov](https://www.grants.gov) will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their application with Susan Vescovi at 312-353-2478 or by email at [vescovi.susan@epa.gov](mailto:vescovi.susan@epa.gov) as soon as possible before the submission deadline, failure to do so may result in your application not being reviewed.

### **E.) Cost Sharing or Matching**

**Matching funds are not required under this competition.** All matching funds or other contributions provided by the grantee are subject to audits and all federal regulations. Although cost-sharing/matching is not required as a condition of eligibility under this competition, under Section V of this announcement EPA will evaluate applications based on a leveraging criterion.

Leveraging is when an applicant proposes to provide its own additional funds/resources or those from third party sources to support or complement the project they are awarded under the competition which are above and beyond the EPA grant funds awarded. Any leveraged funds/resources, and their source, must be identified in the application (See Section IV of the announcement). Leveraged funds and resources may take various forms as noted below.

**Voluntary cost share** is a form of leveraging. Voluntary cost sharing is when an applicant voluntarily proposes to legally commit to provide costs or contributions to support the project when a cost share is not required. Applicants who propose to use a voluntary cost share **must** include the costs or contributions for the voluntary cost share in the project budget on the SF-424. If an applicant proposes a voluntary cost share, the following apply:

- A voluntary cost share is subject to the match provisions in the grant regulations (2 CFR 200.306).
- A voluntary cost share may only be met with eligible and allowable costs.
- The recipient may not use other sources of federal funds to meet a voluntary cost share unless the statute authorizing the other federal funding provides that the federal funds may be used to meet a cost share requirement on a federal grant.
- The recipient is legally obligated to meet any proposed voluntary cost share that is included in the approved project budget. If the proposed voluntary cost share does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and/or take other appropriate action as authorized by 2 CFR 200.

Other leveraged funding/resources that are not identified as a voluntary cost share. This form of leveraging may be met by funding from another federal grant, from an applicant's own resources, or resources from other third party sources. This form of leveraging should not be included in the budget and the costs need not be eligible and allowable project costs under the EPA assistance agreement. While this form of leveraging should not be included in the budget, the grant workplan should include a statement indicating that the applicant is expected to produce the proposed leveraging consistent with the terms of the announcement and the application. If applicants propose to provide this form of leveraging, EPA expects them to make the effort to

secure the leveraged resources described in their applications. If the proposed leveraging does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and/or take other appropriate action as authorized by 2 CFR Parts 200 or 1500.

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

### **A.) Requirement to Submit Through Grants.gov and Limited Exception Procedures**

Applicants, except as noted below, must apply electronically through [Grants.gov](https://www.grants.gov) under this funding opportunity based on the Grants.gov instructions in this announcement. If an applicant does not have the technical capability to apply electronically through [Grants.gov](https://www.grants.gov) because of limited or no Internet access, which prevents them from being able to upload the required application materials to Grants.gov, the applicant must contact [OGDWaivers@epa.gov](mailto:OGDWaivers@epa.gov), or the address listed below in writing (e.g. by hard copy or email) at least 15 calendar days prior to the submission deadline under this announcement to request approval to submit their application materials through an alternate method.

#### Mailing Address:

OGD Waivers  
c/o Barbara Perkins  
USEPA Headquarters William Jefferson Clinton Building  
1200 Pennsylvania Ave., N.W.  
Mail Code: 3903R  
Washington, DC 20460

#### Courier Address:

OGD Waivers  
c/o Barbara Perkins  
Ronald Reagan Building  
1300 Pennsylvania Ave., N.W.  
Room #51267  
Washington, DC 20004

In the request, the applicant must include the following information:

- a. Funding Opportunity Number (FON)
- b. Organization name and DUNS *Please note, if your organization does not have a DUNS number it may take up to 2 weeks to receive one. A DUNS number is required when responding to this RFA.*
- c. Organization's contact information (email address and phone number)
- d. Explanation of how they lack the technical capability to apply electronically through Grants.gov because of 1) limited internet access or 2) no internet access, which prevents them from being able to upload the required application materials through [Grants.gov](https://www.grants.gov).

EPA will only consider alternate submission exception requests based on the two reasons stated above and will timely respond to the request. All other requests will be denied. If an alternate submission method is approved, the applicant will receive documentation of the approval and further instructions on how to apply under this announcement. Applicants will be required to

submit the documentation of approval with any initial application submitted under the alternative method. In addition, any submittal through an alternative method must comply with all applicable requirements and deadlines in the announcement including the submission deadline and requirements regarding application content and page limits (although the documentation of approval of an alternate submission method will not count against any page limits).

If an exception is granted, it is valid for submissions to EPA for the remainder of the entire calendar year in which the exception was approved and can be used to justify alternative submission methods for application submissions made through December 31 of the calendar year in which the exception was approved (e.g., if the exception was approved on March 1, 2016, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2016). Applicants need only request an exception once in a calendar year and all exceptions will expire on December 31 of that calendar year. Applicants must request a new exception from required electronic submission through [Grants.gov](https://www.grants.gov) for submissions for any succeeding calendar year. For example, if there is a competitive opportunity issued on December 1, 2016 with a submission deadline of January 15, 2017, the applicant would need a new exception to submit through alternative methods beginning January 1, 2017. Please note that the process described in this section is only for requesting alternate submission methods. All other inquiries about this announcement must be directed to the Agency Contact listed in Section VII of the announcement. Queries or requests submitted to the email address identified above for any reason other than to request an alternate submission method will not be acknowledged or answered.

## **B.) Grants.gov Application Submission Instructions**

The electronic submission of your application must be made by an official representative of your institution who is registered with [Grants.gov](https://www.grants.gov) and is authorized to sign applications for Federal assistance. For more information on the registration requirements that must be completed in order to submit an application through grants.gov, go to [Grants.gov](https://www.grants.gov) and click on “Applicants” on the top of the page and then go to the “Get Registered” link on the page. If your organization is not currently registered with [Grants.gov](https://www.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. Please note that the registration process also requires that your organization have a DUNS number and a current registration with the System for Award Management (SAM) and the process of obtaining both could take a month or more. Applicants must ensure that all registration requirements are met in order to apply for this opportunity through grants.gov and should ensure that all such requirements have been met well in advance of the submission deadline. Registration on [Grants.gov](https://www.grants.gov), [SAM.gov](https://www.sam.gov), and DUNS number assignment is FREE.

Applicants need to ensure that the AOR who submits the application through [Grants.gov](https://www.grants.gov) and whose DUNS number is listed on the application is an AOR for the applicant listed on the application. Additionally, the DUNS number listed on the application must be registered to the applicant organization’s SAM account. If not, the application may be deemed ineligible.

To begin the application process under this grant announcement, go to [Grants.gov](http://www.grants.gov) and click on “Applicants” on the top of the page and then “Apply for Grants” from the dropdown menu and then follow the instructions accordingly. Please note: To apply through [Grants.gov](http://www.grants.gov), you must use Adobe Reader software and download the compatible Adobe Reader version. For more information about Adobe Reader, to verify compatibility, or to download the free software, please visit [Adobe Reader Compatibility Information on Grants.gov](http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html):  
<http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

You may also be able to access the application package for this announcement by searching for the opportunity on [Grants.gov](http://www.grants.gov). Go to [Grants.gov](http://www.grants.gov) and then click on “Search Grants” at the top of the page and enter the Funding Opportunity Number, EPA-R5-LCD-2017 or the CFDA number that applies to the announcement (CFDA 66.808), in the appropriate field and click the Search button. Alternatively, you may be able to access the application package by clicking on the Package button at the top right of the synopsis page for the announcement on [Grants.gov](http://www.grants.gov). To find the synopsis page, go to [Grants.gov](http://www.grants.gov) and click “Browse Agencies” in the middle of the page and then go to “Environmental Protection Agency” to find the EPA funding opportunities.

Please note that Grants.gov is strongly encouraging users to sign up for and use their “Workspace” feature when applying for opportunities. Grants.gov will be phasing out the “legacy” application process, so EPA recommends that all applicants begin using Workspace as soon as possible so they are prepared when the “legacy” application process is no longer available. Link is located below:

<http://www.grants.gov/web/grants/applicants/workspace-overview.html>

### **C.) Application Submission Deadline:**

Your organization’s AOR must submit your complete application package electronically to EPA through [Grants.gov](http://www.grants.gov) **no later than 11:59 p.m. Eastern Time, June 1, 2017**. Please allow for enough time to successfully submit your application process and allow for unexpected errors that may require you to resubmit. Please submit all of the application materials described below using the [Grants.gov](http://www.grants.gov) application package that you downloaded using the instructions above. For additional instructions on completing and submitting the electronic application package, click on the “Show Instructions” tab that is accessible within the application package itself.

### **F.) Technical Issues With Submission**

Once the application package has been completed, the “Submit” button should be enabled. If the “Submit” button is not active, please call Grants.gov for assistance at 1-800-518-4726.

Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a Grants.gov representative by calling 606-545-5035. Applicants should save the completed application package with two different file names before providing it to the AOR to avoid having to re-create the package should submission problems be experienced or a revised application needs to be submitted.

The application package must be transferred to Grants.gov by an AOR. The AOR should close all other software before attempting to submit the application package. Click the “submit” button of the application package. Your Internet browser will launch and a sign-in page will appear.

**Note: Minor problems are not uncommon with transfers to Grants.gov. It is essential to allow sufficient time to ensure that your application is submitted to Grants.gov BEFORE the due date identified in Section IV of the solicitation.** The Grants.gov support desk operates 24 hours a day, seven days a week, except Federal Holidays. A successful transfer will end with an on-screen acknowledgement. For documentation purposes, print or screen capture this acknowledgement. If a submission problem occurs, reboot the computer – turning the power off may be necessary – and re-attempt the submission.

Note: [Grants.gov](https://www.grants.gov) issues a “case number” upon a request for assistance.

- a. **Transmission Difficulties.** If transmission difficulties that result in a late transmission, no transmission, or rejection of the transmitted application are experienced, and following the above instructions do not resolve the problem so that the application is submitted to [Grants.gov](https://www.grants.gov) by the deadline date and time, follow the guidance below. The Agency will make a decision concerning acceptance of each late submission on a case-by-case basis. All emails, as described below, are to be sent to Susan Vescovi with the FON in the subject line. If you are unable to email, contact Susan Vescovi at 312-353-2478. Be aware that EPA will only consider accepting applications that were unable to transmit due to [Grants.gov](https://www.grants.gov) or relevant [www.Sam.gov](https://www.sam.gov) system issues or for unforeseen exigent circumstances, such as extreme weather interfering with internet access. Failure of an applicant to submit timely because they did not properly or timely register in [SAM.gov](https://www.sam.gov) or Grants.gov is not an acceptable reason to justify acceptance of a late submittal.
  - a. If you are experiencing problems resulting in an inability to upload the application to Grants.gov, it is essential to call [Grants.gov](https://www.grants.gov) for assistance at 1-800-518-4726 before the application deadline. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a [Grants.gov](https://www.grants.gov) representative by calling 606-545-5035. Be sure to obtain a case number from [Grants.gov](https://www.grants.gov). If the problems stem from unforeseen exigent circumstances unrelated to [Grants.gov](https://www.grants.gov), such as extreme weather interfering with internet access, contact Susan Vescovi at 312-353-2478.
  - b. **Unsuccessful transfer of the application package:** If a successful transfer of the application cannot be accomplished even with assistance from [Grants.gov](https://www.grants.gov) due to electronic submission system issues or unforeseen exigent circumstances, and you have already attempted to resolve the issue by contacting [Grants.gov](https://www.grants.gov), send an email message to [vescovi.susan@epa.gov](mailto:vescovi.susan@epa.gov) prior to the application deadline. The email message must document the problem and include the [Grants.gov](https://www.grants.gov) case number as well as the entire application in PDF format as an attachment.
  - c. **[Grants.gov](https://www.grants.gov) rejection of the application package:** If a notification is received from [Grants.gov](https://www.grants.gov) stating that the application has been rejected for reasons other than late submittal and it is too late to reapply, promptly send an email to Susan Vescovi with the FON in the subject line within one business day of the closing date of this solicitation. The email should include any materials provided by [Grants.gov](https://www.grants.gov) and attach the entire application in PDF format.

Please note that successful submission through [Grants.gov](https://www.grants.gov) or via email does not necessarily mean your application is eligible for award.

## **E.) Content of Application Package Submission**

All application submissions must contain completed and signed grant application forms, as well as a Narrative Work Plan as described below.

**Grant Application Forms:** Please be sure to include the organization fax number and email address in Block 5 of the Standard Form SF 424. The forms are available at [www.epa.gov/grants/epa-grantee-forms](http://www.epa.gov/grants/epa-grantee-forms).

- a. Standard Form 424, *Application for Federal Assistance*
- b. Standard Form 424A, *Budget Information*
- c. Standard Form 424B, *Non-Construction Programs*
- d. Standard Form 6600-06, *Certification Regarding Lobbying*
- e. EPA Form 4700-4, *Pre-Award Compliance Review Report for All Applicants Requesting Federal Financial Assistance*
- f. EPA Form 5700-54, *Key Contacts Form, including Authorized Official Representative and Project Manager contact information of the two individuals.*
- g. Narrative Work Plan (as described below)

**Narrative Work Plan:** The narrative work plan (sections 1-3 below) must not exceed a maximum of 10 single-spaced typewritten pages. Supporting materials such as resumes and letters of support can be submitted as attachments and are not included in the 10-page limit. The work plan must address all the relevant threshold criteria in Section III and the evaluation criteria in Section V.

### **1. Summary Information Page** (recommended to not exceed one page)

- a. Project title
- b. Applicant information: include applicant (organization) name, address, project manager, phone number, fax, and email address
- c. Funding requested. Specify the amount you are requesting from EPA
- d. Total project cost. Specify total cost of the project. Identify funding from other sources including cost share or in-kind resources.
- e. Project period. Provide beginning and ending dates.
- f. DUNS number

### **2. Work Plan**

The work plan must explicitly describe how the proposed project meets the guidelines established in Sections I-III of this announcement (including the threshold eligibility criteria in Section III.C.) and must address each of the evaluation criteria set forth in Section V.

#### Project Overview:

##### **(1) Project Summary and Responsiveness to the Priority**

Provide a summary of your project identifying the priority addressed (see the two priorities referred to in Section I.A) and outlining the objectives and your strategy for achieving those



objectives. This section should cover what you will do, why you will do it, how you will do it, and an estimate of how long it will take to complete each task.

## **(2) Anticipated Outcomes and Outputs and Performance Measures**

- a. Identify and estimate anticipated quantitative outcomes (See Section V, Evaluation Criteria, 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 performance measures for the project as well as short and long term objectives for the project.

## **(3) Capability Documentation**

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.

## **(4) Programmatic Capability and Past Performance**

Submit a list of 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 that your organization performed within the last three years (no more than 5 agreements, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage those agreements and (ii) your history of meeting the reporting requirements under those agreements including whether you adequately and timely reported on your progress towards achieving the expected outputs and outcomes of those agreements (and if not, explain why not) and whether you submitted acceptable final technical reports under the agreements. 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/prior 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 application and you will receive a neutral score for these factors (a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.

In addition, provide information on your organizational experience and plan for timely and successfully achieving the objectives of the proposed project, and your staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.

### **(5) Benefits to the Community**

Explain how the results and outcomes of the project will benefit communities affected by the project.

### **(6) Collaboration, Outreach, and Transferability**

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.

### **(7) 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.

### **(8) 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. See Section VIII for a Budget Narrative sample.

### **(9) Voluntary cost share/match and other leveraged funds (Also See Section III.C)**

Demonstrate how you will leverage additional funds/resources beyond the grant funds awarded to support the proposed project activities and how these funds/resources will be used to contribute to the performance and success of the proposed project. This includes but is not limited to funds and other resources leveraged from businesses, labor organizations, non-profit organizations, education and training providers, and/or Federal, state, tribal, and local governments, as appropriate. Describe the amount and type of leveraged resources to be provided, how you will obtain the leveraged resources, the likelihood the leveraging will materialize during grant performance, the strength of the leveraging commitment, and the role the leveraged resources will play to support the proposed project activities. Selected applicants are expected to abide by their proposed leveraging commitments during grant performance and the failure to do so may affect the legitimacy of the award.

### **3. Additional Provisions for Applicants Incorporated into the Submission**

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to confidential business information, contracts and sub awards under grants, and application assistance and communications, can be found at <https://www.epa.gov/grants/epa-solicitation-clauses>. These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing applications for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.



## **V. Application Review and Selection Process, including Criteria**

Only eligible entities whose application(s) meet the threshold eligibility requirements in Section III of this announcement will be reviewed according to the evaluation criterion set forth below. Applicants should explicitly address these criteria as part of their application package submittal. The applications will be reviewed using the eight (8) evaluation criteria listed below on a **100 point** scale of assigned points.

### **A.) Evaluation Criteria.**

**1. Responsiveness to Priority (25 points).** The application will be evaluated based on the extent to which the proposed project:

- a. uses well-conceived, effective strategies to address one of the priorities described in Section 1.A.; **(10 points)** and
- b. articulates goals that are realistic, reasonable and will be implemented by the project's end **(10 points)**
- c. utilizes or builds on informational resources and/or tools cited in the priorities described in Section 1.A. **(5 points)**

**2. Environmental Results – Outcomes, Outputs and Performance Measures (15 points/ 5 points for each element).** The application will be evaluated based on the extent the application addresses the following:

- a. clear measure(s) of success for the project, including short and long-term objectives **(5 pts)**;
- b. anticipated outcomes for the project (all outcomes including energy, environmental, economic, and climate change-related outcomes should be identified) and anticipated outputs for the project **(5 pts)**; and
- c. an effective plan or methodology for tracking and measuring progress toward achieving the anticipated outcomes (e.g., pounds/tons of waste prevented, pounds/tons material recycled/reused/composted instead of disposed, tons of green house gases reduced (calculated via the Waste Reduction model <https://www.epa.gov/warm>) due to waste prevention and diversion, dollars saved through waste prevention, or revenue generated through material sales, etc.) and outputs (e.g., number stakeholders involved in the process, increase in knowledge and understanding of sources of waste and/or barriers to waste prevention, number of workshops, web site hits, number of training sessions, etc.) See Section I for more information on outcomes and outputs. In addition, the Agency will evaluate the performance measures proposed by the applicant and how they will be used to help track and measure the Applicant's progress towards achieving the expected outputs and outcomes **(5 pts)**.

**4. Programmatic Capability and Past Performance (20 points/5 points for each element.**

The applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account their:

- a. past performance in successfully completing and managing the assistance agreements identified in the narrative portion of the application as described in Section IV.C of the announcement **(5 pts)**,

- b. history of meeting the reporting requirements under the assistance agreements identified in the narrative portion of the application as described in Section IV.C of the announcement including whether the applicant submitted acceptable final technical reports under those agreements and the extent to which the applicant adequately and timely reported on their such progress was not being made whether the applicant adequately reported why not **(5 pts)**,
- c. organizational experience and plan for timely and successfully achieving the objectives of the proposed project **(5 pts)**,
- d. staff expertise and qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project **(5 pts)**.

Note: In evaluating applicants under items 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). If you do not have any relevant or available past performance or reporting information, please indicate this in the application and you will receive a neutral score for these sub-factors (items a and b above-a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.

**4. Benefits to the Community (5 points)**. Under this criterion, applications will be evaluated based on the extent to which the project will:

- a. result in outcomes and results that benefit communities affected by the project, including improvements to human health and the environment, the local economy, social conditions, and/or the welfare of residents in such communities.

**5. Communication, Collaboration, and Transferability (15 points/5 points each element)**. The applicant will be evaluated based on the extent their project:

- a. involves collaboration and partnerships with other organizations and stakeholders **(5 pts)**;
- b. provides an effective communication plan for sharing the results of the project **(5 pts)**; and
- c. describes how the deliverables or outcomes of the project will be transferable and useful to other stakeholders in Region 5 **(5pts)**.

**6. Budget and Timeline (10 points/5 points each element)**. The applicant will be evaluated based on the extent the application:

- a. provides a reasonable and detailed budget to support the scope of work, including the measurement aspects of the effort **(5 pts)**; and
- b. provides a reasonable and detailed timeline to support the scope of work **(5 pts)**.

**7. Timely Expenditure of Grant Funds (5 points)**

- a. Under this criterion, applicants will be evaluated based on their approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner **(5pts)**.

**8. Leveraging (5 points)**

- a. leverage additional resources from other sources to help achieve the project outcomes and create benefits for the community within the project area **(5pts)**.

Under this criterion, applicants will be evaluated based on the extent they demonstrate that they will leverage additional funds/ resources, beyond the grant funds awarded, to support the proposed project activities and how these funds/resources will be used to contribute to the performance and success of the proposed project. This includes but is not limited to funds and other resources leveraged from businesses, labor organizations, non-profit organizations, education and training providers, and/or Federal, state, tribal, and local governments, as appropriate. Applicants will also be evaluated based on the amount and type of leveraged resources to be provided, how they will obtain the leveraged resources, the likelihood the leveraging will materialize during grant performance, the strength of the leveraging commitment, and the role the leveraged funds/resources will play to support the proposed project activities.

### **B.) Review and Selection Process.**

All applications received by EPA by the submission deadline will first be screened by EPA staff using the threshold eligibility requirements criteria in Section III of the announcement. Applications that do not pass the threshold eligibility review will not be evaluated further or considered for funding.

A panel of EPA staff will review eligible applications using the evaluation criteria listed in Section V and assign numerical scores to each application.

The panel will develop a list of the highest scored applications to submit to the Selection Official in Region 5 for final funding decisions. Final funding decisions will then be made by the Selection Official based on the evaluation conducted by the review panel and may also take into account factors such as:

1. Geographic distribution of projects;
2. Programmatic priorities; and
3. Availability of funds

### **Evaluation methods**

Application evaluation is an assessment of the applicant's ability to perform the proposed project successfully based on the criteria in the announcement. The evaluation methodology used for award selection purposes must ensure that all applications are fairly and objectively evaluated against the stated criteria. This will involve the use of a scoring method or combination of methods that assigns numerical weights or points, adjectival ratings (e.g., outstanding, good, acceptable), a low-medium-high rating system, or something similar, to the ranking factors, which may then be used to arrive at a total score, average score, or consensus score per applicant.

### **C.) Communications**

EPA R5 will host an informational call to discuss this RFA and respond to questions. Since all questions may not be asked and answered during the scheduled time for the call, questions should be submitted in advance to Susan Vescovi ([vescovi.susan@epa.gov](mailto:vescovi.susan@epa.gov)). Questions and answers will be recorded and distributed to interested applicants via email. Additional questions will be answered following this phone call. The questions and answers will be posted weekly each Friday during the competition at the R5 SMM grant competition website. If you would like

to submit a question, please contact Susan Vescovi via phone at 312-353-2478 or email [vescovi.susan@epa.gov](mailto:vescovi.susan@epa.gov).

**Phone Call Schedule:**

**Date:** April 4, 2017 at 2:00 pm Central Time/ 3:00pm Eastern Time

**Topic:** Land and Chemicals Division, Sustainable Materials Management Request for Applications

**Phone Number:** 866-299-3188, conference code 9389329

**D.) Additional Provisions.**

Additional provisions that apply to this solicitation and/or awards made under this solicitation including the clause on Reporting and Use of Information Concerning Recipient Integrity and Performance can be found at <https://www.epa.gov/grants/epa-solicitation-clauses>. These, and other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

**VI. Award Administration Information**

**A.) Award Notices**

Following EPA's evaluation of applications, all applicants will be notified regarding their status

**Applicant Notifications**

EPA anticipates notification to *successful* applicants will be made via telephone or electronic or postal mail by July 14, 2017. The notification will be sent to the original signer of the application or the project contact listed in the application. This notification, which informs the applicant that its project has been selected and is being recommended for award, is not an authorization to begin work. The official notification of an award will be made by the regional Grants Management Office.

Applicants are cautioned that only a grants officer is authorized to bind the Government to the expenditure of funds; selection does not guarantee an award will be made. For example, statutory authorization, funding or other issues discovered during the award process may affect the ability of EPA to make an award to an applicant. The award notice, signed by an EPA grants officer, is the authorizing document and will be provided through electronic or postal mail. The successful applicant may need to prepare and submit additional documents and forms (e.g., work plan), which must be approved by EPA, before the grant can officially be awarded. The time between notification of selection and award of a grant can take up to 90 days or longer

EPA anticipates notification to *unsuccessful* applicant(s) will be made via telephone or electronic mail by approximately July 21, 2017. The notification will be sent to the original signer of the Standard Form (SF) 424, Application for Federal Assistance.

## **B.) Administrative and National Policy requirements.**

A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at <https://www.epa.gov/grants/policy-regulations-and-guidance-epa-grants>.

## **Reporting Requirements**

Electronically submitted quarterly progress reports and a detailed final technical report will be required. Quarterly reports summarizing technical progress, planned activities for the next quarter and a 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 should 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.

## **C.) Disputes.**

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 <https://www.epa.gov/grants/grant-competition-dispute-resolution-procedures>. Copies of these procedures may also be requested by contacting Susan Vescovi at [Vescovi.Susan@epa.gov](mailto:Vescovi.Susan@epa.gov).

## **D.) Quality Assurance/Quality Control (QA/QC)**

Quality Assurance /Quality Control requirements are applicable to these grants (see 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. Applicants should allow sufficient time and resources for this process. EPA can assist applicants in determining whether QA/QC is required for the proposed project. If QA/QC is required for the project, the applicant is encouraged to work with the EPA QA/QC staff to determine the appropriate QA/QC practices for the project. Contact the Regional Office Grant Coordinator (See Section VII for Agency Contact information) for referral to an EPA QA/QC staff).

## **E.) Additional Provisions For Applicants Incorporated Into The Solicitation**

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to DUNS, SAM, copyrights, disputes, and administrative capability, can be found at <https://www.epa.gov/grants/epa-solicitation-clauses>. These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing applications for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

## **VII. Agency Contacts**

Questions regarding this notice can be directed to:

Susan Vescovi

US EPA Region 5 (Mail Code: LM-8J)

77 West Jackson Boulevard

Chicago, IL 60604

Phone: 312-353-2478

Email: [Vescovi.Susan@epa.gov](mailto:Vescovi.Susan@epa.gov)

## VIII. Appendix I Budget Sample

### Budget Narrative

This section of the work plan is a detailed description of the budget found in the SF-424A, and **must** include a detailed discussion of how EPA funds will be used. Applicants **must itemize** costs related to personnel, fringe benefits, travel, equipment, supplies, contractual costs, other direct costs, indirect costs, and total costs.

If the project budget includes any voluntary cost share, the Budget Detail portion of the narrative proposal **must** include a detailed description of how the applicant will obtain the cost-share and how the cost-share funding will be used. If EPA accepts an offer for a voluntary cost-share, applicants **must** meet their sharing commitment as a legal condition of receiving EPA funding. If the proposed cost-share is to be provided by a third-party, a letter of commitment is required. Any form of cost-share included in the Budget Detail **must** also be included on the SF 424 and SF 424A. Please see Sections III and Section IV.C.2.B.iii of this RFA for more detailed information on cost-share.

Applicants should use the following instructions, budget object class descriptions, and example table to complete the Budget Detail section of the work plan. Use only whole dollar amounts.

**D.) Personnel - List all staff positions by title. Give annual salary, percentage of time assigned to the project, and total cost for the budget period.** This category includes only direct costs for the salaries of those individuals who will perform work directly for the project (generally, paid employees of the applicant organization). If the applicant organization is including staff time (in-kind services) as a cost share, this should be included as Personnel costs. Personnel costs do not include: (1) costs for services of consultants, contractors, consortia members, or other partner organizations, which are included in the “Contractual” category; (2) costs for employees of subrecipients under subawards, which are included in the “Other” category; or (3) effort that is not directly in support of the proposed project, which may be covered by the organization’s negotiated indirect cost rate. The budget detail **must** identify the personnel category type by Full Time Equivalent (FTE), including percentage of FTE for part-time employees, number of personnel proposed for each category, and the estimated funding amounts.

**E.) Fringe Benefits - Identify the percentage used, the basis for its computation, and the types of benefits included.** Fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to the cost of leave, employee insurance, pensions and unemployment benefit plans.

- F.) Travel - Specify the mileage, per diem, estimated number of trips in-State and out-of-State and international (include specific international locations), number of travelers, and other costs for each type of travel.** Travel may be integral to the purpose of the proposed project (*e.g.*, inspections) or related to proposed project activities (*e.g.*, attendance at meetings). Travel costs do not include: (1) costs for travel of consultants, contractors, consortia members, or other partner organizations, which are included in the “Contractual” category; (2) travel costs for employees of subrecipients under subawards, which are included in the “Other” category.
- G.) Equipment - Identify each item to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful life of more than one year.** Equipment also includes accessories necessary to make the equipment operational. Equipment does not include: (1) equipment planned to be leased/rented, including lease/purchase agreement; or (2) equipment service or maintenance contracts. These types of proposed costs should be included in the “Other” category. Items with a unit cost of less than \$5,000 should be categorized as supplies, pursuant to 2 C.F.R. 200 and or 2 C.F.R. 1500. The budget detail **must** include an itemized listing of all equipment proposed under the project.
- H.) Supplies - “Supplies” means all tangible personal property other than “equipment”.** The budget detail should identify categories of supplies to be procured (*e.g.*, laboratory supplies or office supplies). Non-tangible goods and services associated with supplies, such as printing service, photocopy services, and rental costs should be included in the “Other” category.
- I.) Contractual - Identify each proposed contract and specify its purpose and estimated cost.** Contractual/consultant services are those services to be carried out by an individual or organization, other than the applicant, in the form of a procurement relationship. Leased or rented goods (equipment or supplies) should be included in the “Other” category. The applicant should list the proposed contract activities along with a brief description of the scope of work or services to be provided, proposed duration, and proposed procurement method (competitive or noncompetitive), if known.
- J.) Other - List each item in sufficient detail for EPA to determine the reasonableness and allowability of its cost.** This category should include only those types of direct costs that do not fit in any of the other budget categories. Examples of costs that may be in this category are: insurance, rental/lease of equipment or supplies, equipment service or maintenance contracts, printing or photocopying, rebates, and subaward costs. Subawards (*e.g.*, subgrants) are a distinct type of cost in this category. The term “subaward” means an award of financial assistance (money or property) by any legal agreement made by the recipient to an eligible subrecipient. This term does not include procurement purchases, technical assistance in the form of services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Subcontracts are not subawards and belong in the contractual category. Applicants **must** provide the aggregate amount they propose to issue as subaward work and a description of the types of activities to be supported.



**K.) Indirect Charges - If indirect charges are budgeted, indicate the approved rate and base.**

Indirect costs are those incurred by the grantee for a common or joint purpose that benefit more than one cost objective or project, and are not readily assignable to specific cost objectives or projects as a direct cost. In order for indirect costs to be allowable, the applicant **must** have a federal or state negotiated indirect cost rate (*e.g.*, fixed, predetermined, final or provisional), or **must** have submitted a proposal to the cognizant federal or state agency. Examples of Indirect Cost Rate calculations are shown below:

- Personnel (Indirect Rate x Personnel = Indirect Costs)
- Personnel and Fringe (Indirect Rate x Personnel & Fringe = Indirect Costs)
- Total Direct Costs (Indirect Rate x Total direct costs = Indirect Costs)
- Direct Costs minus distorting or other factors such as contracts and equipment
- (Indirect Rate x (total direct cost – distorting factors) = Indirect Costs)

**Example Budget Table**

|   | EPA Funding    | Cost-Share  |
|---|----------------|-------------|
| <b>Personnel</b>  |                |             |
| (1) Project Manager @ \$40/hr x 10 hrs/week x 52 wks                                      |                | \$20,800    |
| (5) Project Staff @ \$30/hr x 40 hrs/week x 40 wks  | \$244,000      |             |
| TOTAL PERSONNEL   | \$244,000      | \$20,800    |
| <b>Fringe Benefits</b>  |                |             |
| 20% of Salary and Wages   | 20%(\$244,000) | 20%(20,800) |
| - Retirement, Health Benefits, FICA, SUI  | \$48,800       | \$4,160     |
| <b>TOTAL FRINGE BENEFITS</b>  | \$48,800       | \$4,160     |
| <b>Travel</b>   |                |             |
| In State travel for Project Manager and staff: 500 mi/mo @ \$0.55/mi x 12 mos.            | \$3,300        |             |
| Out of State (IL, WI, IA) Travel for Project Staff: 20 trips per month x \$2,500 per trip | \$600,000      |             |
| SOLEC Meeting (Toronto, Canada) Travel for Project Manager: 2 trips/year x \$3,500 each   | \$7,000        |             |
| TOTAL TRAVEL  | \$610,300      |             |
| <b>Equipment</b>  |                |             |
| Sample Bottles (8600 x \$2.98 each)   | \$25,700       |             |
| Fish Sampling Nets (300 x \$50each)   | \$15,000       |             |
| 1 Project Vehicle   | \$25,000       |             |
| 1 Project Boat  | \$15,000       |             |
| TOTAL EQUIPMENT   | 81,100         |             |
| <b>Supplies</b>   |                |             |

|   |              |          |
|---|--------------|----------|
| Office and related supplies to support training   | \$400        |          |
| Office computer and printer   | \$2,500      |          |
| TOTAL SUPPLIES  | \$2,900      |          |
| <b>Contractual</b>  |              |          |
| ABC Support Services Contract   | \$100,000    |          |
| XYZ Land & Water Conservation   | \$66,400     |          |
| TOTAL CONTRACTUAL   | \$166,400    |          |
| <b>Other</b>  |              |          |
| Travel for 3 representatives to attend workshop training – 100 trips x \$1,000 each                     | \$100,000    |          |
| Travel for 4 representatives to attend workshop training – 200 trips x \$2,000 each                     | \$500,000    |          |
| TOTAL OTHER   | \$500,000    |          |
| <b>Indirect Charges</b>   |              |          |
| Federal Negotiated Indirect Cost Rate = 10% (Indirect Rate x Personnel = Indirect Costs; as negotiated) | \$26,480     |          |
| TOTAL INDIRECT  | \$26,480     |          |
| TOTAL FUNDING   | \$1,679,580  | \$24,960 |
| TOTAL PROJECT COST  | \$1, 704,540 |          |

\*\* Any voluntary cost-share funds, while not required under this RFA, **must** also be included on the SF-424A as detailed in Section IV.C.2.B.iii of this RFA. Federal funds are not allowed to be used for cost share; please identify the source of the cost share in your budget narrative.

**Expeditious Spending and Sufficient Progress in the use of LCD Funds:** Include an explanation of how, if the applicant is awarded a grant, they will ensure that the funding will be used expeditiously.