

## OVERVIEW

**Federal Agency:** U.S. Environmental Protection Agency Region 6

**Funding Opportunity Title:** Region 6 Municipal Sustainable Materials Management and Pollution Prevention Forum

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

**Funding Opportunity Number:** EPA-R6-SMMP2-2011

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

**Dates:** All dates, except the RFP closing date, are tentative and are subject to change.

Closing Date for RFP: October 21, 2011 5:00 p.m. CDT

EPA Notifies Selected Finalists: November 18, 2011

EPA Notifies all Applicants: December 2, 2011

Expected Grant Awards by: December 31, 2012

**Summary:** EPA Region 6 is soliciting proposals for financial assistance to support a training forum that will advance the sustainable management of materials and pollution prevention by local governments in *Region 6* [Region 6 comprises Texas, New Mexico, Oklahoma, Arkansas, and Louisiana]. Local governments include cities, incorporated towns and similar entities, counties, parishes and other units of government recognized under state law. Applicants are encouraged to focus Forum activities in regional geographic areas that maximize their existing relationships with local communities. Sustainable materials management and Pollution Prevention (SMM-P2) combine two practices that form an approach to serving human needs by using/reusing resources most productively and sustainably throughout their life cycles, generally minimizing the amount of materials involved and all the associated environmental impacts. This process can help municipalities address the emerging priorities of materials management, energy, climate, air quality, and water quality. Specific Region 6 priorities are listed in the full text under Section I., Funding Opportunity Description. This funding supports EPA's strategic goal of land preservation and restoration. Applicants are encouraged to partner and collaborate with other organizations involved in similar efforts.

**Funding Availability/Awards:** The total estimated funding for this competitive funding opportunity is approximately \$100,000. EPA Region 6 anticipates funding one grant and/or cooperative agreement from this announcement subject to the availability of funds and the quality of proposals received.

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## **I. Funding Opportunity Description**

### **A. Region 6 Municipal Sustainable Materials Management and Pollution**

#### **Prevention Forum Priorities**

EPA Region 6 is soliciting proposals that address one or more of the priorities listed below. Applicants are encouraged to partner and collaborate on projects with other organizations involved in similar efforts. However, before naming a contractor or consultant as a project partner applicants should carefully review section IV. G of this RFA.

1. Convene a Municipal Sustainable Materials Management and Pollution Prevention Forum, consisting of local government representatives from at least five surrounding communities. The Forum will provide ongoing training and information sharing opportunities for local governments on SMM P2. Applicants must define the geographic area within Region 6 they intend to serve and develop an outreach plan that specifies which local governments they will invite to participate in the Forum. Additionally, applicants must provide a program design which outlines the frequency of Forum meetings and a method for determining convenient and cost effective sites for the meetings.
2. The program design must also include a proposed process for ensuring active participation of local governments in, identifying specific, Sustainable Materials Management and Pollution Prevention (SMM-P2) problems to be solved. Examples of these problems may include, but are not limited to, the following:
  - a. How to increase local governments use of sustainable materials management strategies, such as reducing and recycling packaging; recycling electronics equipment and ensuring safe recycling of electronics; reuse of building materials in construction; and reducing, donating, and recovering food waste;

- b. How to best measure and report recycling and waste disposal data to ensure a consistent measurement methodology across jurisdictions;
- c. Cost-effectively capturing methane from landfills, wastewater treatment plants, and utilities;
- d. How to establish effective waste minimization ordinances, including providing for reuse/recycling of building materials in construction and incorporation of fly ash in construction;
- e. How to best manage scrap tires;
- f. How plastic bag use can practically be minimized;
- g. How to develop a pragmatic green purchasing system for a local government.

Applicants may also propose other SMM P2 subjects that they believe are responsive to the needs of local governments in the area the applicant intends to serve.

3. Applicants should also include in their program design a process for providing technical assistance to participating local governments on obtaining financial assistance and technical to solve SMM P2 problems in their communities. Please note that fundraising is not an allowable cost under OMB Cost Principles.
4. Applicants should include in their program design a proposed process for tracking and reporting (quarterly) the specific, priority SMM-P2 problems raised by local governments, specific actions taken to address these within the SMM-P2 Forum, and the specific actions taken by the participating local governments as a result of the Forum actions.

5. Applicants should provide a plan for sustaining the Form after the EPA grant is complete. Again, Please note that fundraising is not an allowable cost under OMB Cost Principles.
  
6. Applicants should include in their program design a plan for coordinating the Forum's activities with training opportunities available through conferences sponsored by other organizations in Region 6.

If Applicants intend to provide travel assistance to enable representatives of local government participate in forum activities, they should specify their criteria for offering travel assistance and reimbursement method. EPA will not select local government representatives who will receive travel assistance.

### **B. EPA Strategic Plan Linkage**

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

<http://nepis.epa.gov/Adobe/PDF/P1001IPK.PDF>.

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

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

In Compliance with EPA Policy Order: 5700.7 Environmental Results under EPA Assistance Agreements, applicants are required to address in their proposals: 1) environmental outcomes and/or environmental outputs, and 2) how they will be tracked and measured.

When evaluating proposals, EPA will determine if each work plan contains well-defined outcomes and outputs as described below. After the project is implemented, grant recipients are required to submit to EPA status reports about their progress in achieving outcomes and outputs.

1. The term “**outcome**” refers to the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature, but must be quantitative.

Examples of outcome measures for the Region 6 Municipal Sustainable Materials Management and Pollution Prevention Forum 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.

2. 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, number of unique problems identified and addressed, or number of training sessions held or individuals trained.

#### **D. Statutory Authority**

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

#### **E. Note on Allowable Costs**

EPA Region 6 will not fund projects to support capital equipment or pay for construction or construction planning.

## **II. Award Information**

### **A. Funding Available**

The total estimated funding expected to be available for awards under this competitive

opportunity is approximately up to \$100,000. EPA Region 6 anticipates funding one grant or cooperative agreement from this announcement subject to the availability of funds and the quality of proposals received. EPA reserves the right to reject any or all proposals and issue no awards.

### **B. Partial Funding**

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

### **C. Additional Funding**

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 no later than 6 months after the original selection decisions.

### **D. Start Date and Length of Project Period**

The estimated project period for awards resulting from this solicitation will begin in January 1, 2012. Proposed project periods may be up to eighteen (18) months.

### **E. Type of Agreement**

Successful applicants will be issued a grant or cooperative agreement as appropriate. 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 40 CFR 30.44(e) or 31.36(g), 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.

### **III. Eligibility Information**

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

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

Non-profit organization, as defined by OMB Circular A-122, located at 2 CFR Part 230, means any corporation, trust, association, cooperative, or other organization which: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations. For this purpose, the term "non-profit organization" excludes (i) colleges and universities; (ii) hospitals; (iii) state, local, and federally-recognized Indian tribal governments; and (iv) those non-profit organizations which are excluded from coverage of this part in accordance with § 230.20(c)

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

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

#### **B. Cost Sharing or Matching**

Matching funds are not required under this solicitation.

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

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

be notified within 15 calendar days of the ineligibility determination.

1. Proposals must substantially comply with the proposal submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. However, where a page limit is expressed in Section IV with respect to the proposal and/or parts of the proposal, pages in excess of the page limitation will not be reviewed.

2. Proposals must be received by EPA or through [www.grants.gov](http://www.grants.gov), as specified in Section IV of this announcement, by 5:00 PM CDT on October 21, 2011. Applicants are responsible for ensuring that their proposal reaches Robert Snowbarger by the submission deadline (see Section IV of this announcement for more information).

3. Proposals received after the submission deadline will be considered late and returned to the sender without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical problems solely attributable to the [www.grants.gov](http://www.grants.gov) Web site and not to the applicant. For hard copy submissions, receipt by an agency mailroom is not sufficient. Applicants should confirm receipt of their proposal with Robert Snowbarger as soon as possible after the submission deadline—failure to do so may result in your proposal not being reviewed.

4. Proposals must support EPA's Strategic Plan Goal 3 (Land Preservation and Restoration), Objective 3.1 (Preserve Land), Sub-objective 3.1.1 (Reduce Waste Generation and Increase Recycling). For more information visit:  
<http://nepis.epa.gov/Adobe/PDF/P1001IPK.PDF>

5. The work described in proposals must be done in Region 6 states (Texas, Louisiana, New Mexico, Oklahoma, and Arkansas) or be relevant to Region 6 stakeholders.

## **IV. Proposal and Submission Information**

### **A. How to obtain a proposal package**

EPA encourages applicants to obtain proposal materials and apply electronically through

<http://www.grants.gov>.

Applicants may also download individual grant proposal forms from EPA's Office of Grants and Debarment website at <http://www.epa.gov/ogd/AppKit/application.htm>. To obtain a hard copy of materials, please send an email or written request to the Agency contact listed in Section VII of this announcement.

## **B. Content and Form of Proposal**

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

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

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

Complete the form, (available at <http://www.epa.gov/ogd/forms/forms.htm>). There are no attachments. Please be sure to include organization fax number and email address in Block 5.

All applicants are required to meet the following Central Contractor Registration (CCR) and Data Universal Numbering System (DUNS) requirements, unless exempt from these requirements (e.g., individuals) under OMB guidance at 2 CFR Part 25

(<http://ecfr.gpoaccess.gov/cgi/t/text/text->

[idx?c=ecfr&sid=65430b8cd60ba715d7bbf033c2c00425&rgn=div5&view=text&node=2:1.1.1.](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=65430b8cd60ba715d7bbf033c2c00425&rgn=div5&view=text&node=2:1.1.1.4.1&idno=2)

[4.1&idno=2](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=65430b8cd60ba715d7bbf033c2c00425&rgn=div5&view=text&node=2:1.1.1.4.1&idno=2)):

a. 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/>

b. 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

c. 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.

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

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

## **3. Narrative proposal**

The proposal narrative document should be prepared according to instructions below and not exceed 8 pages. Reviewers read many applications when scoring, so providing information in the order and format provided prevents information from being overlooked. The proposal and budget will be scored according to the ranking criteria identified in Section V(A).

A. Contact Information including the following:

Project Name

Project Location

Applicant's name and address

Project Contact name, email address and phone number

B. Project Overview:

(1) Identification of the Region 6 priority(ies) addressed by the project

(2) Briefly describe your organization.

(3) Project Summary. Provide a summary of your proposal mentioning the objectives and your strategy for achieving those objectives. This section should cover what you will do, why you will do it, how you will do it, and who will manage and conduct the project. If the project for which you are seeking EPA funding is part of a larger project, your proposal must clearly indicate which parts of the work plan, budget, timeline, etc. relate to the piece for which you seek EPA funding.

(4) Anticipated Outcomes, Outputs, and Measures of Success. Tracking outcomes and outputs should be integrated into your work plan. These outcomes and outputs must relate to the Region 6 priorities in Section I(A) and be achievable prior to the closeout of the grant. See Section I(C) for examples of possible appropriate outcomes and outputs.

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

(5) Collaboration and Outreach. Identify key partners involved with the project and explain the collaborative nature of the project. You may include letters of commitment from partners explaining their role in and/or funding of the proposed project; these letters must accompany the proposal and may not be submitted separately (these letters will not be included in the 8-page limit). Please carefully review Section IV. G. before naming a contractor or consultant as a project partner. Explain how the results of the project will be effectively communicated to interested stakeholders within Region 6. Explain how the proposed project will be useful to others in the Region 6 area.

(6) Schedule with Milestones. Identify project milestones and a clear, detailed 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.

(7) Detailed Budget Narrative. Provide a clear description of the budget for the project. Applicants must itemize costs related to personnel, fringe benefits, contractual costs, travel, equipment, supplies, other direct costs, indirect costs, and total costs.

#### C. Programmatic Capability and Past Performance Documentation:

Submit a list of federally (and/or non-federally if applicable) funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts), including the grant #, that are 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:

- a. whether, and how, you were able to successfully complete and manage those agreements and
- b. 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 past reporting information, please indicate this in the proposal 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.

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

Eligible applicants may choose to submit proposals electronically via [www.grants.gov](http://www.grants.gov) or in hard copy by mail or delivery service. In either case, proposals must be received by 5:00 PM CDT October 21, 2011. Proposals will not be accepted via fax. If you wish to apply electronically via [www.grants.gov](http://www.grants.gov), please follow the appropriate instructions under (1) below. If you wish to apply with a hard copy submission, please follow the instructions under (2) below.

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

### **General Application Instructions**

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 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 for free on the Grants.gov website](#). For more information on Adobe Reader please visit the [Help section](#) on grants.gov at <http://www.grants.gov/help/help.jsp> or [http://www.grants.gov/aboutgrants/program\\_status.jsp](http://www.grants.gov/aboutgrants/program_status.jsp)).**

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number, EPA-R6-SMMP2-2011, or the CFDA number that applies to the announcement (CFDA 66.808), in the appropriate field. You may also be able to access the proposal 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 package electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than October 21, 2011 5:00 pm CDT.

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. Narrative Proposal-prepared as described in Section IV...of the 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 organization fax number and email 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. Narrative Proposal**

Prepared in accordance with the instructions in Section IV... of the announcement. The document should be readable in PDF or MS Word and consolidated into a single file.

## **Application 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, you will need to attach electronic files. Prepare your narrative proposal as described in Section..... of the announcement and save the document to your computer as an MS Word, PDF or WordPerfect file. When you are ready to attach your proposal 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 (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, you may click “Add Optional Project Narrative File” 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 – FY10 – Assoc Prog Supp – 1<sup>st</sup> Submission” or “Applicant Name – FY 10 Assoc Prog Supp – Back-up Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2<sup>nd</sup> submission should be changed to “Applicant Name – FY10 Assoc Prog Supp – 2<sup>nd</sup> 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., FY10), and the grant category (e.g., Assoc Prog Supp). 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 email at <http://www.grants.gov/help/help.jsp> or contact Robert Snowbarger at [snowbarger.robert@epa.gov](mailto:snowbarger.robert@epa.gov) or 214.665.7131.

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 **Robert Snowbarger at [snowbarger.robert@epa.gov](mailto:snowbarger.robert@epa.gov) or 214.665.7131**. Failure to do so may result in your proposal not being reviewed.

**Submission deadline for Grants.gov submittal:** Your organization's Authorized Representative must submit your complete proposal electronically to EPA through Grants.gov no later than 5:00 PM CST on October 21, 2011. Application packages submitted through grants.gov will be time/date stamped electronically.

## **2. Submit Hard Copy Proposals**

The address for receipt of hard copy proposals is:

Robert Snowbarger

U.S. EPA Region 6, mail code: 6PD-U  
1445 Ross Ave.  
Dallas, TX 75202

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

**Submission deadline for hard copy submittal:** Proposals sent via U.S. Postal Service or commercial delivery service or submitted electronically via grants.gov must be received by Robert Snowbarger by 5:00 PM CDT on October 21, 2011. Proposals received after this date and time will be rejected.

#### **D. Confidential Business Information**

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

**E. Pre-proposal/Application Assistance and Communications** In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their 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.

**F. Management fees** When formulating budgets for proposals, applicants 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.

## **G. 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:

a. 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.

b. 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.

## **V. Proposal Review Information**

### **A. Evaluation Criteria**

Only eligible entities whose proposals meet the threshold eligibility criteria in Section III of this announcement will be reviewed using the six (6) evaluation criteria listed below. Each proposal will be scored under a points system, with a total of 100 point possible.

1. **Project Description (25 points)**. The proposal will be evaluated based on the extent to which the applicant addresses one or more of the FY11 priorities identified in Section I(A) using well conceived and effective strategies to accomplish the stated goals.

2. **Expected Environmental Outcomes and Outputs (20 points)**. The proposal will be evaluated on the applicant's plan for evaluating the project, including proposing clear and meaningful success measures, outcomes, and outputs that are realistic and can be achieved, tracked, and reported on by the project's end (see Section I(C) for more information on outcomes and outputs).

3. **Programmatic Capability and Environmental Results Past Performance (16 points total/ 4 points for each element)** Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account the applicant's:

a. past performance in successfully managing and completing the assistance agreements described in Section IV(B)(3)(C) of the announcement,

b. history of meeting the reporting requirements under the assistance agreements described in Section IV(B)(3)(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 punctually reported on their progress towards achieving the expected outputs and outcomes under those agreements and if such progress was not being made whether the applicant adequately reported why not,

c. organizational experience and plan for punctually and successfully achieving the

objectives of the proposed project, and

d. staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.

Note: In evaluating applicants under 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 past reporting information, please indicate this in the proposal and you will receive a neutral score for these subfactors (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. Communication, Collaboration, and Transferability **(23 points)**. The applicant will be evaluated based on the extent their proposal:

a. creates or strengthens partnerships and collaboration **(3 points)**;

b. is accompanied by letters of firm commitment from partner organizations explaining their role in the proposed project **(3 points)**;

c. provides an effective communication plan for sharing the results of the project **(6 points)**;  
and

d. describes how the deliverables or outcomes of the project will be transferable and useful to other stakeholders in Region 6 **(11 points)**.

5. Budget and Timeline **(16 points)**. The applicant will be evaluated based on the extent the proposal:

a. provides a reasonable and detailed timeline to support the scope of work **(3 points)**;

b. provides a reasonable and detailed budget to support the scope of work, including the measurement aspects of the effort **(3 points)**; and

c. will be an effective and efficient use of limited EPA funding. Proposals that focus on equipment purchase, in the absence of a larger project, will generally score poorly under the criterion. **(10 points)**.

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

Proposals will be reviewed and ranked by EPA Region 6 reviewers based on the evaluation criteria listed above. The review panel will recommend the highest ranked proposals as finalists to the Regional Approval Official who will consider the review panel rankings . The selected finalist will be asked to submit a full application to EPA Region 6.

## **VI. Award Administration Information**

**A. Award Notice and Final Applications** Following EPA's evaluation of the proposals, all applicants will be notified regarding their status. It is anticipated that the selected finalist will be notified by EPA Region 6 by November 18, 2011. All applicants will be notified by December 2, 2011. Full applications will be requested from the selected finalist; the entity will be provided with instructions and a due date for submittal of the final application package. The final assistance agreement is expected to be awarded by December 31, 2011.

**B. Dispute Resolution** Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://www.epa.gov/ogd/competition/resolution.htm>. Copies of these procedures may also be requested by contacting Robert Snowbarger at 214.665.7131 or [snowbarger.robert@epa.gov](mailto:snowbarger.robert@epa.gov).

**C. Administrative and National Policy requirements** A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at: [http://www.epa.gov/ogd/AppKit/applicable\\_epa\\_regulations\\_and\\_description.htm](http://www.epa.gov/ogd/AppKit/applicable_epa_regulations_and_description.htm). Executive Order 12372, Intergovernmental Review of Federal Programs, may be applicable to awards resulting from this announcement. Applicants selected for funding may be required to provide a copy of their proposal to their State Point of Contact (SPOC) for review, pursuant to Executive Order 12372, Intergovernmental Review of Federal Programs. This review is not required with the Initial Application and not all states require such a review. If you do not know who your Single Point of Contact is, please refer to the State Single Point of Contact web site at <http://www.whitehouse.gov/omb/grants/spoc.html>.

**D. Non-profit Applicants** 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.

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

**F. 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 ([http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=65430b8cd60ba715d7bbf033c2c00425&tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=65430b8cd60ba715d7bbf033c2c00425&tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)), unless they qualify for an exception from the requirements, should they be selected for funding. This requirement generally applies to new awards  $\geq$ \$25,000.

**G. Use of Grant Funds** 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.

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

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

### **I. 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.

### **J. 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.

## **VII. Agency Contacts**

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