

**AGENCY:** ENVIRONMENTAL PROTECTION AGENCY (EPA)

**TITLE:** National Tribal Air Association Operations

**ACTION:** Request for Applications (RFA)

**RFA NUMBER:** EPA-OAR-IO-16-01

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO:** 66.034

**DATES:** The closing date and time for receipt of application submissions is **May 4, 2016, 4:00 p.m., Eastern Time (ET)**. Application packages must be submitted electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **May 4, 2016, 4:00 p.m. ET** in order to be considered for funding. Applications received after the closing date and time will not be considered for funding.

**SUMMARY:** This notice announces the availability of funds and solicits applications from eligible entities to provide comprehensive air quality policy and regulatory analysis including support and national coordination activities to assist tribes in understanding, participating in and responding to EPA's Office of Air and Radiation's policy and regulatory activities.

**FUNDING/AWARDS:** The total estimated funding for this competitive opportunity is approximately \$1,005,000 over three years. EPA anticipates awarding up to one cooperative agreement from this announcement, subject to availability of funds, the quality of applications received, and other applicable considerations.

## **CONTENTS BY SECTION**

- I. Funding Opportunity Description**
- II. Award Information**
- III. Eligibility Information**
- IV. Application and Submission Information**
- V. Application Review Information**
- VI. Award Administration Information**
- VII. Agency Contacts**
- VIII. Other Information (Appendices)**

## **I. FUNDING OPPORTUNITY DESCRIPTION**

### **A. Background**

In 2001, EPA's Office of Air and Radiation (EPA/OAR) initiated a cooperative agreement to strengthen tribal air programs and their abilities, in order to enhance communication and coordination on policy and regulatory activities between federally recognized tribes, and between EPA/OAR and federally recognized Indian tribes and Alaska Native Villages. These activities are intended to strengthen and enhance EPA/OAR's Tribal Program by ensuring that tribes have assistance in analyzing and responding to policy and regulatory actions planned or taken by EPA/OAR, and to ensure that tribal input is provided in a coordinated and comprehensive manner so that tribes are properly represented in EPA/OAR activities that may affect them. Success in this area will strengthen the ability of EPA/OAR to address air quality problems nationwide, particularly in Indian country, and enhance the effectiveness of tribes in addressing air quality concerns as co-regulators and co-implementers of the Clean Air Act. The result was the formation of the National Tribal Air Association (NTAA), an organization that increases national coordination amongst and between Indian tribes and EPA/OAR in matters related to air quality policy and regulatory planning, development and implementation.

NTAA has developed a structure with members, but is intended to assist all federally recognized tribes directly through coordination, analysis and support activities. The NTAA has developed an advisory board (Executive Committee), charter and by-laws which will need to be reviewed, updated and continued by the successful recipient. The NTAA website is: <http://www.ntaatribalair.org/>.

### **B. Scope of Work**

EPA's Office of Air and Radiation (EPA/OAR) is seeking applications from eligible entities to provide comprehensive air quality policy and regulatory analysis including support and national coordination activities to assist tribes in understanding, participating in and responding to EPA/OAR's policy and regulatory activities. Applicants must address the objectives of each of the following tasks and provide a detailed description how they will perform the functions of each task in their narrative proposals. Also, applicants must explain how they will accomplish their proposed tasks, including any additional activities that will best accomplish each task's objectives.

#### **Task 1: NTAA Executive Committee and Member Support**

Provide ongoing administrative and logistical support to a national tribal policy advisory body (NTAA Executive Committee). NTAA's Executive Committee is made up of representatives of tribal governments nationwide and provides tribal input and guidance to the NTAA staff.

The NTAA Executive Committee frequently represents the organization during discussions and gathers quarterly for meetings alternating between conference calls and in-person functions. Monthly calls and additional calls should also be scheduled as

appropriate. The Executive Committee also seeks to develop approaches to resolve tribal air quality issues and concerns, often through interaction with EPA/OAR leadership. The grantee will be responsible for providing administrative and logistical support for Executive Committee participation, including but not limited to travel, accommodations, orientation, supporting materials, agenda planning and development, and coordination between NTAA, the Executive Committee and EPA/OAR. The intent of the Executive Committee is to be a representative voice for all federally recognized tribes, including new and established NTAA members.

### **Task 2: Policy Analysis**

- a. Provide expert analysis of EPA/OAR's regulatory and policy actions, initiatives and rulemakings to tribal governments to enable and facilitate their understanding and participation in the national air program. Analysis should provide Indian tribes information adequate to understanding EPA/OAR actions and their potential impact and effect on tribal governments on a regular basis.
- b. Facilitate and encourage tribal responses to EPA/OAR regulatory and policy actions, initiatives and rulemakings, both directly between tribes and EPA/OAR and indirectly between NTAA members and EPA/OAR. This work includes, but is not limited to, NTAA staff compiling tribal comments, reflecting their interests and positions, and submitting the resulting analyses to EPA/OAR in any number of ways. NTAA staff and executive committee members may serve as a liaison to EPA/OAR senior leadership for tribes to present their interests and positions as appropriate, or it may advise EPA/OAR either through expert NTAA staff or through supporting the direct participation of tribal representatives.

### **Task 3: Communication and Coordination**

In order for tribes to successfully participate in air quality management at the policy and regulatory level, NTAA must conduct supporting activities that build and/or enhance the community of tribal air programs; it should encourage both communication and the development of relationships among tribal leaders and the development of relationships among tribes that contribute to tribes being fully aware of air quality and related policy and regulatory issues. Applicants must detail all the supporting activities of their communication and coordination plan. These supporting activities include, but are not limited to:

- a. Provide outreach and disseminate information on air quality policy and regulatory activities, directly to tribes nationwide including analysis of tribal specific issues and impacts, on a regular basis, for comment and informational purposes. Applications must detail the manner of outreach (e.g. workshops, newsletter, website, mail, field exercise, etc.)
- b. Encourage communication between NTAA Executive Committee, member tribes and other tribes, and EPA/OAR.

- c. Conduct regularly scheduled (monthly and special purpose) conference calls to disseminate information and encourage tribes to participate in ongoing air quality management activities.
- d. Maintain an updated website designed to foster communication, encourage participation and provide current and updated information on tribal, NTAA and EPA/OAR air quality management activities;
- e. Prepare and distribute regular analysis of current policy and regulatory air quality developments to tribes.
- f. Facilitate and support tribal interaction with the national air quality community including tribes, tribal consortia and operations committees, NGO's, states and locals, regional and national organizations and others as appropriate, on issues related to the scope of this request, including the federal budget process. Assist EPA by acting as a central point of contact for providing information to tribes.
- g. Provide information on tribal needs, interests, concerns and reactions to activities related to air quality policy and regulatory activities directly to EPA/OAR, and encourage and support the provision of similar types on information directly from tribes to EPA/OAR.

**Task 4: Annual Conference**

Plan, develop and implement an annual conference bringing together tribes, EPA/OAR and other interests as appropriate to further tribes' ability to interact with each other and EPA in matters related to air quality policy and regulation. Applicants must submit suggestions or plans how to best conduct this activity. In recent years, this activity has successfully been conducted as a joint conference with the Institute for Tribal Environmental Professionals through the American Indian Air Quality training Program grant, as the annual National Tribal Air Forum, and EPA/OAR supports continued use of that format as one possible approach. Applicants must follow up with annual summary of the Annual Conference, which includes conference comments, number of invitees, number of attendees, length of conferences (in days), location, and details of the conference activities, lessons learned and improvement plans for next annual conference. This summary must be submitted within a quarter of the annual conference start.

Applicants are invited to suggest additional elements to this scope of work that could enhance the objectives of the National Tribal Air Association, including elements that would provide additional benefits for NTAA members, and increase membership.

### C. 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.** All applications must support progress towards EPA’s 2014-2018 Strategic Plan Goal 1 “Addressing Climate Change and Improving Air Quality”; Objective 1.2: “Improve Air Quality”, which states “achieve and maintain health- and welfare-based air pollution standards and reduce risk from toxic air pollutants and indoor air contaminants.” EPA’s Office of Air and Radiation works to develop national programs, policies, and regulations for controlling air pollution. EPA/OAR aims to support tribes to advance air quality programs to help promote clean and healthy air for all its community members.

Specifically, the proposed activities will support the mission of the NTAA to advance air quality management policies and programs, consistent with the needs, interests, and unique legal status of American Indian Tribes and Alaska Natives as well as advocate for tribal environmental, cultural, and economic interests in the development of air policy at all levels of government (tribal, federal, state, local, and international). The NTAA helps educate tribes about climate change and air quality and their impacts on the human and environmental health of tribal communities across the country. The NTAA also communicates EPA’s role and actions regarding climate change and air quality to American Indian Tribes, Alaska Natives, and tribal communities. It promotes the development, funding, and capacity building of tribal air management programs and air quality policies.

Please read [EPA’s FY 2014-2018 Strategic Plan](#) for more information.

**2. Outputs.** The term “output” means an environmental activity, effort, and/or associated work product related to an environmental goal and objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.

Expected outputs from the project(s) to be funded under this announcement may include the following: Increase communication and coordination between tribal governments in matters related to air quality policy and regulation. Increase coordination and communication between tribal governments and EPA/OAR in matters related to air quality policy and regulation. Increase the capacity and availability of tribal governments to participate in national air quality policy and regulatory activities to ensure adequate

input is provided by tribal government partners. Continue the ability of the National Tribal Air Association to advise EPA/OAR on tribal interests, needs, impacts and concerns regarding national air quality policy and regulatory activities. The applicant must detail its methodology to measure outputs, which should include, but are not limited to, the number of formal comment letters received by EPA/OAR involving tribal governments; and the number of outreach materials including air policy and regulatory actions analyzed and provided to tribal governments.

Quarterly progress reports and a final report will also be a required output, as specified in Section VI(C) of this announcement, “Reporting Requirement.”

**3. Outcomes.** The term “outcome” means 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. They may not necessarily be achievable within an assistance agreement funding period.

Projects to be funded under this announcement are expected to produce at least three, and preferably all, of the following environmental outcomes:

- Increase the participation of federally recognized Indian tribes in matters related to air quality policy and regulation, in order to fully implement the Clean Air Act in Indian country in a manner consistent with the legal relationship between the United States and those Indian tribes. This will lead to improved protection of human health and the environment in Indian country.
- Increase the amount of information about EPA/OAR policy and regulatory activity available to Indian tribes.
- Increase communication on air quality and regulation between Indian tribes
- Increase the number of tribes commenting on EPA/OAR policy and regulatory actions.
- Increase tribal representation on advisory boards, committees and workgroups advising EPA on air quality activities.

**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. It is expected that the description of performance measures will include measures of activities related to the outputs and outcomes described in C2 and C3 (above), and will include measures that demonstrate the level of activity and participation in areas such as participation in NTAA meetings; newsletters and analyses distributed to tribal governments; comments received or submitted; use and ownership of the NTAA website; and tribal representation on advisory boards, committees and workgroups advising EPA on air quality activities.

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?

**D. Supplementary Information.**

The statutory authority for this action is the Clean Air Act (CAA), §103(b)(3) which authorizes the award of grants for research, investigations, experiments, demonstrations, surveys, and studies related to the causes, effects, (including health and welfare effects), extent, prevention, and control of air pollution. Tribal governments have both CAA authority over lands within their jurisdiction and discretion to address air pollution under the CAA. Supporting their involvement is directly related to the CAA authority described in this section.

**II. AWARD INFORMATION**

**A. What is the amount of funding available?**

The total estimated funding expected to be available for an award under this competitive opportunity is approximately \$1,005,000 over three years, approximately \$335,000 annually.

**B. 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 was evaluated and selected for award, and therefore maintains the integrity of the competition and selection process.

**C. How many agreements will EPA award in this competition?**

EPA anticipates award of up to approximately one cooperative agreement under this announcement of approximately \$1,005,000 over three years, approximately \$335,000 annually, subject to the availability of funds, quality of evaluated applications, and other applicable considerations. In addition, EPA reserves the right to make additional awards under this announcement, consistent with Agency policy, if additional funding becomes available after the original selections. Any additional selections for awards will be made no later than six months from the date of the original selections.

**D. What is the project period for awards resulting from this solicitation?**

The estimated project period for awards resulting from this solicitation will begin in Late

Summer/Early Fall 2016. Proposed project periods may be up to three years.

### **E. Funding Type**

The funding for selected projects will be in the form of a cooperative agreement. Cooperative agreements permit substantial involvement between the EPA Project Officer and the selected applicants in the performance of the work supported. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial Federal involvement for this project will be:

- close monitoring of the successful applicant's performance to verify the results proposed by the applicant;
- collaboration during performance of the scope of work;
- in accordance with 2 CFR 200.317 and 2 CFR 200.318, review of proposed procurement;
- approving qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient);
- review and comment on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient).

## **III. ELIGIBILITY INFORMATION**

### **A. Eligible Entities**

In accordance with CFDA 66.034, applications will be accepted from states, local governments, territories, Indian tribes, and possessions of the U.S., including the District of Columbia, international organizations, public and private universities and colleges, hospitals, laboratories, and other public or private non-profit institutions.

Non-profit organization, as defined by 2 CFR 200.70, means any corporation, trust, association, cooperative or other organization, not including Institutions of Higher Education 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. While defined separately than "non-profit organization(s)" by 2 CFR Part 200, Institutions of Higher Education, hospitals, state, local and federally-recognized Indian tribal governments are, nevertheless, eligible to submit applications this RFA.

For-profit organizations are not an eligible entity for this funding opportunity. Additionally, 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.

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

There is no statutory or regulatory match requirement under the Clean Air Act Section 103 for



this request for applications.

**No matching funds are required under this competition.** Although cost-sharing/matching is not required as a condition of eligibility under this competition, under Section V of this announcement EPA will evaluate proposals based on a leveraging criterion.

Leveraging is generally 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 proposal (See Section IV of the announcement). Leveraged funds and resources may take various

**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 Part 200 as applicable.
- 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 Part 200 as applicable.

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 applicant's proposal. If applicants propose to provide this form of leveraging, EPA expects them to make the effort to secure the leveraged resources described in their proposals. 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 Part 200 as applicable.

### **C. Threshold Eligibility Criteria**

These are requirements that if not met by the time of application submission will result in elimination of the application from consideration for funding. Only applications from eligible entities (see above) that meet all of these 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. a. 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 proposal, pages in excess of the page limitation will not be reviewed.  
  
b. In addition, initial applications must be submitted through [www.grants.gov](http://www.grants.gov) as stated in Section IV of this announcement (except in the limited circumstances where another mode of submission is specifically allowed for as explained in Section IV) 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.  
  
c. 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](http://Grants.gov) or relevant [SAM.gov](http://SAM.gov) system issues. An applicant's failure to timely submit their application through [Grants.gov](http://Grants.gov) because they did not timely or properly register in [SAM.gov](http://SAM.gov) or [Grants.gov](http://Grants.gov) will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their application with Pat Childers as soon as possible after the submission deadline—failure to do so may result in your application not being reviewed.
2. Applications must support EPA Strategic Plan Goal 1, 'Addressing Climate Change and Improving Air Quality'. (*See Section I*)
3. Applicants must address in their narrative proposals how they will accomplish the four tasks listed in Section 1.B Scope of Work.
4. Ineligible activities: If a proposal is submitted that includes any ineligible tasks or activities, that portion of the proposal will be ineligible for funding and may, depending on the extent to which it affects the proposal, render the entire proposal ineligible for funding.

#### **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 and Appendix A. If an applicant does not have the technical capability to apply electronically through grants.gov because of limited or no internet access which prevents them from being able to upload the required application materials to [Grants.gov](https://www.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, 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.  
Rm # 51267  
Washington, DC 20004

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

- Funding Opportunity Number (FON)
- Organization Name and DUNS
- Organization's Contact Information (email address and phone number)
- 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 [www.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 this 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 proposal 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, 2015, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2015). 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 for submissions for any succeeding calendar year. For example, if there is a competitive opportunity issued on December 1, 2015 with a submission deadline of January 15, 2016, the applicant would need a new exception to submit through alternative methods beginning January 1, 2016.

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 (see Appendix A.)**

Your organization's authorized official representative (AOR) must submit your complete application electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **May 4, 2016, 4:00 p.m. Eastern Time**.

## **C. Content of Application Package Submission**

All application submissions must contain completed and signed grant application forms, as well as a Narrative Proposal, 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 <http://www.epa.gov/grants/epa-grantee-forms> .

- Standard Form 424, *Application for Federal Assistance*
- Standard Form 424A, *Budget Information – Non-Construction Programs*
- Standard Form 424B, *Non-Construction Programs*
- Standard Form 6600-06, *Certification Regarding Lobbying*
- EPA Form 4700-4, *Pre-Award Compliance Review Report for All Applicants Requesting Federal Financial Assistance*
- EPA Form 5700-54, *Key Contacts Form*

- Narrative Proposal (as described below)

## **Narrative Proposal**

The Narrative Proposal, consisting of sections 1-3 below, cannot exceed a maximum of 20 single-spaced typewritten pages, including the Summary Page. Supporting materials, such as resumes and letters of support, can be submitted as attachments and are not included in the 20 page limit.

- 1. Summary Information Page** (recommended not to exceed one page)
  - a. Project Title
  - b. Applicant Information. Include applicant (organization) name, address, contact person, phone number, fax and e-mail 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. (Projects are anticipated to begin October 2016 and end no later than September 2019.)
  - f. DUNS number-See Section VI.C.

- 2. Narrative Proposal Work-Plan**

**The narrative proposal 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.**

- a. Project Summary/Approach:** The summary shall contain the following components:
  1. Detailed project summary, description of specific actions and methods to be undertaken and the responsible institutions, including estimated time line for each task.
  2. Description of the associated work products to be developed.
  3. Explanation of project benefits to the public, and specifically the potential audience(s) served.
  4. Detailed description of how the 4 tasks are addressed in the narrative proposal.
  5. Description of the roles and functions of the applicant, NTAA executive committee, NTAA members, and partners, if any.
  6. Description of the applicant's organization and experience related to the proposed project.
  7. Description of staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.

8. Description of the applicant's approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner.
9. Budget and estimated funding amounts for each work component/task.

**b. Environmental Results—Outcomes, Outputs and Performance Measures**

Identify the expected quantitative and qualitative outcomes and outputs of the project (**See Section I**), including what performance measurements, timeline of milestones, or other means will be used to track and measure your progress towards achieving the expected outcomes and outputs and how the results of the project will be evaluated.

**c. 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 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.

**d. Voluntary cost share/match and leveraged funds (See Section III.B also)**

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. Detailed Budget Narrative (See Appendix B, Budget Sample)**

This section provides an opportunity for a narrative description of the budget found in the SF-424A. Clearly explain how EPA funds will be used. Selected applicant(s) will need to submit a copy of their current indirect cost rate that has been negotiated with a federal cognizant agency prior to award

- a. Description of the budget and estimated funding amounts for each work component/task.
- b. Description of the applicant's approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner.
- c. Applicants must itemize costs related to personnel, fringe benefits, contractual costs, travel, equipment, supplies, other direct costs, indirect costs, and total costs. \*Selected applicant(s) will need to submit a copy of their current indirect cost rate that has been negotiated with a federal cognizant agency prior to award.
- d. For applicants that provide a voluntary cost share/match, the budget narrative must clearly specify the amount of federal funding and the cost-share amount for each category of total project costs for each category. Include an explanation of how the voluntary match will be met. All matching funds are subject to the regulations governing matching fund requirements at 2 CFR Part 200.306.

**4. Attachments.** These are optional and are not included in the 20 page limit. Nor are these attachments considered during evaluation of an applicant's application.

- a. Biographical Sketch.** Provide resumes or curriculum vitae for all principal investigators and any other key personnel.
- b. Negotiated Indirect Cost Rate Agreement.**
- c. Quality Assurance Narrative Statement.**
- d. Support Letters-**These should indicate how the supporting organization will assist in the project.

### **D. Submission Dates and Times**

The closing date and time for submission of applications is **May 4, 2016, 4:00 p.m., Eastern**

**Time (ET).** Applications submitted after the closing date and time will not be considered for funding.

**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 confidential business information, contracts and subawards under grants, and application assistance and communications, can be found at <http://www2.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 INFORMATION**

Only eligible entities whose application(s) meet the threshold criteria 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. Each application will be rated under a points system, with a total of 100 points possible.

**A. Evaluation Criteria**

Criteria	Points
<p><b>1. <u>Project Summary/Approach:</u></b> Under this criterion, the Agency will evaluate the following factors:</p> <p>(i) the extent and quality to which the narrative proposal includes a well-conceived strategy for addressing the requirements in <b>Section I, Parts B (Scope of Work) and C (EPA Strategic Plan Linkage and Anticipated Outcomes/Outputs)</b>,</p> <p>a) <b>(5 points) - <u>Task 1 Executive Committee.</u></b> The Agency will evaluate the extent and quality to which the Applicant’s narrative proposal demonstrates a plan to incorporate all the requirements of Task 1 as stated in Section 1.</p> <p>b) <b>(5 points) - <u>Task 2 Policy Analysis.</u></b> The Agency will evaluate the extent and quality to which the Applicant’s narrative proposal demonstrates a plan to incorporate all the requirements of Task 2 as states in Section 1.</p> <p>c) <b>(5 points) - <u>Task 3 Communication and Coordination.</u></b> The Agency will evaluate the extent and quality to which the Applicant’s narrative proposal demonstrates a plan to incorporate all the requirements of Task 3 as stated in Section 1.</p> <p>e) <b>(5 points) - <u>Task 4: Annual Conference.</u></b> The Agency will evaluate the extent and quality to which the Applicant’s narrative proposal demonstrates a plan to incorporate all the requirements of Task 4 as stated in Section 1.</p>	<p><b>35</b></p>



<p>(ii) (15 pts) whether the narrative proposal sets forth a reasonable time schedule for the execution of the tasks associated with the project and for achieving the project goals and objectives by project end.</p>	
<p><b>2. <u>Environmental Results—Outcomes, Outputs and Performance Measures:</u></b> Under this criterion, the Agency will evaluate the effectiveness of the applicant’s plan for tracking and measuring its progress toward achieving the expected project outputs and outcomes, including those identified in <b>Section I</b> of this announcement. 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 Applicants progress towards achieving the expected outputs and outcomes.</p>	<b>13</b>
<p><b>3. <u>Programmatic Capability and Past Performance:</u></b> Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account their:</p> <p><b>I. (7 pts)</b> past performance in successfully completing and managing the assistance agreements identified in the narrative proposal as described in Section IV.C of the announcement,</p> <p><b>II. (7 pts)</b> history of meeting the reporting requirements under the assistance agreements identified in the narrative proposal 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 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,</p> <p><b>III. (8 pts)</b> organizational experience and plan for timely and successfully achieving the objectives of the proposed project,</p> <p><b>IV. (8 pts)</b> staff expertise and qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.</p> <p>Note: In evaluating applicants under items I and II 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 proposal and you will receive a neutral score for these sub-factors (items I and II 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.</p>	<b>30</b>
<p><b>4. <u>Budget:</u></b> Under this criterion, the Agency will evaluate the proposed project budget to determine whether,</p> <p><b>I. (5 pts)</b> costs are reasonable to accomplish the proposed goals, objectives, and measurable environmental outcomes,</p> <p><b>II. (5 pts)</b> the proposed budget provides a detailed breakout of the approximate funding used for</p>	<b>10</b>

<p>each major activity.</p> <p>An applicant’s budget and budget narrative must account for both federal funds and any non-federal funds (e.g., any required or voluntary cost share/match if applicable). Applicants must precisely describe in their budget narrative how they will account for any required or voluntary cost share/match, if applicable, and what role EPA funding will play in the overall project.</p>	
<p><b>5. <u>Expenditure of Awarded Grant Funds:</u></b> 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.</p>	<b>6</b>
<p><b>6. <u>Leveraging:</u></b> 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.</p>	<b>6</b>

**B. Review and Selection Process**

Applications will first be evaluated against the threshold factors listed in Section III. Only those applications which meet all of the threshold factors will be evaluated using the evaluation criteria listed above by an EPA evaluation team. Each application will be given a numerical score and will be rank-ordered according to the numerical score. Preliminary funding recommendations will be provided to the Approving Official based on this ranking.

**C. Reporting and Use of Information Concerning Recipient Integrity and Performance**

For any award under this solicitation where EPA anticipates that the total Federal share will be greater than the simplified acquisition threshold over the period of performance (see [2 CFR §200.88 Simplified Acquisition Threshold](#)—as of January 1, 2016 the threshold is \$150,000 but it is periodically adjusted;), applicants are notified:

1. That EPA, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);
2. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about

itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

3. That EPA will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in [2 CFR §200.205](#), Federal awarding agency review of risk posed by applicants.

#### **D. Other Factors**

Final funding decisions will be made by the Approving Official based on the rankings and preliminary recommendations of the EPA evaluation team. In making the final funding decisions, the Approving Official may also consider programmatic priorities and geographic diversity of funds. Once final decisions have been made, a funding recommendation will be developed and forwarded to the EPA Award Official.

### **VI. AWARD ADMINISTRATION INFORMATION**

#### **A. Award Notices**

Following evaluation of applications, all applicants will be notified regarding their status.

##### **Application Notifications**

1. EPA anticipates notification to the *successful* applicant will be made via telephone, email or postal mail. The notification will advise the applicant that its proposed project has been successfully evaluated and recommended for award. The notification will be made to the original signer of the Standard Form (SF) 424, Application for Federal Assistance.

This notification, which advises that the applicant's proposed project has been recommended for award, is **not** an authorization to begin performance. The award notice signed by the EPA grants officer is the authorizing document and will be provided through postal mail. At a minimum, this process can take up to 90 days from the date of recommendation.

2. EPA anticipates notification to *unsuccessful* applicant(s) will be made via email or postal mail. The notification will be made to the original signer of the Standard Form (SF) 424, Application for Federal Assistance.

#### **B. Administrative and National Policy Requirement**

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

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 application 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. A listing of State Point of Contacts (SPOC) may be viewed at: [www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html)

### **C. Reporting Requirement**

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

### **D. Reporting and Use of Information Concerning Recipient Integrity and Performance**

If the Federal share of any Federal award may include more than \$500,000 over the period of performance, applicants are advised about the post-award reporting requirements reflected in the [Award Term and Condition for Recipient Integrity and Performance Matters contained in Appendix XII](#) to 2 CFR Part 200.

### **E. 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 <http://www2.epa.gov/grants/dispute-resolution-procedures>. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement.

### **F. 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 <http://www2.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**

For further information, contact:

U.S. Environmental Protection Agency  
ATTN: Pat Childers  
Office of Air and Radiation  
Mail Code 6510A  
1200 Pennsylvania Avenue  
Washington, DC 20640  
Phone: (202) 564-1082

All questions or comments must be communicated in writing via postal mail or email to the contact person listed above. Questions and answers will be posted until the closing date of this announcement at the OAR Grants/Funding webpage:  
<http://www.epa.gov/grants/air-grants-and-funding> .

## **VIII. Other Information (Appendices)**

### **Appendix A. 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 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 <http://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, 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, SAM.gov, and DUNS number assignment is FREE.

Applicants need to ensure that the AOR who submits the application through 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 <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, 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 <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html>

You may also be able to access the application package for this announcement by searching for the opportunity on <http://www.grants.gov>. Go to <http://www.grants.gov> and then click on “Search Grants” at the top of the page and enter the Funding Opportunity Number, EPA-OAR-IO-16-01, or CFDA 66.034, 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 <http://www.grants.gov>. To find the synopsis page, go to <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.

**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 **4:00 pm ET on May 4, 2016**. 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 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.

## **Application Materials**

The following forms and documents are required under this announcement:

### **Mandatory Documents:**

- Application for Federal Assistance (SF-424)
- Budget Information for Non-Construction Programs (SF-424A)
- Assurances for Non-Construction Programs (SF-424B)
- Grants.gov Lobbying Form
- EPA Key Contacts Form 5700-54
- EPA Form 4700-4 – Pre-award Compliance Review Report
- Narrative Proposal (Project Narrative Attachment Form) - prepared as described in Section IV. Part C of the announcement

### **Optional Documents - See Section IV.C of announcement:**

- Biographical Sketch
- Negotiated Indirect Cost Rate Agreement
- Quality Assurance Narrative Statement
- Support Letters

Applications submitted through grants.gov will be time and date stamped electronically.

If you have not received a confirmation of receipt from EPA (not from grants.gov) within 30 days of the application deadline, please contact Pat Childers via [childers.pat@epa.gov](mailto:childers.pat@epa.gov). Failure to do so may result in your application not being reviewed.

### **Technical Issues With Submission**

1. 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.

2. Submitting the application. 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 issues a “case number” upon a request for assistance.

3. 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 [www.Grants.Gov](http://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 Pat Childers with the FON in the subject line. If you are unable to email, contact Pat Childers at (202) 564-1082. Be aware that EPA will only consider accepting applications that were unable to transmit due to [www.Grants.gov](http://www.Grants.gov) or relevant [www.Sam.gov](http://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 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 [www.Grants.gov](http://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 representative by calling 606-545-5035. Be sure to obtain a case number from Grants.gov. If the problems stem from unforeseen exigent circumstances unrelated to Grants.gov, such as extreme weather interfering with internet

access, contact Pat Childers at (202) 564-1082.

b. Unsuccessful transfer of the application package: If a successful transfer of the application cannot be accomplished even with assistance from Grants.gov due to electronic submission system issues or unforeseen exigent circumstances, send an email message to [childers.pat@epa.gov](mailto:childers.pat@epa.gov) prior to the application deadline. The email message must document the problem and include the Grants.gov case number as well as the entire application in PDF format as an attachment.

c. Grants.gov rejection of the application package: If a notification is received from Grants.gov stating that the application has been rejected for reasons other than late submittal promptly send an email to [childers.pat@epa.gov](mailto:childers.pat@epa.gov) 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 and attach the entire application in PDF format.

## **Appendix B. Budget Sample**

### **Budget Detail**

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 cost-share, mandatory or voluntary, 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 include on the SF 424 and SF 424A. Please see Section III.B if this RFP 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.

- **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 nor 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.

- **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.
- **Travel - Specify the mileage, per diem, estimated number of trips in-State and out-of-State, 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.
- **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 40 CFR 31.3 and 30.2. The budget detail must include an itemized listing of all equipment proposed under the project.
- **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.
- **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 non-competitive), if known.
- **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 under 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.

- **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
<b>Personnel</b>	
(1) Project Manager @ \$45/hr x 15 hrs/week x 52 wks	\$35,100
(2) Project Staff @ \$25/hr x 40 hrs/week x 40 wks	\$80,000
(10) Executive Committee @\$40 x 3hrs/week x 40 weeks	\$48,000
<b>TOTAL PERSONNEL</b>	<b>\$163,100</b>
<b>Fringe Benefits</b>	
20% of Salary and Wages	20% (163,100)
- Retirement, Health Benefits, FICA, SUI	\$32,620
<b>TOTAL FRINGE BENEFITS</b>	<b>\$32,620</b>
<b>Travel</b>	
Travel for Project Manager and staff: 500 mi/mo @ \$0.55/mi x 12 mos.	\$6,530
<b>TOTAL TRAVEL</b>	<b>\$6,530</b>
<b>Equipment</b>	
<b>TOTAL EQUIPMENT</b>	<b>0</b>
<b>Supplies</b>	

Office and related supplies to support training	\$12,500
<b>TOTAL SUPPLIES</b>	<b>\$12,500</b>
<b>Contractual</b>	
Support Services Contract	\$70,000
<b>TOTAL CONTRACTUAL</b>	<b>\$70,000</b>
<b>Other</b>	
<b>TOTAL OTHER</b>	<b>\$0</b>
<b>Indirect Charges</b>	
Federal Negotiated Indirect Cost Rate = 15%	\$50,250
(Indirect Rate x Personnel = Indirect Costs)	\$50,250
<b>TOTAL INDIRECT</b>	<b>\$50,250</b>
<b>TOTAL FUNDING</b>	<b>\$335,000</b>
<b>TOTAL PROJECT COST (federal)</b>	<b>\$335,000</b>

Please note that any voluntary cost-share funds, while not required under this RFA, must also be included on the SF-424A as detailed in Section III.B of this RFA.

Note on 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 Federal 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 cannot 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 work plan.