

AGENCY: ENVIRONMENTAL PROTECTION AGENCY (EPA)

TITLE: 2017 Targeted Air Shed Grant Program

ACTION: Request for Applications (RFA)

RFA NUMBER: EPA-OAR-OAQPS-17-06

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO: 66.202

DATES: The closing date and time for receipt of application submissions is **October 18, 2017, by 11:59 p.m., Eastern Time (ET)** to be considered for funding. Application packages must be submitted electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **October 18, 2017, 11:59 p.m. ET** to be considered for funding.

To allow for efficient management of the competitive process, EPA requests submittal of an informal notice of an Intent to Apply to Gary Blais at blais.gary@epa.gov by **August 10, 2017**. Submission of Intent to Apply is optional; it is a process management tool that will allow EPA to better anticipate the total staff time required for efficient review, evaluation, and selection of submitted applications.

SUMMARY:

This notice announces the availability of funds and solicits applications from eligible entities to compete for financial assistance through the Targeted Air Shed Grant Program. This program will assist local, state and/or tribal air pollution control agencies in developing plans, conducting demonstrations, and implementing projects to reduce air pollution in nonattainment areas that EPA determines are the top five most polluted areas relative to ozone (O₃), annual average fine particulate matter (PM_{2.5}), or 24-hour PM_{2.5} National Ambient Air Quality Standards (NAAQS). The overall goal of the Targeted Air Shed Grant program is to reduce air pollution in the Nation's areas with the highest levels of ozone and PM_{2.5} ambient air concentrations.

FUNDING/AWARDS:

The total estimated funding for this competitive opportunity is approximately **\$30,000,000**. EPA anticipates awarding a total of approximately **6 – 7** assistance agreements from this announcement, subject to availability of funds, the quality of applications received, and other applicable considerations. The maximum amount of requested federal funding per application shall not exceed **\$4,000,000**. Additionally, each eligible applicant can submit no more than three applications per nonattainment area listed on pages 3 – 5 of this solicitation.

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I. FUNDING OPPORTUNITY DESCRIPTION

A. Background

EPA received funding in the 2010, 2015, and 2016 Appropriations Acts to reduce air pollution in the nation's areas with the highest levels of ozone or particulate matter 2.5 (PM_{2.5}) exposure. Exposure to these pollutants are associated with numerous adverse effects on human health, including increased respiratory symptoms, hospitalization for heart or lung diseases, and even premature death. For more information about ozone and particulate matter pollution standards, please visit <http://www3.epa.gov/naaqs>.

Congress has again directed EPA in the 2017 Consolidated Appropriations Act for the same purpose, to make the funds available for competitive grants to reduce air pollution in nonattainment areas that the Agency determines are ranked as the top five most polluted areas relative to ozone, annual PM_{2.5}, or 24-hour PM_{2.5} standards. Using air quality information from EPA's air quality database, the Office of Air and Radiation (OAR) has identified the following areas as the top five most polluted areas for 8-hour average ozone, the top five most polluted areas for annual average PM_{2.5}, and the top five most polluted areas for 24-hour PM_{2.5} as of the end of the 2015 data reporting period.

Nonattainment Areas Ranked as the Top Five Most Polluted Areas for Ozone, Annual PM_{2.5}, and 24-hour PM_{2.5} Standards based on 2013-2015 Air Quality Measurements

Ozone Nonattainment Areas (2008 8-hour standard of 75 parts per billion):

1. Los Angeles South Coast Air Basin, CA

Classification	Extreme
2013-2015 Design Value (parts per billion)	102

2. Morongo Indian Reservation, CA

Classification	Serious
2013-2015 Design Value (parts per billion)	98

3. San Joaquin Valley, CA

Classification	Extreme
2013-2015 Design Value (parts per billion)	93

4. Los Angeles & San Bernardino Counties (W. Mojave), CA

Classification	Severe
2013-2015 Design Value (parts per billion)	90

5. Riverside County (Coachella Valley), CA

Classification	Severe
2013-2015 Design Value (parts per billion)	88

PM_{2.5} Nonattainment Areas (2012 annual standard of 12 micrograms per cubic meter):

1. San Joaquin Valley, CA

Classification	Moderate
2013-2015 Design Value (micrograms per cubic meter)	22.2

2. Plumas County, CA

Classification	Moderate
2013-2015 Design Value (micrograms per cubic meter)	14.9

3. Los Angeles-South Coast Air Basin, CA

Classification	Moderate
2013-2015 Design Value (micrograms per cubic meter)	14.1

4. West Silver Valley, ID

Classification	Moderate
2013-2015 Design Value (micrograms per cubic meter)	13.7

5. Imperial County, CA

Status	Nonattainment
2013-2015 Design Value (micrograms per cubic meter)	13.1

PM_{2.5} Nonattainment Areas (2006 24-hour standard of 35 micrograms per cubic meter):

1. Fairbanks, AK

Classification	Nonattainment
2013-2015 Design Value (micrograms per cubic meter)	124

2. San Joaquin Valley, CA

Classification	Nonattainment
2013-2015 Design Value (micrograms per cubic meter)	79

3. (tie) Logan UT-ID

Classification	Nonattainment
2013-2015 Design Value (micrograms per cubic meter)	46

3. (tie) Provo, UT

Classification	Nonattainment
2013-2015 Design Value (micrograms per cubic meter)	46

4. Salt Lake City, UT

Status	Nonattainment
2013-2015 Design Value (micrograms per cubic meter)	44

B. Scope of Work

OAR's Targeted Air Shed Program is soliciting applications from eligible entities, as described in Section III of this announcement, to design projects to meet the goals of the program in the areas that the Agency has determined are the top five most polluted relative to ozone, annual PM_{2.5}, or 24-hour PM_{2.5} standards. The goal of the Targeted Air Shed Program is to implement programs, projects, and approaches that: demonstrate documentable reductions in ozone and/or direct PM_{2.5} air pollution in the designated areas; address precursor emissions of ozone, which include nitrogen oxides (NO_x), carbon monoxide (CO) and volatile organic compounds (VOCs), and/or precursor emissions of PM_{2.5}, which include sulfur dioxide (SO₂), NO_x, VOCs, and ammonia; and are replicable elsewhere. Proposed activities must be for emission reduction activities deemed necessary to assist with compliance with the National Ambient Air Quality Standards (NAAQS) for these pollutants, and that demonstrate the potential for inclusion in the affected jurisdiction's State Implementation Plan (SIP) or Tribal Implementation Plan (TIP) submission to EPA intended to meet those standards. To the extent possible, proposed projects should utilize technologies that meet or exceed the latest emissions standards for the respective pollutant(s), or are the most stringent, least polluting technologies and/or activities. Proposed activities can complement but should not replicate activities already being funded with an existing Clean Air Act (CAA) Section 103 or 105 grant being carried out in the applicant's nonattainment area. Proposed activities must be for projects to carry out emission reductions; proposals only including planning exercises will not be considered. Proposed activities must be designed to achieve quantifiable reductions in ozone precursor emissions and/or direct PM_{2.5} or PM_{2.5} precursor emissions in one or more of the designated nonattainment areas identified above in Section I.A by addressing one or more of the following priority emissions-generating or emissions-reducing activities:

- Industrial;
- transportation (vehicle, marine, locomotive);
- land use;
- residential, commercial, agricultural, aqua-cultural, and/or natural resource management;
- municipal operations (including municipal energy, water, and solid waste facilities);
- use or supply of green power products, on-site renewables, combined heat and power, clean residential heating, and other clean energy supply options; and/or,
- other innovative activities that generate measurable reductions of ozone and/or PM_{2.5} precursors and/or values.

Proposed projects should be focused on local, community areas rather than large geographic areas, to promote higher success rates in reducing ozone precursors and/or direct PM_{2.5} or PM_{2.5} precursors. Projects should also focus on addressing environmental justice (EJ) concerns in communities and/or at risk populations that may be disproportionately affected in adverse ways (e.g., increased medical problems, etc.) by ozone or PM_{2.5} pollution. EJ concerns relate to the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income, with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. EPA has established priorities to incorporate EJ considerations in regulatory and policy activities such as rule-making to focus attention on communities experiencing disproportionate environmental or health impacts; to address specific multi-pollutant air quality concerns; to ensure that air quality monitoring is conducted in low-income and minority communities that may be close to sources of pollution and in schools; and to address emissions from leaks, flares, malfunctions, diesel operations, and freight distribution.

In addition to the above, applications submitted under this announcement should:

- establish approaches and practices that will achieve ongoing, significant ozone and/or PM_{2.5} reductions, considering the major emission sources;
- build and leverage partnerships across multiple stakeholder groups to expand the impact of the project; and,
- create models of success that could be replicable in the airshed or other jurisdictions and/or demonstrate technologies or practices that can achieve greater emission reductions than those currently utilized.

Where relevant, applicants should also describe how the proposed project would help to complement research, planning, or implementation activities supported by other EPA grants, such as Diesel Emission Reduction (DERA) grants, PM_{2.5} Monitoring Network grants, and EJ Showcase Community grants.

C. EPA Strategic Plan Linkage and Anticipated Outcomes, Outputs and 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).

1. 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.” This project supports EPA efforts to reduce air pollution in nonattainment areas that are ranked as the top five most polluted areas relative to ozone, annual PM_{2.5}, or 24-hour PM_{2.5} standards.

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 emissions reduction activities that will be realized 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.

Examples of outputs from the project(s) to be funded under this announcement may include, but are not limited to, the following: vehicle miles traveled reductions; kilowatt hours saved; creation of a program designed to improve community quality of life; progress toward environmental justice objectives; or adoption of a program, policy or activity that supports increased use of strategic energy and air quality management practices.

Quarterly progress reports and a final technical 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 will achieve emissions reductions. 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 funded under this announcement are expected to result in emissions reductions of ozone precursors and/or direct PM_{2.5} or PM_{2.5} precursors. Ozone precursors include NO_x, CO and VOCs. PM_{2.5} precursors include NO_x, VOCs, SO₂ and ammonia. These projects should result in one or more of the following environmental outcomes:

Intermediate Outcomes:

- Annual gallons of gasoline or diesel fuel saved;
- Number of people who reduced their emissions footprint;
- Costs per ton of pollution reduced.

End Outcomes:

- Documented improved ambient air quality;
- Reductions in emissions of air pollution, including annual and total project lifetime of pollutants reduced;
- Contributions towards compliance with SIP or TIP and/or NAAQS;
- Health benefits achieved (health benefits may be measured by numbers of illnesses, health care costs, or missed work/school days avoided, reduced mortality from air pollution).

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, outcome, and output strategies and will provide the basis for developing lessons to inform potential future recipients. These performance measures should include an estimate of ozone precursors and/or direct PM_{2.5} or PM_{2.5} precursor emissions reductions, including NO_x, VOC, direct PM_{2.5}, SO₂, and ammonia, including the assumptions used to make those estimates. Both annual and lifetime emissions reduced from the project should be included, specifying the anticipated total number of years of the life of the project. If an applicant is unable to calculate ozone precursors and/or PM_{2.5} reductions, they may include estimates of other quantifiable outputs that have a direct relationship with ozone and/or PM_{2.5} levels. Examples of such outputs are described above. Applicants are encouraged to take advantage of existing EPA tools (i.e., Diesel Emissions Quantifier, Burn Wise Wood Stove Emissions Calculator, etc.) for calculating emissions reductions for each pollutant being addressed. Both annual and lifetime emissions reduced from the project should be included, specifying the anticipated total number of years of the life of the project.

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

- 1) What are the measurable short term and longer term results the project will achieve?
- 2) 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 Public Law 115-31 which authorizes award of targeted air shed grants for demonstration and implementation projects designed to reduce air pollution in nonattainment areas that the Agency determined are ranked as the top five most polluted areas relative to ozone or annual PM_{2.5} standards.

All applications will be reviewed to determine National Environmental Policy Act (NEPA) applicability. If necessary, additional environmental information may be required from Applicants in order to complete the NEPA review process. For more information, please visit EPA's NEPA site <http://www.epa.gov/compliance/nepa/>.

II. AWARD INFORMATION

A. What is the amount of funding available?

The total estimated funding expected to be available for awards under this competitive opportunity is approximately \$30 million.

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, or portion thereof, 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?

The total estimated funding for this competitive opportunity is approximately \$30,000,000. EPA anticipates awarding a total of approximately **6-7** cooperative agreements from this announcement, subject to availability of funds, the quality of applications received, and other applicable considerations. Applicants can submit up to **three applications** per nonattainment area listed on pages 3 – 5 so long as each one is separately submitted and is for a different project. The **maximum amount of federal funding that can be requested per application is \$4,000,000 – applications requesting more than that will be rejected**. 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 early 2018. Proposed project periods may be up to 5 years.

E. Funding Type

The funding for selected projects will be in the form of a grant or cooperative agreement depending upon the nature of the proposed activity and the extent of EPA involvement. 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

Entities eligible to submit applications under this announcement are those air pollution control agencies, as defined by Section 302(b) of the CAA, that: (a) have responsibilities for development and/or implementation of a SIP or TIP to attain and maintain national ambient air quality standards for either ozone or PM_{2.5} within an area identified in Section I.A of this announcement, and (b) have an active air program grant under Section 103 or 105 of the CAA to carry out those responsibilities.

B. Cost Sharing or Matching

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 forms as noted below.

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

- A voluntary cost share is subject to the match provisions in the grant regulations (2 CFR 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, 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 [Grants.gov](https://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](https://www.grants.gov) or relevant [SAM.gov](https://www.sam.gov) system issues. An applicant's failure to timely submit their application through [Grants.gov](https://www.grants.gov) because they did not timely or properly register in [SAM.gov](https://www.sam.gov) or [Grants.gov](https://www.grants.gov) will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their application with Gary Blais (blais.gary@epa.gov) 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. Proposed activities must be for emission reduction activities that will assist in complying with the NAAQS for these pollutants, and that demonstrate the potential for inclusion in the affected jurisdiction’s SIP or TIP submission to EPA intended to meet those standards.
4. Proposed activities must take place in at least one of the nonattainment areas identified in Section I.A of this announcement.
5. Proposed activities must be designed to achieve quantifiable reductions in direct PM_{2.5}, ozone precursors and/or PM_{2.5} precursor emissions (NO_x, CO, VOC, direct PM_{2.5}, SO₂ and ammonia) in one or more of the designated nonattainment areas identified in Section I.A by addressing one or more of the priority emissions-generating or emissions-reducing activities listed in Section I, Part B.
6. Proposed activities must not overlap with the applicant’s current CAA §103 or 105 grant activities.
7. Proposed activities must be to implement emission reductions; applications only including planning exercises will not be awarded.
8. The maximum amount of federal funding that may be requested by an applicant in an application is \$4,000,000 million. Applications requesting more than \$4,000,000 in federal funding will be rejected.
9. Applicants can submit no more than a total of three applications per nonattainment area listed on pages 3 – 5 of this solicitation. If an applicant submits more than three applications in any listed nonattainment area, EPA will contact the applicant to determine which application(s) to withdraw.
10. 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. Requirements 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 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 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 **October 18, 2017, by 11:59 pm 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 complete the forms as appropriate.

- 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 (**sections 1 and 2 below**) cannot exceed a maximum of 15 single-spaced typewritten pages, including the Summary Information Page. Supporting materials, such as resumes and letters of support, can be submitted as attachments and are not included in the 15-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 any voluntary cost share or in-kind resources.
- e. Project period. Provide beginning and ending dates. (Projects are anticipated to begin date and end no later than date.)
- f. DUNS number

2. Narrative Proposal Workplan

The narrative proposal workplan 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:

- i. Detailed project summary, description of specific actions and methods to be undertaken and the responsible institutions.
- ii. Description of the associated work products to be developed.
- iii. Explanation of project benefits to the public, and specifically the potential audience(s) served.
- iv. Explanation of the emissions source categories addressed in the narrative proposal.
- v. Description of the roles of the applicant and partners, if any.
- vi. Description of the applicant's organization and experience related to the proposed project.
- vii. Description of staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.
- viii. Include an estimated and reasonable time line for the various tasks associated with the project.

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, and other means will be used to track, measure and report 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 (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).

Applicants must 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.

e. Detailed Budget Narrative

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. The budget narrative should contain:

- i. Description of the budget and estimated funding amounts for each work component/task.
- ii. Description of the applicant's approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner.
- iii. An itemization of 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.
- iv. 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.

3. Attachments

These are not included in the 15-page limit.

- 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. If applicable, approval letter to use alternate means to submit initial application.

D. Submission Dates and Times

The closing date and time for submission of applications is **October 18, 2017, 11:59 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 criteria set forth below. Applicants must explicitly address these criteria as part of their application package submittal. Each application will be rated under a points system, with a **total of 120 points possible**.

A. Evaluation Criteria

Criteria	Points
<p>1. <u>Project Summary/Approach:</u> Under this criterion, proposals will be evaluated based on the extent and quality of the applicant’s project summary and overall approach. Specifically, the agency will evaluate the following factors:</p> <ul style="list-style-type: none"> i. (15 pts) the extent and quality to which the narrative proposal includes a well-conceived strategy for implementing programs, projects, or approaches that: demonstrate documentable reductions in ozone and/or direct PM2.5 and/or precursor emissions in the designated areas; ii. (10 pts) how clearly the proposal addresses the requirements of Section I, Parts A, B, C, and Section IV Part C, and demonstrates that the threshold eligibility criteria of Section III, Part C are met; iii. (12 pts) the extent and quality to which the proposal establishes approaches and practices that will achieve ongoing, significant reductions of ozone and/or PM2.5, considering the major emission sources in the designated area; iv. (5 pts) the extent and quality to which the proposed activities build and leverage partnerships across multiple stakeholder groups to expand the impact of the project; v. (5 pts) the extent and quality to which the proposed activities create models of success that could be replicable in the airshed or other jurisdictions and/or demonstrate technologies or practices that can achieve greater emission reductions than those currently utilized; and vi. (8 pts) the extent and quality to which 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>55</p>
<p>2. <u>Environmental Results—Outcomes, Outputs and Performance Measures:</u> Under this criterion, the Agency will evaluate the performance measures proposed by the applicant and how they will be used to help track, measure and report the Applicant’s progress towards achieving the expected outputs and outcomes. In addition, 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 Section I of this announcement.</p>	<p>15</p>

<p>3. <u>Programmatic Capability and Past Performance:</u> Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account their:</p> <ul style="list-style-type: none"> i. (5 pts) past performance in successfully completing and managing the assistance agreements identified in the narrative proposal as described in Section IV.C of the announcement, ii. (5 pts) 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, iii. (5 pts) organizational experience and plan for timely and successfully achieving the objectives of the proposed project, and iv. (5 pts) staff expertise and qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project. <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>	<p>20</p>
<p>4. <u>Budget:</u> Under this criterion, the Agency will evaluate the proposed project budget to determine whether:</p> <ul style="list-style-type: none"> i. (5 pts) costs are reasonable to accomplish the proposed goals, objectives, and measurable environmental outcomes and ii. (6 pts) the proposed budget provides a detailed breakout of the approximate funding used for each major activity. <p>An applicant’s budget and budget narrative must account for both federal funds and any non-federal funds (e.g., any voluntary cost share/match if applicable). Applicants must precisely describe in their budget narrative how they will account for any voluntary cost share/match and what role EPA funding will play in the overall project.</p>	<p>11</p>

<p>5. <u>Leveraging/Voluntary Cost-Share:</u> 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>	<p>6</p>
<p>6. <u>Environmental Justice Impacts:</u> Under this criterion, the Agency will evaluate the extent to which the proposed project helps to promote addressing environmental justice issues and concerns (See Section I) including how it will help to minimize and/or reduce exposures and negative impacts of environmental risks to communities, including but not limited to minority, low-income, and tribal communities, that the applicant can demonstrate are more likely to be adversely affected (e.g., higher rates of medical problems due to environmental factors) by such risks than other communities.</p>	<p>7</p>
<p>7. <u>Expenditure of Awarded Grant Funds:</u> 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>	<p>6</p>

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 Selection Official based on this ranking.

C. Other Factors

Final funding decisions will be made by the Headquarters 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.

D. Additional Provisions for Applicants Incorporated into the Solicitation

Additional provisions that apply to this solicitation and/or awards made under this solicitation including the clause on Reporting and Use of Information Concerning Recipient Integrity and Performance can be found at [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 proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain *the provisions*.

VI. AWARD ADMINISTRATION INFORMATION

A. Award Notices

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

EPA anticipates notification to successful applicants will be made via telephone or electronic or postal mail by December 14, 2017. The notification will be sent to the original signer of the proposal or the project contact listed in the proposal. This notification, which informs the applicant that its proposal has been selected and is being recommended for award, is not an authorization to begin work. The official notification of an award will be made by EPA's Grants and Interagency Agreements Management Division. Applicants are cautioned that only a grants officer is authorized to bind the Government to the expenditure of funds; selection does not guarantee an award will be made. For example, statutory authorization, funding or other issues discovered during the award process may affect the ability of EPA to make an award to an applicant. The award notice, signed by an EPA grants officer, is the authorizing document and will be provided through electronic or postal mail. The successful applicant may need to prepare and submit additional documents and forms (e.g., work plan), which must be approved by EPA, before the grant can officially be awarded. The time between notification of selection and award of a grant can take up to 90 days or longer.

EPA anticipates notification to *unsuccessful* applicant(s) will be made via 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>.

C. Reporting Requirement

Quarterly progress reports and a detailed final technical report will be required. Quarterly reports summarizing technical progress, planned activities for the 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. 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://www.epa.gov/ogd/competition/resolution.htm>. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement.

E. Additional Provisions for Applicants Incorporated into the Solicitation

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

VII. AGENCY CONTACTS

For further information, contact:

U.S. Environmental Protection Agency
ATTN: Gary Blais
Office of Air and Radiation /OAQPS
109 T.W. Alexander Drive, Mail Code C304-05
Research Triangle Park, NC 27709
blais.gary@epa.gov

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 Submission Instructions

Grants.gov Application 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 <https://www.grants.gov> and click on “Applicants” on the top of the page and then go to the “Get Registered” link on the page. If your organization is not currently registered with Grants.gov, 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 <https://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 <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

You may also be able to access the application package for this announcement by searching for the opportunity on <https://www.grants.gov>. Go to <https://www.grants.gov> and then click on "Search Grants" at the top of the page and enter the Funding Opportunity Number, EPA-OAR-OAQPS-17-06, or CFDA 66.202, in the appropriate field and click the Search button.

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

Application Submission Deadline: Your organization's AOR must submit your complete application package electronically to EPA through Grants.gov (<https://www.grants.gov>) no later than October 18, 2017. Please allow for enough time to successfully submit your application process and allow for unexpected errors that may require you to resubmit.

Please submit all of the application materials described below using the grants.gov 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 of the announcement

Optional Documents - See Section IV.C of announcement: Use Other Attachments form to submit

- Biographical Sketch
- Negotiated Indirect Cost Rate Agreement
- Quality Assurance Narrative Statement
- Approval letter to use alternate means to submit initial application (if applicable)

When saving application files, please ensure that the following characters are **not** included in the file names: ~ " # % & * : < > ? \ { | }. Including these characters can cause problems with application files.

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 Gary Blais, at (919) 541-3223. 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 [Grants.gov](https://www.grants.gov) by the deadline date and time, follow the guidance below. The Agency will make a decision concerning acceptance of each late submission on a case-by-case basis. All emails, as described below, are to be sent to Gary Blais with the FON in the subject line. If you are unable to email, contact Gary Blais at 919-541-3223. Be aware that EPA will only consider accepting applications that were unable to transmit due to [Grants.gov](https://www.grants.gov) or relevant www.Sam.gov 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 [Grants.gov](https://www.grants.gov) for assistance at 1-800-518-4726 before the application deadline. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a Grants.gov 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 Gary Blais at 919-541-3223.
- 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 blais.gary@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 blais.gary@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.

Please note that successful submission through Grants.gov or via email does not necessarily mean your application is eligible for award.

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 voluntary cost-share, the Budget Detail portion of the narrative proposal must include a detailed description of how the applicant will obtain the cost-share and how the cost-share funding will be used. If EPA accepts an offer for a voluntary cost-share, applicants must meet their sharing commitment as a legal condition of receiving EPA funding. If the proposed cost-share is to be provided by a third-party, a letter of commitment is required. Any form of cost-share included in the Budget Detail must also be included on the SF 424 and SF 424A. Please see Section III.B and IV.C.3 of 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 not directly in support of the proposed project, which may be covered by the organization’s negotiated indirect cost rate. The budget detail must identify the personnel category type by Full Time Equivalent (FTE), including percentage of FTE for part-time employees, number of personnel proposed for each category, and the estimated funding amounts.
- **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 2 CFR Part 200. 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

Line Item and Itemized Cost	EPA Funding	**Cost-Share
Personnel		
(1) Project Manager @ \$40/hr x 10 hrs/week x 52 wks		\$20,800
Percentage of time per task:		

Task 1: 40% of total hours Task 2: 20% of total hours Task 3: 10% of total hours Task 4: 20% of total hours Task 5: 10% of total hours		
Project Staff #1 @ \$25/hr x 40 hrs/week x 40 wks Task 1: 40% of total hours Task 2: 20% of total hours Task 3: 10% of total hours Task 4: 20% of total hours Task 5: 10% of total hours	\$40,000	
Project Staff #2 @ \$25/hr x 40 hrs/week x 40 wks Task 1: 0% of total hours Task 2: 40% of total hours Task 3: 10% of total hours Task 4: 40% of total hours Task 5: 10% of total hours	\$40,000	
Project Staff #3 @ \$25/hr x 40 hrs/week x 40 wks Task 1: 20% of total hours Task 2: 10% of total hours Task 3: 10% of total hours Task 4: 30% of total hours Task 5: 30% of total hours	\$40,000	
TOTAL PERSONNEL	\$120,000	\$20,800
Fringe Benefits		
20% of Salary and Wages	20% (120,000)	20% (20,800)
- Retirement, Health Benefits, FICA, SUI	\$24,000	\$4,160
TOTAL FRINGE BENEFITS	\$24,000	\$4,160
Travel		
Travel for Project Manager and staff: 500 mi/mo @ \$0.55/mi x 12 mos.	\$3,300	
TOTAL TRAVEL	\$3,300	
Equipment		
TOTAL EQUIPMENT	0	
Supplies		
Office and related supplies to support training	\$10,000	
TOTAL SUPPLIES	\$10,000	

Contractual		
Support Services Contract for Task 1:	\$245,000	
Support Services Contract for Task 2	\$220,000	
Support Services Contract for Task 3	\$80,000	
Subtask: National Annual Meeting	\$75,000	
Support Internship Contract for Task 5	\$50,000	
TOTAL CONTRACTUAL	\$670,000	
Other		
TOTAL OTHER	\$0	
Indirect Charges		
Federal Negotiated Indirect Cost Rate = 10% (Indirect Rate x Personnel = Indirect Costs)	\$95,230	
TOTAL INDIRECT	\$95,230	
TOTAL FUNDING	(fed) \$922,530	(non-fed) \$24,960
TOTAL PROJECT COST (federal and non-federal)	\$947,490	

** Cost-Share funds, while not required under this RFA, must also be included on the SF-424A.

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.