

**National Risk Management Research Laboratory**  
**Advanced Decentralized Water/Energy Network Design for Sustainable Infrastructure**

**ANNOUNCEMENT TYPE:** Initial

**FUNDING INSTRUMENT:** Cooperative Agreement

**NUMBER:** EPA-ORD-NRMRL-CI-08-09

**DATES:**

**OPENING DATE:** August 18, 2008

**CLOSING DATE:** October 7, 2008

The closing date and time for postmark of applications or electronic receipt of applications is **October 7, 2008, at 4:30 p.m. EST.** All applications must be post marked or submitted thru [www.grants.gov](http://www.grants.gov) as described in Section IV., by the closing date and time to receive consideration. No late proposals will be accepted.

To allow efficient management of the competitive process, EPA requests submittal of an informal notice of an “Intent to Apply,” by **September 22, 2008.** 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 proposals.

**TITLE:** Advanced Decentralized Water/Energy Network Design for Sustainable Infrastructure

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

**CATEGORY OF FUNDING:** Environment

**NUMBER OF EXPECTED AWARDS:** One

**CEILING:** \$ 1,250,000 - EPA anticipates awarding one cooperative agreement, and it will be funded for up to \$250,000 per year for 5 years

**CFDA:** 66.511

**COST SHARING OR MATCHING:** Cost sharing is not required by statute or regulation; however, voluntary cost sharing will be evaluated in accordance with evaluation criteria set forth in Section V.

**GEOSPATIAL INFORMATION:** Not Applicable

**ELIGIBILITY INFORMATION:** Programs under CFDA 66.511 are available to each State, territory and

possession, and Tribal nation of the United States, including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, and other public or private nonprofit institutions and in some cases, individuals or foreign entities who have demonstrated unusually high scientific ability. Profit-making firms are not eligible to receive awards. Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. Universities and educational institutions must be subject to OMB Circular A-21.

**FEDERAL AGENCY:** ENVIRONMENTAL PROTECTION AGENCY (EPA), National Risk Management Research Laboratory, Water Supply and Water Resources Division

**DESCRIPTION:** The objective of this research effort is to produce, evaluate, and summarize the cost, performance, and long-term reliability of coupling energy and water conservation technologies, modeling capabilities, and decision-support tools to reduce and optimize energy consumption in the treatment, conveyance, and use of water while utilizing water in the most efficient manner possible and in turn, increasing water supplies by virtue of reusing wastewater, stormwater, and preventing excess runoff. Outputs are sought that will include technical reports, journal articles, expert workshops, design models, and decision-support templates of benefit to the user community that consists of drinking water and wastewater utilities, state enforcement agencies, regulators, consulting engineers, and the academic community.

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## **Application Materials**

You may submit either a printed application or an electronic application (but not both) for this announcement. The printed application must be submitted to the address as specified in Section IV.C. To apply electronically, the electronic application package available through the <http://www.grants.gov/> web site must be used. If your organization is not currently registered with grants.gov, you need to allow approximately one week for completion of the registration process. This registration, and electronic submission of your application, must be performed by an appropriate representative of your organization.

## **Agency Contact Person for Electronic Access Problem**

Cynthia Johnson: (513) 569-7873 email: [johnson.cynthia@epa.gov](mailto:johnson.cynthia@epa.gov)

## **Link to Full Announcement**

<http://www.epa.gov/nrmrl/tech/funding.html>



## FULL TEXT OF ANNOUNCEMENT

### **Advanced Decentralized Water/Energy Network Design for Sustainable Infrastructure EPA-ORD-NRMRL-CI-08-09**

#### I. FUNDING OPPORTUNITY DESCRIPTION

##### A. BACKGROUND

Aging and deteriorating water infrastructure is a priority issue for EPA. In 2002, the EPA's Office of Water (OW) carried out a study to gain a better understanding of the challenges facing the Nation's drinking water and wastewater utilities. In September 2002, the Agency published The Clean Water and Drinking Water Infrastructure Gap Analysis (EPA-816-R-02-020), also known as the "*Gap Analysis*" report (U.S. EPA, 2002).

EPA OW's response to the aging water infrastructure problem is the Sustainable Water Infrastructure Initiative (SI), which seeks to promote and enable better use of our resources, reduce the funding gap and move the Nation's water infrastructure down a pathway toward sustainability. The SI identifies four main "pillars": better management, full-cost pricing, watershed approach, and water efficiency that support sustainable water infrastructure. The SI seeks to promote and support better execution by utilities in these four "pillar" areas. Led by OW and supported by many other Program Offices and the Regions, SI represents a collaboration with public and private utilities and municipal governments that provide drinking water and wastewater services; state and tribal water and wastewater programs; drinking water and wastewater equipment manufacturers and consultants; academia; and environmental advocacy groups.

Over the last several years, energy consumption by the water and wastewater sector has considerably increased as a result of the implementation of new technologies and approaches to safeguard water quality and to meet new regulations. Also, the price of energy has substantially increased in the same period. It is imperative that optimization of energy use, more efficient equipment and treatment technologies, energy recovery, and even energy production must become a part of the services and activities being undertaken by drinking water and wastewater utilities.

EPA's Office of Research and Development (ORD) research program not only supports the OW SI, but also must fulfill its responsibilities towards the Global Climate Change, Water Quality, and Drinking Water program offices. As such, it will provide financial support to recipient organizations for carrying out research in watershed management integration, water reuse, energy optimization, removal of emerging contaminants, and water efficiency.

## **B. OBJECTIVES (DESCRIPTION)**

As part of ORD's Aging Water Infrastructure Research Program (AWI RP), this RFA seeks to develop a total water management approach by incorporating water efficiency into "green" certification programs such as Leadership in Energy and Environmental Design (LEED) and the US Green Building Council (USGBC) rating system. In order to provide a water infrastructure that is more sustainable into and beyond the 21<sup>st</sup> century, drinking water distribution systems and wastewater collection systems must account for our diminishing water supply, increasing demands, climate change, energy cost and availability. Water efficiency must be equally addressed with energy efficiency going far beyond simply adding low flow toilets and faucets in new buildings and retro-fits. Therefore, it is the goal of this RFA "Advanced Decentralized Water/Energy Network Design for Sustainable Infrastructure" to provide detailed cost-benefit analysis of LEED and sustainable design elements in terms of a detailed analysis of both water and energy systems utilizing Low Impact Development (LID) and conduct post-occupancy monitoring of building comfort, cost, energy, CO2 emission impact, and water conservation.

Much work has been done to evaluate energy efficient options for the built environment with some work beginning on applying water saving and reuse technologies in commercial, neighborhood, and institutional settings. Universities and hospitals provide a unique challenge in applying energy and water efficiency technologies due to their multipurpose use functions and critical nature of their service. A compounding factor in designing a water and energy sustainable building is climate variability. Seasonal changes in rainfall, temperature, and precipitation overlain with increased storm intensity/occurrence as a result of climate change requires a higher degree of technological sophistication and flexibility. Stormwater Best Management Practices (BMPs) such as green roofs, porous pavement, bioinfiltration swales, rain gardens, and wastewater/stormwater reuse technologies can include energy and water efficient approaches to newly constructed and rehabilitated built environments.

This RFA seeks to provide financial assistance to a recipient organization to evaluate innovative water and energy design and application of the design for new buildings, for example, using advanced LEED certification. This project should focus on the methods and the capability of new construction to achieve water and energy independence in a sustainable approach. This project should result in the ability to evaluate the impacts of water conservation and integration into LEED ratings also making recommendations for future rating criteria fully considering sustainable water activities when compared to traditional building designs in similar settings. Although this project should take place in a temperate region with variable precipitation and temperature, it should also result in recommendations for various other eco-regions within the United States. Recommendations should also include guidance on how existing built environments (brownfields) in various eco-regions can be retro-fitted or rehabilitated cost-effectively.

Another facet of this RFA is the development and application at the field-scale of innovative unit processes to treat black water, grey water, stormwater, and drinking water utilizing multiple

distribution and collection pipe systems in order to provide a total water management approach. These technologies should especially address emerging contaminants such as EDCs, Pharmaceuticals & Personal Care Products, nutrients, pathogens, disinfection by-products, and degradation products with the:

1. Ability to pilot test novel technologies for water treatment and reuse, energy efficiency technologies and applications, alternative energy supply, and reduced carbon footprint to be utilized in a Green Building setting.
2. Ability to develop hybrid technologies for water and energy efficiency applications in Green Buildings.
3. Ability to study and test alternative fuels.
4. Plan to integrate Green Building concepts with local water, wastewater and electric utilities.
5. Ideas for evaluating Green Building metrics and providing innovative approaches to water and energy concepts for integrated sustainable solutions.
6. Ability to include additional research studies into an ongoing scientific Green Building solution.

The recipient should also provide guidance for a program of continuous monitoring of water and energy use, disseminating the information, educating the public, and developing an engineering curriculum. The user community consists of utilities (primary client), technology and service providers, researchers and research funding organizations, and regulators.

**C. ENVIRONMENTAL RESULTS (EPA Strategic Plan Linkage and Anticipated Outcomes/Outputs):**

Linkage to EPA Strategic Plan. Tasks under this announcement are in support the EPA Strategic Plan's Goal 2, "Clean and Safe Water;" Objective 2.3, "Enhance Science and Research." EPA's strategic plan can be found at:

**[http://www.epa.gov/ocfo/plan/2006/entire\\_report.pdf](http://www.epa.gov/ocfo/plan/2006/entire_report.pdf)**

The EPA/ORD water infrastructure research program is described in greater detail in "Innovation and Research for Water Infrastructure for the 21<sup>st</sup> Century – Research Plan" (U.S. EPA, 2007)

1. 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. An applicant's proposal will be evaluated on the extent it includes anticipated outputs (see Section V). The outputs of

this project will assist users to more effectively meet Clean Water Act and Safe Drinking Water Act requirements. This agreement is expected to result in technical guidance documents, published research papers, and other technical reference material on topics such as:

- The integration of energy conservation and green infrastructure practices, best management practices (BMPs), and Low Impact Development (LID).
- Performance and cost of innovative energy and water conservation technologies
- Innovative approaches for wastewater/stormwater treatment,
- Approaches to evaluate the efficacy of water and wastewater/stormwater treatment for emerging contaminants,
- Innovative approaches to the management and monitoring of water quality in drinking water, grey water, black water, and fire flow pipe networks within a neighborhood scale built environment,
- Approaches to substantially reduce energy usage and/or costs in water conveyance and treatment via alternative fuel supplies, carbon sequestration, algal systems, nanotechnology, and,
- Decision support systems that enable more efficient and effective selection of critical operation, maintenance, and capital improvement options.

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

2. 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. Applicant’s proposals will be evaluated on the quantity, quality, and probability of anticipated outcomes (see Section V) arising from the proposed research. Projects to be funded under this announcement are expected to contribute to the attainment of the desired primary outcome of this program, which is to assist the user community, such as water utilities, to more effectively meet their Clean Water Act and Safe Drinking Water Act requirements and conserve energy in the production of drinking water, wastewater, improve water efficiency, reduce the carbon footprint of the water industry, and improve water infrastructure sustainability. This desired outcome will be achieved by providing the user community with technical data, guidance, and decision support tools that will improve their capability to identify, select, and implement appropriate innovative approaches for optimizing energy and water resources.

#### **D. STATUTORY AUTHORITIES:**

The Clean Water Act (CWA) Section 104 (b) allows for the award of assistance for research, investigations, experiments, training, demonstrations, etc. for projects relating to the causes, effects, extent, prevention, reduction and elimination of water pollution.

CWA: This funding opportunity will seek innovative technologies for wastewater/stormwater conveyance and treatment, including water reuse, to address the dynamic requirements for reducing and eliminating water pollution and the growing demands for safe and reliable reclaimed wastewater and stormwater.

The Safe Drinking Water Act (SDWA), as Amended Section 1442 allows for the award of assistance for research, investigations, training, demonstrations, etc. for projects providing for a dependably safe supply of drinking water to the public.

SDWA: This funding opportunity will seek innovative technologies for improving water transmission, distribution, and treatment technologies that will improve drinking water quality, efficiency, and sustainability.

**E. GEOSPATIAL INFORMATION:** Not Applicable

## **II. AWARD INFORMATION**

A. **Anticipated Funding:** EPA anticipates awarding one cooperative agreement from this announcement. Funding is anticipated at up to \$250,000 per year for 5 years with maximum potential funding of \$1,250,000 over the five year period of performance. EPA funding is subject to the availability of funds.

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. **Number of Awards.** EPA anticipates award of one cooperative agreement. In addition, EPA reserves the right to make additional awards under this announcement, consistent with Agency policy, if additional funding becomes available. Any additional selections for awards will be made no later than six months after the original selection date.

D. **Project Periods.** The estimated project period for awards resulting from this solicitation will be as set forth below.

**December 1, 2008 – November 30, 2013**

E. **Anticipated Federal Involvement**

EPA recommends collaborating with the recipient in the following areas. Recipients shall propose desired areas for EPA collaboration:



- Review of plans and progress
- Review of stakeholder group members (final decision on stakeholders is recipient's)
- Provide feedback on recipient/stakeholder prioritization of technology areas and specific projects
- Sharing data from related projects
- Arrangement/participation in controlled condition testing at EPA special test facilities in Edison and Cincinnati (as determined necessary by the recipient organization and availability)

### III. ELIGIBILITY INFORMATION

A. Eligible Applicants: Programs under CFDA 66.511 are available to each State, territory and possession, and Tribal nation of the United States, including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, and other public or private nonprofit institutions and, in some cases, individuals or foreign entities who have demonstrated unusually high scientific ability. Profit-making firms are not eligible to receive awards. Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. Universities and educational institutions must be subject to OMB Circular A-21.

B. Cost Sharing or Matching. Cost-sharing **is not required by statute or regulation**. However, voluntary cost sharing will be evaluated as part of the overall budget as set forth in Section V. A statement concerning cost-sharing should be added to the budget justification and **should be expressed as a percentage of the total budget for the project**. The dollar amount associated with this percentage must be included in the appropriate categories in the budget table.

If EPA accepts an offer for a cost share/match, applicants must meet their matching/sharing commitment as a condition of receiving EPA funds. Applicants may use their own funds or other resources for voluntary match/cost/share participation if the standards at 40 CFR 30.23 or 40 CFR 31.24, as applicable, are met. Only eligible and allowable costs may be used for voluntary matches/cost shares/participation. Any restrictions on the use of grant funds also apply to cost shares or matches. Other Federal grants may not be used as voluntary matches or cost shares without specific statutory authority (e.g., HUD's Community Development Block Grants)

Should EPA funding be reduced, the recipient cost share obligation will be adjusted based on the amount of EPA funding.

### C. Threshold Eligibility Criteria:

1. Administrative Eligibility Criteria: 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 application, pages in excess of the page limitation will not be reviewed. In addition, applications must be postmarked by or electronically received through **www.grants.gov**, as specified in Section IV of this announcement, on or before the application submission deadline published in Section IV of this announcement. The applicant is responsible for ensuring that its application reaches the designated person/office specified in Section IV of the announcement by the submission deadline. Applications postmarked or electronically transmitted after the submission deadline will be considered late and returned to the sender without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling. Applicants should confirm receipt of their application with **Cynthia Johnson at (513) 569-7873 or by email at johnson.cynthia@epa.gov** as soon as possible after the submission deadline—failure to do so may result in your application not being reviewed.

2. Relevance Eligibility Criteria: Proposals must address the objectives in Section I.B of this announcement.

Applications will be reviewed for threshold eligibility purposes prior to initiation of the technical and programmatic reviews under Section V. Proposals from ineligible applicants or proposals that do not meet the eligibility criteria set forth above will be returned without further review within 15 calendar days of the date of the ineligibility determination.

**\*Note: Applicants whose proposals are deemed ineligible for funding consideration based on Section III Eligibility Criteria will be notified within fifteen calendar days of the ineligibility determination.**

## IV. APPLICATION AND SUBMISSION INFORMATION

Applicants must submit a complete, detailed application to include all of the documents described in Section IV.A., below, regardless of the mode of transmission. Additional guidance on completing the documents is available at EPA's Office of Grants and Debarment (<http://www.epa.gov/ogd/>). Applicants may submit either a hard-copy printed application or an electronic application through grants.gov (but not both) for this announcement. Applications may not be submitted via email. Instructions for both forms of submission follow in Sections IV.B. and C.

### A. Application Materials

The application is made through submission of the materials described below. ***It is essential that the application contain all information requested and be submitted in the formats described.*** The application must contain the following items:

**1. Application For Federal Assistance (SF-424).** Complete the form. There are no attachments. Please be sure to include the organization fax number and email address in Block 5 of the SF-424.

This form will be the *first page* of the application. Instructions for completion of the SF-424 are included with the form. (However, note that EPA requires that the entire requested dollar amount appear on the 424, not simply the proposed first year expenses.) The form must contain the original (or electronic) signature of an authorized representative of the applying institution. Please note that both the Principal Investigator and an administrative contact are to be identified in Section 5 of the SF-424. The applicant's DUNS number must be included. (See Section VIII for instructions on obtaining a DUNS number.)

**2. Budget Information for Non-Construction Programs (SF-424A).** At a minimum, complete Section B- Budget Information and Section F-Other Budget Information. The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

For purposes of developing project budgets, EPA anticipates providing up to \$250,000 per year for a five year period with a total budget of \$1,250,000. The applicant's budget should be **increased by any voluntary cost share being evaluated in Section V.**

If amounts are budgeted for subcontracts, provide a description of the work that will be subcontracted and an explanation of why it must be subcontracted. Indicate whether the subcontracts will be awarded competitively or if not, what justification exists to make a non-competitive award.

Describe the basis for calculating the personnel, fringe benefits, travel, equipment, supplies, contractual support, and other costs identified in the itemized budget and explain the basis for their calculation. (Special attention should be given to explaining the "travel," "equipment," and "other" categories.) For any proposed equipment, identify any tangible non-expendable personal property to be purchased which has an estimated cost of \$5,000 or more per unit and a useful life of more than one year. (Personal property items with a unit cost of less than \$5,000 are considered supplies.) Tips for preparing the budget support can be found at <http://www.epa.gov/ogd/recipient/tips.htm>.

**3. Key Contact Form:** EPA Key Contacts Form 5700-54 should include the

Principal Investigator, Co-Investigators, and administrative contacts. A copy of this form should also be completed for major sub-agreements (contacts at the institutions of primary co-investigators).

#### **4. Project Narrative and Supporting Documentation**

The project narrative and supporting documentation should be readable in PDF, MS Word or Word Perfect WP6/7/8 for Windows and consolidated into a single file, and must be in English. The Project Narrative must not exceed twenty (20) pages consecutively numbered (bottom center), 8.5X11-inch pages of single-spaced, standard 12-point type with 1-inch margins. This page limitation shall include all text, tables, figures, references, attachments, and appendices. The project narrative page limit does not include the materials requested below in items b and c. Also, it does not include the SF424 and SF 424A.

The project narrative describes the proposed technical approach and organizational capabilities for accomplishing the goals stated under the Funding Opportunity in Section I. In developing the project narrative, the applicant must focus on **Technical Evaluation Criteria** set forth in Section V and structure the proposal to address each criterion in the order listed.

- a. The project narrative shall contain the following components.
  - i. Detailed Project Summary  
This includes a description of technical approach, specific actions, methods, and schedule for implementing the proposed research that is responsive to the objectives described in Section I.B., and a discussion of the rationale and process for selecting, reviewing, and managing the proposed research.
  - ii. Environmental Results—Outcomes and Outputs.
    - a. The primary expected environmental outcomes of the project (See Section I) shall be identified, as well as key measurements that can be made to track progress toward achieving the expected outcomes. Identify measurements, if any, which will be made during the project to determine progress toward attaining the desired outcomes.
    - b. The project outputs shall be identified. The link between project outputs and expected outcomes shall be described. The approach to measuring attainment of satisfactory outputs shall be described
  - iii. Personnel Qualifications  
The proposed staff, their roles, their estimated level of effort applied to the project, and their knowledge, skills, and experience relevant to the project shall be described.

- iv. Facilities and Equipment  
The facilities and equipment that will be used to perform the project shall be described.
- v. Budget  
The budget, including estimated funding amounts for each work component/task shall be discussed. This section provides an opportunity for narrative description of the budget or aspects of the budget found in the SF-424A such as “other” and “contractual.”
- vi. Cost Sharing/Matching  
The applicant shall describe their ability to leverage funding including any voluntary cost-sharing/matching arrangement or in-kind contribution. Cost share/match can be in the form of funds or can come from in-kind contributions such as donated time, equipment, expertise, subject to regulations governing matching 40 CFR 30.23 and 40 CFR 31.24.
- vii. Roles of Applicants and Proposed Partners  
The roles of the applicant and proposed partners (see Section IV.G, if any partnerships are planned), including plans for communications and coordination, shall be clearly described.
- viii. Quality System Description  
The Quality System used by the applicant to provide the framework for planning, implementing, and assessing work performed to carry out the required quality assurance and quality control activities shall be described. The Quality System description shall include: (1) a description of the organization’s Quality System(QS) and information regarding how this QS is documented, communicated, and implemented; (2) an organizational chart showing the position of the QA function; (3) delineation of the authority and responsibilities of the QA function; (4) the background and experience of the QA personnel who will be assigned to the project; and, (5) the organization’s general approach for accomplishing the QA specifications for the proposed research.  
Note: A Quality Management Plan, as specified in IV.A.4.c., shall also be submitted. The QMP, and other items required in IV.A.4.c. do not count against the 20-page limit.
- ix. Supporting Documentation  
As applicable, supporting documentation, obtained from user organizations in support of RFA objectives and activities, and the applicant’s technical proposal.

b. A demonstration of the applicant's programmatic capability (separate from the Project Narrative) to successfully complete and manage the proposed project, which should include documentation of past performance in meeting the reporting requirements including submitting acceptable final reports. Applicants should at a minimum submit a list of projects of similar size, scope and relevance to the proposed project that the applicant's proposed PI and (if applicable) co-PIs have undertaken in the past five years with Federal and/or non-federal agencies. Include the title, the Principal Investigator, the total amount funded, the project period, a brief (1-3 lines) description of the project, and the record of resulting peer-reviewed publications. Provide a point of contact in the primary sponsor's organization with email address and telephone. The information provided will be used by the Agency in conjunction with other readily available information to evaluate the applicant's past performance. The Agency, as a part of the evaluation process, may contact the referenced sponsor to obtain more detailed information of the applicant's recent past performance in completing projects of similar size, scope and relevance. The documentation submitted in response to this item will not be counted against the 20-page limit for the project narrative.

c. Attachments: The following attachments will not be counted against the 20 page limitation set forth in Section 4.a. Other attachments will count against the 20-page limit.

1. Resumes (biographical sketch). Provide resumes or curriculum vitae for all principal investigators and any other key personnel.
2. Support Letters (if applicable). Specifically indicate how the supporting organization will assist in the project.
3. Certifications and Disclosures.

**All required grant certifications and disclosures shall be provided with the application. Certifications and disclosures can be obtained from the Office of Grant and Debarment website at [www.epa.gov/ogd](http://www.epa.gov/ogd)**

- ASSURANCES NON-CONSTRUCTION PROGRAMS CERTIFICATION
- CERTIFICATION REGARDING LOBBYING and SF LLL (Applicable if EPA funds are over \$100,000)
- EPA FORM 4700-4 PRE-AWARD COMPLIANCE REVIEW REPORT
- COPY OF NEGOTIATED INDIRECT COST RATE AGREEMENT
- KEY CONTACTS FORM 5700-54
- COMPLETE APPLICATION RECEIPT LETTER (If you want to receive notification of receipt)
- QUALITY ASSURANCE MANAGEMENT PLAN (QMP)
  - The QMP shall comply with ANSI/ASQ E4-2004: *Quality*

*Systems for Environmental Data and Technology Programs — Requirements with Guidance for Use* - see EPA Order 5360.1 A2 [<http://www.epa.gov/quality/qs-docs/5360-1.pdf>]). The QMP must also comply with the requirements in Section 2.0 and Appendix B of Quality Management Plan for NRMRL, U.S. EPA (Dec., 2007), which are based on EPA Requirements for Quality Management Plans, EPA QA/R-2, March, 2001 (<http://www.epa.gov/quality/qs-docs/r2-final.pdf>).

## **B. Submission Instructions for Electronic Applications Using Grants.gov**

### **General Application Instructions:**

The electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov. For more information, go to <http://www.grants.gov> and click on “Get Registered” on the left side of the page. *Note that the registration process may take a week or longer to complete.* If your organization is not currently registered with Grants.gov, please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

To begin the proposal/application process under this grant announcement, go to <http://www.grants.gov> and click on the “Apply for Grants” tab on the left side of the page. Then click on “Apply Step 1: Download a Grant Application Package” to download the compatible Adobe viewer and obtain the application package. **To apply through grants.gov you must use Adobe Reader applications and download the compatible Adobe Reader version ( [Adobe Reader applications are available to download for free on the Grants.gov website.](#) For more information on Adobe Reader please visit the [Help section](#) on grants.gov at <http://www.grants.gov/help/help.jsp> or [http://www.grants.gov/aboutgrants/program\\_status.jsp](http://www.grants.gov/aboutgrants/program_status.jsp)).**

To begin the application process under this grant announcement, go to <http://www.grants.gov> and click on “Apply for Grants” on the left side of the page. Then click on “Apply Step 1: Download a Grant Application

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number, EPA-ORD-NRMRL-CI-08-09, or the CFDA number that applies to the announcement (CFDA 66.511), in the appropriate field. You may also be able to access the application package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

**Application Submission Deadline:** Your organization's AOR must submit your complete application electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **October 7, 2008.**

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

1. Application for Federal Assistance (SF-424)
2. Budget Information for Non-Construction Programs (SF-424A)
3. Key Contact Form 5700-54
4. Project Narrative and Supporting Documentation
5. Certifications and Disclosures (available at: [www.epa.gov/ogd](http://www.epa.gov/ogd))

Documents 1 through 5 listed under Application Materials in Section IV.A of this announcement should appear in the "mandatory Documents" box on the grants.gov Grant Application Package page.

For documents 1-3, click on the appropriate form and then click "Open Form" below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click "Save". When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, "Move Form to Submission List". This action will move the document over to the box that says, "Mandatory Completed Documents for Submission."

For document 4 and 5, you will need to attach electronic files. Prepare each of the documents as described above in Section IV.A and save the documents to your computer as an MS Word, PDF or WordPerfect file. When you are ready to attach your proposal to the application package, click on "Project Narrative Attachment Form", and open the form. Click "Add Mandatory Project Narrative File", and then attach your proposal (previously saved to your computer) using the browse window that appears. You may then click "View Mandatory Project Narrative File" to view it. Enter a brief descriptive title of your project in the space beside "Mandatory Project Narrative File Filename", the filename should be no more than 40 characters long. If there are other attachments that you would like to submit to accompany your proposal, you may click "Add Optional Project Narrative File" and proceed as before. When you have finished attaching the necessary documents, click "Close Form". When you return to the "Grant Application Package" page, select "Project Narrative Attachment Form" and click "Move Form to Submission List". The form should now appear in the box that says, "Mandatory Completed Documents for Submission".

Once you have finished filling out all of the forms/attachments and they appear in one of the "Completed Documents for Submission" boxes, click the "Save" button that



appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: “Applicant Name – FY 08 (grant category; e.g., Assoc Prog Supp) – 1<sup>st</sup> Submission” or “Applicant Name – FY 08 (grant category) – Back-up Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2<sup>nd</sup> submission should be changed to “Applicant Name – FY 08 (grant category) – 2<sup>nd</sup> Submission.”

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

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the fiscal year (e.g., FY08), and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she should contact grants.gov for assistance (Phone: 1-800-518-4726, Email: <http://www.grants.gov/help/help.jsp>). If submission problems are not quickly resolved, contact the NRMRL electronic submission support person, **Cynthia Johnson at (513) 569-7873 or johnson.cynthia@epa.gov.**

Application packages submitted through grants.gov will be time/date stamped electronically.

If you have not received a confirmation of receipt from EPA (not from grants.gov) within 30 days of the application deadline, please contact the individual identified in Section VII. Failure to do so may result in your application not being reviewed.

### **C. Submission Instructions for Printed Hard-Copy Applications**

Submit a complete application including all of the supporting documents identified in Section IV.A of this announcement to the following address. The complete application *must be* sent through regular mail, express mail, or a major courier and be postmarked by the closing date identified therein, **October 7, 2008.**

US Environmental Protection Agency  
National Risk Management Research Laboratory

Water Supply and Water Resource Division  
ATTN: Cynthia Johnson (Announcement EPA-ORD-NRMRL-CI-08-09)  
MS 207  
26 W. Martin Luther King Drive  
Cincinnati OH 45268

Because of security concerns, applications cannot be personally delivered. To be considered timely, printed applications must be post marked by 4:30 p.m. local time and mailed to the location above by the U.S. Postal Service or a major courier. Applications post marked after the deadline will not be considered and will be returned to the submitter. Printed hard-copy applications, including all documents stated in Section IV.A. above, must be submitted in the **original with 4 copies as set forth above** and should be double-sided. Grant application forms can be found at <http://www.epa.gov/ogd/AppKit/application.htm>

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

All applications must be postmarked or received electronically via grants.gov on or before **October 7, 2008, 4:30 p.m. EST**. Proposals received after the closing date and time will not be considered for funding.

#### **E. Intergovernmental Review**

Executive Order 12372, "Intergovernmental Review of Federal Programs," does not apply to the Office of Research and Development's research and training programs unless EPA has determined that the activities that will be carried out under the applicants' proposal (a) require an Environmental Impact Statement (EIS), or (b) do not require an EIS but will be newly initiated at a particular site and require unusual measures to limit the possibility of adverse exposure or hazard to the general public, or (c) have a unique geographic focus and are directly relevant to the governmental responsibilities of a State or local government within that geographic area.

If EPA determines that Executive Order 12372 applies to an applicant's proposal, the applicant must follow the procedures in 40 CFR Part 29. The applicant must notify their state's single point of contact (SPOC). To determine whether their state participates in this process, and how to comply, applicants should consult <http://www.whitehouse.gov/omb/grants/spoc.html>. If an applicant is in a State that does not have a SPOC, or the State has not selected research and development grants for intergovernmental review, the applicant must notify directly affected State, area-wide, regional and local entities of its proposal.

EPA will notify the successful applicant(s) if Executive Order 12372 applies to its

proposal prior to award.

#### **F. Funding Restrictions**

Funding of the first year of the award is anticipated to be up to \$250,000 per year and each (4) additional year for total EPA funding of up to \$1,250,000. All EPA funding is contingent upon availability of funds and satisfactory performance during the budget period.

Management Fees: When formulating budgets for proposals/applications, applicants must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicant's cognizant audit agency, or at the rate provided for by the terms of the agreement negotiated with EPA. The term "management fees or similar charges" refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA assistance agreements. Management fees or similar charges may not be used to improve or expand the project funded under this agreement, except to the extent authorized as a direct cost of carrying out the scope of work.

#### **G. Partnerships**

EPA awards funds to one eligible applicant as the recipient even if other eligible recipient is accountable to EPA for the proper expenditure of funds.

Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those contained in 40 CFR Parts 30 or 31, as appropriate. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 40 CFR Parts 30 or 31, as appropriate. The regulations also contain limitations on consultant compensation. Applicants are not required to identify subawardees/subgrantees and/or contractors (including consultants) in their proposal/application. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the proposal/application EPA selects for funding does not relieve the applicant of its obligations to comply with subaward/subgrant and/or competitive procurement requirements as appropriate. Please note that applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal/application.

Successful applicants cannot use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire

commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subawardee or subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance under Subpart B Section .210 of OMB Circular A-133 , and the definitions of subaward at 40 CFR 30.2(ff) or subgrant at 40 CFR 31.3, as applicable. EPA will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 40 CFR Part 30 or 40 CFR Part 31.36 and cannot use a subaward/subgrant as the funding mechanism.

Section V. of the announcement describes the evaluation criteria and evaluation process that will be used by EPA to make selections under this announcement. During this evaluation, except for those criteria that relate to the applicant's own qualifications, past performance, and reporting history, the review panel will consider, as appropriate and relevant, the qualifications, expertise, and experience of:

(i) an applicant's named subawardees/subgrantees identified in the proposal/application if the applicant demonstrates in the proposal/application that if it receives an award that the subaward/subgrant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use subawards/subgrants to obtain commercial services or products from for profit firms or individual consultants.

(ii) an applicant's named contractor(s), including consultants, identified in the proposal/application if the applicant demonstrates in its proposal/application that the contractor(s) was selected in compliance with the competitive Procurement Standards in 40 CFR Part 30 or 40 CFR 31.36 as appropriate. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

EPA will not consider the qualifications, experience, and expertise of proposed subawardees/subgrantees and/or contractors during the proposal/application evaluation process unless the applicant complies with these requirements.

## **H. Modifications to this Announcement**

Modifications to this announcement will be posted on grants.gov under this Funding Opportunity Number and the due date for applications will be extended if deemed appropriate.

**I. Confidentiality**

By submitting an application in response to this solicitation, the applicant grants the EPA permission to make limited disclosures of the application to technical reviewers both within and outside the Agency for the express purpose of assisting the Agency with evaluating the application. Information from a pending or unsuccessful application will be kept confidential to the fullest extent allowed under law; information from a successful application may be publicly disclosed to the extent permitted by law.

In accordance with 40 CFR 2.203, applicants may claim all or a portion of the application/proposal as confidential business information (for example, hypotheses or methodologies contained in the research narrative that the applicant wishes to protect from possible public disclosure). EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions of applications/proposals they claim as confidential. If no claim of confidentiality is made, the EPA is not required to make an inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure.

**V. Application Review Information**

Each application that meets the eligibility requirements set forth in Section III will be subjected to technical and programmatic reviews. The technical review will be conducted by a panel consisting of at least two non-EPA reviewers and one EPA reviewer who are able to demonstrate expertise and a lack of any conflict of interest. The purpose is to evaluate the scientific merit of the proposal and the capability of the applicant to complete the project as proposed. The programmatic review will be conducted by other qualified EPA personnel who are able to demonstrate a lack of any conflict of interest. The purpose is to evaluate the applicant’s past performance in conducting projects of similar size, scope and relevance.

The following criteria will be used in the evaluation process:

**A. Evaluation Criteria**

Each eligible proposal will be evaluated according to the criteria set forth below. Applicants should directly and explicitly address these criteria as part of their proposal submittal. Each application will be rated under a points system, with a total of 100 points possible.

**Technical Evaluation Criteria (100 Points)**

**1. Adequacy of Project Summary (i.e., technical approach, specific actions, methods, and schedules), Outputs and Outcomes .....(25 points)**

a. The proposed technical approach demonstrates a clear understanding of relevant scientific and technical issues, research, and user community needs. **(5 points)**

b. There is a clear, logical link between the technical objectives in Section I.B and outputs in Section I.C. (Environmental Results-EPA Strategic Plan Linkage and Anticipated Outcomes/Outputs). **(5 points)**

c. The proposed technical approach, specific actions, and methods are scientifically sound, and adequate to complete the proposed objectives, produce the planned outputs, and demonstrate their acceptability to primary users. The schedule is reasonable. The proposed approach includes a plan for monitoring progress, primary user community need for/acceptance of the planned outputs, and, if needed, adjusting priorities and plans. **(15 points)**

**2. Adequacy and Availability of proposed personnel.....(20 points)**

The expertise, qualifications, number, availability, and commitment of proposed staff are adequate to successfully achieve the goals of the proposed project. (Include key and support personnel, including formal education, training, licenses, or other relevant training as it relates to expertise in conducting and/or overseeing activities described in Section I).

**3. Facilities and Equipment available to complete the project. ....(10 points)**

The facilities and equipment, and their availability, are adequate for conducting the activities described in Section I.

**4. Budget-Voluntary Cost-Share/Matching .....(15 points)**

a. The proposed budget is adequate to implement the proposed technical approach and produce all proposed outputs. **(8 points)**

b. Voluntary Cost Share/Match: The proposed cost share (either funds or in-kind contributions) that will be used to supplement EPA funding for the reasonable and necessary expenses of carrying out the proposed research exceeds 25% of the EPA funding level. **(7 points)**

If EPA accepts an offer for a voluntary cost share/match/participation, applicants must meet their matching/sharing/participation commitment as a condition of receiving EPA funding. Applicants may use their own funds or other resources for voluntary match/cost share/participation if the standards at 40 CFR 30.23 or 40 CFR 31.24, as applicable, are met. Only eligible and allowable costs may be used for voluntary matches/cost shares/participation. Other Federal grants may not be used as voluntary

matches or cost shares without specific statutory authority (e.g. HUD's Community Development Block Grants).

**5. Roles of the Applicants and Proposed Partners .....(5 points)**

The project team members roles are organized in an effective manner; research will be efficiently and effectively initiated and supported with regard to access to adequate facilities, equipment, and supplies; roles, responsibilities, and authorities are clearly defined, coordination and communication are adequately addressed.

**6. Quality System and Quality Management Plan .....(10 points)**

The description of the Quality System (QS) must be responsive to the specifications cited in the proposal instructions and must be adequate for addressing the planned research. The Quality Management Plan (QMP) must be responsive to the specifications cited in IV.A.4.c., and must be adequate for addressing planned research.

**7. Past Performance—Programmatic Capability and Reporting on Environmental Results .....(15 points)**

Under this criterion, the Agency will evaluate the applicant’s technical ability to successfully complete and manage the proposed project taking into account the following factors: (i) past performance of the proposed Lead Principal Investigator and (if applicable) co-Principal Investigator in successfully completing federally or non-federally funded assistance agreements of similar size, scope and relevance to the proposed project during the past five years, (ii) history of meeting reporting requirements on prior or current assistance agreements (during the past five years) with federal and/or non-federal organizations and submitting acceptable final technical reports, (iii) past performance in documenting and/or reporting on its progress towards achieving the expected outcomes and outputs (e.g., results) under prior or current assistance agreements (during the past five years) with federal and/or non-federal organizations (and if such progress was not made whether the documentation and/or reports satisfactorily explained why not), (iv) organizational experience and plan for timely and successfully achieving the objectives of the proposed project.

Organizations that have no relevant or available past performance and/or reporting information will be given a neutral rating for those criteria. In evaluating applicants under this criterion the Agency may consider information from other sources including agency files (e.g., the EPA’s Grantee Compliance Assistance Initiative Database) and prior/current grantors (e.g., to verify and/or supplement the information provided by the applicant).

**B. Review and Selection Process:**

Evaluation Review Process: The eligibility review discussed in Section III will be

conducted by EPA personnel who are not part of the technical review panel. The technical review panel, which reviews the technical proposal for scientific merit and organizational capabilities, shall consist of at least one internal EPA reviewer and at least two non-EPA reviewers who are able to demonstrate technical expertise and a lack of any conflict of interest. The technical review panel will review the proposal against the criteria (Criterion 1 -6) above identified as Evaluation Criteria and rank the proposal based upon this evaluation. The programmatic review panel will consist of one or more EPA personnel who are not part of the technical evaluation panel and who are able to demonstrate a lack of any conflict of interest. The programmatic reviewer(s) will review the proposal against Criterion 7 as identified as Programmatic Evaluation Criteria above and rank the proposals based upon this evaluation. The results of the Technical and Programmatic Evaluations will be combined to determine the overall ranking of each evaluated applicant.

Source Selection: EPA will make a selection of the applicant for award based upon the combined rankings of the technical and programmatic reviews as discussed above. EPA may negotiate changes to the proposal with the selected applicant so long as they do not affect the integrity of the competition. For example, EPA will discuss significant comments received from the technical reviewers, aspects of the budget that may be questionable, the proposed terms and conditions for the agreement, and the nature and extent of EPA collaboration. The Decision Official is an Office of Research and Development (ORD) manager who will determine which applicant should receive the award based on the technical rankings resulting from the peer and programmatic reviews.

**Anticipated Announcement and Award Dates:** The anticipated award date is **November 10, 2008.**

## **VI. Award Administration Information**

**A. Award Notices:** Notice of award will be made in writing by an official in the EPA Grants Administration Division. Preliminary selection by the Decision Official in the Office of Research and Development does not guarantee an award will be made. Applicants are cautioned that only a grants officer can bind the Government to the expenditure of funds. No commitment on the part of EPA should be inferred from technical or budgetary discussions with an EPA Program Official. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the EPA Grants Award Official does so at their own risk.

**B. 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 Agency Contact identified in Section VII.



## **C. Administrative and National Policy Requirements:**

### Regulations and OMB Coverage:

Grants and agreements with institutions of higher education, hospitals, and other non-profit organizations are subject to 40 CFR Parts 30 and 40 and OMB Circular A-122 for non-profits and A-21 for institutions of higher learning.

Grants and agreements with state, local, and tribal governments are subject to 40 CFR Parts 31 and 40 and OMB Circular A-87.

### Animal and Human Subject Research:

a. Human Subjects: A grant applicant must agree to meet all EPA requirements for studies using human subjects prior to implementing any work with these subjects. These requirements are given in 40 C.F.R. § 26. For observational studies involving children, pregnant women, or nursing mothers please refer to Subparts B & D of 40 C.F.R. § 26. U.S. Department of Health and Human Services regulations at 45 C.F.R. § 46.101 (e) have long required "...compliance with pertinent Federal laws or regulations which provide additional protection for human subjects." EPA's regulation at 40 C.F.R. Part 26 is such a pertinent Federal regulation. Therefore, the applicant's Institutional Review Board (IRB) approval must state that the applicant's study meets the EPA's regulations at 40 C.F.R. § 26. No work involving human subjects, including recruiting, may be initiated before the EPA has received a copy of the applicant's IRB approval of the project and the EPA has also provided approval. Where human subjects are involved in the research, the recipient must provide evidence of subsequent IRB reviews, including amendments or minor changes of protocol, as part of annual reports.

b. Animal Welfare: A grant recipient must agree to comply with the Animal Welfare Act of 1966 (P.L. 89-544), as amended, 7 U.S.C. 2131-2156. The recipient must also agree to abide by the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training." (50 Federal Register 20864-20865 (May 20,1985))

\* This clause applies if a research facility (defined as any school (except elementary or secondary), institution, organization or person) receives funds under a grant from a federal agency for the purpose of carrying out research, tests, or experiments involving animals.

Data Access and Information Release: The Office of Management and Budget (OMB) Circular A-110 has been revised to provide public access to research data through the Freedom of Information Act (FOIA) under some circumstances. Data that are (1) first produced in a project that is supported in whole or in part with Federal funds and (2)

cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (i.e., a regulation) may be accessed through FOIA. If such data are requested by the public, the EPA must ask for it, and the grantee must submit it, in accordance with A-110 and EPA regulations at 40 C.F.R. 30.36.

**DUNS Number:** Grant applicants are required to provide a Dun and Bradstreet (D&B), Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. OMB has determined that there is a need for improved statistical reporting of Federal grants and cooperative agreements. Use of the DUNS number government-wide will provide a means to identify entities receiving those awards and their business relationships. The identifier will be used for tracking purposes, and to validate address and point of contact information.

A DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (Grants.gov). The DUNS number will supplement other identifiers required by statute or regulation, such as tax identification numbers. Organizations can receive a DUNS number in one day, at no cost, by calling the dedicated toll-free DUNS Number request line at 1B866B705B5711. Individuals who would personally receive a grant or cooperative agreement award from the Federal government apart from any business or non-profit organization they may operate are exempt from this requirement. The website where an organization can obtain a DUNS number is: <http://www.dnb.com>

**Non-profit Administrative Capability:** Non-profit applicants that are recommended for funding under this announcement are subject to pre-award administrative capability reviews consistent with Section 8b, 8c and 9d of EPA Order 5700.8 - Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards ([http://www.epa.gov/ogd/grants/award/5700\\_8.pdf](http://www.epa.gov/ogd/grants/award/5700_8.pdf)). In addition, non-profit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to the Grants Management Office the Administrative Capabilities Form with supporting documents contained in Appendix A of EPA Order 5700.8.

**D. Programmatic Terms and Conditions:** Terms and conditions will be negotiated with the selected recipient covering the following requirements:

- The nature and extent of collaboration between EPA and the recipient.
- The awardee shall comply with EPA NRMRL requirements for Quality Assurance Project Plans (QAPP) for environmental data collection efforts conducted under the project. QAPP specifications are identified in **R-5 - EPA Requirements for QA Project Plans (EPA/240/B-01/003) March, 2001** <http://www.epa.gov/quality/qs-docs/r5-final.pdf> A QAPP must be submitted for EPA project officer approval at least 30 days before data collection begins. Prior to preparing the QAPP, the awardee shall consult with the EPA Project Officer

and QA Officer to determine the applicable level and type of QAPP.

## **Reporting Requirements**

### **1. Quarterly Progress Report**

Quarterly progress reports and a detailed final report will be required. Quarterly reports shall be submitted no later than 15 calendar days after the end of the quarter and shall contain the following:

- Narrative discussion of planned activities for the quarter and progress and findings to date
- Cost/schedule states (planned and actual)
- Revised schedule/milestones if appropriate
- Appendices, including meeting reports, trip reports, test results, data, summaries, etc.

### **2. Final Report**

The final report shall be completed within 90 calendar days of the completion of the period of performance. The final report should include: summary of the project or activity, advances achieved and costs of the project or activity. In addition, the final 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.

### **3. Quality Management Plan (QMP)**

A final QMP, which shall be revised to address reviewer comments, shall be submitted by the successful applicant within 90 calendar days post award of this agreement. The QMP will be subject to project officer approval.

## **VII. Agency Contact**

The agency contact for this RFA is Cynthia Johnson, 26 W. Martin Luther King Drive, Mail Stop 207, Cincinnati OH 45268; telephone (513) 569-7873

E-mail: [johnson.cynthia@epa.gov](mailto:johnson.cynthia@epa.gov) (applications may not be submitted via email)

## **VIII. Other Information**

Questions: Questions about this RFA should be submitted in writing by **September 9, 2008**. Do not attempt to seek information regarding this RFA from any source other than

that identified in Section VII. Questions that are considered significant will be answered via an amendment to this RFA.

## **References**

U.S. Environmental Protection Agency (USEPA). 2007. Innovation and Research for Water Infrastructure for the 21<sup>st</sup> Century – Research Plan. April.

U.S. Environmental Protection Agency (USEPA). 2002. The Clean Water and Drinking Water Infrastructure Gap Analysis (EPA-816-R-02-020), September.