

OVERVIEW SECTION

AGENCY: ENVIRONMENTAL PROTECTION AGENCY (EPA)

TITLE: “Institutional Controls Implementation and Effectiveness Research”

ACTION: Request for Proposals (RFP) - Initial Announcement

RFA NO: EPA-OSWER-OSRTI-06-07

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO.: 66.813

DATES: The closing date and time for receipt of applications is August 21, 2006, 5:00 p.m. EDT. Applications submitted in hard copy (paper) and by electronic mail (e-mail) must be received in the Program Office by the closing date and time to receive consideration. Applications submitted through <http://www.Grants.gov> must be received by [Grants.gov](http://www.Grants.gov) no later than August 21, 2006, 5:00 p.m. EDT.

SUMMARY: This notice announces the availability of funds and solicits proposals for public research projects to identify and establish national approaches to coordinating state, tribal and local agency long-term stewardship activities. The research projects will ultimately be evaluated on their usefulness in helping ensure the integrity and long-term protectiveness of Institutional Controls at environmental remedies and for making information available to communities and other interested parties.

FUNDING/AWARDS: The total estimated funding for this competitive opportunity is \$400,000. EPA anticipates award of 2-10 cooperative agreements resulting from this competitive opportunity. The cooperative agreements awarded shall range in value from a minimum of \$10,000 to a maximum of \$100,000. (*Refer to Section 2(B).*)

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Section 1 - Funding Opportunity Description.

A. Project Summary.

The U.S. Environmental Protection Agency (EPA) is accepting proposals for public research projects to identify and establish national approaches to coordinating state, tribal and local agency long-term stewardship activities. The research projects will ultimately be evaluated on their usefulness in helping ensure the integrity and long-term protectiveness of Institutional Controls at environmental remedies and for making information available to communities and other interested parties.

Institutional Controls (ICs) are defined as non-engineered instruments, such as administrative and/or legal controls, that help to minimize the potential for human exposure to contamination and protect the integrity of a remedy. These functions are important and necessary components to make environmental remedies safe and ensure beneficial site reuse. These tools are often implemented, monitored and/or enforced by other Federal agencies, states, tribes, local agencies or private parties. To integrate and coordinate their respective roles, research is necessary to identify and implement processes and procedures between the different levels of government to actively share IC information.

EPA seeks to fund proposals that demonstrate effective IC best practices, technologies and strategies, methods or approaches to improving the implementation and effectiveness of ICs or dissemination/exchange of information. Proposed projects may include conducting research identifying and implementing government and industry practices; coordinating with officials with the necessary expertise to provide the state, tribal and local perspective on IC matters; assisting in IC mapping and tracking, and workshops/conferences and activities designed to disseminate information to other interested stakeholders.

Applicants may submit more than one proposal under this announcement if the proposals are for different projects. Applicants who received one of these grants in the past may submit a new proposal for a different project.

B. Prohibited Use of Funds.

Funds awarded under this announcement may not be used: (1) for the purposes of routine program implementation; (2) implementation of routine environmental protection or restoration measures; (3) meeting any legal mandate (such as Federal, state or local regulations or settlement agreements); (4) land acquisition; (5) purchase of vehicles; or (6) completion of work that should have been completed under a prior grant or cooperative agreement.

C. Guidance Documents.

The following guidance documents may be helpful:

1. Institutional Controls Bibliography: Institutional Control, Remedy Selection, and Post-Construction Completion Guidance and Policy, OSWER 9355.0110, December

2005. <http://www.epa.gov/superfund/action/ic/guide/biblio.pdf>.

The purpose of this document is to serve as a reference for policy guidelines concerning the use of institutional controls (ICs). The IC Bibliography covers 40 guidance and policy documents and provides citations and brief synopses of the IC use and policy information contained in each.

2. Institutional Controls: A Citizen's Guide to Understanding Institutional Controls at Superfund, Brownfields, Federal Facilities, Underground Storage Tank, and Resource Conservation and Recovery Act Cleanups, EPA-540-R-04-003, OSWER 9355.0-98, February 2005. <http://www.epa.gov/superfund/action/ic/guide/citguide.pdf>.

The purpose of this guide is to provide community members with general information about the role of institutional controls (ICs) in Superfund, Brownfields, Federal Facilities, Underground Storage Tanks (UST) and Resource Conservation and Recovery Act (RCRA) cleanups occurring in their neighborhoods. This guide will also discuss the community's role in providing input for the selection of ICs and helping to monitor them to ensure that human health and the environment remain protected in the future.

3. Institutional Controls: A Site Manager's Guide to Identifying, Evaluating and Selecting Institutional Controls at Superfund and RCRA Corrective Action Cleanups, EPA 540-F-00-005, OSWER 9355.0-74FS-P, September 2000. <http://www.epa.gov/superfund/action/ic/guide/guide.pdf>.

This guidance is intended to provide Superfund and RCRA site managers and other decision makers with an overview of the types of institutional controls (ICs) that are commonly available, including their relative strengths and weaknesses, and to provide a discussion of the key factors to consider when evaluating and selecting ICs in Superfund and RCRA Corrective Action cleanups.

4. Institutional Controls: A Guide to Implementing, Monitoring, and Enforcing Institutional Controls at Superfund, Brownfields, Federal Facility, UST and RCRA Corrective Action Cleanups, February 2003. <http://www.epa.gov/superfund/action/ic/guide/icgdraft.pdf>.

This guidance is intended to: (1) provide Superfund, Brownfields, Federal Facility, Underground Storage Tank (UST), and Resource Conservation and Recovery Act (RCRA) corrective action site managers and site attorneys with an overview of responsibilities for the implementation, monitoring, and enforcement of institutional controls (ICs) at their sites; and (2) discuss some of the common issues site managers and site attorneys may encounter when carrying out these responsibilities.

For general questions about these tools and guidance documents, please contact Michael Bellot. (*Refer to Section 7, Agency Contacts.*)

D. EPA Strategic Plan Linkage.

This project supports progress towards EPA Strategic Plan Goal 3 (Land Preservation and Restoration), Objective 3.2 (Restore Land), Sub-objective 3.2.2 (Cleanup and Reuse Contaminated Land); and Goal 5 (Compliance and Environmental Stewardship), Objective 5.2 (Improve Environmental Performance through Pollution Prevention and Innovation), Sub-objectives 5.2.1 (Prevent Pollution and Promote Environmental Stewardship by Government and the Public) and 5.2.2 (Prevent Pollution and Promote Environmental Stewardship by Business). Specifically, ICs are critical components of remedies that both assist in putting contaminated sites back into beneficial use and are key building blocks for ensuring long-term stewardship. This project seeks proposals that will assist in making ICs more effective and improve coordination.

E. Measuring Environmental Results: Anticipated Outcomes/Outputs.

Pursuant to EPA Order 5700.7, “*Environmental Results under EPA Assistance Agreements*,” EPA requires that all grant recipients adequately address environmental outputs and outcomes. Outputs and outcomes differ both in their nature and in how they are measured. Applicants must discuss environmental outputs and outcomes in their proposed workplan.

1. **Outcomes.** Outcomes refer to the result, effect, or consequence that will occur from carrying out the activities or outputs of the project. Outcomes may be environmental, behavioral, health-related or programmatic, must be quantitative, and may not necessarily be achievable during the project period.

Through this project EPA anticipates outcomes may include, but are not limited to: increased understanding of the environmental effectiveness of the demonstrated IC practice or approach, development of or acceptance of new methodology by users or industry, improved effectiveness of ICs demonstrated through a pilot program, and outreach materials or platforms developed, workshop or conference results.

2. **Outputs.** Outputs refer to an environmental activity, effort, and/or associated work products related to an environmental goal or objective, that will be produced or provided during the project period.

The anticipated outputs for this project include, but are not limited to: (1) research papers on best practices to ensure IC implementation, monitoring, enforcement and termination at the Federal, state, tribal and local level; (2) studies to develop processes and procedures to ensure the effectiveness of ICs across agencies and cleanup programs; (3) workshops/conferences to gather expertise and recommendations; (4) mapping and other geospatial data exchange pilots and proof of concept tests; and (5) information exchange and outreach of best practices and emerging tools.

(View EPA’s Strategic Plan on the internet at: <http://www.epa.gov/ocfopage/plan/2003sp.pdf>.)

3. Supplementary Information.

The statutory authority for this action is Section 311(c) of the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA), as amended.

Section 2 - Award Information.

A. What is the amount of available funding?

The total estimated funding for this competitive opportunity is \$400,000.

EPA reserves the right to make additional awards under this competition, consistent with Agency policy, if additional funding becomes available. Any additional selections for awards will be made no later than four months from the date of original selection decision.

B. How many agreements will EPA award in this competition?

EPA anticipates award of 2-10 cooperative agreements resulting from this competitive opportunity. The cooperative agreements awarded shall range in value from a minimum of \$10,000 to a maximum of \$100,000.

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:

1. close monitoring of recipients performance to verify the results proposed;
2. collaboration during performance of the scope of work;
3. in accordance with 40 CFR 31.36(g), review proposed procurements;
4. approving qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient);
5. review and comment on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient)
6. review and concur on project outputs.

C. Will proposals be partially funded?

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

EPA reserves the right to reject all applications and make no awards under this announcement.

D. What is the project period for award(s) resulting from this solicitation?

The estimated start date for project(s) resulting from this solicitation is October 1, 2006. All projects must be completed within the negotiated project performance period, normally 12 to 24 months.

E. Can funding be used to acquire services or fund partnerships?

EPA awards funds to one eligible applicant as the “recipient” even if other eligible applicants are named as “partners” or “co-applicants” or members of a “coalition” or “consortium.” The recipient is accountable to EPA for the proper expenditure of funds.

Funding may be used to acquire services or fund partnerships, provided the recipient follows procurement and subaward or subgrant procedures contained in 40 [CFR](#) Parts 30 or 31, as applicable. For profit organizations are not eligible for subawards or subgrants under this announcement but may enter into procurement contracts with recipients.

Successful applicants must compete contracts for services and products and conduct cost and price analyses to the extent required by these regulations. The regulations also contain limitations on consultant compensation. Applicants are not required to identify contractors or consultants in their proposal. Moreover, the fact that a successful applicant has named a specific contractor or consultant in the proposal EPA approves does not relieve it of its obligations to comply with competitive procurement requirements.

Subgrants or subawards may be used to fund partnerships with non profit organizations and governmental entities. **Recipients may only award subgrants to eligible entities as described in Section 3(A) below.** 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 to carry out its cooperative agreement. The nature of the transaction between the recipient and the 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.

Section 3 - Eligibility Information and Threshold Criteria.

A. Eligible Entities.

Proposals will be accepted from states, territories, Indian tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals. In some instances, EPA will consider applications from profit makers, proposing projects with significant technical merit and relevance to EPA's Office of Solid Waste and Emergency Response. 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.

B. Cost-Sharing or Matching.

Although cost-sharing or matching is not required, as a condition of eligibility, or otherwise, for proposals selected for award, applicants proposing a voluntary financial or in-kind commitment of resources will improve their scoring under the "Resources" evaluation criterion of this solicitation. (*Refer to Section 5(A), Evaluation Criteria.*)

Applicants may propose a voluntary cost share or "match" or demonstrate how EPA funds will "leverage" other resources. Voluntary matching with funds and/or in kind contributions of resources, if accepted by EPA, will be treated as cost shares under 40 CFR 30.23 or 40 CFR 31.24 and the applicant must provide the cost share under the terms of its cooperative agreement with EPA. Applicants must propose eligible and allowable in-kind contributions of resources to qualify for an improved score for voluntary cost sharing.

Applicants may also improve their scoring under the "Resources" evaluation criterion listed in Section 5(A) by demonstrating how EPA funding will "leverage" other resources without proposing to use those other resources as a voluntary cost share or match. EPA will evaluate leveraging based on the extent an applicant can demonstrate (i) how it will coordinate the use of EPA funding with other Federal and/or non-Federal sources of funds to leverage additional resources to carry out the proposed project(s) and/or (ii) that EPA funding will compliment activities relevant to the proposed project(s) carried out by the applicant with other sources of funds or resources.

If the applicant decides to conduct fund-raising for its voluntary match or to demonstrate leveraging, it must make clear in any solicitation for funding that the applicant's organization, and not EPA, is seeking funding. The applicant may not imply that EPA endorses any fund-raising activities in connection with its project. Further, the applicant must make clear to donors that any gift to the recipient for use in connection with performance under this assistance agreement, and/or technical assistance will go solely toward defraying its own expenses, and not those of EPA. Please note that fund-raising costs are not allowable as cooperative agreement costs under OMB Cost Principles.

C. Threshold Criteria.

EPA must assure that an application selected for funding meets the following “threshold criteria,” applied on a pass/fail basis. Applications which fail any one of the threshold criteria will not be considered further. EPA will notify applicants who do not meet the threshold criteria within 15 calendar days of the “fail” determination. Applications which meet the threshold criteria, will then be evaluated based on the factors disclosed in *Section 5(A), Evaluation Criteria*. The threshold criteria are:

1. Proposals must address the scope of work described in *Section 1, Funding Opportunity Description* of this announcement.
2. Proposed project budget must have a minimum value of \$10,000 and a maximum value of \$100,000. Proposals requesting assistance funding less than or in excess of these values will not be considered.
3. Organizations proposing to utilize proprietary information must provide evidence of permission to use the information.
4. Applications must substantially conform to the outline and content detailed in *Section 4(B), Content and Form of Application* of this announcement or they will be rejected. Pages in excess of the page limitations expressed in *Section 4(B), Content and Form of Application* of this announcement will not be reviewed.
5. Applications must be received by the EPA or through <http://www.Grants.gov> on or before the solicitation closing date and time published in Section 4 of this announcement. Applications received after the published closing date and time will be returned to the sender without further consideration.
6. All application materials must be submitted in English.

Section 4 - Application and Submission Information.

A. How to Obtain an Application Package.

Applicants may download individual grant application forms, or electronically request a paper application package and an accompanying computer CD of information related to applicants/grant recipients roles and responsibilities from EPA’s Grants and Debarment website by visiting: http://www.epa.gov/ogd/grants/how_to_apply.htm.

B. Content and Form of Application.

The following documents are required for all applications, irrespective of the mode of submission. All applications must contain a “Narrative Proposal,” and one completed and signed “Federal Grant Application Package.” The “Narrative Proposal,” a maximum of 15 pages in length, must explicitly describe the applicant’s proposed project and specifically address how it meets each of the evaluation criteria disclosed in *Section 5(A), Evaluation Criteria*.

1. The “**Federal Grant Application Package**” application must substantially conform to the following outline and content:
 - a. Standard Form 424 (SF-424), Application for Federal Assistance, with original signature;
 - b. SF-424A, Budget Information for Non-Construction Programs;
 - c. SF-424B, Assurances for non-construction programs
 - d. Certification Regarding Lobbying
 - e. EPA Form 4700-4 Pre-award Compliance review report
 - f. EPA Form 5700-54, Key Contacts Form
 - g. SF-LLL, Disclosure of Lobbying Activities, if applicable
 - h. Copy of Negotiated Indirect Cost Rate Agreement, if applicable.

Individual grant application forms may be downloaded from EPA’s Grants and Debarment website by visiting: <http://www.epa.gov/ogd/AppKit/application.htm>

2. The “**Narrative Proposal**” shall not exceed 15 typed, single-line spaced, 8 1/2" x 11" pages with 1" margins. The “Narrative Proposal” must substantially conform to the following outline and content:
 - a. Cover Letter (2 pages maximum). The cover letter must include a brief description of your project, be written on your organization’s official letterhead, and signed by an official with the authority to commit your organization to the proposed project. The cover letter must also include:
 - i. Project Title;
 - ii. Summary Statement. Brief summary description of proposal describing the types of activities to be conducted;
 - iii. Applicant Information. Include applicant (organization) name, address, contact person, phone number, fax, e-mail address, and DUNS number (*Refer to Section 4 (E).*);
 - iv. Funding Requested. Specify the amount you are requesting from EPA;
 - v. Project period. Provide beginning and ending dates (for planning purposes, applicants should assume a project start date of October , 2006;
 - vi. Cooperative Partnerships. Provide names and phone numbers of individuals and organizations that have agreed to participate in the implementation of the project:
 - b. Detailed Project Description (10 pages maximum). The project description must provide a concise overview of how the applicant will implement and conduct its operation and **discuss how the proposal addresses each of the selection criteria in Section 5 of this**

announcement. The description must include:

- i. **Project Work Plan.** Provide a well-supported statement or needs assessment of how your project will improve IC implementation and effectiveness or supports information exchange or dissemination including a description of all tasks; dates of completion, products and deliverables, and proposed budget. Include a discussion of specific actions and methods to be undertaken, an estimated time line for each task, and the responsible parties.
- ii. **Anticipated Outcomes and Performance Measurement.** Specify environmental outcomes as described in *Section 1(E), Measuring Environmental Results: Anticipated Outcomes/Outputs* of this announcement. Discuss how project results will be evaluated and measured. (*Refer to Section 5(A), Evaluation Criteria, “Performance Measurement.”*)
- iii. **Anticipated Outputs.** Identify specific outputs as described in *Section 1(E), Measuring Environmental Results: Anticipated Outcomes/Outputs* of this announcement. Outputs, quantitative or qualitative, must be measurable during the project performance period.
- iv. **Programmatic Capability.** Identify any Federally and/or non-Federally funded projects similar in size, scope and relevance to the proposed project that your organization has performed within the last three years (limit 6). Describe how you were technically able to successfully carry out and manage those agreements and, your history of meeting the reporting requirements under those agreements including submitting acceptable final technical reports. Provide information on your organizational experience and plan for timely and successfully achieving the objectives of the project; staff expertise/qualifications, staff knowledge and, resources or the ability to obtain them, to successfully achieve the goals of the project.
- v. **Past Performance in Reporting Environmental Results.** Identify any Federally and/or non-Federally funded projects that your organization has performed within the last three years (limit 6). Describe how you documented and/or reported on whether you were making progress towards achieving the expected results (e.g., outputs and outcomes) under those agreements. If you were unable to make progress, please indicate whether, and how, you documented this status.

For purposes of evaluating applicants under the “**Programmatic Capability**” and “**Past Performance in Reporting Environmental Results**” factors in Section 5, EPA will consider the information provided by the applicant and may also consider other relevant information from other sources, including information from EPA files and from current and prior Federal agency grantors (e.g., to verify and/or supplement the information provided by the applicant). If you have no relevant or available past performance or past reporting history, please indicate this in the proposal and you

will receive a neutral score for the elements of this factor under Section 5.

- vi. **Cooperative Partnerships.** Identify all proposed partnerships and stakeholder groups that will be involved in the project. Describe what each group's role will be in project staffing, funding, design and implementation.
- c. Budget (3 pages maximum). Provide a detailed itemized budget proposal which clearly explains how funds will be used for each of the following categories and how it relates to the objective of improving IC implementation and effectiveness or supports information exchange or dissemination. Indicate what portion of the cost will be paid by EPA, and what portion will be paid by the applicant or other partners.
- i. **Personnel.** Indicate salaries and wages, by job title of all individuals who will be supplemented with these funds.
 - ii. **Fringe Benefits.** Indicate all mandated and voluntary benefits to be supplemented with these funds.
 - iii. **Contractual Costs.** Indicate any proposed contractual items that are reasonable and necessary to carry out the workplan objectives. Examples of contractual items include training from equipment manufacturer, and other.
 - iv. **Travel.** Indicate number of individuals traveling, destination, number of trips, and reason for travel.
 - v. **Equipment.** Identify items to be purchased such as mapping related instruments used in support of work plan objectives. Provide an estimated cost for each item. Make sure you can support your cost estimate. EPA policy defines equipment as items costing \$5,000 or greater.
 - vi. **Supplies.** Indicate any items to be purchased that will be used in support of project workplan objectives.
 - vii. **Other.** Indicate general (miscellaneous) expenses necessary to carry out the objectives stated in the workplan.
 - viii. **Total Direct Charges.** Summary of all costs associated with each object-class category (including EPA and Non-EPA Funds).
 - ix. **Total Indirect Costs** (must include documentation of Federally approved indirect cost rate (percentage). Indicate if your organization is currently negotiating with the cognizant Federal agency to obtain a new rate.
 - x. **Total Project Cost.** (Total Direct + Indirect Costs)

3. **Attachments.** The following documents should be included as attachments to the workplan and will not count as part of the 15 page limit.
 - c. **Key Personnel.** Submit a summary of the qualifications of key staff who will be significantly involved in the project. The summaries may be in the form of resumes.
 - d. **Auditing records.** Provide documentation of any adverse audit findings related to your organization.
 - e. **Letters of support** from any partners involved with the proposal.

Proposals must be concise and well organized, and must provide the information detailed in *Section 4(B), Content and Form of Application and Submission*, **including responses to all Section 3(C), Threshold Criteria and Section 5(A), Evaluation Criteria identified in this announcement.** Factual information about your proposed project must be provided. Do not include discussions of broad principles that are not specific to the proposed work or project covered by your proposal. Responses to criteria must include the criteria number and title but need not restate the entire text of the criteria. Sufficient detail must be provided to allow for an evaluation of the merits of the proposal. Vague descriptions, redundancy, and failure to address the selection criteria will result in a lower ranking.

Applicants are strongly advised to avoid submission of extemporaneous materials. Pages exceeding the maximum page limitation will not be reviewed. The maximum page length does not include the **Attachments** detailed in *Section 4(B)(3)*. All application materials must be completed in English.

C. Submitting an Application.

Applicants may choose to submit applications either in hard copy (paper) format, by electronic mail (e-mail), or through <http://www.Grants.gov> with an electronic signature. Application instructions for all methods are detailed below. Please select one method. The closing date and time for applicants to submit proposals under this announcement is August 21, 2006, 5:00 p.m. EDT. Proposals submitted via electronic-mail (e-mail) or through <http://www.Grants.gov> must be received by August 21, 2006, 5:00 p.m. EDT.

1. **Hard copy (paper) submission.** Submit a complete application including all of the documents identified in *Section 4(B)* of this announcement. **The complete application must be sent through regular mail, express mail, or courier to the EPA contact listed in Section 7,(Agency Contacts).** Paper submission must include one original signature document and two copies of the completed “Federal Grant Application package” and “Narrative Proposal.”

Because of the unique situation involving U.S. mail screening, EPA highly recommends that applicants use an express mail option to transmit their application to the physical address of

the EPA contact listed in *Section 7, Agency Contacts*.

2. **Electronic mail (e-mail) submission.** Prepare your application in accordance with the instructions detailed in *Section 4(B), Content and Form of Application*. Submit the complete application including all of the documents identified in *Section 4(B)* directly to the e-mail address of the EPA contact listed in *Section 7, Agency Contacts*.
3. **Grants.gov submission.** Using <http://www.Grants.gov>, applicants may submit the complete application package on-line with no hard copy or computer disks. Please be sure to view the additional instructions that are available for download on <http://www.Grants.gov> for this announcement. If you have any technical difficulties while applying electronically, please refer to <http://www.Grants.gov/Customersupport> or call the toll free Contact Center at 1-800-518-4726.

If you wish to apply electronically via <http://www.Grants.gov>, the electronic submission of your proposal package must be made by an official representative of your institution who is registered with <http://www.Grants.gov> and authorized to sign applications for Federal assistance. For more information, go to <http://www.Grants.gov> and click on “Get Started,” and then click on “For AORs” (Authorized Organization Representative) 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 <http://www.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 application process, go to <http://www.Grants.gov> and click on “Apply for Grants.” Then click on “Apply Step 1; Download a Grant Application Package and Application Instructions” to download the PureEdge viewer and obtain the application package https://apply.Grants.gov/forms_apps_idx.html. You may retrieve the application package by entering the Funding Opportunity Number, EPA-OSWER-OSRTI-06-07, or the CFDA number 66.813, in the space provided. Then complete and submit the application package as indicated. You may also be able to access the application package by clicking on the button “How To Apply” 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 top of the page and then to go 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 August 21, 2006, 5:00 p.m. EDT.

Be sure to download and read the instructions and the application package at the <http://www.Grants.gov> web site.

Application Materials. The following forms and documents are required to be submitted by applicants using <http://www.Grants.gov> under this announcement.

1. **Standard Form (SF-424), Application for Federal Assistance.** Complete the form. There are no attachments. Please be sure to include organization fax number and email address in Block 5 of the Standard Form SF 424. Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.
2. **SF-424A, Budget Information for Non-Construction Programs.** Complete the form. There are no attachments. The total amount of Federal funding requested for the two-year 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. If indirect costs are requested, a copy of the Negotiated Indirect Cost Rate Agreement must be submitted as part of the application package. (See instructions for Document #7 below.)
3. **SF-424B, Assurances for Non-Construction Programs.** Complete the form. There are no attachments.
4. **Grants.gov Lobbying Form - Certification Regarding Lobbying.** Complete the form. There are no attachments.
5. **EPA Form 4700-4, Pre-Award Compliance Review Report.** Complete the form. There are no attachments
6. **EPA Form 5700-54, Key Contacts Form.** Complete the form. There are no attachments.
7. **SF-LLL, Disclosure of Lobbying Activities (i.e., required if your organization is involved in lobbying).** Complete the form if your organization is involved in lobbying activities..
8. **Other Attachments Form - Negotiated Indirect Cost Rate Agreement (if indirect costs are included in the project budget).** Use the “Other Attachments Form” in the “Optional Documents” box to attach a copy of your organization’s Indirect Cost Rate Agreement, if applicable. (See Application Preparation and Submission Instructions below for more details.) You must submit a copy of your organization’s Indirect Cost Rate Agreement as part of the application package if your proposed budget includes indirect costs.
9. **Narrative Proposal** (also referenced as “Project Narrative Attachment Form” on

<http://www.Grants.gov>). Prepare your “Narrative Proposal” in accordance with the instructions detailed in *Section 4(B), Content and Form of Application* of this announcement (EPA-OSWER-OSRTI-06-07). The “**Narrative Proposal**” shall not exceed 15 pages and must substantially conform to the outline and content detailed in *Section 4(B)(2)* of this announcement.

Application Preparation and Submission Instructions.

Documents 1 through 6, listed under Application Materials above, should appear in the “Mandatory Documents” box on the <http://www.Grants.gov> “Grant Application Package” page.

For Documents 1 through 6, 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.”

Documents 7 and 8, are listed in the “Optional Documents” box, but **please note that these so-called “optional” documents must also be submitted as part of the application package, if applicable to your organization.** You are only required to submit Document 6 “SF-LLL, Disclosure of Lobbying Activities,” if your organization is involved in lobbying activities. You are required to submit Document 7 “Negotiated Indirect Cost Rate Agreement,” if you have included any indirect costs in your proposed budget. To attach Document 7, use the “Other Attachments Form” in the “Optional Documents” box. After attaching the documents, please remember to highlight the “Other Attachments Form” and click “Move Form to Submission List” in order to move the documents to the box that says, “Optional Completed Documents for Submission.”

For Document 9, you will need to attach electronic files. Prepare your “Narrative Proposal” in accordance with the instructions detailed in *Section 4(B), Content and Form of Application* of this announcement (EPA-OSWER-OSRTI-06-07). Save the document to your computer as an MS Word, PDF or WordPerfect file. When you are ready to attach your “Narrative Proposal” to the application package, click on “Project Narrative Attachment Form,” and open the form. Click “Add Mandatory Project Narrative File,” and attach your “Narrative 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 the “Project Narrative Attachment Form” and click “Move Form to Submission List.” The form should now appear in the box that says, “Mandatory Completed Documents for Submission.”

Once you have finished filling out all of the forms/attachments and they appear in one of the “Completed Documents for Submission” boxes, click the “Save” button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: “Applicant Name - FY06 - Assoc Prog Supp - 1st Submission” or “Applicant Name - FY 06 Assoc Prog Supp - Back-up Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2nd submission should be changed to “Applicant Name - FY06 Assoc Prog Supp - 2nd Submission.”

Once your application package has been completed and saved, send it to your AOR for submission to U.S. EPA through [Grants.gov](http://www.Grants.gov). Please advise your AOR to close all other software programs before attempting to submit the application package through <http://www.Grants.gov>.

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the fiscal year (e.g., FY06), 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 may contact [Grants.gov](http://www.Grants.gov) for assistance by phone at 1-800-518-4726, or email at support@Grants.gov, or contact Michael Bellot at 703-603-8905 or email bellot.michael@epa.gov.

Application/proposal materials submitted through <http://www.Grants.gov> will be time/date stamped electronically. If you have not received a confirmation of receipt from EPA (not from support@grant.gov) within 30 days of the application deadline, please contact Michael Bellot at bellot.michael@epa.gov. Failure to do so may result in your application not being reviewed.

D. Confidential Business Information.

In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications or portions of applications they claim

as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure.

Under Public Law No. 105-277, data produced under awards resulting from this announcement is subject to the Freedom of Information Act.

E. Data Universal Numbering System (DUNS).

All applicants are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for a Federal grant or cooperative agreement. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com>.

F. Pre-proposal Communications and Assistance.

In accordance with EPA’s Competition Policy ([EPA Order 5700.5A1](#)), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their applications.

EPA will respond to questions in writing from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement. All questions and answers will be posted at the OSWER Grants/Funding website <http://www.epa.gov/oswer/grants-funding.htm>, bi-weekly, until the closing date for this announcement.

Section 5 - Application Review Information.

A. Evaluation Criteria.

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

Criterion	Maximum Points per Criterion
Project Description. Extent to which the Proposal effectively addresses the Scope of Work described in Section 1 of this announcement. The work plan included in the “Narrative Proposal” must present a clear and concise description of the proposed project. The proposal must: <ul style="list-style-type: none">· Effectively describe a well-conceived strategy to demonstrate effective IC best practices, technologies and strategies, methods or approaches to improving the implementation and effectiveness of ICs.	25

<ul style="list-style-type: none"> · Clearly describe process for making information available to communities and other interested parties. · Clearly, concisely and realistically present goals, tasks, and project milestones. 	
<p>Programmatic Capability. Under this factor, EPA will evaluate the applicant’s technical ability to successfully carry out the proposed project taking into account the following factors: (i) its past performance in successfully completing and managing Federally funded agreements similar in size, scope, and relevance to the proposed project performed within the last 3 years, (ii) its history of meeting reporting requirements under Federally funded agreements similar in size, scope, and relevance to the proposed project performed within the last 3 years and submitting acceptable final technical reports under these agreements, (iii) its organizational experience and plan for timely and successfully achieving the objectives of the proposed project, and (iv) its staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.</p> <p>Note: In evaluating applicants under this factor, EPA 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). Applicants with no relevant or available past performance or reporting history (items i and ii above), will receive a neutral score for those elements of this factor.</p>	20
<p>Performance Measurement: Anticipated Outcomes and Outputs. Extent to which the “Narrative Proposal” realistically describes how the project will lead to measurable environmental results. The proposal should:</p> <ul style="list-style-type: none"> · Clearly specify anticipated environmental outcomes (e.g., increased IC effectiveness, reduced potential IC conflicts, improved exchange of information) and outputs as described in <i>Section 1(E), Measuring Environmental Results: Anticipated Outcomes/Outputs</i>. · Clearly describe how success in achieving project results (including the outcomes and outputs identified) will be evaluated and measured. 	15
<p>Resources.</p> <ul style="list-style-type: none"> · Is the budget clearly stated, detailed, and appropriate to achieve the project’s objectives? · Does applicant propose other sources of funding for the project (including use of in-kind goods and services)? · Have resources been committed by other project stakeholders? · The proposal demonstrates (i) how the applicant will coordinate the 	15

<p>use of EPA funding with other Federal and/or non Federal sources of funds to leverage additional resources to carry out the proposed project(s) and/or (ii) that EPA funding will complement activities relevant to the proposed project(s) carried out by the applicant with other sources of funds or resources. Applicants may use their own funds or other resources for a voluntary match or cost share 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 matches or cost shares. Other Federal grants may not be used as matches or cost shares without specific statutory authority (e.g. HUD's Community Development Block Grants.</p>	
<p>Transferability of Practice. This factor will evaluate the extent to which project results can be transferred to other potential users.</p>	10
<p>Broad Applicability. This factor will evaluate the ability of the project to impact large user groups.</p>	10
<p>Past Performance in Reporting Environmental Results. Quality and extent to which the applicant adequately documented and/or reported on its progress towards achieving the expected results (e.g., outcomes and outputs) under Federally and/or non-Federally funded agency assistance agreements performed within the last three years, and if such progress was not being made whether the applicant adequately documented and/or reported this status.</p> <p>Note: In evaluating applicants under this factor, EPA 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). Applicants with no relevant or available past performance reporting history will receive a neutral score for this factor.</p>	5

B. Other Factors.

The EPA Headquarters Analysis and Remediation Division Selection Official, as described below, may consider the following other factor, in addition to the evaluation results based on the criteria above, in making final funding recommendations: (1) geographic equity.

C. Review and Selection Process.

All applications received by the closing date and time for submissions will first be reviewed to determine eligibility for funding consideration based upon compliance with all *Section 3-Eligibility Information and Threshold Criteria*. Only applications determined eligible will be evaluated for technical merit.

Each eligible application will be evaluated by a review panel of EPA staff, for technical merit, based on the evaluation factors detailed in *Section 5(A), Evaluation Criteria* of this solicitation. Upon completion, each application will be given an evaluated numerical score, with a total of 100 points possible. The evaluated numerical scores will be rank ordered. The review panel will recommend the application with the highest evaluated numerical score, to the EPA Headquarters Analysis and Remediation Division selection official, for award.

The final funding decision will be made by the EPA Headquarters Analysis and Remediation Division Selection Official. The decision will be based upon the recommendation of the review panel and consideration of “Other Factors” detailed in *Section 5(B)* of this announcement.

Section 6 - Award Administration Information.

A. Award Notices.

EPA anticipates notification to both successful and unsuccessful applicants will be made, via telephone, electronic, or postal mail by September 11, 2006.

The notification to successful applicant(s) that their application has been selected for award is not an authorization to begin performance. EPA reserves the right to negotiate appropriate changes in work plans after the selection and before the final award consistent with the Agency’s Competition Policy (*EPA Order 5700.5A1, Section 11*). The “Award Notice” signed by the EPA Grants Officer is the authorizing document and will be provided through postal mail. At a minimum, this process can take up to 90 days from the date of selection.

B. Administrative and National Policy Requirements.

1. A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at:
http://www.epa.gov/ogd/AppKit/applicable_epa_regulations_and_description.htm.
2. Executive Order 12372, Intergovernmental Review of Federal Programs, may be applicable to awards resulting from this announcement. Applicants *selected* for funding may be required to provide a copy of their application to their [State Point of Contact](#) (SPOC) for review, pursuant to Executive Order 12372, Intergovernmental Review of Federal Programs. This review is not required with the initial application and not all states require such a review.

C. Reporting Requirement.

Quarterly progress reports and a detailed final report will be required. The quarterly progress reports will be submitted to the EPA Project Officer within thirty days after each reporting period. These reports shall cover work status, work progress, difficulties encountered,

preliminary data results and a statement of activity anticipated during the subsequent reporting period. A discussion of expenditures along with a comparison of the percentage of the project completed to the project schedule and an explanation of significant discrepancies shall be included in the report. The report shall also include any changes of key personnel concerned with the project.

The final report will address goals and objectives, performance measurements, lessons learned, any other resources leveraged during the project and how they were used, and any plans to continue the project after the expiration of the grant/cooperative agreement and associated sources of funding. The final report will be submitted to the EPA Project Officer at the close of the grant.

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) located on the web at: <http://a257.g.akamaitech.net/7/257/2422/01jan20051800/edocket.access.gpo.gov/2005/05-1371.htm>. Copies of these procedures may also be requested by contacting the cognizant Agency contact identified in Section 7 of this announcement.

E. Pre-Award Administrative Capability Review.

Non-profit applicants that are recommended for funding will be subject to pre-award administrative capability reviews consistent with Sections 8.b, 8.c, and 9.d of [EPA Order 5700.8](#), EPA Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards.

Section 7 - Agency Contact.

FOR FURTHER INFORMATION CONTACT:

Michael Bellot, U.S. EPA, Office of Superfund Remediation and Technology Innovation (5204P), 1200 Pennsylvania Ave., N.W., Washington, DC 20460; Phone: 703-603-8905; or email: at bellot.michael@epa.gov.

Larry Zaragoza, U.S. EPA, Office of Superfund Remediation and Technology Innovation (5204G), 1200 Pennsylvania Ave., N.W., Washington, DC 20460; Phone: 703-603-8905; Fax: 312-886-5824 or email: at zaragoza.larry@epa.gov.