

OVERVIEW SECTION

AGENCY: ENVIRONMENTAL PROTECTION AGENCY (EPA)

TITLE: “OSWER INNOVATIONS PILOT PROJECTS”

ACTION: Request for Applications (RFA) - Initial Announcement

RFA NO: EPA-OSWER-IO-06-08

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NOS.: 66.810 - Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program; 66.611 - Environmental Policy and Innovation Grants

DATES: The closing date and time for receipt of applications is November 20, 2006, 5:00 p.m. EST. 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 November 20, 2006, 5:00 p.m. EST.

SUMMARY: This notice announces the availability of funds and solicits creative proposals testing innovative and collaborative approaches to: restore contaminated properties to environmental and economic vitality; increase America’s homeland security; promote stewardship and resource conservation consistent with the Agency’s Resource Conservation Challenge, and; encourage voluntary efforts to clean up sites.

FUNDING/AWARDS: The total estimated funding available under this competitive opportunity is \$500,000. EPA anticipates award of 5-10 assistance agreements resulting from this competitive opportunity. The assistance agreements awarded shall range in value to a maximum of \$100,000. (*Refer to Section 2(B).*)

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Section 1 - Funding Opportunity Description.

A. Introduction.

The Office of Solid Waste and Emergency Response (OSWER) Action Plan, the EPA Administrator's Action Plan, and EPA's draft Strategic Plan for 2006-2011 all emphasize the need for innovative and collaborative approaches to environmental problem-solving. To encourage innovative thinking and collaborative approaches to environmental challenges throughout the OSWER programs, OSWER established the Innovations Workgroup (IWG) and an Innovation Pilot Initiative.

Under this announcement EPA is interested in supporting short-term (one to two-year) projects that produce results and are ready for "real world" practical application in a short period of time. The projects should have the potential to lead to long-term and dramatic environmental improvements in various business sectors, geographic regions, and government policies. EPA is not seeking to fund initial stages of multi-year, purely scientific research projects under this solicitation. In addition, EPA will not fund projects which are duplicative of previously funded innovation projects. For more information on previously funded projects, please consult the IWG webpage, <http://www.epa.gov/oswer/iwg>.

OSWER has set aside a limited amount of funding for regional and Headquarters program offices to develop new and creative approaches addressing OSWER's key priorities. EPA will fund creative proposals testing innovative and collaborative approaches to: restore contaminated properties to environmental and economic vitality; increase America's homeland security; promote stewardship and resource conservation consistent with the Agency's Resource Conservation Challenge, and; encourage voluntary efforts to clean up sites.

Fifty-two innovation projects have been selected through Fiscal Year (FY) 2006. Examples of projects include: making plastics from plant materials; working with the private sector to solicit designs for reusable packaging for books and CDs purchased through the internet; exploring an innovative approach to processing food waste and its potential renewable energy applications; and testing a market-based approach for reducing chemical use and waste at universities. "Fact Sheets" on previously-awarded projects can be found on the IWG webpage at: <http://www.epa.gov/oswer/iwg>.

B. Priorities to be Funded.

The IWG will provide funds to support creative proposals testing innovative and collaborative approaches in four priority areas. An application package must cover one or more priority areas. Applicants must identify the priority area(s) your project will address. The priority areas are:

1. **Restore contaminated properties to environmental and economic vitality.**
EPA encourages innovative land revitalization proposals that include a focus on the restoration and protection of both land and water resources. Examples under this priority

area include, but are not limited to, projects that:

- a. Ensure long term protectiveness and land reuse through Long-Term Stewardship (LTS). Cleanup remedies for contaminated sites and properties often require management and oversight of on-site waste materials and contaminated environmental media for long periods of time. LTS generally refers to the activities and processes used to control and manage these material and media and ensure protection of human health and the environment over time. For more information visit: http://www.epa.gov/oswer/landrevitalization/ltstf_report/index.htm.
- b. Support the One Cleanup Program approach. The One Cleanup Program is EPA's vision for how different cleanup programs at all levels of government can work together to improve the coordination, speed and effectiveness of cleanups at the nation's contaminated sites. For more information visit: <http://www.epa.gov/oswer/onecleanupprogram>.
- c. Support sustainable and beneficial reuse of sites through activities such as greenspace preservation, materials reuse, re-forestation and habitat restoration, energy efficient design, renewable energy use, and improved air and water quality.

2. **Increase America's homeland security.**

Under the National Strategy for Homeland Security and various federal response plans, EPA is focusing on strengthening and broadening its response capabilities, clarifying its roles and responsibilities to ensure an effective response, and promoting improved response capabilities across government and industry in the areas in which the Agency has unique knowledge, experience, and expertise. Examples under this priority area include, but are not limited to, projects that:

- a. Increase preparedness at the local, state, and federal level.
- b. Enhance EPA's capability to respond under the National Response Plan.
- c. Improve laboratory and decontamination capacity and capability.

3. **Promote stewardship and resource conservation consistent with the Agency's Resource Conservation Challenge (RCC).**

The RCC is a national effort to conserve natural resources and energy by managing materials more efficiently. EPA supports natural resource and energy conservation through efforts to reduce more waste, reuse and recycle more products, buy more recycled and recyclable products, and reduce toxic chemicals in waste. For more information on the RCC, please visit: <http://www.epa.gov/epaoswer/osw/consERVE>. Examples under this priority area include, but are not limited to, projects that:

- a. Support collaborative efforts to develop creative, economical ways to encourage "greener" product design so that products are much easier and cheaper to reuse, upgrade and recycle for the same or higher value uses.

- b. Increase beneficial use of secondary materials from construction and demolition debris.
- c. Explore third party certification of electronics recycling and take back programs.
- d. Develop and use tools to evaluate electronics management from an environmental standpoint.

4. **Encourage voluntary efforts to clean up sites.**

Examples under this priority area include, but are not limited to, projects that:

- a. Promote collaborative cleanup partnerships, including urban river restoration, regional environmental management systems, and other regional approaches to cleanup, revitalization, and environmental management.
- b. Provide tools for “good Samaritans” to clean up abandoned mines and other contaminated properties.
- c. Explore innovative ways to encourage cleanup and reuse of ecologically valuable land in locations where the local marketplace won’t drive reuse on its own.

EPA’s definition of innovation includes, but is not limited to, projects that: broaden the array of environmental protection tools; foster significant, long-term business process changes in the private sector; promote a significant policy shift or culture change in the public sector; or adapt an existing tool or idea to a different sector or geographic region. Applicants are strongly encouraged to review previously-funded proposals and conduct general internet searches to ensure a project is a new idea. Previously funded projects can be found at the IWG website: http://www.epa.gov/oswer/iwg/innovation_pilots.htm. Projects that are similar in concept, scope, sector, and/or impact to previously funded projects may receive fewer points under the Section 5(A), Innovation evaluation criterion.

The number of projects selected varies each year depending upon the funds requested for each selected project. In FY02, 03, 04, and 05 EPA funded 12, 19, 13, and 8 projects, respectively. In FY07, EPA anticipates award of 5 to 10 projects. EPA has a preference to fund as many projects as possible. The average funding per project in the past has been \$47,000. A maximum of \$100,000 may be requested per project. **Applicants may submit more than one proposal.** EPA strongly encourages applicants to be as realistic as possible with their request and to collaborate and leverage resources with other organizations to secure sufficient funding to complete the project. Selected projects will effectively and efficiently use limited EPA funding and, where possible, leverage other available resources.

Projects must be wholly conducted within the borders of the United States and its territories. If awarded, projects must ensure that no population is subjected to unjust or disproportionate environmental impacts - risk should not be shifted from one population to another.

C. EPA Strategic Plan Linkage.

Projects selected for award through this competition will support progress towards EPA Strategic

Plan Goal 3 (Land Preservation and Restoration), Objective 3.1 (Preserve Land), Sub-objective 3.1.1 (Reduce Waste Generation and Increase Recycling); Objective 3.2 (Restore Land), Sub-objectives 3.2.1 (Prepare for and Respond to Accidental and Intentional Releases), 3.2.2 (Clean Up and Reuse Contaminated Land); and Goal 5 (Compliance and Environmental Stewardship), Objective 5.2 (Improve Environmental Performance through Pollution Prevention and Innovation), Sub-objective 5.2.2 (Prevent Pollution and Promote Environmental Stewardship by Business).

D. 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.

EPA anticipates the outcome from the projects expected to be awarded under this announcement will include, but are not limited to: increase in the number of properties reused or made available for reuse; increase in acres of greenspace protected; demonstration of faster cleanup in time saved; increase in number of collaborative cleanup partnerships; increase in number of regional environmental management systems; increase in pounds of municipal solid waste reduced or recycled; pounds of greenhouse gases (GHG) reduced and BTUs of energy saved or recovered; amount of increased recycled material utilization; measurable improvements in manufacturing, packaging, and waste disposal; expansion of local community planning to include homeland security stakeholders; reduction of response time to a chemical accident, and; expansion of industry or local communities’ plans into the area of prevention and/or preparing for deliberate accidents/releases.

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.

EPA anticipates the output from the projects expected to be awarded under this announcement will include, but are not limited to: educational and outreach materials produced and distributed as part of the project; technical assistance workshops conducted as part of the project; increase stakeholder groups involved in the project, innovative approaches tested in the project, and industry partnerships formed in support of one of the above-mentioned OSWER priority areas.

EPA is looking for projects that will demonstrate short-term “intermediate” outcomes, within the first six months of the project, and significant end outcomes/long-term environmental results.

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

E. Supplementary Information.

The statutory authorities for this action are the Solid Waste Disposal Act, section 8001, as amended; the Comprehensive Environmental Response and Liability Act, Sections 104 and 311; the Clean Air Act, Sections 112 and 103; the Clean Water Act, Section 104 as amended; the Safe Drinking Water Act, Section 1441; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; and the Toxic Substances Control Act, Sections 10 and 28

Section 2 - Award Information.

A. What is the amount of available funding?

The total estimated funding available under this competitive opportunity is \$500,000.

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 5-10 assistance agreements, whose maximum value each shall not exceed \$100,000, resulting from this competitive opportunity.

Funds allocated under this program may be awarded through cooperative agreements or grants, depending upon the principal purpose of the transaction. Grants and cooperative agreements may be used to provide financial support to non-Federal organizations to help them carry out their own projects addressing the four priority areas. Cooperative agreements are appropriate when EPA will be substantially involved in assisting the recipient carry out its project. The decision whether to award a grant or cooperative agreement will be made on a case-by-case basis depending upon the anticipated substantial involvement by EPA.

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, or make fewer awards than anticipated.

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 May 1, 2007. 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; Federally Recognized Indian Tribes, and possessions of the U.S., including Puerto Rico, U.S. Virgin Islands, Northern Mariana Islands, and the District of Columbia; public and private universities and colleges; hospitals; laboratories; interstate organizations; intrastate organizations; local agencies; other public or private nonprofit institutions, and individuals. 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. For profit organizations are generally not eligible for funding.

Some of EPA's statutes may limit assistance to specific types of interested applications. IWG project funds are not available for “for-profit” companies, organizations or private individuals.

B. Cost-Sharing or Matching.

The IWG anticipates the only cost share requirement will be for projects awarded under CERCLA 311(b)(3) for alternative or innovative treatment technology research and demonstration. CERCLA 311(b)(3) requires EPA “to the maximum extent possible” enter into an appropriate cost-sharing arrangement with recipients of grants and cooperative agreements. EPA may waive the 311(b)(3) cost-sharing requirement in appropriate cases. In-kind contributions may count toward meeting the cost share requirement. **Applicants submitting proposals for innovative and alternative treatment technology must either propose a match of at least 5% or request a waiver.**

For applications addressing funding priorities described in Section 1(B) that do not involve innovative and alternative treatment technology, although cost-sharing or matching may not be required, as a condition of eligibility, or otherwise, under this competition, applicants proposing a voluntary financial or in-kind commitment of resources may 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 assistance 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 meet 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. The proposed project must address a critical challenge or unmet need related to one or more of the “*Priorities to be Funded*” as detailed in Section 1(B) of this announcement.
2. The proposed project budget shall not exceed the maximum value of \$100,000. Applications requesting assistance funding in excess of this value will not be considered.
3. The proposed project must be wholly conducted within the borders of the United States and its territories.
4. Organizations proposing to utilize proprietary information must provide evidence of permission to use the information.
5. 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.

6. Application packages 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. Packages received after the published closing date and time will be returned to the sender without further consideration.
7. All application materials must be submitted in English.

D. Funding Restrictions.

All projects must be directly related to solid waste (including products and materials), hazardous substances in the environment, or chemical emergency preparedness, prevention, and response and must be an innovative and collaborative approach to at least one of the OSWER priority areas identified in Section 1 of this Announcement. EPA funds may only be used for the purposes set forth in the award and must be consistent with the statutory authority for the award. Once proposals are reviewed and final recommendations are prepared, EPA will confirm the statutory authority to be used to fund the projects and may require modifications to the project consistent with the applicable statute.

Most of the statutes authorize awards for the following activities: research, investigations, experiments, training, demonstrations, surveys, education materials and programs, and studies. The statutory term “demonstration” can encompass the first instance of the application or an innovative application of a previously used method. The term “research” may include the application of established practices when they contribute to learning about an environmental concept or problem. Funding awarded for research under CERCLA 311(c) does not include scientific research within the purview of EPA's Office of Research and Development.

Brownfields. OSWER will not consider applications, under this announcement, that have a principal purpose of providing training, research, and technical assistance to individuals and organizations to facilitate the inventory, site assessment or remediation of only brownfields sites, and community involvement or site preparation only for brownfields sites. EPA funds these types of projects under the Brownfields Training, Research, and Technical Assistance Grant Program.

The Small Business Liability Relief and Brownfields Revitalization Act (“Brownfields Law” or “the Law”, P.L. 107-118) defines a brownfield site as “real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant,” as defined in the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 §101(39), as amended (CERCLA). The Law further defines the term “brownfield site” to include a site that “is contaminated by a controlled substance...; is contaminated by petroleum or a petroleum product excluded from the definition of ‘hazardous substance’..., is mine-scarred land.”

The IWG may fund applications addressing environmental protection through land revitalization utilizing CERCLA 311 (b) and (c) and RCRA 8001 authorities. Acceptable proposals may include assessment, evaluation, research, community involvement, and training on the effects of and risks to human health and the environment from hazardous substances or solid waste generally, rather than contamination at specific brownfields sites or only at brownfields sites. Proposals that include any brownfields related activities must include an explanation of why the activities meet this requirement.

Construction. Applications for funding may not include any element of construction.

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 application packages, irrespective of the mode of submission. All packages must contain a "Narrative Proposal," and one completed and signed "Application for Federal Assistance." The "Narrative Proposal" 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, and the Section 3(C) threshold eligibility criteria.*

1. **Standard Form 424 (SF-424), Application for Federal Assistance, with original signature;**

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**" must be prepared in Microsoft Word format and may not exceed 15 typed, single-line spaced, 8 1/2" x 11" pages with 1" margins. The page limit does not apply to letters of support that are required for documenting partner resources and funds. The "Narrative Proposal" must substantially conform to the following outline and content:

- a. Cover Letter. 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 proposed project, the priority

- area(s) to be addressed, and a description of 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. A description of how you are an eligible applicant as listed in *Section 3(A), Eligible Entities.*
 - vii. Cooperative Partners. Provide names and phone numbers of individuals and organizations that have agreed to participate in the implementation of the project:
- b. Detailed Project Description. The project description should provide the information below on 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 and the Section 3(C), Threshold Criteria.**
- i. **Project Work Plan.** Provide a well-supported statement or needs assessment of the environmental problem or issue the proposal is addressing. Provide any necessary background information that helps define the issue, such as any research, current trends, etc. Explain why you need to carry out this project.

Provide a summary of your proposal identifying the objectives and your strategy for achieving them. This section should cover what you will do, why, and how.

Identify project milestones and project schedule. Identify key tasks and subtasks, indicating what will be done, by whom, and a timeline for completion of each. Describe any work products you plan to provide as documentation of your progress and success.

Explain how the project is innovative and collaborative and how the project will benefit the environment, public health, the community, or the organization.

Explain how the project findings or results will be transferable to other organizations, business sectors, or geographic areas. EPA is looking for projects that could have significant national impact and/or large-scale replicability. Include a description of your organization's plan for disseminating project results to facilitate knowledge exchange and adoption of your innovation on a larger scale.

- ii. **Anticipated Outcomes and Performance Measurement.** Specify the expected environmental project outcomes, including those described in *Section 1(D), Measuring Environmental Results: Anticipated Outcomes/Outputs*, of this announcement. Discuss how you propose to track and measure your progress in achieving the project outcomes and results (*Refer to Section 5(A), Evaluation*

Criteria, “Performance Measurement.”)

- iii. **Anticipated Outputs.** Identify the expected project outputs, including those described in *Section 1(D), Measuring Environmental Results: Anticipated Outcomes/Outputs*, of this announcement, and how you will track and measure your progress towards achieving them. Outputs, quantitative or qualitative, must be measurable during the project performance period.
- iv. **Programmatic Capability.** Submit a list of federally funded assistance agreements or non-federally funded projects (e.g., state grants, contracts) similar in size, scope and relevance to the proposed project that your organization performed within the last three years (no more than 5, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage those agreements or non-federally funded projects (e.g., state grants, contracts) and (ii) your history of meeting the reporting requirements under those agreements or non-federally funded projects (e.g., state grants, contracts) including submitting acceptable final technical reports. In evaluating applicants under these factors in Section 5, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current and prior Federal agency grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the proposal and you will receive a neutral score for these factors under Section 5.

In addition, provide information on your organizational experience and plan for timely and successfully achieving the objectives of the proposed project, and your staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.

- v. **Environmental Results Past Performance:** Submit a list of federally funded assistance agreements or non-federally funded projects (e.g., state grants, contracts) that your organization performed within the last three years (no more than 5, and preferably EPA agreements), and 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 not making progress, please indicate whether, and how, you documented why not. In evaluating applicants under this factor in Section 5, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current and prior Federal agency grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available environmental results past performance information, please indicate this in the proposal and you will receive a neutral score for this factor under Section 5.

- vi. **Cooperative Partners.** 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.** Provide a budget narrative which clearly explains how funds will be used for each of the following categories and how these categories relate to the responses you provided to the “Resources” evaluation criterion listed in Section 5(A) of this announcement:
 - i. Personnel
 - ii. Fringe Benefits
 - iii. Contractual Costs
 - iv. Travel
 - v. Supplies
 - vi. Equipment. Equipment purchases must be both integral and critical to the proposed innovation project. EPA funds may not be used to purchase equipment that is only peripherally related to the project. The proposal should clearly indicate the importance and need for any proposed equipment purchases.
 - vii. Other Costs (Be specific.)
 - viii. Non-EPA Project Funding. Identify funding from other sources including any in-kind resources.
 - ix. Total Project Costs (including EPA and Non-EPA Funds.) Costs proposed in the budget must be linked directly to the proposal.

Provide the proposed budget for your project using the budget template below. Describe financial needs for each major task and subtask, identify funds/support that will be committed by your agency/organization, if any, and describe all other funding sources committed to fill in any remaining funding gaps. The budget narrative should include an itemized explanation of tasks and costs using the categories (i - ix) listed above. Any proposed purchases of equipment must be integral and critical to the proposal. Include a brief discussion of how your budget is cost-effective and realistic.

Budget Template

Use this template to present your proposed budget and organize your response to the Section 5(A), “Resources” criterion of this announcement.

Budget Element (e.g., Task/Subtask) and Description	Applicant Funding	Partner 1 Funding (if applicable)	Partner 2 Funding (if applicable)	EPA IWG Funding
Task 1. Sample Task 1				

1.1				
1.2				
Task 2. Sample Task 2				
2.1				
2.2				
Task 3. Sample Task 3				
Task 4. Equipment				
Task 5. Reports (example)				
5.1 Quarterly Reports				
5.2 Final Report				
5.3 Lessons Learned				
Total Funds Requested				

3. **Attachments.** The following documents should be included as attachments to the workplan and will not count as part of the 15 page limit.
- a. **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.
 - b. **Auditing records.** Provide documentation of any adverse audit findings related to your organization.
 - c. **Letters of support** from any partners involved with the proposal. **If the applicant is including cooperative partners as part of the project team, a letter of support from each cooperative partner is required.** The letter must be on the partner’s letterhead and must be signed by a responsible official of the partner organization stating their intention to work on and/or contribute funds to the project including an estimate of the funding and time commitment. Letters of support must be provided to document any matching or supplemental funds that are described in the proposal. Letters of support must be received by the closing date and time for receipt of applications under this announcement.

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 extraneous 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. Maps, photos and attachments other than those listed in *Section 4(B)(3)* will not be considered.

C. Submitting an Application Package.

Applicants may choose to submit application packages, prepared as described in Section 4 (B) above, either in hard copy (paper) format, by electronic mail (e-mail), or through <http://www.Grants.gov> with an electronic signature. Instructions for all methods are detailed below. Please use only one method. The closing date and time for receipt of application packages under this announcement is November 20, 2006, 5:00 p.m. EST. Applications submitted via electronic-mail (e-mail) or through <http://www.Grants.gov> must be received by EPA or through [Grants.gov](http://www.Grants.gov) by November 20, 2006, 5:00 p.m. EST.

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 at lo.sofia@epa.gov.
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 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 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 <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 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-IO-06-08, or the CFDA number 66.611 or 66.810, 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 November 20, 2006, 5:00 p.m. EST.

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. **Narrative Proposal** - (Including the attachments referenced in *Section 4(B)(3)* of the announcement). Prepare your “Narrative Proposal” in accordance with the instructions detailed in *Section 4(B), Content and Form of Application* of this announcement (EPA-OSWER-IO-06-08). The “**Narrative Proposal**” shall not exceed 15 single spaced pages and must substantially conform to the outline and content detailed in *Section 4(B)(2)* of this announcement.

Application Preparation and Submission Instructions.

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

For Document 1, 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 2, 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-IO-06-08). 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. For the attachments to the “Narrative Proposal” identified in *Section 4(B)(3)* of this announcement, you may click “Add Optional Project Narrative File” and proceed as before to attach the attachments. 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. 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 <http://www.Grants.gov> for assistance by phone at 1-800-518-4726, or contact Sofia Lo at 202-566-0199 or, email lo.sofia@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 Sofia Lo at lo.sofia@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 proposal/application as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark proposals/applications or portions of proposals/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 Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal

comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their applications/proposals. However, 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.

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
<p>Project Description. Extent to which the Proposal effectively addresses one or more of the funding priorities described in Section 1(B) of this announcement. The work plan included in the “Narrative Proposal” must present a clear and concise description of the proposed project. The proposal:</p> <ul style="list-style-type: none"> • Effectively describes a well-conceived strategy to: restore contaminated properties to environmental and economic vitality; increase America’s homeland security; promote stewardship and resource conservation consistent with the Agency’s Resource Conservation Challenge, and/or; encourage voluntary efforts to clean up sites. • Presents an innovative, creative and/or sustainable approach, describing a new and/or better way, to address environmental challenges. • Describes a collaborative approach which brings together affected stakeholders to address environmental problem solving in a coordinated, collective manner. The role and responsibilities of cooperative partners, if any, are well defined and acknowledged with Letter of Support from those entities. • Clearly, concisely and realistically present goals, tasks, and project milestones. 	40

<p>Programmatic Capability. Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account the following factors: (i) its past performance in successfully completing and managing federally funded assistance agreements, or non-federally funded projects (e.g., state grants, contracts) 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 assistance agreements or non-federally funded projects (e.g., state grants, contracts) similar in size, scope, and relevance to the proposed project performed within the last 3 years and submitting acceptable final technical reports under those 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><i>Note: In evaluating applicants under this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). 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 criterion.</i></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 and outputs as described in <i>Section I(E), Measuring Environmental Results: Anticipated Outcomes/Outputs</i>. • Clearly describe the measures of success for the project. Measure of success should be either measures of environmental improvement or should be directly linked to such measures. EPA will look for quantitative and qualitative measurability. • 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 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). 	10
<p>Transferability of Practice. This factor will evaluate the extent to which project deliverables/outcomes (process, idea, technology, etc.) will be transferable and/or useful to other organizations, business sectors, or geographic areas. The proposal:</p> <ul style="list-style-type: none"> • Describes how the project could have national impacts and/or large-scale replicability. • Identifies organizations, business sectors, or geographic areas expected to benefit from the project results and describes how the projects deliverables will be transferable or useful to others. • Describes the organization’s (or partners) plan for communicating project results to facilitate transferability/knowledge exchange. 	10

<p>Environmental Results Past Performance. Under this criterion, applicants will be evaluated based on the extent and quality to which they adequately documented and/or reported on their progress towards achieving the expected results (e.g., outcomes and outputs) under Federal agency assistance agreements or non-federally funded projects (e.g., state grants, contracts) performed within the last three years, and if such progress was not being made whether the applicant adequately documented and/or reported why not.</p> <p><i>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.</i></p>	5
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B. Other Factors.

The EPA Headquarters OSWER Immediate Office 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, and (2) demonstration of a variety of technical approaches..

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.

Eligible applications will then be forwarded to EPA regional staff for screening of the “*Programmatic Capability*” and “*Environmental Results Past Performance*” criteria. The regional screening of this criteria may take into account the Regional EPA Office’s experience, if any, with the applicant’s performance on grants managed by the Region.

Once the “*Programmatic Capability*” and “*Environmental Results Past Performance*” reviews are completed, applications will then be assigned to one of the technical review panels specifically chosen to address the application’s subject matter (e.g., OSWER priority area). Each eligible application will be evaluated for technical merit, based on the evaluation factors detailed in *Section 5(A), Evaluation Criteria* of this solicitation. The technical review panel will consist of EPA Regional and Headquarters staff.

Upon completion, each of the subject matter technical review panels will then forward their top

applications (approximately 5) to a national panel for consensus scoring and ranking. 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 national panel will recommend the applications with the highest evaluated numerical scores, to the EPA Headquarters OSWER Selection Official, for award.

The final funding decision will be made by the EPA Headquarters OSWER Selection Official. In making this decision, the Selection Official will consider the recommendation of the national review panel and may also consider the “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 March 30, 2007.

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:

Sofia Lo, U.S. EPA, Innovation Partnership & Communication Office (5101T), 1200 Pennsylvania Ave., N.W., Washington, DC 20460; Phone: 202-566-0199; or email: at lo.sofia@epa.gov.