

**U.S. EPA Great Lakes National Program Office  
Request for Proposals on Two Topics:  
Great Lakes Pollution Prevention and Reduction  
and  
Rochester RAP Management**

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**Overview**

**Federal Agency Name:** Environmental Protection Agency, Great Lakes National Program Office

**Funding Opportunity Title:** Two Topics - Great Lakes Pollution Prevention and Reduction and Rochester RAP Management

**Announcement Type:** Initial Announcement

**Funding Opportunity Number:** EPA-R5-GL2008-4

**Catalog of Federal Domestic Assistance (CFDA) Number:** 66.469

**Awards:** An estimated \$1,000,000 is expected to be awarded under this announcement for an estimated 6-10 grants or cooperative agreements ranging from approximately \$50,000 - \$500,000 each.

**Important Dates:**

April 15, 2008. Request for Proposals announced.

June 10, 2008. Submissions must be postmarked or received by EPA or electronically through grants.gov by midnight, CST. See Section IV for additional information.

July 1. Selections and Notification.

July 31. Application Packages Due.

September – December. Awards made.

Dates after June 10 are expected dates only and may change.

**Application Information:** Applicants may submit proposals by either of two methods: (i) paper submission or (ii) submission through grants.gov . Information about both methods is described in Section IV. We encourage all applicants to register with us at <http://www.epa.gov/grtlakes/maillist/index.html> to be informed about our funding process.

## **I. Funding Opportunity Description.**

Under this Request for Proposals, the U.S. Environmental Protection Agency's (EPA's) Great Lakes National Program Office (GLNPO) is requesting proposals for projects advancing Great Lakes Pollution Prevention and Reduction and for projects advancing Rochester RAP Management, each as described below. An estimated \$1,000,000 is expected to be awarded under this announcement for an estimated 5-10 grants or cooperative agreements ranging from approximately \$50,000 - \$500,000 each.

The statutory authority for these awards is (i) §104 of the Clean Water Act and (ii) §118 of the Clean Water Act. §118 calls for the achievement of the goals in the Great Lakes Water Quality Agreement, the principal goal being the restoration and maintenance of the chemical, physical, and biological integrity of the Great Lakes Ecosystem.

Funded activities will advance protection and restoration of the Great Lakes ecosystem in support of (i) Subobjective 4.3.3 (Improve the Health of Great Lakes Ecosystems) of EPA's Strategic Plan <http://www.epa.gov/ocfo/plan/plan.htm> and (ii) the Great Lakes Regional Collaboration Strategy to Protect and Restore the Great Lakes <http://www.gllrc.us/>.

Applicants may submit one or more proposals for either or both topics below; however, each proposal must be submitted separately.

**I.A. Pollution Prevention and Reduction.** Approximately \$500,000 is expected to be awarded for 4-10 projects to reduce the presence and deleterious impacts of ~~toxic~~ chemicals pollutants on the Great Lakes Basin Ecosystem. Pursuant to the Great Lakes Water Quality Agreement, we seek projects that will help protect the Great Lakes from the deleterious impacts of chemical stress. This could include chemicals from point sources such as industrial or municipal waste water discharges and air sources such as from open burning or from stacks, and non point sources such as from farm operations, or from urban runoff. Examples from previous years, include development of education and outreach materials to address open burning, addressing nutrient and pesticide impacts in the Great Lakes through best management practices, and modeling long range transport of persistent toxic substances to the Great Lakes Basin.

Pollution Prevention and Reduction **Outcomes** may include, but are not limited to:

- Development of mitigation strategies to address chemicals that may stress the Great Lakes basin.
- Adoption of innovative “green” ideas, products, or technologies.
- A public better informed about the health threats associated with toxic substances.

Pollution Prevention and Reduction **Outputs** may include, but are not limited to:

- Information to help target chemicals that may stress the Great Lakes Basin for pollution prevention and reduction, including improved toxic substances source and emissions inventories.
- Removal/Reductions of toxic substances from the Great Lakes Basin (quantifiable)

- Source characterization: Assessment of potential sources of persistent toxic substances which are believed to affect the Great Lakes, though not necessarily located in the Great Lakes basin.
- Indicators of progress toward virtual elimination of persistent toxic substances.

**I.B. Rochester RAP.** Approximately \$500,000 is expected to be awarded for 1 project over 5 years supporting coordination and oversight of the Rochester Embayment Remedial Action Plan. The Proposal should specify the work that would be done incrementally over a 5 year period for a budget of up to \$100,000 annually and should address tasks associated with the development and implementation of the RAP strategy(s) in support of Area of Concern (AOC) delisting, including tracking and coordination activities and remediation and ecosystem restoration. Such tasks may include, but are not limited to, developing and coordinating monitoring plans and continued data assessment of beneficial use impairments; and coordinating the review of delisting determinations for individual beneficial use impairments, through the Remedial Action Committee, the State, and EPA.

Rochester RAP **Outcomes** may include, but are not limited to:

- Restoration of one or more of the impaired beneficial uses in the Area of Concern.

Rochester RAP **Outputs** may include, but are not limited to:

- Delisting of the Area of Concern.
- Tracking and coordination activities, e.g.,
  - o development of RAP quarterly updates and annual RAP status reports that describe and track remediation efforts aimed at eliminating beneficial use impairments identified for each RAP and moving the AOC towards delisting;
  - o organization of quarterly meetings of the remedial advisory committees and distribution of meeting minutes to USEPA, New York State Department of Environmental Conservation (NYSDEC) and Remedial Action Committee participants;
  - o coordination of RAP activities with other Great Lakes programs such as the Lake Ontario LaMP and the Niagara River Toxics Management Plan; and,
  - o coordination of RAPs with related organizations such as the International Joint Commission (IJC) and USEPA/GLNPO; participation and co-operation with any IJC RAP assessments as necessary.
- Remediation and ecosystem restoration efforts aimed towards AOC delisting, including:
  - o coordinate and implement the remediation of environmental problems as identified in the RAP;
  - o coordinate and implement ecosystem restoration efforts as identified in the RAP; and,
  - o periodic re-evaluation of beneficial use impairments and adjustment of remediation strategies and ecosystem restoration efforts as necessary for the elimination of impairments and AOC delisting.

## II. Award Information

The number of agreements EPA will fund as a result of this announcement will be based on the quality of Proposals received and the availability of funding. Estimates of dollar amounts and numbers of projects are included as planning targets only.

**Amounts, Targets, and Number of Projects.** An estimated \$1,000,000 is expected to be awarded for an estimated 6-10 grants or cooperative agreements under this announcement ranging from approximately \$50,000 - \$500,000 each. Funding for these projects is not guaranteed and is subject to the availability of funds and the evaluation of Proposals based on the criteria in this announcement. Estimates of dollar amounts per topic and/or project area and numbers of projects are included as planning targets only. The actual amounts and number of projects may differ for many reasons, including the fact that some funding expected to be utilized pursuant to this announcement has not been appropriated and the related operating budget has not been developed, and the number and quality of meritorious, technically qualified project submissions is unknown.

EPA reserves the right to reject all Proposals and make no awards under this announcement or make fewer awards than anticipated.

**Anticipated Start and End Dates.** The project periods for Pollution Prevention and Reduction Projects are expected to begin between September and December, 2008 and to end within one to two years thereafter. The project period for the Rochester RAP project is expected to begin between October 2008 and March 2009 and to end five years thereafter. See "Pre-award Costs" for information regarding costs incurred prior to awards.

**Awards from additional funding.** EPA reserves the right to make additional awards under this announcement (after the original award selections are made) if additional funding becomes available. Any additional selections for awards will be made no later than 6 months after the original selection decisions. The additional selections will be made in accordance with the terms of this announcement and EPA policy.

**Funding Type.** Successful applicants will be issued a grant or cooperative agreement. A cooperative agreement is an assistance agreement that is used when there is substantial federal involvement with the recipient during the performance of an activity or project. EPA awards cooperative agreements for those projects in which it expects to have substantial interaction with the recipient throughout the performance of the project. EPA will negotiate the precise terms and conditions of "substantial involvement" as part of the award process. Federal involvement may include close monitoring of the recipient's performance; collaboration during the performance of the scope of work; in accordance with 40 CFR 31.36(g), review of proposed procurements; reviewing qualifications of key personnel; and/or review and comment on the content of printed or electronic publications prepared. EPA does not have the authority to select employees or contractors employed by the recipient. The final decision on the content of reports rests with the recipient.

**Future Funding.** Award of funding through this year's competition is not a guarantee of future funding.

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

**Pre-award Costs.** It is possible for applicants to be reimbursed for pre-award costs. Applicants who expect to incur pre-award costs should identify those costs in their proposals. Reimbursement of pre-award costs is considered on a case-by-case basis. EPA is not obligated to reimburse recipients for pre-award costs; recipients incur pre-award costs at their own risk. Applicable regulations for pre-award costs are contained in 40 CFR 30.25 (f). EPA Policy Guidance (GPI-00-02) makes this policy applicable to grantees under both Part 30 (universities and nonprofits) and Part 31 (State, local, and tribal).

### III. Eligibility and Matching

**Applicant Eligibility (CFDA 66.469).** State pollution control agencies, interstate agencies, and other public or non-profit private agencies, institutions, and organizations are eligible; "for-profit" organizations are not. Colleges and universities which are subject to 40 CFR 30 or 31 are eligible. Non-profit organization, as defined by OMB Circular A-122, located at 2 CFR Part 230, means any corporation, trust, association, cooperative, or other organization which: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

**Eligible Activities.** Assistance is available pursuant to Clean Water Act §104(b) for activities impacting the Great Lakes Basin and in support of the Great Lakes Water Quality Agreement. Applicants' proposals pursuant to this Funding Opportunity must conduct, and promote the coordination and acceleration of, research, investigations, experiments, training, demonstrations, surveys, and/or studies relating to the causes, effects, extent, prevention, reduction, and/or elimination of pollution. Proposals for other activities will be rejected.

**Ineligible Activities.** Under this announcement, EPA will not fund: "construction grant" projects; basic research; land acquisition; or projects the principal purpose for which is general operating support.

**Match.** A match is not required, but cost-leveraging is one of the criteria in Section V which will be considered by reviewers during evaluations.

**Threshold Eligibility Criteria.** These are requirements that if not met by the proposal submission deadline will result in elimination of the proposal from consideration for funding. Only proposals from eligible entities (see above) that meet all of these criteria will be evaluated against the ranking factors in Section V of this announcement. Applicants deemed ineligible for funding consideration as a result of the threshold eligibility review will be notified within 15 calendar days of the ineligibility determination.

1.
  - a. Proposals must substantially comply with the submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected.
  - b. Proposals must be postmarked or received by the EPA or received through <http://www.grants.gov>, as specified in Section IV of this announcement, on or before the submission deadline published in Section IV of this announcement.
  - c. A Proposal postmarked or received after the deadline will be considered late and rejected without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling. Applicants should confirm receipt of their proposals with Lawrence Brail (312-886-7474 /brail.lawrence@epa.gov) as soon as possible after the submission deadline - failure to do so may result in your proposal not being reviewed.

2. Proposals must be for eligible activities which support (i) Goal 4 (Healthy Communities and Ecosystems), Objective 3 (Ecosystems), Subobjective 3 (Improve the Health of Great Lakes Ecosystems) of EPA's Strategic Plan <http://www.epa.gov/ocfo/plan/plan.htm> and (ii) the Great Lakes Regional Collaboration Strategy to Protect and Restore the Great Lakes <http://www.glrc.us/>.

Note also that pursuant to Section IV zipped files will not be reviewed.



## IV. Application and Submission

### A. General:

Applicants may submit their Proposals by hard copy or through grants.gov but not both. Regardless of the mode of submission, Proposals must meet the submission requirements specified below. A Proposal includes cover page, narrative, and budget as described in Section IV.B. of this announcement.

There is no page limit for the Proposal; however, it must be formatted for 8 ½" x 11" paper using no smaller than 11 point Times New Roman font with 1" margins as one Microsoft Word, WordPerfect or Adobe Acrobat file. If you submit an Adobe Acrobat file, it must be generated by printing the document to the Acrobat Distiller or PDF Writer and NOT scanned in from hardcopy. Do not include more than one Proposal in any file. Please do not zip the file, because we will not be able to open it.

Applicants may submit one or more proposals for either or both topics described in Section I; however, each proposal must be submitted separately.

It is recommended that confidential business information not be included in your Proposal.

### B. Proposal Format

**1. Cover Page:** We request that the cover page consist of no more than one side of 1 page and should include:

- a. Funding Opportunity Title and Number.** Choose either: Great Lakes Pollution Prevention and Reduction or Rochester RAP Management. The Announcement Number is EPA-R5-GL2008-4
- b. Name of Project.** Please limit to 60 characters, or EPA reserves the right to change the name for its administrative convenience.
- c. Point of contact/s.** Individual and Organization Name. Business Address; Phone Number; Fax Number; E-mail Address; and, if the organization has one, DUNS number.
- d. Type of Organization.** Choose from: State; Interstate Agency or Commission; Sub-state or special purpose district; County; Municipality; College or University; Tribal Organization; Federally funded research and development center; or Other.
- e. Proposed funding request.** The dollar amount requested from EPA.
- f. Leveraging.** Identify leveraged funds and the ratio of leveraged vs. requested funds.
- g. Brief project description.** Summarize the project in a manner understandable to the public. Include environmental KEY TERMS that could be used as search terms (e.g., water quality, toxins, mercury, etc.). Do not use acronyms. Should the project be selected and a grant awarded, this description may be posted to the EPA web, which has a 595 character limit to this field; EPA reserves the right to make unilateral changes to conform to posting requirements.

**2. Proposal Narrative.** Maps, charts or photographs must be included in the document and cannot be submitted as separate attachments. Clearly describe the:

- a. **Proposed Work.** Describe what will be done and how. Include a statement of the project's relevance to the Great Lakes, particularly to needs and priorities in Subobjective 4.3.3 (Improve the Health of Great Lakes Ecosystems) of EPA's Strategic Plan and to the Great Lakes Regional Collaboration <http://www.epa.gov/glnpo/collaboration/strategy.html>.
- b. **Project Goals/Outcomes/Benefits.** Specify the quantitative and qualitative outcomes of the project, including what measurements you will use and how you will measure and evaluate the results of your project to prove that you have achieved the outcomes. Pursuant to EPA Order 5700.7 <http://www.epa.gov/ogd/grants/award/5700.7.pdf> on environmental results, "outcome" means the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature, but must be quantitative. They may not necessarily be achievable within an assistance agreement funding period.
- c. **Project Benefits/Outputs:** Specify the estimated quantifiable environmental and economic outputs of the project, including affected pollutants, industry sectors, economic impacts, habitats, and/or species. Include an estimate of the amount of chemicals to be "collected or prevented." Describe the quality of that estimate, including applicable limitations. Pursuant to EPA Order 5700.7 <http://www.epa.gov/ogd/grants/award/5700.7.pdf> on environmental results, "output" means an environmental activity, effort, and/or associated work products related to an environmental goal and objective, that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.
- d. **Project Eligibility:** Identify how the project will conduct and promote the coordination and acceleration of, research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of pollution.
- e. **Collaboration, Stakeholders, and Leveraging:** Describe plans and status of collaboration amongst the public, private, and independent sectors. List the proposed groups that will be involved in this project and what each of the groups' roles will be in the project staffing, funding, design and implementation. Demonstrate how you 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. Leveraged funding or other resources need not be for eligible and allowable project costs under the EPA assistance agreement unless the Applicant proposes to provide a voluntary cost share or match. If EPA accepts an offer for a voluntary cost share/match/participation, applicants must meet their matching/sharing/participation commitment as a condition of receiving EPA funding. Applicants may use their own funds or other resources for voluntary match/cost share/participation if the standards at 40 CFR 30.23 or 40

CFR 31.24, as applicable, are met. Only eligible and allowable costs may be used for voluntary matches/cost shares/participation. Other Federal grants may not be used as voluntary matches or cost shares without specific statutory authority (e.g. HUD's Community Development Block Grants). Any form of proposed leveraging that is evaluated under a section V ranking criteria must be included in the proposal and the proposal must describe how the applicant will obtain the leveraged resources and what role EPA funding will play in the overall project.

- f. **Measuring Progress:** Describe your plan for measuring progress toward achieving the expected project outputs and project outcomes, including those identified in Section I of the announcement.
- g. **Project Tasks/Schedule:** Outline the steps to be taken and the significant milestones to be achieved to complete the project as well as the estimated schedule of these achievements with dates. Include the date by which EPA would receive a final report on the project. This section should also include a discussion of a communication plan for distributing the project results to interested parties.
- h. **Past Performance – Programmatic Capability:** Submit a list of federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope and relevance to the proposed project that your organization performed within the last three years (no more than 5, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage those agreements, (ii) your history of meeting the reporting requirements under those agreements including submitting acceptable final technical reports, and (iii) 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 these factors in Section V, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current 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 V.

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.

Note: In addition, provide any other information, to the extent not otherwise addressed above, that relates to the evaluation factors in Section V.

**3. Budget Narrative/Detail.** Specify in a chart with a column that totals to the total project cost how the total of the EPA funds and any Applicant matching funds will be used for the

following “budget object classes”. For example, the total budget for the personnel object class category should be supported with a list of job titles and chargeable salaries; the budget for equipment should be supported with a detailed list of proposed purchases and the estimated cost of each item; and, similar justifications should be provided for the other object class categories that comprise the total budget.

- a. **Personnel/Salaries.** Identify each type of staff position by job title and the number of employees in each type of staff position. Enter the annual salary for each type of staff position, percentage of time assigned to the project, and total cost for the budget period. Do not include costs of consultants or personnel costs of subgrantees or subcontractors.
- b. **Fringe Benefits.** Enter the total cost of fringe benefits unless treated as part of an approved indirect cost rate. Provide a break-down of amounts and percentages that comprised fringe benefit costs, such as health insurance, F.I.C.A., retirement insurance, etc.
- c. **Travel.** Identify the number and purpose of trips for program activities; e.g., inspection, monitoring, enforcement, etc., and administrative activities; e.g., attendance at specific conferences, meetings, training, etc. Specify the cost for each activity and the basis for determining the cost. For example, list the number of trips and average cost per trip based on last year’s data or specify the location, duration and estimated cost of attending an annual conference, based on air fare and applicant per diem rates. Enter the total cost for travel.
- d. **Equipment.** Identify each item of equipment to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful life of more than one year. An applicant may use its own definition of equipment provided that such definition would at least include all equipment defined above. Enter individual, as well as total, cost for equipment.
- e. **Supplies.** List all tangible personal property other than “equipment” as defined above. The budget detail should be as descriptive as possible. Categories of supplies to be procured, e.g., laboratory supplies or office supplies, are acceptable if items cannot be reasonably separated. Enter individual, as well as total, cost of supplies.
- f. **Contract costs.** Identify each proposed contract and specify its purpose, nature, period of performance and estimated cost. Do not include procurement contracts which are reflected in other object class categories such as equipment, supplies, etc. If funds allocated to this object class category include proposed expenditures not usually categorized as services to be procured at the market place, explanatory footnotes must be included. Enter total cost for contracts.
- g. **Other Costs.** List each item of cost in sufficient detail for EPA to determine its reasonableness and allowability. Such costs, where applicable, may include, but are not limited to, insurance, space rental, equipment rental, printing, publication, computer use, training fees, utilities, telephone, and any cost an applicant customarily identifies as other cost. Enter individual, as well as total, cost for other.
- h. **Total Direct Charges.**
- i. **Indirect Charges.** Enter the total amount of indirect costs. (If indirect charges are budgeted, you will indicate the approved rate and its base on line 22 of section F when you submit your SF 424A. At that time, the organization must also provide

documentation of a federally approved indirect cost rate (percentage) reflective of proposed project/grant period. The applicant should indicate if it is in negotiations with the appropriate federal agency to obtain a new rate.

- j. **Total Cost.** Indicate overall figure of all direct and indirect costs.

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

**C. Submission.** Applicants have the option of applying (i) with a paper submission accompanied by a disk or e-mail attachment (see Section IV.C.1. below) or (ii) online using the Grants.gov website with an electronic signature (see Section IV.C.2. below). Please use only one method.

#### **D.1. Instructions for Paper Submissions.**

Applicants submitting Proposals by paper must send the full Proposal described in Section IV. A. to the address listed below so as to meet the date and time requirements of Section IV.D. below. (EPA also request that the electronic files (disk or e-mail attachment) containing the Proposal be submitted at the same time.) EPA strongly recommends that applicants use overnight delivery service or courier service, as regular mail may be subject to unforeseeable delays. Proposals submitted by paper must be sent to:

U.S. EPA - GLNPO (G-17J)  
77 West Jackson Boulevard  
Chicago, Illinois 60604-3590  
Attention: Lawrence Brail (312-886-7474 / [brail.lawrence@epa.gov](mailto:brail.lawrence@epa.gov))

#### **C.2. Instructions for Grants.gov Submissions**

See Attachment A to this Announcement for the grants.gov instructions.

**D. Submission Deadline.** Proposals, regardless of the mode of submission, must be postmarked or received by EPA or through grants.gov by midnight, Central Standard Time, June 10, 2008. Proposals which are postmarked or received by EPA or through grants.gov after this date and time will not be considered.

**E. Confidentiality.** In accordance with 40 CFR 2.203, applicants may claim all or a portion of their project submission as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark submissions or portions thereof 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. Note that under Public Law No. 105-277, data produced under an award is subject to the Freedom of Information Act.

**F. Communications with Applicants.** 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 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.

**G. Questions and Answers Pertaining to Contracts and Subawards:**

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

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

competitive procurement standards in 40 CFR Part 30 or 40 CFR Part 31.36 and cannot use a subaward/subgrant as the funding mechanism.

**b. How will an applicant's proposed subawardees/subgrantees and contractors be considered during the evaluation process described in Section V of the announcement?**

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

- (i) an applicant's named subawardees/subgrantees identified in the proposal/application if the applicant demonstrates in the proposal/application that if it receives an award that the subaward/subgrant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use subawards/subgrants to obtain commercial services or products from for profit firms or individual consultants.
- (ii) an applicant's named contractor(s), including consultants, identified in the proposal/application if the applicant demonstrates in its proposal/application that the contractor(s) was selected in compliance with the competitive Procurement Standards in 40 CFR Part 30 or 40 CFR 31.36 as appropriate. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

EPA will not consider the qualifications, experience, and expertise of named subawardees/subgrantees and/or named contractor(s) during the proposal/application evaluation process unless the applicant complies with these requirements.

## V. Proposal Review

**Criteria.** Submissions meeting the threshold criteria in Section III will be evaluated based on the Criteria set forth below. Applicants should directly and explicitly address these criteria as part of their submittal. Each proposal will be rated under a points system, with a total of 100 points possible.

- A. Strategic Approach.** Extent and quality of the proposal's strategic approach to achieving the objectives and proposed outcomes and outputs identified in Section I and the potential for achieving goals specified in the proposal by its specified project end. (25 points)
- B. Environmental Results – Measuring Progress toward Outcomes and Outputs.** Extent and quality of the evaluative component of the project, including how the applicant's success in achieving the expected project outcomes and outputs, including those identified in Section I, will be tracked and measured. (10 points)
- C. Past Performance – Programmatic Capability and Reporting on Environmental Results.** The applicant's technical ability to successfully complete and manage the proposed project taking into account the applicant's experience with federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope, and relevance to the proposed project performed within the last 3 years. Under this criterion, EPA will evaluate the applicant's past performance and history regarding (i) successful completion and management of such agreements, (ii) meeting reporting requirements and submission of acceptable final technical reports of such agreements, and (iii) documentation and/or reporting on progress towards achieving the expected outcomes and outputs (e.g., results) under the agreements and if such progress was not made, whether the documentation and/reports satisfactorily explained why not. (15 points)
- NOTE: The three elements of this criterion will be equally weighted. 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 must indicate this in the proposal and they will receive a neutral score for this criterion – failure to indicate this may result in a score of "0" for these factors.
- D. Expertise/Qualifications/Knowledge.** Expertise/qualifications/knowledge and resources (or the ability to obtain them) of the Applicant and its staff to successfully achieve the goals of the proposed project. (15 points)
- E. Appropriate Budget.** Reasonableness and appropriateness of the proposed budget for the level of work proposed and with the expected benefits to be achieved. (15 points)
- F. Collaboration/Partnerships and Leveraged Resources.** Degree to which the applicant proposes to work in partnership with appropriate partners (such as government agencies, community groups, businesses, stakeholders, States, Cities, Counties, Solid Waste Management Districts, and POTWs) and leverage significant resources to implement the



proposal. Under this criteria, applicants will also be evaluated based on the extent they demonstrate (i) how they 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. Leveraged funding or other resources need not be for eligible and allowable project costs under the EPA assistance agreement unless the Applicant proposes to provide a voluntary cost share or match. (10 points)

**G. Education/Outreach:** Effectiveness of education/outreach and plans to disseminate project results, ~~including but not limited to whether the applicant has a demonstrated track record of outreach to inform citizens on the environmental impacts of harmful pollutants and improper disposal of unwanted medicines, and of an ability to mobilize citizen collection activities.~~ (10 points)

**Review and Selection Process.** EPA staff will evaluate submitted proposals and budgets. Submissions that meet the Threshold eligibility criteria identified in Section III will be evaluated based on each applicant's ability to meet the stated evaluation criteria above. Review panels will rank submissions based on this review and provide recommendations to applicable management in GLNPO or EPA Region 2.

Final selection decisions for projects to be funded by EPA will be made by the director of the Great Lakes National Program Office in consultation with Region 2 management. In addition to the review panel rankings, program priorities, program budgets, and geographic distribution of projects may also be considered by these officials in making final selections and funding decisions. Once final selections have been made, applicants will be asked to submit full application packages. Following that submission, a funding recommendation will be developed and forwarded to the EPA Award Official.

**Conflict of Interest:** Reviewers will be required to sign a disclosure of conflict of interest form and will be removed from review of Proposals where an actual or potential conflict of interest (that cannot be mitigated) exists.

If you register at <http://www.epa.gov/grtlakes/maillist/index.html> we will send you any updates to GLNPO funding information.

## **VI. Award Administration**

**Notification:** We will confirm submission receipt within one week of the due date for all submissions. Shortly after the deadline, we will post project information (including Title and GLNPO identification number) at: <http://www.epa.gov/glnpo/fund/current.html> . ALL APPLICANTS SHOULD CHECK THIS POSTING TO VERIFY THAT THEIR SUBMISSIONS HAVE BEEN INCLUDED IN GLNPO'S DATABASE. Contact [brail.lawrence@epa.gov](mailto:brail.lawrence@epa.gov) if you do not receive a confirmation or if your project is not posted. GLNPO will contact all Applicants to tell them whether or not they have been selected.

**Pre-award Review for Administrative Capability.** Non-profit applicants that are recommended for funding will be subject to pre-award administrative capability reviews consistent with paragraphs 8.b, 8.c, and 9.d of EPA Order 5700.8 [http://www.epa.gov/ogd/grants/award/5700\\_8.pdf](http://www.epa.gov/ogd/grants/award/5700_8.pdf) and may be required to fill out and document an "Administrative Capability" form.

**Mandatory Training for non-profits.** EPA requires non-profit applicants and recipients to take a course designed to help them understand assistance agreement regulations, the application process, management of their assistance agreements and the close out process. Completion of this class is mandatory for all non-profit award recipients upon receipt of monetary actions effective October 1, 2007. Certification will be good for 3 years. See <http://www.epa.gov/ogd/>

**Issuance of Awards.** EPA reserves the right to negotiate appropriate changes (that do not affect the integrity of the competition) in project terms and amounts consistent with EPA Order 5700.5A1 and other applicable policies before making final decisions and awards and reserves the right to reject all Proposals and make no awards. EPA has 60 days to issue an award following receipt of the complete, fundable Application Package and selection of an Applicant. Final funding decisions are based upon the complete Application Packages.

**Administrative and Reporting Requirements.** The successful applicant will be required to adhere to the Federal grants requirements, particularly those found in applicable OMB circulars on Cost Principles (A-21, A-87, or A-122), Administrative Requirements (A-102 or 110), and Audit Requirements (A-133) available from <http://www.whitehouse.gov/omb/grants/> . This includes government-wide requirements pertaining to accounting standards, lobbying, minority or woman business enterprise, publication, meetings, construction, and disposition of property. EPA regulations governing assistance programs and recipients are codified in Title 40 of the Code of Federal Regulations. Those requirements, GLNPO-specific requirements currently in effect, and the application materials that will be needed by applicants can be found at <http://www.epa.gov/grtlakes/fund/projreqs.html> and <http://www.epa.gov/grtlakes/fund/appforms.html> . An acceptable final report must include statements regarding the quality of the data presented therein.

**Dispute Resolution Process.** Assistance agreement competition-related disputes involving any applicant, including Federal applicants, will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at

<http://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 [russ.michael@epa.gov](mailto:russ.michael@epa.gov)

## **VII. Agency Contact(s)**

General Contact: Michael Russ (312-886-4013) / [russ.michael@epa.gov](mailto:russ.michael@epa.gov)

Technical Difficulties: Lawrence Brail (312-886-7474) / [brail.lawrence@epa.gov](mailto:brail.lawrence@epa.gov) / Tony Kizlauskas (312- 353-8773 / [kizlauskas.anthony@epa.gov](mailto:kizlauskas.anthony@epa.gov)) or Pranas Pranckevicius (312-353-3437 / [pranckevicius.pranas@epa.gov](mailto:pranckevicius.pranas@epa.gov))

## **VIII. Other Information**

EPA's Great Lakes National Program Office brings together Federal, state, tribal, local, and industry partners in an integrated, ecosystem approach to protect, maintain, and restore the chemical, biological, and physical integrity of the Great Lakes. The program coordinates international commitments under the Great Lakes Water Quality Agreement; monitors Lake ecosystem indicators; manages and provides public access to Great Lakes data; helps communities address contaminated sediments in their harbors; supports local protection and restoration of important habitats; promotes pollution prevention through activities and projects such as the Canada-U.S. Binational Toxics Strategy (GLBTS); explores emerging or strategic Great Lakes issues; and provides assistance for development and implementation of Lakewide Management Plans (LaMPs) and of community-based Remedial Action Plans (RAPs) for Areas of Concern. GLNPO, located in Chicago, Illinois, has a staff of about 55 and an annual budget of about \$55 million, including contaminated sediment remediation projects pursuant to the Great Lakes Legacy Act.

GLNPO will send an e-mail announcement of these and any of its funding opportunities to all who register at <http://www.epa.gov/grtlakes/maillist/index.html>.



**Grants.gov Application Instructions**  
**For Announcement Number EPA-R5-GL2008-4**  
*Applicable Only to Proposals Submitted Through Grants.gov*

### General Application Instructions

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

If you wish to apply electronically via Grants.gov, the electronic submission of your proposal must be made by an official representative of your institution who is registered with 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. **\*\*\*The registration process may take a week or longer to complete.\*\*\*** If your organization is not currently registered with Grants.gov, please encourage your office to designate an Authorized Representative (AOR) and ask that individual to begin the registration process as soon as possible.

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

<http://www.grants.gov/help/help.jsp> or [http://www.grants.gov/aboutgrants/program\\_status.jsp](http://www.grants.gov/aboutgrants/program_status.jsp)).

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number, EPA R5-GL2008-4, or the CFDA number that applies to the announcement (CFDA 66.469), in the appropriate field. You may also be able to access the proposal/application package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

### **Grants.gov Submission Deadline**

Your organization's AOR must submit your complete application package as described below, electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than midnight, Central Standard Time, June 10, 2008 as described in Section IV of the Announcement.

To view the full funding announcement, go to the applicable announcement from < <http://www.epa.gov/grtlakes/fund/glef.html> > or go to <http://www.grants.gov> and click on "Find Grant Opportunities" on the left side of the page and then click on "Search Opportunities/Browse by Agency" and select Environmental Protection Agency.

Please submit *all* of the application materials described below.

### **Application Materials**

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

**1. Standard Form (SF) 424, Application for Federal Assistance**

Complete the form. There are no attachments.

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. Proposal**, including cover page, narrative, and budget as described in Sections IV.A and B. of the announcement.

### **Application Preparation and Submission Instructions**

Document 1 listed under Application Materials above should appear in the "Mandatory Documents" box on the 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 proposal as described in Sections IV.A and B of the announcement and save the document to your computer as an MS Word or WordPerfect file. (U.S. EPA prefers to receive documents in MS Word, but documents

prepared in WordPerfect will also be accepted.) When you are ready to attach your proposal to the proposal package, click on “Project Narrative Attachment Form,” and open the form. Click “Add Mandatory Project Narrative File,” and then attach your proposal (previously saved to your computer) using the browse window that appears. You may then click “View Mandatory Project Narrative File” to view it. Enter a brief descriptive title of your project in the space beside “Mandatory Project Narrative File Filename;” the filename should be no more than 40 characters long. 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 – Great Lakes: Two Topics – 1st Submission” or “Applicant Name – Great Lakes: Two Topics – Back-up Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2<sup>nd</sup> submission should be changed to “Applicant Name – Great Lakes: Two Topics – 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 Grants.gov.

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the fiscal year (e.g., FY08), and the grant category (“Pollution Prevention and Reduction” or “Rochester RAP Management”). 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 for assistance by phone at 1-800-518-4726 or email at <http://www.grants.gov/help/help.jsp> or contact Lawrence Brail (312-886-7474 /brail.lawrence@epa.gov)**

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

If you have not received a confirmation of receipt from EPA (*not from support@grant.gov*) within 15 days of the application deadline, please contact Lawrence Brail at [glnpo.funding@epa.gov](mailto:glnpo.funding@epa.gov) or (312) 886-7474. Failure to do so may result in your application not being reviewed.