

**AGENCY:** ENVIRONMENTAL PROTECTION AGENCY (EPA)

**TITLE:** SUSTAINABLE MATERIALS MANAGEMENT GRANTS

**ACTION:** REQUEST FOR APPLICATIONS (RFA)

**RFA NUMBER:** EPA-SMMS-02-1

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO.:** 66.808

Funding Priority - Fiscal Year 2018: Partnerships - Establishing and developing partnerships with states, local governments and other non-profit organizations to assist them in advancing their waste management programs, including recycling and reduction of wastes, appropriate management of wastes that are generated, and developing integrated waste management plans. Education and Outreach - Developing and providing education, training, and outreach materials to educate and inform Americans about the impact of waste on resource and energy use and pollution. Fostering a better understanding of the environmental ramifications of collective actions including how individual purchasing and manufacturing decisions are connected to the environment and to enable Americans to make better choices resulting in increased recycling, less waste and greater energy savings.

**DATES:** The closing date and time for the receipt of applications is March 30, 2018, by 11:59 pm, Eastern Time (ET) in order to be considered for funding. Application packages must be submitted electronically to Grants.gov (<https://www.grants.gov>) on or before this date and time in order to be considered for funding. See Section III (C)(2) for more details about the deadline and Section IV(B) for submission instructions.

**SUMMARY:** This notice announces the availability of funds and solicits applications that support the EPA Sustainable Materials Management Program, for the benefit of States or communities within EPA Region 2 (New York, New Jersey, Puerto Rico, Virgin Islands). Sustainable materials management (SMM) is a systemic approach to using and reusing materials more productively over their entire life cycles. It represents a change in how our society thinks about the use of natural resources and environmental protection. By looking at a product's entire life cycle, we can find new opportunities to reduce environmental impacts, conserve resources and reduce costs.

**FUNDING/AWARDS:** The total estimated funding for this competitive opportunity is approximately \$50,000.

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## I. Funding Opportunity Description

### A. Background

Sustainable Materials Management (SMM) is a systemic approach to using and reusing materials more productively over their entire life cycles. It represents a change in how our society thinks about the use of natural resources and environmental protection. By examining how materials are used throughout their life cycle, an SMM approach seeks to:

- Use materials in the most productive way with an emphasis on using less.
- Reduce toxic chemicals and environmental impacts throughout the material life cycle.
- Assure we have sufficient resources to meet today's needs and those of the future.

How our society uses materials is fundamental to our economic and environmental future. Global competition for finite resources will intensify as world population and economies grow. More productive and less impactful use of materials helps our society remain economically competitive, contributes to our prosperity and protects the environment in a resource-constrained future.

U.S. and global consumption of materials increased rapidly during the last century. According to the Annex to the G7 Leaders' [June 8, 2015 Declaration](#), global raw material use rose during the 20th century at about twice the rate of population growth. For every 1 percent increase in gross domestic product, raw material use has risen by 0.4 percent. This increasing consumption has come at a cost to the environment, including habitat destruction, biodiversity loss, overly stressed fisheries and desertification. Materials management is also associated with an estimated 42 percent of total U.S. greenhouse gas emissions. Failure to find more productive and sustainable ways to extract, use and manage materials, and change the relationship between material consumption and growth, has grave implications for our economy and society.

[EPA's Sustainable Materials Management Program \(SMM\) Strategic Plan](#) represents the collective thinking of EPA staff and management across the country, and includes stakeholder input from states, industry and nongovernmental organizations. This announcement focuses on the following two strategic priority areas of EPA Region 2 SMM efforts:

1. **Sustainable Food Management (SFM)** – SFM focusses on reducing food loss and waste and diverting food from the landfill according to EPA's Food Waste Reduction Hierarchy, found at: <https://www.epa.gov/sustainable-management-food/food-recovery-hierarchy>. Source Reduction, otherwise known as waste prevention, is at the top of the hierarchy, followed by donation, industrial applications, and composting. Projects should address strategies to divert food waste from the landfill, and promote sustainability across the community. Projects should focus on source reduction strategies rather than waste diversion strategies.
2. **Sustainable Packaging** – Together, food and packaging/containers account for almost 45% of the materials landfilled in the United States. Common trash from consumer goods comprises the majority of what eventually becomes marine debris, polluting our

waterways and oceans. Plastics in the aquatic environment are of increasing concern because of their persistence and effects on the environment, wildlife, and human health. Sustainable packaging projects should focus on developing methods to reduce packaging waste and thereby decrease the quantity of materials directed toward the landfill. Fundable projects should strive to create lasting change in the community.

Under this RFA, EPA Region 2 is soliciting applications which address one or both of the two above-noted goals of our SMM program. Fundable projects must involve research, investigations, experiments, training demonstrations, surveys, public education programs and/or studies that address strategies to reduce food waste, with the above hierarchy in mind, or strategies to reduce packaging waste in new or sustainable ways. Organizations may submit more than one proposal as long as each one is separately submitted. Projects must benefit States or communities within EPA Region 2 (New York, New Jersey, Puerto Rico, Virgin Islands).

## **B. Scope of Work**

As noted above, applications must address at least one of the SMM Strategic areas listed in Section I.A (Sustainable Food Management or Sustainable Packaging). Applications that do not address at least one of the areas will not be reviewed.

## **C. EPA Strategic Plan Linkage & Anticipated Outcomes, Outputs & Performance Measures**

EPA's Strategic Plan is available at <https://www.epa.gov/planandbudget/strategicplan.html>

**The activities to be funded under this announcement are intended to further EPA's current priorities for Cooperative Federalism and Enhanced Shared Accountability, as SMM grants are intended to bolster and support State and local autonomy and the ability to improve human health and the environment in their jurisdictions with a sense of shared accountability to provide positive environmental results.** All applications must demonstrate these connections to the current draft Strategic Plan. **Applications targeting the Sustainable Food Management program focus also link to the current priority to provide for clean and safe water through food waste reduction programs as the Sustainable Materials Management Program seeks to reduce the overproduction of food which affects water pollution.** Applicants must show how their project will further these current priorities.

EPA also requires that grant applicants adequately describe environmental outputs and outcomes to be achieved under assistance agreements (see EPA Order 5700.7, Environmental Results under Assistance Agreements, <https://www.epa.gov/grants/epa-order-57007a1-epas-policy-environmental-results-under-epa-assistance-agreements> ). Applicants must include specific statements describing the environmental results of the proposed project in terms of well-defined outputs and, to the maximum extent practicable, well-defined outcomes that will demonstrate how the project will contribute to the priorities described above.

**Outputs.** The term "output" means an environmental activity, effort, and/or associated work product related to an environmental goal and objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.

Expected outputs from the project(s) to be funded under this announcement may include the following: meetings, conference calls, training sessions, or other measurable efforts towards an environmental goal. Progress reports and a final report will also be a required output, as specified in Section VI (C) of this announcement, “Reporting Requirements.”

**Outcomes.** The term “outcome” means the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related, or programmatic in nature, but must be quantitative. They may not necessarily be achievable within an assistance agreement funding period.

Projects to be funded under this announcement are expected to produce at least one, and preferably all, of the following environmental outcomes: reduction in solid waste going to the landfill, conservation of natural resources, conservation of energy, reduced costs, improved air and/or water quality, preserved land quality.

**Performance Measures.** The applicant must also develop performance measures they expect to achieve through the proposed activities and describe them in the application. These performance measures will help gather insights and will be the mechanism to track progress concerning successful process and outcome strategies and will provide the basis for developing lessons to inform future recipients. It is expected that the description of performance measures will include the following: A measure of how much solid waste will be diverted from the landfill, and by what strategy. A description of how policy and behaviors will be permanently altered as a result of this project.

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

- i) What are the measurable short term and longer term results the project will achieve?
- ii) How does the plan measure progress in achieving the expected results (including outputs and outcomes) and how will the approach use resources effectively and efficiently?

#### **D. Supplemental Information**

The statutory authority for this action is the Solid Waste Disposal Act (SWDA), Section 8001(a)(5), 42 U.S.C. Section 6981 (a)(5) which authorizes grants to public authorities, agencies, and institutions, private agencies and institutions, and individuals (no profit makers) for purposes which include conducting and promoting the coordination and acceleration of, research, investigations, experiments, training, demonstrations, surveys, public education programs and studies relating to the reduction of the amount of solid waste and unsalvageable waste materials

Applications selected for funding under this solicitation must be consistent with the authorized activities above. Demonstrations must involve new or experimental technologies, methods, or approaches, where the results of the project will be disseminated so that others can benefit from the knowledge gained in the demonstration project. A project that is accomplished through the performance of routine, traditional, or established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not considered a demonstration project; **such activities are**

**not eligible for funding under this announcement. You must specify how your project fits within the above statutory authority.**

## **II. Award Information**

### **A. What is the amount of funding available?**

The total estimated funding expected to be available for awards under this competitive opportunity is approximately \$50,000.

### **B. Partial Funding Provision**

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

### **C. How many agreements will EPA award in this competition?**

EPA anticipates award of up to 2 grant(s) and/or cooperative agreement(s) under this announcement ranging in value from approximately \$10,000 to \$50,000, subject to the availability of funds, quality of evaluated applications, and other applicable considerations. EPA reserves the right to reject all applications and make no awards under this announcement or make fewer awards than expected. In addition, EPA reserves the right to make additional awards under this announcement, consistent with Agency policy, if additional funding becomes available after the original selections. Any additional selections for awards will be made no later than six months from the date of the original selections.

### **D. What is the project period for awards resulting from this solicitation?**

The estimated project period for awards resulting from this solicitation will begin in June 2018. Proposed project periods will be one year.

### **E. Funding Type**

The funding for selected projects will be in the form of a grant and/or cooperative agreement, as appropriate to the nature of the project proposed.

A grant is an assistance agreement in which the EPA is not substantially involved in carrying out the project.

Cooperative agreements permit substantial involvement between the EPA Project Officer and the selected applicants in the performance of the work supported. The anticipated substantial Federal involvement for this project will be:

- Close monitoring of the successful applicant's performance to verify the results proposed by the applicant;
- Collaboration during performance of the scope of work;

- Review and comment on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient).

### **III. Eligibility Information**

#### **A. Eligible Entities**

Consistent with CFDA No. 66.808, the following entities are eligible to compete under this solicitation: States, local, Tribal, interstate, and intrastate government agencies and instrumentalities, and non-profit organizations that are not 501(c)(4) organizations that lobby, including non-profit educational institutions and non-profit hospitals. Individuals and for-profit organizations are not eligible. Non-profit organizations, as defined by 2 CFR Part 200, means any corporation, trust, association, cooperative or other organization that: (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. Note that 2 CFR Part 200 specifically excludes the following types of organizations from the definition of “non-profit organization” because they are separately defined in the regulation: (i) institutions of higher education; and (ii) state, local and federally-recognized Indian tribal governments. While not considered to be a “non-profit organization(s)” as defined by 2 CFR Part 200, Institutions of Higher Education and state, local and federally-recognized Indian tribal governments are, nevertheless, eligible to submit applications under this RFA. Hospitals operated by state, tribal, or local governments or that meet the definition of nonprofit at 2 CFR 200.70 are also eligible to apply. For-profit colleges, universities, trade schools, and hospitals are ineligible.

For-profit organizations are not eligible for this funding opportunity. Additionally, 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.

#### **B. Cost Sharing or Matching**

**This competition does not require matching funds or cost sharing.**

#### **C. Threshold Eligibility Criteria**

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

1. Applications must substantially comply with the application submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. Where a page limit is expressed in Section IV with respect to the narrative proposal, pages in excess of the page limitation will not be reviewed.
2. In addition, initial applications must be submitted through <https://www.grants.gov> as stated in Section IV of this announcement (except in the limited circumstances where another mode of submission is specifically allowed for as explained in Section IV) on or before the application submission deadline published in Section IV of this announcement. Applicants are responsible for following the submission instructions in Section IV of this announcement to ensure that their application is timely submitted.
3. Applications submitted after the submission deadline will be considered late and deemed ineligible without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical problems associated with [www.grants.gov](http://www.grants.gov) or relevant [www.SAM.gov](http://www.SAM.gov) system issues. An applicant's failure to timely submit their application through [www.grants.gov](http://www.grants.gov) because they did not timely or properly register in [www.SAM.gov](http://www.SAM.gov) or [www.grants.gov](http://www.grants.gov) will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their application with Dale Carpenter, [carpenter.dale@epa.gov](mailto:carpenter.dale@epa.gov), as soon as possible after the submission deadline—failure to do so may result in your application not being reviewed.
4. The applicant must be an eligible entity as described in Section III (A) above.
5. Applications must support current administration priorities as described in Section I.C. of this solicitation.
6. All applications must specify and promote one or both of the Sustainable Materials Management program priorities described in Section I.A, that is, either Sustainable Food Management, Sustainable Packaging, or both.
7. All applications submitted under this solicitation must conduct or promote the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, public education programs and studies relating to the reduction of the amount of solid waste and unsalvageable waste materials as described in Section I., of this announcement.
8. Projects that are demonstrations must involve new or experimental technologies, methods, or approaches, where the results of the project will be disseminated so that others can benefit from the knowledge gained in the demonstration project. A project that is accomplished through the performance of routine, traditional, or established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not considered a demonstration project. If a proposal is submitted that includes any ineligible

tasks or activities, that portion of the proposal will be ineligible for funding and may, depending on the extent to which it affects the proposal, render the entire proposal ineligible for funding. State clearly which part of the statutory authority supports your project.

9. Applications must be for projects that benefit states or communities within EPA Region 2 (New York, New Jersey, Puerto Rico, Virgin Islands).

#### **IV. Application and Submission Information**

##### **A. Requirement to Submit Through Grants.gov and Limited Exception Procedures**

Applicants, except as noted below, must apply electronically through <https://www.grants.gov> under this funding opportunity based on the <https://www.grants.gov> instructions in this announcement. If an applicant does not have the technical capability to apply electronically through <https://www.grants.gov> because of limited or no internet access which prevents them from being able to upload the required application materials to <https://www.grants.gov>, the applicant must contact OGDWaivers@epa.gov or the address listed below in writing (e.g., by hard copy, email) at least 15 calendar days prior to the submission deadline under this announcement to request approval to submit their application materials through an alternate method.

Mailing Address:

OGD Waivers  
c/o Jessica Durand  
USEPA Headquarters  
William Jefferson Clinton Building  
1200 Pennsylvania Ave., N. W.  
Mail Code: 3903R  
Washington, DC 20460

Courier Address:

OGD Waivers  
c/o Jessica Durand  
Ronald Reagan Building  
1300 Pennsylvania Ave., N.W.  
Rm # 51278  
Washington, DC 20004

In the request, the applicant must include the following information:

Funding Opportunity Number (FON)

Organization Name and DUNS

Organization's Contact Information (email address and phone number)

Explanation of how they lack the technical capability to apply electronically through <https://www.grants.gov> because of 1) limited internet access or 2) no internet access which prevents them from being able to upload the required application materials through <https://www.grants.gov>

EPA will only consider alternate submission exception requests based on the two reasons stated above and will timely respond to the request -- all other requests will be denied. If an alternate submission method is approved, the applicant will receive documentation of this approval and further instructions on how to apply under this announcement. Applicants will be required to submit the documentation of approval with any initial application submitted under the alternative method. In addition, any submittal through an alternative method must comply with all applicable requirements and deadlines in the announcement including the submission deadline and requirements regarding proposal content and page limits (although the documentation of approval of an alternate submission method will not count against any page limits).

If an exception is granted, it is valid for submissions to EPA for the remainder of the entire calendar year in which the exception was approved and can be used to justify alternative submission methods for application submissions made through December 31 of the calendar year in which the exception was approved (e.g., if the exception was approved on March 1, 2018, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2018). Applicants need only request an exception once in a calendar year and all exceptions will expire on December 31 of that calendar year. Applicants must request a new exception from required electronic submission through <https://www.grants.gov> for submissions for any succeeding calendar year. For example, if there is a competitive opportunity issued on December 1, 2017 with a submission deadline of January 15, 2018, the applicant would need a new exception to submit through alternative methods beginning January 1, 2018.

Please note that the process described in this section is only for requesting alternate submission methods. All other inquiries about this announcement must be directed to the Agency Contact listed in Section VII of the announcement. Queries or requests submitted to the email address identified above for any reason other than to request an alternate submission method will not be acknowledged or answered.

### **B. Grants.gov Application Submission Instructions (see Appendix A)**

Your organization's authorized official representative (AOR) must submit your complete application electronically to EPA through Grants.gov (<https://www.grants.gov>) no later than **11:59 pm Eastern Time, March 30, 2018**.

### **C. Content of Application Package Submission**

All application submissions *must* contain the following completed and signed grant application forms, as well as a Narrative Proposal, as described below:

- Standard Form (SF) 424, Application for Federal Assistance

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.

- Standard Form (SF) 424A, Budget Information for Non-Construction Programs
- Standard Form (SF) 424B, Assurances for Non-Construction Programs
- EPA Form 5700-54, Key Contacts Form
- EPA Form 4700-4, Preaward Compliance Review Report for All Applicants and Recipients Requesting Federal Financial Assistance
- EPA Form 6600-06, Certification Regarding Lobbying
- Standard Form (SF)-LLL, Disclosure of Lobbying Activities (if applicable)
- Narrative Proposal (including Detailed Budget Description)  
The Narrative Proposal (**sections 1-2 below**) cannot exceed a maximum of 10 single-spaced typewritten pages, including the Summary Page. Supporting materials, such as resumes and letters of support, can be submitted as other attachments and are not included in the 10 page limit. Excess pages will not be reviewed.

**Summary Information Page** (recommended not to exceed one page)

- a. Project Title
- b. Applicant Information. Include applicant (organization) name, address, contact person, phone number and e-mail address.
- c. Funding Requested. Specify the amount you are requesting from EPA.
- d. Total Project Cost. Specify total cost of the project. Identify funding from other sources.
- e. Project period. Provide beginning and ending dates. (Projects are anticipated to begin date and end no later than date.)
- f. DUNS number

**1. Narrative Proposal Work-Plan**

The narrative proposal work-plan must explicitly describe how the proposed project meets the guidelines established in Sections I-III of this announcement (including the threshold eligibility criteria in Section III.C) and must address each of the evaluation criteria set forth in Section V including:

- a. **Project Summary/Approach:** The summary shall contain the following components:
  - i. Detailed project summary, description of specific actions and methods to be undertaken and the responsible institutions, including estimated time line for each task.
  - ii. Description of the associated work products to be developed.
  - iii. Explanation of project benefits to the public, and specifically the potential audience(s) served.
  - iv. Description of the roles of the applicant and partners, if any.
  - v. Description of the applicant's organization and experience related to the proposed project.
  - vi. Description of staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.
  
- b. **Environmental Results—Outcomes, Outputs and Performance Measures**

Identify the expected quantitative and qualitative outcomes and outputs of the project (**See Section I**), including what performance measurements, timeline of milestones, or other means will be used to track and measure your progress towards achieving the expected outcomes and outputs and how the results of the project will be evaluated.

c. **Programmatic Capability and Past Performance**

Submit a list of federally funded assistance agreements (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 agreements, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage those agreements and (ii) your history of meeting the reporting requirements under those agreements including whether you adequately and timely reported on your progress towards achieving the expected outputs and outcomes of those agreements (and if not, explain why not) and whether you submitted acceptable final technical reports under the agreements. In evaluating applicants under these factors in Section V, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current/prior grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the proposal and you will receive a neutral score for these factors (a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.

d. **Sustainability:** Describe how the project will be successfully implemented and will enact changes to an organization, community, or the society at large in a lasting and sustainable manner. This means that the changes implemented during this project period will be able to be retained by the organization or community without further input of financial assistance from EPA.

e. **Innovation:** Describe how the application proposes a project that encompasses innovative (e.g., not usual, routine or established practices) solid waste reduction measures that have the capacity to institute real change.

2. **Detailed Budget Narrative (See Appendix B, Budget Sample)**

This section provides an opportunity for a narrative description of the budget found in the SF-424A. Clearly explain how EPA funds will be used. Selected applicant(s) will need to submit a copy of their current indirect cost rate that has been negotiated with a federal cognizant agency prior to award

- a. Description of the budget and estimated funding amounts for each work component/task.
- b. Description of the applicant's approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner.
- c. Applicants must itemize costs related to personnel, fringe benefits, contractual costs, travel, equipment, supplies, other direct costs, indirect costs, and total costs. Selected applicant(s) will need to submit a copy of their current indirect cost rate that has been negotiated with a federal cognizant agency prior to award.

**(OPTIONAL) Attachments.** These are optional and are not included in the 10-page limit.

- a. Negotiated Indirect Cost Rate Agreement.
- b. Biographical Sketch. Provide resumes or curriculum vitae for all Principal Investigators and any other key personnel.
- c. Quality Assurance Narrative Statement.
- d. Support Letters - These should indicate how the supporting organization will assist in the project.
- e. If applicable, approval letter to use alternate means to submit initial application.

**F. Additional Provisions for Applicants Incorporated into the Solicitation**

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to confidential business information, contracts and subawards under grants, and application assistance and communications, can be found at <http://www2.epa.gov/grants/epa-solicitation-clauses> . These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing applications for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

**V. Application Review Information**

Only eligible entities whose application(s) meet the threshold criteria in Section III of this announcement will be reviewed according to the evaluation criterion set forth below. Applicants should explicitly address these criteria as part of their application package submittal. Each application will be rated under a points system, with a total of 100 points possible.

**A. Evaluation Criteria**

| <b>Criteria</b>   | <b>Points</b> |
|---|---------------|
| <b>1. Project Summary/Approach:</b> Under this criterion, the Agency will evaluate the following factors: <b>(i) (25 pts)</b> the extent and quality to which the narrative proposal includes a well-conceived strategy for addressing the requirements in <b>Section I, Parts B (Scope of Work) and C (EPA Strategic Plan Linkage)</b> , <b>(ii) (10 pts)</b> whether the narrative proposal sets forth a reasonable time schedule for the execution of the tasks associated with the project and for achieving the project goals and objectives by project end.       | 35            |
| <b>2. Environmental Results—Outcomes, Outputs and Performance Measures:</b> Under this criterion, the Agency will evaluate the effectiveness of the applicant’s plan for tracking and measuring its progress toward achieving the expected project outputs and outcomes, including those identified in <b>Section I</b> of this announcement. In addition, the Agency will evaluate the performance measures proposed by the applicant and how they will be used to help track and measure the Applicants progress towards achieving the expected outputs and outcomes. | 15            |

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| <p><b>3. Programmatic Capability and Past Performance:</b> Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account their:</p> <p><b>I.</b> (6 points) Past performance in successfully completing and managing the assistance agreements identified in the narrative proposal as described in Section IV.C of the announcement,</p> <p><b>II. (6 pts)</b> history of meeting the reporting requirements under the assistance agreements identified in the narrative proposal as described in Section IV.C of the announcement including whether the applicant submitted acceptable final technical reports under those agreements and the extent to which the applicant adequately and timely reported on their progress towards achieving the expected outputs and outcomes under those agreements and if such progress was not being made whether the applicant adequately reported why not,</p> <p><b>III. (8 pts)</b> staff expertise and qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.</p> <p>Note: In evaluating applicants under items I and II of this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the proposal and you will receive a neutral score for these sub-factors (items I and II above-a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.</p> | 20 |
| <p><b>4. Budget:</b> Under this criterion, the Agency will evaluate the proposed project budget to determine whether:</p> <p><b>I. (5 pts)</b> costs are reasonable to accomplish the proposed goals, objectives, and measurable environmental outcomes,</p> <p><b>II. (5 pts)</b> the proposed budget provides a detailed breakout of the approximate funding used for each major activity.</p> <p>An applicant’s budget and budget narrative must account for both federal funds and any non-federal funds.</p>  | 10 |
| <p><b>5. Sustainability:</b> Applications will be evaluated based on the quality and extent to which the applicant’s project, if successfully implemented, will enact changes to an organization, community, or the society at large in a lasting and sustainable manner.</p>  | 7  |
| <p><b>6. Innovation:</b> Applications will be evaluated based on the extent to which the application proposes a project that encompasses innovative (e.g., not usual, routine or established practices) solid waste reduction measures that have the capacity to institute real change.</p>  | 7  |

|  |          |
|--|----------|
| <p><b>7.Expenditure of Awarded Grant Funds (6 points):</b> Under this criterion, applicants will be evaluated based on their approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner.</p> | <p>6</p> |
|--|----------|

**B. Review and Selection Process**

Applications will first be evaluated against the threshold factors listed in Section III. Only those applications which meet all of the threshold factors will be evaluated using the evaluation criteria listed above by an EPA evaluation team. Each application will be given a numerical score and will be rank-ordered according to the numerical score. Preliminary funding recommendations will be provided to the Selection Official based on this ranking.

**C. Other Factors**

Final funding decisions will be made by the Selection Official based on the rankings and preliminary recommendations of the EPA evaluation team. In making the final funding decisions, the Selection Official may also consider programmatic priorities and geographic diversity of funds. Once final decisions have been made, a funding recommendation will be developed and forwarded to the EPA Award Official.

**D. Additional Provisions For Applicants Incorporated Into the Solicitation**

Additional provisions that apply to this solicitation and/or awards made under this solicitation including the clause on Reporting and Use of Information Concerning Recipient Integrity and Performance can be found at [EPA Solicitation Clauses](#). These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain *the provisions*.

**VI. Award Administration Information**

**A. Award Notices**

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

**Application Notifications**

1. EPA anticipates notification to successful applicants will be made via e-mail. The notification will be sent to the original signer of the application or the project contact listed in the application. This notification, which informs the applicant that its application has been selected and is being recommended for award, is not an authorization to begin work. The official notification of an award will be made by the Region 2 Award Official.

Applicants are cautioned that only an Award Official is authorized to bind the Government to the expenditure of funds; selection does not guarantee an award will be made. For example, statutory authorization, funding or other issues discovered during the award process may affect the ability of EPA to make an award to an applicant. The award notice, signed by an EPA Award Official, is the authorizing document and will be provided through electronic mail. The successful applicant may need to prepare and submit additional documents and forms, which must be approved by EPA, before the grant can officially be awarded. The time between notification of selection and award of a grant can take up to 90 days or longer.

2. EPA anticipates notification to unsuccessful applicant(s) will be made via email. The notification will be made to the original signer of the Standard Form (SF) 424, Application for Federal Assistance.

### **B. Administrative and National Policy Requirement**

A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at: <http://www.epa.gov/grants/policy-regulations-and-guidance-epa-grants>.

### **C. Reporting Requirement**

Quarterly progress reports and a detailed final technical report will be required. Quarterly reports summarizing technical progress, planned activities for next quarter and summary of expenditures are required. The final technical report shall be completed within 90 calendar days of the completion of the period of performance. The final technical report should include: summary of the project or activity, advances achieved and costs of the project or activity. In addition, the final technical report shall discuss the problems, successes, and lessons learned from the project or activity that could help overcome structural, organizational or technical obstacles to implementing a similar project elsewhere. The schedule for submission of quarterly reports will be established by EPA at the time of award as part of the grant-specific terms and conditions of the assistance agreement.

In addition to the quarterly progress reports discussed above, administrative and financial reports will be required in accordance with the schedules and standard forms also stipulated in the grant-specific terms and conditions of the assistance agreement.

### **D. Disputes**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://www2.epa.gov/grants/dispute-resolution-procedures>. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement.

## **E. Additional Provisions for Applicants Incorporated into the Solicitation**

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to DUNS, SAM, copyrights, disputes, and administrative capability, can be found at <http://www2.epa.gov/grants/epa-solicitation-clauses>. These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

## **VII. Agency Contacts**

For further information, contact:

U.S. Environmental Protection Agency, Region 2  
Attn: Dale Carpenter  
290 Broadway, 22<sup>nd</sup> floor  
New York, NY 10007-1866  
(212) 637-4110  
[Carpenter.dale@epa.gov](mailto:Carpenter.dale@epa.gov)

All questions or comments must be communicated in writing via email to the contact person listed above. Questions and answers will be shared with all applicants via email.

## **VIII. Other Information (Appendices)**

### **Appendix A. Submission Instructions**

The electronic submission of your application must be made by an official representative of your institution who is registered with <https://www.grants.gov> and is authorized to sign applications for Federal assistance. For more information on the registration requirements that must be completed in order to submit an application through <https://www.grants.gov>, go to <https://www.grants.gov> and click on “Applicants” on the top of the page and then go to the “Get Registered” link on the page. If your organization is not currently registered with <https://www.grants.gov>, please encourage your office to designate an Authorized Organization Representative (AOR) and ask that individual to begin the registration process as soon as possible. Please note that the registration process also requires that your organization have a DUNS number and a current registration with the System for Award Management (SAM) and the process of obtaining both could take a month or more. Applicants must ensure that all registration requirements are met in order to apply for this opportunity through grants.gov and should ensure that all such requirements have been met well in advance of the submission deadline. Registration on <https://www.grants.gov>, SAM.gov, and DUNS number assignment is FREE.

Applicants need to ensure that the AOR who submits the application through <https://www.grants.gov> and whose DUNS number is listed on the application is an AOR for the

applicant listed on the application. Additionally, the DUNS number listed on the application must be registered to the applicant organization's SAM account. If not, the application may be deemed ineligible.

To begin the application process under this grant announcement, go to <https://www.grants.gov> and click on "Applicants" on the top of the page and then "Apply for Grants" from the dropdown menu. Then select "Get Application Package" and enter the Funding Opportunity Number, EPA-SMMS-02-1, in the appropriate field and click the Search button. Alternatively, you may access the application package by clicking on the direct link to the application package provided to you via email by the EPA Point of Contact Dale Carpenter. Please note: To apply through Grants.gov, you must use Adobe Reader software and download the compatible Adobe Reader version. For more information about Adobe Reader, to verify compatibility, or to download the free software, please visit [Adobe reader compatibility information on Grants.gov site](#)

Please Note: All applications must now be submitted through <https://www.grants.gov> using the "Workspace" feature. Information on the Workspace feature can be found at the <https://www.grants.gov> [Workspace Overview Page](#).

**Application Submission Deadline:** Your organization's AOR must submit your complete application package electronically to EPA through <https://www.grants.gov> no later than March 30, 2018 11:59 PM ET. Please allow for enough time to successfully submit your application and allow for unexpected errors that may require you to resubmit.

Please submit *all* of the application materials described below using the <https://www.grants.gov> application package accessed using the instructions above.

### **Application Materials**

All application submissions *must* contain the following completed and signed grant application forms, as well as a Narrative Proposal, as described below:

- Standard Form (SF) 424, Application for Federal Assistance

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.

- Standard Form (SF) 424A, Budget Information for Non-Construction Programs
- Standard Form (SF) 424B, Assurances for Non-Construction Programs
- EPA Form 5700-54, Key Contacts Form
- EPA Form 4700-4, Preaward Compliance Review Report for All Applicants and Recipients Requesting Federal Financial Assistance

- EPA Form 6600-06, Certification Regarding Lobbying
- Standard Form (SF)-LLL, Disclosure of Lobbying Activities (if applicable)
- Narrative Proposal (including Detailed Budget Description)-See Section IV.C of the announcement-submit using project narrative attachment form.

See Section IV.C for more detail on the application package.

Applications submitted through grants.gov will be time and date stamped electronically. If you have not received a confirmation of receipt from EPA (not from grants.gov) within 30 days of the application deadline, please contact Dale Carpenter at (212) 637-4110. Failure to do so may result in your application not being reviewed.

### c. Technical Issues With Submission

1. Once the application package has been completed, the “Submit” button should be enabled. If the “Submit” button is not active, please call <https://www.grants.gov> for assistance at 1-800-518-4726. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a <https://www.grants.gov> representative by calling 606-545-5035. Applicants should save the completed application package with two different file names before providing it to the AOR to avoid having to re-create the package should submission problems be experienced or a revised application needs to be submitted.

2. Submitting the application. The application package must be transferred to <https://www.grants.gov> by an AOR. The AOR should close all other software before attempting to submit the application package. Click the “submit” button of the application package. Your Internet browser will launch and a sign-in page will appear. Note: *Minor problems are not uncommon with transfers to <https://www.grants.gov>. It is essential to allow sufficient time to ensure that your application is submitted to <https://www.grants.gov> BEFORE the due date identified in Section IV of the solicitation.* The <https://www.grants.gov> support desk operates 24 hours a day, seven days a week, except Federal Holidays.

A successful transfer will end with an on-screen acknowledgement. For documentation purposes, print or screen capture this acknowledgement. If a submission problem occurs, reboot the computer – turning the power off may be necessary – and re-attempt the submission.

Note: <https://www.grants.gov> issues a “case number” upon a request for assistance.

3. Transmission Difficulties. If transmission difficulties that result in a late transmission, no transmission, or rejection of the transmitted application are experienced, and following the above instructions do not resolve the problem so that the application is submitted to [Grants.gov](https://www.grants.gov) by the deadline date and time, follow the guidance below. The Agency will make a decision concerning acceptance of each late submission on a case-by-case basis. All emails, as described below, are to be sent to Dale Carpenter with the FON in the subject line. If you are unable to email, contact Dale Carpenter at (212) 637-4110. Be aware that EPA will only consider accepting applications that were unable to transmit due to <https://www.grants.gov> or relevant www.Sam.gov system issues or for unforeseen exigent circumstances, such as extreme weather interfering with internet access. Failure of an applicant to submit timely because they did not properly or timely register in SAM.gov or <https://www.grants.gov> is not an acceptable reason to justify acceptance of a late submittal.

a. If you are experiencing problems resulting in an inability to upload the application to <https://www.grants.gov>, it is essential to call <https://www.grants.gov> for assistance at 1-800-518-4726 before the application deadline. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a <https://www.grants.gov>

representative by calling 606-545-5035. Be sure to obtain a case number from <https://www.grants.gov>. If the problems stem from unforeseen exigent circumstances unrelated to <https://www.grants.gov>, such as extreme weather interfering with internet access, contact Dale Carpenter at (212) 637-4110.

b. Unsuccessful transfer of the application package: If a successful transfer of the application cannot be accomplished even with assistance from <https://www.grants.gov> due to electronic submission system issues or unforeseen exigent circumstances, and you have already attempted to resolve the issue by contacting <https://www.grants.gov>, send an email message to [carpenter.dale@epa.gov](mailto:carpenter.dale@epa.gov) prior to the application deadline. The email message must document the problem and include the <https://www.grants.gov> case number as well as the entire application in PDF format as an attachment.

c. <https://www.grants.gov> rejection of the application package: If a notification is received from <https://www.grants.gov> stating that the application has been rejected for reasons other than late submittal and it is too late to reapply, promptly send an email to [carpenter.dale@epa.gov](mailto:carpenter.dale@epa.gov) with the FON in the subject line within one business day of the closing date of this solicitation. The email should include any materials provided by <https://www.grants.gov> and attach the entire application in PDF format.

Please note that successful submission through <https://www.grants.gov> or via email does not necessarily mean your application is eligible for award.

## **Appendix B. Budget Sample**

### **Budget Detail**

This section of the work plan is a detailed description of the budget found in the SF-424A, and must include a detailed discussion of how EPA funds will be used. Applicants must **itemize** costs related to personnel, fringe benefits, travel, equipment, supplies, contractual costs, other direct costs, indirect costs, and total costs.

If the project budget includes any cost-share, mandatory or voluntary, the Budget Detail portion of the narrative proposal must include a detailed description of how the applicant will obtain the cost-share and how the cost-share funding will be used. If EPA accepts an offer for a voluntary cost-share, applicants must meet their sharing commitment as a legal condition of receiving EPA funding. If the proposed cost-share is to be provided by a third-party, a letter of commitment is required. Any form of cost-share included in the Budget Detail must also be include on the SF 424 and SF 424A. Please see Section III.B of this RFA for more detailed information on cost-share.

Applicants should use the following instructions, budget object class descriptions, and example table to complete the Budget Detail section of the work plan.

- **Personnel** - List all staff positions by title. Give annual salary, percentage of time assigned to the project, and total cost for the budget period. This category includes only direct costs for the salaries of those individuals who will perform work directly for the project (generally, paid employees of the applicant organization). If the applicant organization is including staff time (in-kind services) as a cost share, this should be included as Personnel costs. Personnel costs do not include: (1) costs for services of consultants, contractors, consortia members, or other partner organizations, which are

included in the “Contractual” category; (2) costs for employees of subrecipients under subawards, which are included in the “Other” category; or (3) effort that is not directly in support of the proposed project, which may be covered by the organization’s negotiated indirect cost rate. The budget detail must identify the personnel category type by Full Time Equivalent (FTE), including percentage of FTE for part-time employees, number of personnel proposed for each category, and the estimated funding amounts.

- **Fringe Benefits** - Identify the percentage used, the basis for its computation, and the types of benefits included. Fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to the cost of leave, employee insurance, pensions and unemployment benefit plans.

- **Travel** - Specify the mileage, per diem, estimated number of trips in-State and out-of-State, number of travelers, and other costs for each type of travel. Travel may be integral to the purpose of the proposed project (e.g. inspections) or related to proposed project activities (e.g. attendance at meetings). Travel costs do not include: (1) costs for travel of consultants, contractors, consortia members, or other partner organizations, which are included in the “Contractual” category; (2) travel costs for employees of subrecipients under subawards, which are included in the “Other” category.

- **Equipment** - Identify each item to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful life of more than one year. Equipment also includes accessories necessary to make the equipment operational. Equipment does not include: (1) equipment planned to be leased/rented, including lease/purchase agreement; or (2) equipment service or maintenance contracts. These types of proposed costs should be included in the “Other” category. Items with a unit cost of less than \$5,000 should be categorized as supplies, pursuant to 2 CFR Part 200. The budget detail must include an itemized listing of all equipment proposed under the project.

- **Supplies** - “Supplies” means all tangible personal property other than “equipment”. The budget detail should identify categories of supplies to be procured (e.g., laboratory supplies or office supplies). Non-tangible goods and services associated with supplies, such as printing service, photocopy services, and rental costs should be included in the “Other” category.

- **Contractual** - Identify each proposed contract and specify its purpose and estimated cost. Contractual/consultant services are those services to be carried out by an individual or organization, other than the applicant, in the form of a procurement relationship. Leased or rented goods (equipment or supplies) should be included in the “Other” category. The applicant should list the proposed contract activities along with a brief description of the scope of work or services to be provided, proposed duration, and proposed procurement method (competitive or non-competitive), if known.

- **Other** - List each item in sufficient detail for EPA to determine the reasonableness and allowability of its cost. This category should include only those types of direct costs that do not fit in any of the other budget categories. Examples of costs that may be in this category are: insurance, rental/lease of equipment or supplies, equipment service or maintenance contracts, printing or photocopying, rebates, and subaward costs. Subawards

(e.g., subgrants) are a distinct type of cost under this category. The term “subaward” means an award of financial assistance (money or property) by any legal agreement made by the recipient to an eligible subrecipient. This term does not include procurement purchases, technical assistance in the form of services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Subcontracts are not subawards and belong in the contractual category. Applicants must provide the aggregate amount they propose to issue as subaward work and a description of the types of activities to be supported.

This budget category also includes **Participant Support Costs (PSCs)**. PSCs are direct costs for items such as stipends or subsistence allowances, travel allowances and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences, or training projects. **PSCs do not include** Speaker fees or honoraria. These are contractual costs. Examples of participant support costs in EPA financial assistance agreements include:

- a. Stipends for interns, fellows, trainees, or attendees at community meetings including registration fees, training materials, travel costs when the purpose of the trip is to participate in the project activity.
- b. Travel assistance that nonprofit “co-regulator” organizations provide to state and tribal workgroup members;
- c. Rebates or other subsidies provided to program beneficiaries

• **Indirect Charges** - If indirect charges are budgeted, indicate the approved rate and base. Indirect costs are those incurred by the grantee for a common or joint purpose that benefit more than one cost objective or project, and are not readily assignable to specific cost objectives or projects as a direct cost. In order for indirect costs to be allowable, the recipient must have a negotiated indirect cost rate (e.g., fixed, predetermined, final or provisional) or use the de minimis 10% rate of Modified Total Direct Costs (if allowable) as authorized by [2 CFR 200.414\(f\)](#). Examples of Indirect Cost Rate calculations are shown below:

- a. Personnel (Indirect Rate x Personnel = Indirect Costs)
- b. Personnel and Fringe (Indirect Rate x Personnel & Fringe = Indirect Costs)
- c. Total Direct Costs (Indirect Rate x Total direct costs = Indirect Costs)
- d. Modified Total Direct Costs – Total direct costs minus distorting or other factors such as subawards and equipment and other excluded costs such as participant support costs. (Indirect Rate x (total direct cost – distorting factors) = Indirect Costs)

**Example Budget Table** adjust budget numbers as necessary

EPA Funding

\*\*Cost-Share

|  |              |
|--|--------------|
| <b>Example Budget Table adjust budget numbers as necessary</b> EPA Funding | **Cost-Share |
|--|--------------|

|  |                 |                    |
|--|-----------------|--------------------|
| <b>Personnel</b>   |                 |                    |
| (1) Project Manager @ \$40/hr x 10 hrs/week x 52 wks                                     | \$20,800        |                    |
| (3) Project Staff @ \$25/hr x 40 hrs/week x 40 wks                                       | \$120,000       |                    |
| <b>TOTAL PERSONNEL</b>   | \$120,000       | \$20,800           |
| <b>Fringe Benefits</b>   |                 |                    |
| 20% of Salary and Wages  | 20%(120,000)    | 20%(20,800)        |
| - Retirement, Health Benefits, FICA, SUI   | \$24,000        | \$4,160            |
| <b>TOTAL FRINGE BENEFITS</b>   | \$24,000        | \$4,160            |
| <b>Travel</b>  |                 |                    |
| Travel for Project Manager and staff: 500 mi/mo @ \$0.55/mi x 12 mos.                    | \$3,300         |                    |
| <b>TOTAL TRAVEL</b>  | \$3,300         |                    |
| <b>Equipment</b>   |                 |                    |
| <b>TOTAL EQUIPMENT</b>   | 0               |                    |
| <b>Supplies</b>  |                 |                    |
| Office and related supplies to support training  | \$10,000        |                    |
| <b>TOTAL SUPPLIES</b>  | \$10,000        |                    |
| <b>Contractual</b>   |                 |                    |
| Support Services Contract  | \$20,000        |                    |
| <b>TOTAL CONTRACTUAL</b>   | \$20,000        |                    |
| <b>Other</b>   |                 |                    |
| <b>TOTAL OTHER</b>   | \$0             |                    |
| <b>Indirect Charges</b>  |                 |                    |
| Federal Negotiated Indirect Cost Rate = 10% (Indirect Rate x Personnel = Indirect Costs) | \$12,000        |                    |
| <b>TOTAL INDIRECT</b>  | \$12,000        |                    |
| <b>TOTAL FUNDING</b>   | (fed) \$189,300 | (non-fed) \$24,960 |

\*\* Cost-Share funds, while not required under this RFA, must also be included on the SF-424A as detailed in Section III.B of this RFA.

Note on Management Fees: 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 are not allowable and cannot be used to improve or expand the project funded under this agreement.