

**Federal Agency Name:** U.S. Environmental Protection Agency (EPA), Office of Water, Office of Wastewater Management

**Funding Opportunity Title:** Training Workshop Support Activities for the State Revolving Fund (SRF) Programs

**Announcement Type:** Request for Applications (RFA)

**Funding Opportunity Number:** EPA-OW-OWM-18-01

**Catalog of Federal Domestic Assistance (CFDA) Number:** 66.436

**Dates:** The closing date and time for application submissions is **June 1, 2018 by 11:59 PM, Eastern Daylight Time (EDT) in order to be considered for funding.** Application packages must be submitted electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **11:59 PM EDT June 1, 2018, in order to be considered for funding.** Questions about this RFA must be submitted in writing via e-mail and must be received by the Agency contact identified in Section VII before **May 18, 2018.** Written responses will be posted on EPA's website at: <https://www.epa.gov/cwsrf/srf-training-workshop-support>.

**Note to Applicants: Following EPA's evaluation of applications, all applicants will be notified regarding their status.** If you name subawardees/subgrantees and/or contractor(s) including individual consultants in your application as partners to assist you with the proposed project, pay careful attention to the information in the CONTRACTS AND SUBAWARDS provision found at <http://www.epa.gov/grants/epa-solicitation-clauses>.

**Summary:**

The U.S. Environmental Protection Agency (EPA) is soliciting applications from eligible applicants to provide training workshop support activities for states and other practitioners implementing the State Revolving Fund (SRF) programs, the Clean Water SRF program and the Drinking Water SRF programs. The training workshop support will include planning, preparing, and providing technical support for four annual National SRF Infrastructure Financing and Training Workshops. The workshops will target SRF program officials and other interested stakeholders. Funds awarded under this announcement may be used by recipients to promote participation and to support the travel expenses of non-federal personnel to attend the workshops.

The proposed activities support EPA's Strategic Plan, Goal 1 - Core Mission: Deliver real results to provide Americans with clean air, land, and water, and ensure chemical safety, and Objective 1.2: Provide for Clean and Safe Water. EPA's FY 2018 – FY 2022 Strategic Plan is available at <http://www.epa.gov/planandbudget/strategicplan.html>.

EPA has previously awarded financial assistance agreements to nonprofit organizations to provide training workshop support activities for the SRF programs similar to those described in

this announcement. As authorized by 2 CFR 200.315, EPA will provide data and materials developed under those agreements to successful applicants if necessary to avoid duplication of effort.

Eligible applicants under this competition are states, local governments, Indian Tribes, intertribal consortia, territories, possessions of the U.S. (including the District of Columbia), public and private universities and colleges, hospitals, laboratories, and public or private non-profit institutions.<sup>1</sup> Individuals and for-profit organizations are not eligible to apply. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in prohibited lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. The statutory authority for this announcement is Section 104(b)(3) of the Clean Water Act (CWA).

The total estimated amount of federal funding potentially available under this announcement is approximately \$380,000, depending on Agency funding levels, the quality of applications received, and other applicable considerations. It is anticipated that one award will be awarded under this announcement. It is also anticipated that the project period for this award will be four years, FY 2019 through FY 2022, and that the award will be incrementally funded up to \$95,000 per year, depending on Agency priorities, available funding levels, and satisfactory performance of the recipient.

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

#### **A. Background**

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<sup>1</sup> Nonprofit organization, 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 nonprofit 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 nonprofit 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, and trade schools are ineligible.

EPA is soliciting applications from eligible applicants to plan, prepare, and provide technical support for four annual National SRF Infrastructure Financing and Training Workshops. The workshops will provide a forum for training in the programmatic, financial, and technical aspects of the two SRF programs, the Clean Water SRF and the Drinking Water SRF. The SRF programs provide low interest loans for a wide range of eligible water quality and drinking water projects; and loan repayments are recycled back into individual Clean Water SRF and Drinking Water SRF programs. Principal repayments plus interest earnings combined with capitalization grants and a state match (20 percent of the capitalization grant) become available annually to fund new water quality and drinking water projects, allowing the funds to revolve over time. Each of the 50 states and Puerto Rico have a State Clean Water SRF program and Drinking Water SRF program. For more information, go to: <https://www.epa.gov/cwsrf> for the Clean Water SRF program and <https://www.epa.gov/drinkingwatersrf> for the Drinking Water SRF program.

The National SRF Infrastructure Financing and Training Workshops support the Agency's FY 2018 – FY 2022 Strategic Plan, Goal 1 - Core Mission: Deliver real results to provide Americans with clean air, land, and water, and ensure chemical safety; Objective 1.2 - Provide for Clean and Safe Water: Ensure waters are clean through improved water infrastructure and, in partnership with states and tribes, sustainably manage programs to support drinking water, aquatic ecosystems, and recreational, economic, and subsistence activities.

As discussed in Section I.D, the statutory authority for this announcement is Section 104(b)(3) of the CWA.

## **B. Project Description**

EPA is soliciting applications from eligible applicants to plan, prepare, and provide technical support for four annual, three-day National SRF Infrastructure Financing and Training Workshops. The workshops will target SRF program officials and other interested stakeholders and should address new developments in the Clean Water and Drinking Water SRF programs, promote best management practices (including strategic management), identify environmental outputs and outcomes (improved water quality and public health), and encourage innovative approaches when dealing with the programmatic and financial aspects of each program.

The project elements described below provide some detail on roles and responsibilities the successful applicant may be expected to assume in order to establish and manage the National SRF Infrastructure Financing and Training Workshops. The description below does not attempt to be comprehensive. However, the project elements described do support the application review and selection criteria in Section V.A., and may provide guidance as applicants decide what activities will be needed to successfully support the workshops. Applicants are encouraged to identify additional project elements that may not be included in the announcement, but that may contribute to overall project success in their applications.

The workshops will provide a forum for training in the programmatic, financial, and technical aspects of the SRF programs. Workshop participants will examine and discuss SRF management issues, and any information and lessons learned by the states, EPA, and others interested in the

programs will be exchanged. The training workshops should include innovative approaches to finance water infrastructure and reduce costs of infrastructure through SRF management. Other workshop topic areas addressed should include innovative approaches used by SRF programs to improve infrastructure system sustainability and resiliency, address non-point source pollution and failing decentralized wastewater systems, identify and measure environmental benefits achieved from wastewater infrastructure investment, and identify and measure the environmental benefits achieved from working with small disadvantaged communities.

The successful applicant will use its logos on workshop materials; EPA will use its logos on any workshop materials it provides. Individuals from the state SRF programs are expected to attend, specifically those individuals dealing with the financial issues and environmental activities of the programs. Individuals from the financial community (bond brokers, banks, investment brokers) and EPA staff from Headquarters and the Regional Offices are also expected to attend. An estimated 300 to 350 participants are expected to attend each workshop, approximately 90 percent state/state advisors and 10 percent federal.

The successful applicant will provide the overall leadership for the workshops, select the locations for the annual workshops (geographically diverse locations acceptable to EPA), secure the workshop facilities (meeting rooms, accommodations, audio-visual equipment, etc.), develop the workshop agendas and promotion materials, and select the speakers. EPA will support the workshops by providing technical assistance, workshop promotion, review of workshop agendas, and printed materials. The successful applicant will be responsible for determining the registration fees, vendor and exhibitor fees, and establishing and managing a waiver process of any fees for specific individuals (e.g., speakers, state officials, etc.).

In their applications, applicants should describe the technical approach to planning, preparing, and providing technical support for the four annual National SRF Infrastructure Financing and Training Workshops. The application should include a description of the roles and responsibilities of the applicant in carrying out the training workshops. The application should also include a description of how the applicant will transfer the results of the training workshops to states, local governments, and other interested stakeholders.

Applicants may propose to use a portion of the assistance funds to defray transportation and subsistence expenses for non-federal attendees to attend the training workshops. The applicant is solely responsible for determining a methodology for selecting and funding reimbursement requests and providing a report on how participating non-federal attendees benefited from the training. EPA will not participate in the selection or approval of individuals who receive travel assistance.

The total amount of expected funding available under this announcement can be up to \$380,000, depending on Agency funding levels and other applicable considerations. It is anticipated that one award will be made under this announcement. Each annual workshop is estimated to cost up to \$95,000. It is anticipated that the project period for this award will be four years and that the award will be incrementally funded up to \$95,000 per year, depending on Agency priorities, available funding levels, and satisfactory performance of the recipient.

### **C. EPA's Strategic Plan and Anticipated Environmental Results**

The activities to be funded under this announcement support EPA's FY 2018 – FY 2022 Strategic Plan, available at <http://www.epa.gov/planandbudget/strategicplan.html>. Awards made under this announcement support Goal 1 - Core Mission: Deliver real results to provide Americans with clean air, land, and water, and ensure chemical safety; Objective 1.2 - Provide for Clean and Safe Water: Ensure waters are clean through improved water infrastructure and, in partnership with states and tribes, sustainably manage programs to support drinking water, aquatic ecosystems, and recreational, economic, and subsistence activities.

All proposed projects must demonstrate the linkage to the FY 2018 – FY 2022 Strategic Plan and 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 demonstrate how the project will contribute to the overall goal of increasing the non-federal dollars leveraged by the EPA CWSRF and DWSRF water infrastructure finance programs. In addition, applicants will have to describe their plan and approach for tracking and measuring their progress towards achieving expected outputs and outcomes. Additional information regarding EPA's discussion of environmental results in terms of "outputs" and "outcomes" can be found at: [https://www.epa.gov/sites/production/files/2015-03/documents/epa\\_order\\_5700\\_7a1.pdf](https://www.epa.gov/sites/production/files/2015-03/documents/epa_order_5700_7a1.pdf) (see EPA Order 5700.7, Environmental Results under Assistance Agreements).

Environmental results are a way to gauge a project's performance and are described in terms of outputs and outcomes. Expected environmental outputs (or deliverables) refer to an environmental activity, effort, and/or associated work product related to an environmental goal or 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.

Examples of anticipated environmental outputs from the assistance agreement to be awarded under this announcement include, but are not limited to:

- Identification of program innovations and best practices
- Training workshops related to Clean Water and Drinking Water Infrastructure Financing and associated logistical support and training materials.

Environmental outcomes are 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, and are used as a way to gauge a project's performance and take the form of output measures and outcome measures. Outcomes may be environmental, behavioral, health-related or programmatic in nature. Outcomes must be quantitative and may not necessarily be achieved within an assistance agreement funding period. Outcomes may be short term (changes in learning, knowledge, attitude, skills), intermediate (changes in behavior, practice, or decisions), or long-term (changes in condition of the natural resource).

Examples of anticipated outcomes from the assistance agreement to be awarded under this announcement include, but are not limited to:

- An increased awareness and knowledge of infrastructure financing resulting in improved utilization of funds provided through the SRF programs.
- Improved public health and water quality.

As part of the proposal workplan, applicants are required to describe how the project results will link the outcomes to the Agency's Strategic Plan. Additional information regarding EPA's definition of environmental results in terms of outputs and outcomes can be found at:

<https://www.epa.gov/grants/linking-assistance-agreements-environmental-results>.

#### **D. Statutory Authority**

The statutory authority for the awards expected to be made under this announcement is, as appropriate, section 104(b)(3) of the CWA. Section 104(b)(3) of the CWA authorizes EPA to make grants to conduct and promote the coordination and acceleration of training, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution.

### **Section II. Award Information**

#### **A. Amount of Funding**

The total amount of federal funding potentially available under this announcement is approximately \$380,000, depending on Agency funding levels, the quality of applications received, and other applicable considerations. It is anticipated that one award will be made under this announcement. It is anticipated that the project period for this award will be four years and that the award will be incrementally funded up to \$95,000 per year, depending on Agency priorities, available funding levels, and satisfactory performance of the recipient.

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

EPA reserves the right to make no awards under this announcement or to make fewer awards than anticipated. In addition, EPA reserves the right to make additional awards under this announcement, consistent with Agency policy and guidance, if additional funding becomes available. Any additional selections for awards will be made no later than six months after the original selection decisions.

#### **B. Type of Funding**

It is anticipated that a cooperative agreement will be funded under this announcement under which EPA will have substantial involvement with the project work plans and budget. Although

EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial federal involvement may include:

1. Close monitoring of the recipient's performance to verify the results proposed by the applicant;
2. Collaboration during performance of the scope of work, including participation in training and technical assistance activities such as attending specific trainings and workshops;
3. In accordance with the applicable regulations at 2 CFR 200 Subpart D (200.317 through 200.326) as appropriate, review of proposed procurements;
4. Review of qualifications of key personnel (EPA does not have the authority to select employees or contractors employed by the recipient); and
5. Review and comment on tasks/deliverables and reports prepared under the cooperative agreement(s) (the final decision on the content of these reports rests with the recipient).

### **Section III. Eligibility Information**

#### **A. Eligible Applicants**

Eligible applicants under this competition are states, local governments, Indian Tribes, intertribal consortia, territories, possessions of the U.S. (including the District of Columbia), public and private universities and colleges, hospitals, laboratories, and public or private non-profit institutions. Individuals and for-profit organizations are not eligible to apply. <sup>2</sup>Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

An intertribal consortium is a partnership between two or more tribes that is authorized by the governing bodies of those tribes to apply for and receive assistance. (See 40 CFR 35.502.) The intertribal consortium is eligible only if the consortium demonstrates that all of its members meet the eligibility requirements and authorize the consortium to apply for and receive assistance in accordance with 40 CFR 35.504 at the time of application submission. An intertribal consortium must submit with its application to EPA adequate documentation of the existence of the partnership and the authorization of the consortium by its members to apply for and receive the grant. (See 40 CFR 35.504.)

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

No cost share or match is required under this announcement.

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<sup>2</sup> Nonprofit organization, 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 nonprofit 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 nonprofit 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, and trade schools are ineligible.

### C. Threshold Eligibility Criteria

These are requirements that if not met by the time of application submission will result in the elimination of the application from consideration for funding. Only applications 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. An applicant must meet the eligibility requirements in Section III.A of this announcement at the time of application submission.
2. Applications must be in compliance with CWA 104(b)(3) and must be for projects that improve water quality by conducting or promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Implementation projects are NOT eligible for funding under this announcement.
3. 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.C.2 with respect to the Project Narrative, pages in excess of the page limitation will not be reviewed. Section IV.C.2 establishes a 13-page, single-spaced Project Narrative page limit.
4. Applications must be submitted through [www.grants.gov](http://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.
5. 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 Grants.gov relevant [SAM.gov](http://SAM.gov) system issues. An applicant's failure to timely submit their application through [Grants.gov](http://Grants.gov) because they did not timely or properly register in [SAM.gov](http://SAM.gov) or [Grants.gov](http://Grants.gov) will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their application via e-mail with Frances Josephs at [Josephs.Frances@epa.gov](mailto:Josephs.Frances@epa.gov) as soon as possible after the submission deadline—failure to do so may result in your application not being reviewed.
6. If an application is submitted that includes any ineligible tasks or activities, that portion of the application will be ineligible for funding and may, depending on the extent to which it affects the application, render the entire application ineligible for funding.



## Section 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 [Grants.gov](https://www.grants.gov) under this funding opportunity based on the grants.gov instructions in this announcement. If an applicant does not have the technical capability to apply electronically through grants.gov because of limited or no internet access which prevents them from being able to upload the required application materials to [Grants.gov](https://www.grants.gov), the applicant must contact [OGDWaivers@epa.gov](mailto: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 Durant  
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 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 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, 2017, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2017). 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 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**

The electronic submission of your application must be made by an official representative of your institution who is registered with [Grants.gov](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 grants.gov, go to [Grants.gov](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 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 Unique Entity Identifier (e.g. 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 grants.gov, SAM.gov, and DUNS number assignment is FREE.

Applicants need to ensure that the AOR who submits the application through Grants.gov and whose Unique Entity Identifier (e.g. 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 [Grants.gov](https://www.grants.gov) and click on “Applicants” on the top of the page and then “Apply for Grants” from the dropdown menu and then follow the instructions accordingly. 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](http://www.grants.gov/AdobeReaderCompatibilityInformation)

You may also be able to access the application package for this announcement by searching for the opportunity on [Grants.gov](http://www.grants.gov). Go to [Grants.gov](http://www.grants.gov) and then click on “Search Grants” at the top of the page and enter the Funding Opportunity Number, EPA-OW-OWM-18-01, or the CFDA number that applies to the announcement (CFDA 66.436), in the appropriate field and click the Search button.

Please Note: All applications must now be submitted through [Grants.gov](http://www.grants.gov) using the “Workspace” feature. Information on the Workspace feature can be found at the [Grants.gov Workspace Overview Page](http://www.grants.gov/WorkspaceOverview).

**Application Submission Deadline:** Your organization’s AOR must submit your complete application package electronically to EPA through [Grants.gov](http://www.grants.gov) no later than **June 1, 2018** at 11:59 PM EDT. Please allow for enough time to successfully submit your application process and allow for unexpected errors that may require you to resubmit.

Please submit all of the application materials described below using the grants.gov application package that you downloaded using the instructions above. For additional instructions on completing and submitting the electronic application package, click on the “Show Instructions” tab that is accessible within the application package itself.

## **Application Materials**

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

### **Mandatory Documents:**

1. Application for Federal Assistance (SF-424)
2. Budget Information for Non-Construction Programs (SF-424A)
3. Assurances for Non-Construction Programs (SF-424B)
4. Grants.gov Lobbying Form – Certification Regarding Lobbying
5. EPA Key Contacts Form 5700-54
6. EPA Form 4700-4 – Preaward Compliance Review Report
7. Narrative Proposal (Project Narrative Attachment Form)-prepared as described in Section IV of the announcement

### **Optional Documents:**

8. Disclosure of Lobbying Activities (SF-LLL), if applicable
9. Other Attachments Form - Biographical Sketches: Submit biographical sketches of major project managers, support staff members, or other major project participants for the proposed project (See Section IV.C.2.C.5.b.).
10. Other Attachments Form - Negotiated Indirect Cost Rate Agreement, if applicable

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 Frances Josephs, at (202) 564-9541. Failure to do so may result in your application not being reviewed.

### **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 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 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 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 Grants.gov. It is essential to allow sufficient time to ensure that your application is submitted to Grants.gov BEFORE the due date identified in Section IV of the solicitation.** The 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: 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 Frances Josephs at [Josephs.Frances@epa.gov](mailto:Josephs.Frances@epa.gov) with the FON in the subject line. If you are unable to email, contact Frances Josephs at (202) 564-9541. Be aware that EPA will only consider accepting applications that were unable to transmit due to [Grants.gov](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 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 Grants.gov, it is essential to call [Grants.gov](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 Grants.gov representative

by calling (606) 545-5035. Be sure to obtain a case number from Grants.gov. If the problems stem from unforeseen exigent circumstances unrelated to Grants.gov, such as extreme weather interfering with internet access, contact Frances Josephs at (202) 564-9541.

- b. Unsuccessful transfer of the application package: If a successful transfer of the application cannot be accomplished even with assistance from Grants.gov due to electronic submission system issues or unforeseen exigent circumstances, and you have already attempted to resolve the issue by contacting Grants.gov, send an email message to [Josephs.Frances@epa.gov](mailto:Josephs.Frances@epa.gov) prior to the application deadline. The email message must document the problem and include the Grants.gov case number as well as the entire application in PDF format as an attachment.
- c. Grants.gov rejection of the application package: If a notification is received from 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 [Josephs.Frances@epa.gov](mailto:Josephs.Frances@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 Grants.gov and attach the entire application in PDF format.

Please note that successful submission through Grants.gov or via email does not necessarily mean your application is eligible for award.

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

Applicants should read the following section very carefully. A complete application package must include the following documents described below.

#### **1. Application Materials**

- a. **Signed Standard Form (SF) 424 – Application for Federal Assistance.** Complete the form. There are no attachments. The organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included in 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.
- b. **SF-424A – Budget Information for Non-Construction Programs.** The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of the SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (a percentage), the base (e.g., personnel costs and fringe benefits), and the total amount of indirect cost should also be indicated on line 22. If indirect costs are requested, a copy of the Negotiated Indirect Cost Rate Agreement must be submitted as part of the application package. In Section B, Budget Categories column (1) should be filled out for federal funds, column (2) should be filled out for non-federal cost- share/match, and column (5) should be filled out for total project cost (combined federal funds and non-federal cost-share/match).

- c. **Assurances for Non-Construction Programs (SF-424B).** Complete the form. There are no attachments.
- d. **EPA Lobbying Form 6600-06 - Certification Regarding Lobbying.** Complete the form. There are no attachments.
- e. **EPA Key Contacts Form 5700-54.** Complete the form. Attach additional forms as needed.
- f. **EPA Form 4700-4, Pre-Award Compliance Review Report.** Complete the form. There are no attachments.
- g. **Project Narrative. See Section IV.C.2 (Project Narrative)** for details on specific information that must be included. When developing the Project Narrative, applicants should refer to Section I.B of the announcement for the project description.
- h. **Biographical Sketches.** Submit a biographical sketch of each major project manager, support staff member, or other major project participant for the proposed project (see Section IV.C.2.C.5.b).
- i. **Disclosure of Lobbying Activities (SF-LLL).** This form is required if your organization is involved in lobbying. Complete this form if your organization is involved in lobbying activities.
- j. **Negotiated Indirect Cost Rate Agreement** (if indirect costs are included in your proposed project budget). Complete this form if indirect costs are included in the proposed project budget. You must submit a copy of your organization's Indirect Cost Rate Agreement as part of the application package if your proposed project budget includes indirect costs.

## 2. Project Narrative

**NOTE: The Project Narrative must include sections A-C below. The Project Narrative (covering sections A-C below) is limited to no more than thirteen (13) typewritten, single spaced 8.5x11-inch pages (a page is one side of a piece of paper) including the cover page and executive summary.** Pages should be consecutively numbered for ease of reading. It is recommended that applicants use a standard 12-point type with 1-inch margins. While these guidelines establish the minimum type size recommended, applicants are advised that readability is of paramount importance and should take precedence in selection of an appropriate font for use in the Project Narrative. **Additional pages beyond the 13-page limit will not be considered.** Supporting materials, such as biographical sketches and full resumes, are not included within the page limit.

The application's Project Narrative must be typewritten and must include the information listed below. If a particular item is not applicable, clearly state this in the Project Narrative.

- A. Cover Page (included in the 13-page limit)** including:
1. Project title;
  2. Name of applicant;
  3. Key personnel and contact information (i.e., e-mail address and phone number); and
  4. Total project cost (specify the amount of federal funds requested and the total project cost).
- B. Executive Summary (included in the 13-page limit):** Provide a brief summary of the proposed project (should not exceed one page). This should include a brief description of the proposed project and the anticipated environmental outputs and outcomes.
- C. Work plan (included in the 13-page limit):** The work plan must address the following elements:
- 1. Technical Approach:** Describe the technical approach to planning, preparing, and providing technical support for the four annual National SRF Infrastructure Financing and Training Workshops as described in Section I.B of this announcement. The technical approach should include a description of the strategy for accomplishing the project elements in Section I.B and any additional project elements that are proposed as key features of the projects, to the extent applicable. Describe the roles and responsibilities of the applicant in carrying out the training workshops. If travel assistance is to be provided for non-federal attendees, describe the process for selecting non-federal attendees who may receive travel assistance.
  - 2. Environmental Results and Measuring Progress:**
    - a. Stated Objective/Link to EPA Strategic Plan - Describe the objective of the project and the linkage EPA's FY 2018 – FY 2022 Strategic Plan Goal 1, Objective 1.2. The description should include how the proposal will be a step towards the goal of increasing the non-federal dollars leveraged by the EPA CWSRF and DWSRF water infrastructure finance programs (see Section I.C of this announcement).
    - b. Results of Activities (Outputs) - Describe the anticipated products/results which are expected to be achieved from accomplishment of the project, and describe an approach for tracking and reporting your progress toward achieving the expected project output(s) (examples of outputs can be found in Section I.C of this announcement).
    - c. Projected Environmental Improvement (Outcomes) - Describe the environmental improvements that will be accomplished as a result of the project activities. These improvements are changes or benefits to the environment or public health which are a result of the accomplishment of the work plan commitments and outputs. Describe an approach for tracking and reporting progress toward achieving the expected project outcome(s) (examples of outcomes can be found in Section I.C of this announcement).

3. **Milestone Schedule:** Provide a projected milestone schedule for the proposed project period (up to four years). The milestone schedule should provide a breakout of the project activities into phases with associated tasks and a timeframe for completion of tasks and an approach, procedures, and controls for ensuring that awarded funds will be expended in a timely and efficient manner. The project start date will follow award acceptance by the successful applicant.
4. **Detailed Budget Narrative:** Provide a detailed budget and estimated funding amounts for each project component/task. This section provides an opportunity for a narrative description of the budget or aspects of the budget found in the SF-424A such as “other” and “contractual.”
  - a. Applicants must itemize costs related to personnel, fringe benefits, contractual costs, travel, equipment, supplies, other direct costs, indirect costs and total cost. All sub-grant funding should be located in the “other” cost category. Participant support costs are captured in the “other” cost category and may include, for example, training fees or travel assistance for non-federal conference, training or workshop participants. Describe itemized costs in sufficient detail for EPA to determine the reasonableness and allowability of costs for each project component/task. If applicable, the budget narrative for the travel cost category must include travel of applicant employees. Total costs must include both federal and any cost- share/matching (non-federal) components.
5. **Transfer of Results:** Provide a description of how the applicant will transfer the results of the training workshops to states, local governments, and other interested stakeholders.
6. **Programmatic Capability/Experience/Community Support:**
  - a. Organizational Experience - Provide a brief description of your organization and experience related to the proposed project, and your organization’s infrastructure as it relates to its ability to successfully implement the proposed project.
  - b. Staff Expertise/Qualifications - Provide a list of key staff and briefly describe their expertise/qualifications and knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the project. Key staff include major project managers, support staff members, or other major project participants. Include an estimate of the number of full-time equivalent (FTE) workers (based on 2080 hours per year/FTE). If you choose to identify any partner organizations who will receive sub-awards or procurement contracts (including consultants) please refer to Section IV.E before doing so as EPA will not consider their qualifications unless you select them in compliance with applicable regulations and provisions. A biographical sketch for each major project manager, support staff member or other major project participant is encouraged. Biographical sketches are not counted in the page limit for the Project Narrative. Biographical sketches should be limited to two single-spaced pages. Full resumes may be included as an appendix to the application narrative and are not counted in the page limit for the Project Narrative.



7. **Past Performance:** Briefly describe federally funded and/or non-federally funded assistance agreements (assistance agreements include grants and cooperative agreements but not contracts) similar in size, scope, and relevance to the proposed project that your organization performed within the last three years (no more than five agreements, and preferably EPA agreements) and:
- a. Describe whether, and how, you were able to successfully complete and manage those agreements.
  - b. Describe your history of meeting the reporting requirements under those agreements including submitting acceptable final technical reports.
  - c. Describe how you documented and/or reported on whether you were making progress towards achieving the expected results (i.e., outputs and outcomes) under those agreements. If you were not making progress, please indicate whether, and how, you documented why not.

**Note:** In evaluating an applicant's past performance, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and/or 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 information, please indicate this in the application, and you will receive a neutral score for these factors under Section V. Failure to provide any programmatic past performance or reporting information, or to include a statement that you do not have any relevant or available past performance or reporting information, may result in a zero score for these factors (see also Section V).

**Note:** The applicant should also provide in the Project Narrative any additional information, to the extent not already addressed above, that addresses the selection criteria in Section V.

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

Applications must be submitted electronically through Grants.gov by **11:59 PM EDT June 1, 2018**. Late applications will not be considered for funding.

#### **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 confidential business information, contracts and sub-awards under grants, and proposal assistance and communications, can be found on the EPA Solicitation Clauses page at <http://www.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.

## Section V. Application Review Information

### A. Selection Criteria

All eligible applications, based on the Section III threshold eligibility review, will be evaluated based on the evaluation criteria and weights below (100 total point scale). Points will be awarded based on how well and thoroughly each criterion and/or sub-criterion is addressed in the application package.

<b>1) Technical Approach</b>  <b>(25 points)</b>	Under this criterion, applicants will be evaluated based on the extent and quality to which the applicant proposes a technical approach to planning, preparing, and providing technical support for the four annual National SRF Infrastructure Financing and Training Workshops as described in Section 1.B of this announcement.
<b>2) Environmental Results</b>  <b>(20 points)</b>	Applicants will be evaluated based on each of the following sub-criteria: <ul style="list-style-type: none"><li data-bbox="597 793 1438 940">i. Environmental Results: The extent and quality to which the application demonstrates potential environmental results, anticipated outputs and outcomes, and how the outcomes are linked to EPA’s Strategic Plan. (10 points)</li><li data-bbox="597 982 1438 1171">ii. Measuring Progress: The extent and quality to which the application demonstrates a sound plan for measuring progress toward achieving the expected outputs and outcomes (examples of outcomes and outputs can be found in Section I.C of this announcement). (10 points)</li></ul>

<p><b>3) Milestone Schedule/Detailed Budget/Transfer of Results</b></p> <p><b>(25 points)</b></p>	<p>Applications will be evaluated based on the extent and quality to which the application addresses each of the following sub-criteria:</p> <ul style="list-style-type: none"> <li>i. A detailed milestone schedule for the proposed project period. Clearly articulated milestone schedule for project tasks should include timeframes and major milestones to complete significant project tasks and an approach, procedures, and controls to ensure that awarded funds will be expended in a timely and efficient manner. (5 points)</li> <li>ii. Reasonableness of the budget and estimated funding amounts for each project component/task. Applicants will be evaluated based on the adequacy of the information provided in the detailed budget narrative and whether the proposed costs are reasonable and allowable. (10 points)</li> <li>iii. A description of how the applicant will transfer the results of the training workshops to states, local governments, and other interested stakeholders. (10 points)</li> </ul>
<p><b>4) Programmatic Capability (Experience/Qualifications)</b></p> <p><b>(15 points)</b></p>	<p>Applications will be evaluated based on the applicant’s ability to successfully complete and manage the proposed project taking into account the applicant’s:</p> <ul style="list-style-type: none"> <li>i. Organizational experience related to the proposed project and their infrastructure as it relates to its ability to successfully implement the proposed project. (10 points)</li> <li>ii. Staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project. (5 points)</li> </ul>

<p><b>5) Past Performance</b></p> <p><b>(15 points)</b></p>	<p>Applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account their:</p> <ul style="list-style-type: none"> <li>i. Past performance in successfully completing and managing federally funded and/or non-federally funded assistance agreements (assistance agreements include grants and cooperative agreements but not contracts) similar in size and scope to the proposed project performed within the last three years (no more than five agreements, and preferably EPA agreements). (5 points)</li> <li>ii. History of meeting reporting requirements under federally funded and/or non-federally funded assistance agreements (assistance agreements include grants and cooperative agreements but not contracts) similar in size and scope to the proposed project performed within the last three years (no more than five agreements, and preferably EPA agreements) and submitting acceptable final technical reports under those agreements. (5 points)</li> <li>iii. Extent and quality to which they adequately documented and/or reported on their progress towards achieving the expected results (e.g., outcomes and outputs) under federally funded and/or non-federally funded assistance agreements (assistance agreements include grants and cooperative agreements but not contracts) performed within the last three years (no more than five agreements, and preferably EPA agreements), and if such progress was not being made, whether the applicant adequately documented and/or reported why not. (5 points)</li> </ul> <p>Note: In evaluating applicants under (i), (ii) and (iii) above, EPA will consider the information provided by the applicant and may also consider relevant information from other sources including Agency files and/or prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). Applicants with no relevant or available past performance information or reporting history must indicate that in the application and they will receive a neutral score for the factor (i.e., 2.5 points for item (i), 2.5 points for item (ii), and 2.5 points for item (iii)).</p> <p>Failure to provide any past performance information, or to include a statement that you do not have any relevant or available past performance information, may result in a zero score for the factor</p>
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	(i.e., 0 points for item (i), 0 points for item (ii), and 0 points for item (iii)).
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**B. Review and Selection Process**

All applications submitted via Grants.gov by the submission deadline will first be screened by EPA staff against the threshold criteria in Section III of the announcement. Applications that do not pass the threshold review will not be evaluated further or considered for funding.

A panel(s) comprised of EPA staff will review the eligible applications based on the evaluation criteria listed in Section V.A. and will develop a ranking list of the applications based on the panel evaluations. The ranking list will be provided to the Selection Official(s) who make(s) the final funding decisions. In making the final funding decisions, the Selection Official(s) will consider the application score/ranking and may also take into consideration program priorities.

**C. Additional Provisions Incorporated by Reference**

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 on the EPA Solicitation Clauses page at <http://www.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.

**Section VI. Award Administration Information**

**A. Award Notices**

Following EPA’s evaluation of the applications, all applicants, including those who are not selected for funding, will be notified regarding their status. The notification will be made to the original signer of the Standard Form (SF) 424, Application for Federal Assistance. The notification of recommendation for award is not an authorization to begin performance, nor is it a guarantee that the award will be made. The official notification of an award will be made by the Grants and Interagency Agreements Management Division.

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 or postal mail. The successful applicant may need to prepare and submit additional documents and forms (e.g., work plan), which must be approved by EPA, before the cooperative agreement can officially be awarded. The time between notification of selection and award of a cooperative agreement can take up to 90 days or longer.

EPA reserves the right to negotiate and/or adjust the final grant amount and work plan narrative prior to award, as appropriate and consistent with Agency policy including the Assistance Agreement Competition Policy, EPA Order 5700.5A1. An approvable final work plan narrative is required to include:

1. Components to be funded under the assistance agreement;
2. Estimated work years and the estimated funding amounts for each component;
3. Commitments for each component and a timeframe for their accomplishment;
4. Performance evaluation process and reporting schedule; and
5. Roles and responsibilities of the recipient and EPA (for cooperative agreements only) in carrying out the commitments.

### **B. 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 on the EPA Solicitation Clauses page at <http://www.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.

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

The general award and administration process for assistance agreements are governed by regulations at 2 CFR 200 and 1500, as applicable. A description of the Agency's substantial involvement in the cooperative agreement will be included in the final assistance agreement.

### **D. Reporting**

In general, recipients are responsible for managing the day-to-day operations and activities supported by the assistance funding, to assure compliance with applicable federal requirements, and for ensuring that established milestones and performance goals are being achieved. Performance reports and financial reports must be submitted quarterly and are due 30 days after the reporting period. The final report is due 90 days after the assistance agreement has expired. Recipients will be required to report direct and indirect environmental results from the work accomplished through the award. In negotiating assistance agreements, EPA will work closely with the recipient to incorporate appropriate performance measures and reporting requirements in the work plan consistent with 2 CFR 200 and 1500, and 40 CFR Part 45, as appropriate.

### **E. 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 on the Dispute Resolution Procedures page at <https://www.epa.gov/grants/grant-competition-dispute-resolution-procedures>. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement.

## **Section VII. Agency Contact**

**Note to 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 applications, provide informal comments on draft applications, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their applications. However, consistent with the provisions in the announcement, EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the application, and requests for clarification about any of the language or provisions in the announcement. Please note that applicants should raise any questions they may have about the solicitation language to the contact identified in Section VII of this announcement as soon as possible so that any questions about the solicitation language may be resolved prior to submitting a proposal. In addition, if necessary, EPA may clarify threshold eligibility issues with applicants prior to making a final eligibility determination.

Questions about this RFA must be submitted in writing via e-mail and must be received by the Agency Contact identified below by **May 18, 2018**. Written responses will be posted on EPA's website at <https://www.epa.gov/cwsrf/srf-training-workshop-support>.

**Agency Contact:** Frances Josephs  
[Josephs.Frances@epa.gov](mailto:Josephs.Frances@epa.gov)

## **Section VIII. Other Information**

### **A. Data Sharing**

All recipients of these assistance agreements may be required to share any data generated through this funding agreement as a defined deliverable in the final work plan.