

US EPA ARCHIVE DOCUMENT

**AGENCY NAME:** U.S. Environmental Protection Agency (EPA), Region 9

**FUNDING OPPORTUNITY TITLE:** FY 2011 Tribal Pesticide Special Projects

**FUNDING OPPORTUNITY NUMBER:** EPA-R9-CED5-11-001

**ANNOUNCEMENT TYPE:** Request for Proposals

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** 66.716

**DUE DATE:** The closing time and date for receipt of proposal packages by hard copy or by electronic submission via grants.gov (<http://www.grants.gov>) is March 25, 2011, 5:00 PM Pacific Standard Time. Proposals received after the closing date and time will not be considered for funding. **Submission via e-mail or fax will not be accepted.**

March 25, 2011: Proposals must be received by USEPA by hard copy or electronically via grants.gov by 5:00 PM Pacific Standard Time (PST).

April 22, 2011\*: Initial project approvals identified and project applicants selected for funding will be requested to submit a formal application package

May 20, 2011\*: Complete grant applications and work plans received by USEPA

September 30, 2011\*: Awards made

\* Indicates anticipated date that may be subject to change.

**EXECUTIVE SUMMARY:** The EPA Region 9, Pesticides Program, is soliciting pesticide special project proposals from eligible applicants for fiscal year (FY) 2011 funding authorized under Section 20 of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), 7 U.S.C. § 136r. The following entities are eligible to apply for grant funds under this RFP: Federally-recognized Tribes; Tribal Organizations and Inter-tribal Consortia whose membership is made up exclusively of Federally-recognized Tribes.

The awards will provide financial assistance to carry out demonstration, training, monitoring, outreach and/or education projects that assess or reduce risks to human health and the environment from pesticide exposure in Indian Country. Demonstration projects 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.

This program has no statutory or regulatory match requirement.

**FUNDING/AWARD:** The expected total amount of funding available for award in FY 2011 is approximately \$300,000. Maximum award amount per proposal is set at \$50,000. EPA Region 9 anticipates awarding 4 to 6 grants and/or cooperative agreements from this announcement, subject to the availability of funds, the quality of proposals received, and other applicable considerations.

**CONTACT:**

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**CONTENTS BY SECTION:**

- I. Funding Opportunity Description**
- II. Award Information**
- III. Eligibility Information**
- IV. Proposal and Submission Information**
- V. Proposal Review Information**
- VI. Award Administration Information**
- VII. Agency Contact**

**U.S. Environmental Protection Agency (EPA), Region 9  
FY 2011 Tribal Pesticide Special Projects: Request for Proposals  
Funding Opportunity Number: EPA-R9-CED5-11-001**

**I. FUNDING OPPORTUNITY DESCRIPTION**

**A. Authority**

The statutory authority for this grant program is Section 20 of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), 7 U.S.C. §136r., which authorizes the Agency to issue grants and cooperative agreements for research, development, monitoring, public education, training, demonstrations and studies.

**B. Program Description**

**1. Program Goals and Objectives**

EPA intends that recipients will use funding provided under this Request for Proposals (RFP) to help address the specific, pesticide related concerns of their communities. The Agency will consider funding a broad range of projects that assess or reduce pesticide exposure risks to human health and the environment in Indian country.

For the purposes of this solicitation, the term “Indian country” means (1) All land within the limits of any Indian reservation under the jurisdiction of the United States Government, notwithstanding the issuance of any patent, and including rights-of-way running throughout the reservation; (2) All dependent Indian communities within the borders of the United States, whether within the original or subsequently acquired territory thereof, and whether within or without the limits of the State; and (3) All Indian allotments, the Indian titles to which have not been extinguished, including rights-of-way running through the same.

Funds may be used to support new activities that fit the requirements of this solicitation. Projects may be targeted to a pesticide related concern or need facing a tribe or intertribal consortium. Although the proposal may request funding for activities that will further long term objectives, this program provides one time funding, and the maximum period of performance for funded activities is expected not to exceed 24 months.

**C. Linkage to EPA Strategic Plan and Anticipated Outputs/Outcomes**

The awards under this solicitation will support EPA Strategic Plan Goal 4 - Healthy

Communities and Ecosystems; Objective 4.1 - Chemical, Organism and Pesticide Risks; Sub-Objective 4.1.3– Protect Human Health From Pesticide Risk. Through 2011, EPA will protect human health by implementing our statutes and taking regulatory actions to ensure pesticides continue to be safe and available when used in accordance with the label. The EPA’s 2006-2011 Strategic Plan is available at: [www.epa.gov/ocfo/plan/plan.htm](http://www.epa.gov/ocfo/plan/plan.htm).

Pursuant to EPA Order 5700.7, “*Environmental Results under EPA Assistance Agreements*”, EPA requires all applicants and recipients to adequately address environmental outputs and outcomes. Outputs and outcomes differ both in their nature, and in how they are measured. The proposal should demonstrate a clear linkage between the relevant goals listed in the *EPA’s Strategic Plan 2006-2011* and the projects expected outputs and outcomes.

1. *Outputs*. The term “output” means an environmental activity, effort 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. The anticipated outputs of the projects to be awarded under this solicitation may include but are not limited to: a) educational and outreach materials to reduce the risk of exposure to pesticides; b) proper collection and disposal of unwanted/obsolete pesticides; and c) development of a pesticide management study for the tribe.

2. *Outcomes*. The term “outcome” means the result, effect or consequence that will occur from carrying out an environmental 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. The anticipated outcomes of the projects to be awarded under this solicitation may include but are not limited to: 1) increase in the number of tribes using reduced risk techniques; 2) measure quantitative and qualitative reduction in the use of higher risk pesticides or pesticides in general; and 3) reduced risk of exposure to pesticides through education and outreach.

## II. AWARD INFORMATION

### A. Amount of Funding Available

Under this solicitation, EPA Region 9 anticipates awarding approximately \$300,000 for approximately 4 to 6 awards with a maximum funding amount of \$50,000 per proposal. Should the amount available for funding change, Region 9 will make grant awards based on the actual funding received. Funding for this project is not guaranteed and is subject to the availability of funds and the evaluation of submissions based on the criteria in this

announcement, and other applicable considerations.

## **B. Funding Type**

The funding for selected projects will be in the form of grants and/or cooperative agreements.

If a cooperative agreement is awarded, the degree of involvement by the EPA will be determined by EPA. Although EPA Region 9 will negotiate the precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial federal involvement for this project includes, but is not limited to:

- close monitoring of the successful applicant's performance to verify the results proposed by the applicant;
- collaboration during performance of the scope of work;
- reviewing substantive terms of proposed contracts;
- reviewing qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient); and
- reviewing and commenting on reports and deliverables prepared under the cooperative agreement

## **C. Total Number of Awards**

EPA Region 9 expects to make approximately 4-6 awards under this solicitation; however, the exact number of awards to be made under this announcement will depend on individual proposals, the availability of funds, and the quality of applications received.

## **D. Partial Funding**

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

## **E. Start Date/Project Duration**

Selected projects are expected to begin October 2011. Proposed project periods may be up to two (2) years.

### III. ELIGIBILITY INFORMATION

#### A. Eligible Applicants

The following entities are eligible to apply for grant funds under this RFP: Federally-recognized Tribes; Tribal Organizations and Inter-tribal Consortia whose membership is made up exclusively of Federally-recognized Tribes.

#### B. Cost Sharing or Matching

Matching funds are not required.

#### C. Threshold Eligibility Criteria

To be eligible for consideration under this announcement, applicants **must** meet **all** of the threshold criteria as listed below. Failure to meet all of the following criteria will result in the automatic disqualification of the proposal for funding consideration. Applicants deemed ineligible for funding consideration as a result of the threshold eligibility review will be notified within 15 calendar days of ineligibility determination.

- 1) The applicant **must** be an eligible applicant in accordance with Section III.A.
- 2) Projects must be carried out in Indian Country within EPA Region 9.
- 3) EPA grant funds may only be used for the purposes of this program, and must be consistent with the statutory authority for the award.
- 4) a. Proposals **must substantially comply** with the proposal submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. However, where a page limit is expressed in Section IV with respect to the project narrative, pages in excess of the page limitation will not be reviewed.  
b. Proposals **must** be received by the EPA Region 9 by hard copy or through [www.grants.gov](http://www.grants.gov), as specified in Section IV of this announcement on or before the proposal submission deadline published in Section IV of this announcement. Applicants are responsible for ensuring that their proposal reaches the designated person/office specified in Section IV of the announcement by the submission deadline.

c. Proposals received after the submission deadline will be considered late and returned to the sender without further consideration, unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical issues associated with [www.grants.gov](http://www.grants.gov). For hard copy submissions, where Section IV requires proposal receipt by a specific person/office by the submission deadline, receipt by an agency mailroom is not sufficient. Applicants should confirm receipt of their proposal with Allen Demorest ([demorest.allen@epa.gov](mailto:demorest.allen@epa.gov) or 415-947-4214) as soon as possible after the submission deadline March 25, 2011; failure to do so may result in your proposal not being reviewed.

d. Proposals submitted by e-mail or fax will not be considered.

5) Proposals **must** address one or more of the goals of this announcement listed above in the “Goals and Objectives” in Section I.B.1.

6) Funding for this RFP can be used to carry out demonstration, training, monitoring, outreach and/or education projects. However, if you choose to conduct a demonstration project, that project 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 a demonstration project.

7) EPA will consider only one (1) proposal by each individual applicant. If more than one proposal is received from the same applicant, EPA will request the applicant to withdraw the extra proposals. EPA will give the applicant the opportunity to choose which proposal it wishes to submit for review. Submissions from different applicants within the same organization are acceptable.

#### **IV. PROPOSAL AND SUBMISSION INFORMATION**

##### **A. Proposal Submission Method**

Applicants have the option to submit their proposal packages in one of three ways. Please select only ONE option for submitting your proposal package:

- Hard copy via Standard 1st Class Mail delivery by U.S. Postal Service;
- Hard copy via express delivery (UPS, Fed Ex, USPS);
- Submission via [Grants.gov](http://Grants.gov)

Proposals will **not** be accepted via fax or email.



All proposals **must** be prepared, and include the information, as described in Section IV.B. and C. below regardless of mode of submission.

**Directions for Hard Copy Submission (Options 1 and 2)**

Please provide two (2) original hard copies of the proposal package (including signed, dated and completed SF 424 and SF 424A forms), and one electronic copy on a CD ROM. To reduce paper use, applicants are requested to submit double-sided printed proposals.

Applicants can download individual grant application forms from EPA's Office of Grants and Debarment website at: <http://www.epa.gov/ogd/AppKit/application.htm>  
To obtain a hard copy of materials, please send an email or written requests to the EPA Contact listed in Section VII of this announcement.

Hard copy proposals and disks must be sent to the EPA Contact listed in Section VII of this announcement.

**Directions for Submission via Grants.gov (Option 3)**

Please see the Grants.Gov submission requirements in Attachment 1

Proposals **must** be received by EPA Region 9 via hard copy or electronically via [www.grants.gov](http://www.grants.gov) on or before March 25, 2011, 5:00 PM Pacific Standard Time. Applicants are responsible for ensuring that their proposal reaches the designated person/office specified in this section of the announcement by the submission deadline. Applicants **must** strictly adhere to this deadline.

**B. Format and Content of Proposal Submission**

**The following forms and documents are required to be submitted under this announcement regardless of the mode of submission:**

**\*\*\* Please Note:** If you are submitting your proposal via grants.gov, the forms will be included in the electronic proposal package (with the exception of #6 which must be downloaded and then attached to submission).

1. Application for Federal Assistance (SF-424)

**Signed Standard Form (SF) 424** - Application for Federal Assistance (SF-424):  
Complete the form. There are no attachments. Please be sure to include organization fax number and email address in Block 5 of the Standard Form SF 424. *NOTE:* A Dun and Bradstreet Data Universal Numbering System (DUNS) number must be included on the

SF-424 application form. A DUNS number can be obtained by calling 1-866-705-5711; there is no cost to obtain the number.

## 2. Budget Information for Non-Construction Programs (SF-424A)

**Standard Form SF 424A** – Budget Information Non Construction Programs: Clearly state the requested funding amount for each of the budget categories under Section B for the entire project period. The total amount of federal funding requested for the two (2) year project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should be indicated on line 22.

If you are submitting a hard copy proposal, blank SF-424 and SF-424A forms can be found at <http://www.epa.gov/ogd/AppKit/application.htm>.

## 3. EPA Key Contacts Form 5700-54

**EPA Form 5700-54, Key Contacts Form** - Complete the form. There are no attachments. If additional pages are needed, attach these additional pages to the electronic application package by using the "Other Attachments Form" in the "Optional Documents" box. (See Application Preparation and Submission Instructions below for more details.)

## 4. Assurances for Non-Construction Programs (SF-424B)

5. Certification Regarding Lobbying, form also called “Grants.gov Lobbying Form” if applying via grants.gov

6. EPA Form 4700-4 Pre-award Compliance Review Report -the form may be downloaded from [http://www.epa.gov/ogd/forms/adobe/4700-4\\_sec.pdf](http://www.epa.gov/ogd/forms/adobe/4700-4_sec.pdf)

7. Project Narrative - Prepared as described in C. below

8. Budget Narrative Form - Budget Detail as described in C. below

9. Disclosure of Lobbying Activities (SF-LLL), if applicable, as described in C. below

10. Negotiated Indirect Cost Rate Agreement, if applicable, as described in C. below

### **C. Project Narrative Format:**

The project narrative can be no more than 12 single-spaced pages on 8.5 x 11 inch paper using no smaller than 11 point font. Pages in excess of this limitation will not be reviewed. Budget pages, resumes and commitment letters can be submitted as attachments and are not included in the 12-page limit.

NOTE—if you are applying through Grants.Gov, the project narrative must be submitted as a single Adobe PDF file.

**a. Cover Page**

Provide the following information:

**Title and Date of this Funding Opportunity Announcement:**  
FY 2011 Tribal Pesticide Special Projects Request for Proposals

**Funding Opportunity Number:** EPA-R9-CED5-11-001

**PROJECT TITLE:**

**PROJECT COORDINATOR:**

Organization: Address: Telephone No.: E-mail address: Fax No.:

**PROJECT DURATION:**

**TOTAL BUDGET REQUEST:**

First Year Funding:

Second Year Funding:

Total EPA Funding Request:

**b. Executive Summary:**

The Executive Summary should not exceed one page. It should summarize what is being proposed and what the project will accomplish regarding measuring or movement toward achieving project goals.

**c. Narrative Workplan:**

The narrative workplan should include the information below and information addressing the requirements in Section I, any threshold eligibility factors in Section III, and the evaluation criteria in Section V, and be organized as follows:

**Part 1. Project Title:**

Title of project.

**Part 2. Objectives:**

A numbered list (1, 2, etc.) of concisely written project objectives - in most cases, each objective can be stated in a single sentence and how they will be addressed.

**Part 3. Justification:**

For each goal/objective listed in Part 2 above, discuss the potential outcome in terms of pesticide risk and/or pesticide use reduction, or environmental and/or human health.

**Part 4. Project Narrative/Workplan:**

Describe in detail how the project will be carried out. Describe how the system or approach will achieve the program goals. Describe in detail how the project will work with various partners, for example: other federal, state and local agencies, pesticide applicators, etc. Explain how the project assesses or reduces risks to human health and the environment from pesticide exposure in Indian Country. Describe in detail how the information gained from the project will be shared with the tribal community and other stakeholders.

**Part 5. Performance Measures and Expected Outcomes/Outputs:**

The project workplan must include a plan for tracking and measuring progress towards achieving the expected environmental outputs/outcomes. For example, the workplan should explain what will be accomplished under each of the objectives during the project, the individuals responsible for the activity, and when completion of each objective is anticipated. Also, identify how you will evaluate the success of the program in terms of measurable environmental results.

**Part 6. 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 3 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.

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

**Part 7. Major Participants:**

List all participating tribes, farmers/ranchers, pesticide applicators, educators, and others having a role in the project. Provide: name, organizational affiliation/occupation (such as farmer), and a description of the role each will play in the project.

**Part 8. Budget Narrative:**

Please submit a detailed budget with narrative, explaining/outlining the need for funding under each of the appropriate budget categories as listed below. Link each task or activity from the project work plan to the associated resources needed to accomplish the activity.

Personnel: Include only direct costs for salaries of those individuals who will perform work directly for the project. You must identify the personnel type by full time employee. Personnel costs do not include: costs for services of consultants, contractors or other partner organizations. Include the requested federal and any non-federal cost share in these estimates.

Travel: Include the travel location(s), estimated number of trips, estimated total mileage, applicable reimbursement rate, and number of nights lodging required throughout the entire project period.

Equipment: Include only equipment proposed to be purchased as a direct cost. This does not include equipment to be leased/rented and service/maintenance contracts. Include cost for each item.

Supplies: Include tangible personal property other than equipment. Include a brief description of the supplies required to perform the work and categorized by major supply

category. Example: office supplies, computer supplies, etc.

Contractual/Consultant Services: List services and associated costs that are to be carried out by an individual or organization other than the applicant in the form of a procurement relationship. Include a brief description of the scope of work or services to be provided.

Other Direct Costs: Include only those types of direct costs that do not fit in any of the other budget categories. Examples include: printing/photocopying and sub-award costs.

Sub-awards/subgrants: Any award of financial assistance by any legal agreement made by the recipient to an eligible subawardee/subgrantee.

Please include enough detail for EPA to determine if the costs are eligible, allocable, reasonable, and allowable. For more information, see <http://www.epa.gov/ogd/recipient/tips.htm>

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

**Part 9. Disclosure of Lobbying Activities (SF-LLL)**: If applicable.

**Part 10. Negotiated Indirect Cost Rate Agreement**: You **must** submit a copy of your organization's Indirect Cost Rate Agreement as part of the application package if your proposed budget includes indirect costs. If applying via grants.gov, please use the: "Other Attachments Form" in the "Optional Documents" box to attach a copy of your organization's Indirect Cost Rate Agreement.

#### **D. Contracts and Sub-Awards:**

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

1. Subawards, Contracts, and Partnerships. If successful applicants intend to use EPA grant funds to purchase goods or services under the grant, such applicants must compete the contracts for those goods and services and conduct cost and price analyses to the

extent required by the procurement provisions of 40 CFR Part 30 or 31. The regulations also contain limitations on consultant compensation. While applicants are not required to identify contractors or consultants in their proposal, if they do so it does not relieve the applicant of its obligations to comply with competitive procurement requirements, nor does it guarantee that costs incurred for such contractor/consultant will be eligible under the grant/cooperative agreement. Please note that applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal based solely on the firm's role in preparing the proposal.

2. Subawards/Subgrants. Successful applicants may award subgrants (also referred to as subawards) of financial assistance to fund partnerships under the EPA grant provided the recipient complies with applicable requirements for subgrants/subawards including those contained in 40 CFR Parts 30 or 31 and EPA's Subaward Policy: <http://www.epa.gov/ogd/guide/subaward-policy-part-2.pdf>. However, successful applicants cannot use subgrants/subawards to avoid requirements in EPA grant regulations for competitive procurement by using subgrants/subawards to acquire commercial services or products from for-profit organizations. EPA will not be a party to subgrant/subaward agreements.

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

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

**EPA will not consider the qualification, experience, and expertise of named**

**subawardees/subgrantees and/or named contractors during the proposal evaluation process unless the applicant complies with these requirements.**

**E. Confidential Business Information (CBI):**

It is **not** recommended that you include confidential business information (“CBI”) in your proposal/application. However, if confidential business information is included, it will be treated in accordance with 40 CFR 2.203. Applicants must clearly indicate which portion(s) of their proposal/application they are claiming as CBI. EPA will evaluate such claims in accordance with 40 CFR Part 2. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure. However, the Agency protects competitive proposals/applications from disclosure under applicable provisions of the Freedom of Information Act prior to the completion of the competitive selection process.

**F. Commitment Letters:**

Letters of Commitment from all partners collaborating on projects must be submitted with the full application package, not sent separately. Letters must be submitted on letterhead (if applicable), signed by the project partner(s), and include the partner’s telephone number and address. The commitment letters should be addressed to the applicant and be submitted as part of the full application package as described below. Commitment letters sent directly to EPA Region 9 will not be accepted. Commitment letters must describe the role of the project partner(s) in the project. Applications for projects that have listed partners but do not include commitment letters from every listed project partner may face a reduction in score during the evaluation process. Please do not send letters of general support or from those not directly involved in the project; they will not be used in the evaluation and review process.

**G. Intergovernmental Review:**

Applicants (except for Indian Tribes and Tribal Consortia) must comply with the Intergovernmental Review Process and/or consultation provisions of Executive Order 12372 or Section 204 of the Demonstration Cities and Metropolitan Development Act, if applicable, which are contained in 40 CFR Part 29. Further information regarding this requirement will be provided if your project is selected for funding.

**H. Pre-Application Assistance and Communication:**

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to



respond to ranking criteria. Applicants are responsible for the contents of their proposals. However, EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement. Questions and answers will be posted until the closing date of this announcement at the EPA Region 9 webpage, under the Grants and Funding tab.

**V. PROPOSAL REVIEW INFORMATION**

**A. Proposal Review**

Only those proposals that meet the threshold criteria in Section III.C. will be evaluated according to the criteria set forth below. Each proposal will be rated under a points system, with a total of 100 points possible.

**B. Evaluation Criteria**

Criteria	Points
<p><b>1. Project Design:</b> Under this criterion, applicants will be evaluated based on the quality and extent to which the proposed project objectives: <b>(i) (15 points)</b> assess or reduce risk to human health and the environment from pesticide exposure in Indian Country; <b>(ii) (15 points)</b> address how human health, the environment and/or community could be improved.</p>	<b>30</b>
<p><b>2. Environmental Results—Outcomes and Outputs:</b> Under this criterion, the Agency will evaluate the effectiveness of the applicant’s plan for identifying <b>(5 points)</b>, tracking <b>(5 points)</b> and measuring <b>(5 points)</b> its progress toward achieving the expected project outputs and outcomes including those identified in Section I of this announcement.</p>	<b>15</b>
<p><b>3. Outreach and Transferability:</b> Under this criterion, applicants will be evaluated based on the quality and extent to which: <b>(i) (7 points)</b> the project includes meaningful involvement of partner organizations and local stakeholders; and <b>(ii) (7 points)</b> results of the project will be disseminated to others.</p>	<b>14</b>
<p><b>4. 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 the applicant’s: <b>(i) (4 points)</b> past performance in successfully completing and managing the assistance agreements identified in response to Section IV, Part 6 of the announcement, <b>(ii) (4 points)</b> history of meeting the reporting requirements under the assistance agreements identified in response to Section IV, Part 6 of the announcement including whether the applicant submitted acceptable final technical reports</p>	<b>11</b>

<p>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, and <b>(iii) (3 points)</b> organizational experience and plan for timely and successfully achieving the objectives of the proposed project. 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 past reporting information, please indicate this in the proposal and you will receive a neutral score for these subfactors (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>	
<p><b>5. Sustainability:</b> Under this criterion, applicants will be evaluated based on the quality and extent to which the project efforts are intended to be continued after EPA funding ends.</p>	<b>10</b>
<p><b>6. Staff Expertise/Qualifications:</b> Under this criterion, the Agency will evaluate the Applicant's: <b>(i) (5 points)</b> description of staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project; and <b>(ii) (5 points)</b> organizational experience and plan for timely and successfully achieving the objectives of the proposed project.</p>	<b>10</b>
<p><b>7. Budget/Resources:</b> Under this criterion, the Agency will evaluate the following factors: <b>(i) (5 points)</b> whether the proposed project budget is appropriate to accomplish the proposed goals, objectives, and measurable environmental outcomes; and <b>(ii) (5 points)</b> whether the budget provides an approximation of the percentage of the budget designated for each major activity.</p>	<b>10</b>
<p><b>TOTAL POINTS POSSIBLE</b></p>	<b>100</b>

**C. Selection Process**

Eligible proposals will be evaluated by the EPA Region 9 Selection Committee which will score and rank proposals using the evaluation criteria identified above in Section V.B. The Committee will consist of EPA staff. Final funding decisions will be made by the Director of the EPA Region 9 Communities and Ecosystems Division based on the rankings and preliminary recommendation of the EPA Region 9 Selection Committee. In

making the final funding decisions, the Communities and Ecosystems Division Director may also take into account the following factors:

1. Geographic distribution of funds;
2. Diversity of projects (this includes type of project and type of applicant); and
3. Availability of funds.

## **VI. AWARD ADMINISTRATION INFORMATION**

An applicant that receives an award under this announcement is expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the project activities described in the work-plan in a timely manner. The assistance agreement will include terms/conditions implementing this requirement.

### **A. Award Notices**

Following EPA's evaluation of proposals, all applicants will be notified regarding their status. Final applications and forms will be requested, as necessary, from those eligible entities whose proposal has been successfully evaluated and preliminarily recommended for award. Those entities will be provided with instructions and a due date for submittal of the final application package.

1. EPA anticipates notification to the successful applicant will be made via email or postal mail by: April 22, 2011. The notification will advise the applicant that its proposed project has been successfully evaluated and recommended for award. The notification will be sent to the original signer of the Standard Form (SF) 424.

This notification, which advises that the applicant's proposed project has been recommended for award, is not an authorization to begin performance. The award notice signed by the EPA Award Official is the authorizing document and will be provided through postal mail. At a minimum, this process may take up to 90 days from the date of recommendation.

2. EPA anticipates notification to unsuccessful applicant(s) will be made via email or postal mail by: April 22, 2011. The notification will be sent to the signer of the Standard Form (SF) 424.

### **B. Quality Assurance Requirements**

In accordance with 40 CFR 30.54 and 31.45, projects that include the generation or use of environmental data are required to submit a Quality Assurance Project Plan (QAPP). This includes efficacy and performance data, surveys and similar results. The award recipient must develop and implement quality assurance and quality control procedures,

specifications and documentation that are sufficient to produce data of adequate quality to meet project objectives. The QAPP is the document that provides comprehensive details about the quality assurance/quality control requirements and technical activities that must be implemented to ensure that project objectives are met. The QAPP must be prepared in accordance with: “EPA QA/R-5: EPA Requirements for Quality Assurance Project Plans”. The QAPP **must** be submitted to EPA Region 9 as outlined in the Term and Conditions of the Assistance Award. Requirements for QAPP’s can be found at: [http://www.epa.gov/quality1/qa\\_docs.html](http://www.epa.gov/quality1/qa_docs.html).

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

The award and administration of these assistance agreements will be governed by the Uniform Administrative Requirements for Grants and Cooperative Agreements to states, tribes, and local governments set forth at 40 CFR Part 31. In addition, the provision in 2 CFR Part 1532, governing government-wide debarment and suspension, and the provisions in 40 CFR Part 34 regarding restrictions on lobbying apply.

All costs incurred under this program must be allowable under the applicable OMB Cost Circular A-87. Copies of this circular can be found at <http://www.whitehouse.gov/omb/circulars/>. In accordance with the EPA policy and the OMB circular, any recipient of funding must agree not to use assistance funds for fund-raising, or political activities such as lobbying members of Congress or lobbying for other federal grants, cooperative agreements, or contracts. See 40 CFR Part 34.

In certain circumstances costs incurred prior to the grant award may be eligible for reimbursement. However, this does not include any costs associated with responding to this solicitation or in finalizing the application package. If costs are incurred before the award, they are incurred at the applicant’s or grantee’s own risk.

### **D. Conferences and Workshops**

If a conference or workshop is an element of the project, the applicant will be required to answer the following questions:

- Who is initiating the conference/workshop/meeting?
- How will it be advertised?
- Whose logo will be on the agenda and materials?
- What is the percentage of participants, i.e. federal, state, local or public?
- Will the grant recipient prepare the proceedings and disseminate the information back to the targeted community?
- Will program income be generated from this event?

## **E. Indirect Costs**

If indirect costs are budgeted in the assistance application and the non-profit organization or educational institute does not have a previously established indirect cost rate, it agrees to prepare and submit its indirect cost rate proposal and/or cost allocation plan in accordance with the appropriate Federal cost principle, OMB Circular A-122, "Cost Principles for Non-Profit Organizations" or OMB Circular A-21, "Cost Principles for Educational Institutions" within ninety (90) days from the effective date of the award for this assistance agreement.

If a local government does not have a previously established indirect cost rate, it will need to prepare its indirect cost rate proposal and/or cost allocation plan in accordance with OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments". The local government recipient whose cognizant Federal agency has been designated by the Office of Management and Budget (OMB) must develop and submit its indirect cost rate proposal for approval to its cognizant Federal agency within six (6) months after the close of the governmental unit's fiscal year. If the cognizant Federal agency has not been identified by the OMB, the local government recipient must still develop (and when required, submit) its proposal within that period.

## **F. Nonprofit Administrative Capability Clause**

Non-profit applicants that are recommended for funding under this announcement are subject to pre-award administrative capability reviews consistent with Section 8b, 8c and 9d of EPA Order 5700.8 - Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards ([http://www.epa.gov/ogd/grants/award/5700\\_8.pdf](http://www.epa.gov/ogd/grants/award/5700_8.pdf)). In addition, non-profit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to the Grants Management Office the Administrative Capabilities Form with supporting documents contained in Appendix A of EPA Order 5700.8.

In addition, non-profit applicants who receive an award under this announcement will be required to have at least two of their employees complete the mandatory online training, "EPA Grant Management Training for Non-Profit Applicants and Recipients." One person must be the project manager, or equivalent, for the assistance agreement. The other individual must be the person authorized to draw down funds for the assistance agreement. The training must be completed by both employees prior to the acceptance of the award. The course can be accessed at: <http://www.epa.gov/ogd/training/index.htm>

## **G. Human Subjects**

A grant recipient must agree to meet all EPA requirements for studies using human

subjects prior to implementing any work with these subjects. These requirements are given in 40 CFR 26. For observational studies involving children and/or pregnant women, please refer to Subparts B & D of 40 CFR 26. No work involving human subjects, including recruiting, may be initiated before the EPA has received a copy of the applicant's Institutional Review Board's (IRB) approval of the project and the EPA has also provided approval. Where human subjects are involved in the research, the recipient must provide evidence of subsequent IRB reviews, including amendments or minor changes of protocol, as part of annual reports.

## **H. Reporting Requirements**

Quarterly progress reports and a detailed final report will be required. Information required for quarterly reports may include, but not limited to: summary of technical progress, planned activities for next quarter and summary of expenditures. The final report shall be completed within 90 calendar days of the completion of the period of performance.

## **I. Dispute Resolution Process**

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://www.epa.gov/ogd/competition/resolution.htm>. Copies of these procedures may also be requested by contacting the Agency Contact listed under Section VII.

## **J. Sub-awards and Executive Compensation Reporting**

Applicants must ensure that they have the necessary processes and systems in place to comply with the sub-award and executive total compensation reporting requirements established under OMB guidance at [2 CFR Part 170](#), unless they qualify for an exception from the requirements, should they be selected for funding.

## **K. Central Contractor Registration (CCR) and Data Universal Numbering System (DUNS) Requirements**

Unless exempt from these requirements under OMB guidance at [2 CFR Part 25](#) (e.g., individuals), applicants must:

1. Be registered in the CCR prior to submitting an application or proposal under this announcement. CCR information can be found at <https://www.bpn.gov/ccr/>
2. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or proposal under

consideration by an agency, and

3. Provide its DUNS number in each application or proposal it submits to the agency. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com>.

If an applicant fails to comply with these requirements, it will, should it be selected for award, affect their ability to receive the award.

#### **L. Exchange Network**

EPA, states, territories, and tribes are working together to develop the National Environmental Information Exchange Network, a secure, Internet- and standards-based way to support electronic data reporting, sharing, and integration of both regulatory and non-regulatory environmental data. States, tribes and territories exchanging data with each other or with EPA, should make the Exchange Network and the Agency's connection to it, the Central Data Exchange (CDX), the standard way they exchange data and should phase out any legacy methods they have been using. More information on the Exchange Network is available at [www.exchangenetwork.net](http://www.exchangenetwork.net).

#### **VII. AGENCY CONTACT**

If you have questions or need additional information regarding this announcement, please contact:

Allen Demorest  
U.S. EPA Region 9  
75 Hawthorne Street (CED-5)  
San Francisco, CA 94105  
(415) 947-4214  
[demorest.allen@epa.gov](mailto:demorest.allen@epa.gov)

All questions or comments must be communicated in writing via postal mail, fax or email to the contact person listed above. Questions and answers will be posted until the closing date of this announcement at the EPA Region 9 webpage under the Grants and Funding tab.

# Attachment 1: GRANTS.GOV INSTRUCTIONS

## Tribal Pesticides Special Projects

### 2011 Request for Proposals

#### 1. ELECTRONIC SUBMISSION

Applicants who wish to submit their materials electronically through the Grants.gov web site may do so. Grants.gov allows an applicant to download a proposal package template and complete the package offline based on agency instructions. After an applicant completes the required proposal package, it can submit the package electronically to Grants.gov, which transmits the package to the funding agency. Pictures and/or maps will need to be scanned so that they can be submitted electronically as part of the proposal package.

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

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

You may retrieve the application package and instructions by entering the Funding Opportunity Number, **EPA-R9-CED5-11-001**, or the CFDA number that applies to the announcement (CFDA 66.716), in the applicable field. Then complete and submit the proposal package as indicated. You may also



be able to access the proposal package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

### **Application Submission Deadline**

Your organization's AOR must submit your complete proposal electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **5:00 P.M. Pacific Standard Time March 25, 2011.**

Please submit **all** of the proposal materials described below. To view the full funding announcement, go to <http://www.grants.gov> and click on “Find Grant Opportunities” on the left side of the page and then click on Search Opportunities/Browse by Agency and select Environmental Protection Agency. Proposal materials submitted through Grants.gov will be time/date stamped.

### **How to submit your proposal through Grants.gov**

Applicants are required to submit the following documents electronically through Grants.gov. All documents should appear in the “Mandatory Documents” box on the Grants.gov Grant Application Package page.

- For the Proposal Narrative portion, you will need to attach electronic files. Prepare this as described in Section IV.C, CONTENT OF PROPOSAL SUBMISSION, of the announcement and save the document to your computer as an MS Word or PDF file. When you are ready to attach it to the proposal package, click on “Project Narrative Attachment Form,” and open the form. Click “Add Mandatory Project Narrative File,” and then attach it (previously saved to your computer) using the browse window that appears. You may then click “View Mandatory Project Narrative File” to view it. Enter a brief descriptive title of your project in the space beside “Mandatory Project Narrative File Filename,” the filename should be no more than 40 characters long. If there are other attachments that you need to submit to accompany your proposal narrative (such as Attachment A, letters of support from partners or annotated resumes), you may click “add Optional Project Narrative File” and proceed as before. When you have finished attaching the necessary documents, click “Close Form.” When you return to the “Grant Application Package” page, select the “Project Narrative Attachment Form” and click “Move Form to Submission List.” The form should now appear in the box that says, “Mandatory

Completed Documents for Submission.”

- The following 2 additional documents should appear in the “Mandatory Documents” box on the Grants.gov Grant Application Package page.
  1. SF 424 – Application for Federal Assistance
  2. SF 424A – Budget Information for Non-Construction Programs
- For each document, click on the appropriate form and then click “Open Form” below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click “Save.” When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, “Move Form to Submission List.” This action moves the document over to the box that says, “Mandatory Completed Documents for Submission.”

Once you have finished filling out all of the forms/attachments and they appear in one of the “Completed Documents for Submission” boxes, click the “Save” button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary.

Please use the following format when saving your file: “Applicant Name – FY11 – “Reg9 Tribal Pesticide Project Proposal” – 1st Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2<sup>nd</sup> submission should be changed to “Applicant Name – “Reg9 Tribal Pesticide Special Project Proposal” – 2nd Submission.” Once your proposal has been completed and saved, send it to your AOR for submission to U.S. EPA through Grants.gov. Please advise your AOR to close all other software programs before attempting to submit the proposal package through Grants.gov.

From the “Grant Application Package” page, your AOR may submit the proposal package by clicking the “Submit” button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the proposal package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726 or email at <http://www.grants.gov/help/help.jsp>. If you have any other technical difficulties while applying electronically, please refer to

<http://www.grants.gov/help/help.jsp>. Alternatively, please contact Allen Demorest if you are having difficulties.

If you have not received a confirmation of receipt from EPA (*not from Grants.gov*) within 30 days of the proposal deadline, please contact Allen Demorest (contact information below). Failure to do so may result in your proposal not being reviewed.

## **2. AGENCY CONTACT**

Allen Demorest  
Phone: (415) 947-4214  
Email: Demorest.Allen@epa.gov