U.S. EPA GREAT LAKES NATIONAL PROGRAM OFFICE
Great Lakes Restoration Initiative
Trash Free Waters 2020 Request for Applications

FEDERAL AGENCY NAME: Environmental Protection Agency
ANNOUNCEMENT TYPE: Request for Applications
CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 66.469

SUMMARY: EPA is seeking applications for funding to implement trash removal projects within two funding opportunities, each of which has a separate Funding Opportunity Number (FON) and is separately posted on Grants.gov:

Funding Opportunity Title	FON	Description
FY2020 Trash-Free Great Lakes Grant Program - Trash Removal in Great Lakes Communities	EPA-R5-GL2020-TFC	Approximately $1,000,000 is available for approximately 10 projects. The maximum award is $300,000 and minimum award is $50,000 for this finding category.
FY2020 Trash-Free Great Lakes Grant Program - Trash Removal from Great Lakes Rivermouths and Harbors	EPA-R5-GL2020-TFH	Approximately $1,000,000 is available for approximately 3 projects. The maximum award is $500,000 and minimum award is $250,000 for this funding category.

Timeline	
December 16, 2019	Request for Applications (RFA) Posted
January 7, 2020	Informational webinar for potential applicants at 1:00 PM Central Time / 2:00 PM Eastern Time.
February 14, 2020	Application submission deadline [1]
April, 2020	EPA will begin notifying finalists.
May, 2020	EPA will begin making official awards.

Additional Information: For your convenience, an Great Lakes Restoration Initiative 2020 Request for Applications web page has been created with information relating to the RFA process.

We encourage all applicants to sign up for our mailing list and register with us at Great Lakes News Email List.

[1] Applications must be submitted to EPA through Grants.gov by 10:59 p.m. Central Time / 11:59 p.m., Eastern Time in order to be considered for funding.

ACRONYMS

AANAPISI	Asian American and Native American Pacific Islander-Serving Institution
AOR	Authorized Organization Representative
CBI	Confidential Business Information
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CWA	Clean Water Act
DBE	Disadvantaged Business Enterprises
DUNS	Data Universal Numbering System
EPA	Environmental Protection Agency
ESA	Endangered Species Act
FAQ	Frequently Asked Questions
FAQ	Frequently Asked Questions
FON	Funding Opportunity Number
FTE	Full Time Equivalent
FY	Fiscal Year
GL	Great Lakes
GLNPO	Great Lakes National Program Office
GLRI	Great Lakes Restoration Initiative
GLWQA	Great Lakes Water Quality Agreement
GSA	General Services Administration
HUC	Hydrologic Unit Code
IDC	Indirect Cost
LOS	Letters of Support
MBE	Minority Business Enterprises
MSI	Minority Serving Institution
NEPA	National Environmental Policy Act
NHPA	National Historic Preservation Act
OGD	Office of Grants and Debarment
PBI	Predominantly Black Institution
Q&A	Question & Answer
R5	Region 5
RFA	Request for Applications
SAM	System for Award Management
SBA	Small Business Administration
SF	Standard Form
SHPO	State Historic Preservation Office
STEM	Science, technology, engineering, and math
TCU	Tribal Colleges and Universities
THPO	Tribal Historic Preservation Office
USC	United States Code
USEPA	United States Environmental Protection Agency
UTF	Unicode Transformation Format

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I. FUNDING OPPORTUNITIES DESCRIPTION

I.1 BACKGROUND

The Great Lakes Restoration Initiative (GLRI) builds on the prior efforts of federal, state, and local agencies; Indian tribes; businesses; public interest groups; interested citizens; and others to restore and project the Great Lakes. Information about the GLRI can be found at GLRI.us.

This RFA is expected to result in the award of grants and/or cooperative agreements, as appropriate (hereafter collectively referred to as "grants"), to support the GLRI Action Plan III Focus Area 4 (habitats and species), Objective 4.1 (protect and restore communities of native aquatic and terrestrial species important to the Great Lakes) by reducing the impacts of human activities such as trash, litter, and debris in the Great Lakes.

I.2 PROGRAM AUTHORITY

EPA's statutory authority to award grants and cooperative agreements is contained in the Clean Water Act Section 118(c)(7) and includes authority to make awards for outreach and implementation projects in furtherance of the GLRI.

For projects with international aspects, the above statutes are supplemented, as appropriate, by the National Environmental Policy Act, Section 102(2)(F).

I.3 LINKAGE TO EPA STRATEGIC PLAN & ENVIRONMENTAL RESULTS

EPA must link proposed assistance agreements to the Agency's Strategic Plan. EPA also requires that grant applicants and recipients adequately describe environmental outputs and outcomes to be achieved under assistance agreements.[2]

LINKAGE TO EPA STRATEGIC PLAN

The activities to be funded under this announcement support the FY 2018-22 EPA

[2] Pursuant to Section 6a of EPA Order 5700.7A1, "Environmental Results under EPA Assistance Agreements," EPA must link proposed assistance agreements to the Agency's Strategic Plan. EPA also requires that grant applicants and recipients adequately describe environmental outputs and outcomes to be achieved under assistance agreements.

Strategic Plan. Awards made under this announcement will support **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; 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 applications must identify how trash removal activities will support the goal and objective identified above. For more information, read the FY 2018-22 EPA Strategic Plan.

ENVIRONMENTAL RESULTS

The significance of environmental outputs and outcomes you expect to achieve will be considered under the evaluation criteria during the selection process and must be addressed in the application.

The term "output" means an environmental activity, effort, and/or associated work product related to an environmental goal and objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable over the term of the grant funding period. Projects should include the total acres improved by on-the-ground and/or in-the-water removal of trash. Outputs may also include other quantitative assessments of the trash removal activities.

The term "outcome" means the result, effect or consequence that will be achieved by carrying out an environmental activity, effort, and/or associated work product that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related, or programmatic in nature, must be quantitative, and may not necessarily be achievable within a grant funding period. As an example, outcomes could be the reduction in habitat impacts or recreational use impacts caused by mismanaged or misplaced trash. [3]

1.4. STATUTORY AUTHORITY

The Great Lakes Restoration Initiative ("GLRI" or "Initiative") builds on the prior efforts of federal,state , and local agencies; Indian tribes; businesses; public interest groups; interested citizens; and others to develop a collaborative and comprehensive approach to restoring the Great Lakes. Information about the Initiative can be found at http://glri.us/.

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[3] Additional information regarding EPA's definition of environmental results in terms of "outputs" and "outcomes" can be found at in EPA Order 5700.7A1

This RFA is expected to result in the award of grants and/or cooperative agreements, as appropriate (hereafter collectively referred to as "grants"), to help implement the GLRI. EPA's authority to make awards includes outreach and implementation projects in furtherance of GLRI and GLWQA. The statutory authority to carry out certain U.S. responsibilities under GLWQA and for GLRI funding is contained in the Clean Water Act Section 118(c)(7). The principal goal of GLWQA is the restoration and maintenance of the chemical, physical, and biological integrity of the Great Lakes ecosystem. Funded activities must advance protection and restoration of the Great Lakes ecosystem in support of: (i) GLRI Action Plan III (https://www.glri.us/documents) and (ii) EPA's Strategic Plan.

The activities to be funded under this announcement support EPA's FY 2018-22 Strategic Plan. Awards made under this announcement will support Goal 1: Core Mission, Objective 1.2 of the EPA Strategic Plan: *Provide for Clean and Safe Water* (https://www.epa.gov/planandbudget/strategicplan). All applications must be for projects that support the goals and objectives identified above.

For projects with international aspects, the above statues are supplemented, as appropriate, by the National Environmental Policy Act, Section 102(2)(F).

I.4 FUNDING OPPORTUNITIES

Mismanaged or misplaced "trash"[4] can degrade terrestrial and aquatic habitats, threaten aquatic and terrestrial wildlife, and interfere with human uses of lake, coastal, and riparian environments. The Trash-Free Great Lakes Grant Program will support community efforts to remove trash: 1) from land areas immediately adjacent to the Great Lakes[5] and Great Lakes harbors, such as beaches and other public recreational areas, shorelines, and coastal wetlands; 2) in Great Lakes harbors and rivermouths; and 3) within riparian corridors (stretches of rivers or streams, including the banks) having a direct connection to a Great Lake but extending no more than approximately five river miles upstream of the Lake. These projects will also help reduce future trash

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[4] "Trash" is used as a general term and is intended to include trash, garbage, litter, debris, and other unwanted material that can be readily removed from the environment. Marine debris is defined as "any persistent solid material that is manufactured or processed and directly or indirectly, intentionally or unintentionally, disposed of or abandoned into the marine environment or the Great Lakes" (15 CFR §909.1).

[5] For the purposes of this RFA, the Great Lakes includes the waterways connecting the Great Lakes, including the U.S. portion of the St. Lawrence River, St. Mary's River, St. Clair River, Lake St. Clair, Detroit River, and the Niagara River.

accumulation in these areas through outreach and education activities associated with the trash removal activities.

EPA is seeking applications for funding to implement trash removal projects within the two funding opportunities listed below, each of which has a separate Funding Opportunity Number (FON) and is separately posted on Grants.gov. The two funding opportunities and associated FONs are:

FUNDING OPPORTUNITY 1: TRASH REMOVAL IN GREAT LAKES COMMUNITIES

FUNDING OPPORTUNITY TITLE

Great Lakes Restoration Initiative – 2020 Request for Applications – Trash Removal in Great Lakes Communities

FUNDING OPPORTUNITY NUMBER

EPA-R5-GL2020-TFC

FUNDING AVAILABILITY

Approximately $1,000,000 available for approximately 10 projects. The maximum award for this funding category is $300,000. The minimum award for this funding category is $50,000.

ACTIVITIES

Funding is being made available for approximately ten trash removal projects at beaches and other recreation areas, shorelines, coastal wetlands, harbors, river mouths, and riparian corridors immediately adjacent to the Great Lakes.

Projects may range in size from a small project that funds an individual community's cleanup to a larger project that supports and coordinates the funding of multiple communities through a single grant award.

Funding can support mobilization of cleanup volunteers and support staff, provide equipment for safe and efficient trash removal, and help offset the cost of recycling or disposing of the collected material. Projects may also include funding for the purchase and placement of appropriate waste receptacles to effectively contain trash in the future.

Any unproven and/or experimental trash removal devices are not eligible expenses under this funding opportunity.

Outreach and education about the funded cleanup activities are encouraged. However, projects must include trash removal. Projects that are solely focused on outreach and education activities are ineligible.

COALITIONS

Coalitions are encouraged to apply for the "Trash Removal in Great Lakes Communities" funding to promote efficiency and enable funding in communities that would otherwise lack the resources and infrastructure to manage federal funding.

Groups of two or more eligible applicants may choose to form a coalition, and submit a single application; however, one entity must be responsible for the grant. Coalitions must identify which eligible organization will serve as the primary recipient of the grant funds, and which eligible organization(s) will receive subawarded funds from the primary recipient. The primary recipient will serve as the point of contact and will be responsible for managing the grant. This includes overseeing project work and financial expenditures, submitting reports and required documents, and ensuring compliance with the terms and conditions of the grant. More information can be found in section III. Eligibility Information.

There is a potential for higher scoring under this funding opportunity for applicants who demonstrate an efficient and effective plan to use coalitions to broaden geographic scope of trash removal activities within the Great Lakes Basin.

INFORMATION TO INCLUDE IN THE PROJECT NARRATIVE

Applicants are required to submit "Project Narratives" as described in Appendix I. For this funding opportunity, the Project Narrative should additionally include:

In the "Project Design" description:

- A description of the current trash problems at the project site(s), and a description of how the project's trash removal activities will reduce these problems, including how the strategic use of community cleanups will reduce trash impacts.

In the "Results" description:

- Outputs should include the total acres improved by on-the-ground and/or in-the-water removal of trash, litter, and debris.

In the description of "Outreach and Education":

- A description of how the outreach and education activities incorporated into the trash removal projects will result in the reduction of future trash accumulation in the project area.

In the "Budget" description:

- A description of the budget, including a breakdown of the costs associated with the project work and justification for costs, including equipment or supplies (e.g., equipment for safe and efficient trash removal, trash receptacles, etc.).
- Please see Appendix II for more information about the budget narrative.

FUNDING OPPORTUNITY 2: TRASH REMOVAL FROM GREAT LAKES RIVERMOUTHS AND HARBORS

FUNDING OPPORTUNITY TITLE

Great Lakes Restoration Initiative - 2020 Request for Applications – Trash Removal from Great Lakes Rivermouths and Harbors

FUNDING OPPORTUNITY NUMBER

EPA-R5-GL2020-TFH

FUNDING AVAILABILITY

Approximately $1,000,000 available for approximately 3 projects. The maximum award for this funding category is $500,000. The minimum award for this category is $250,000.

ACTIVITIES

Funding is being made available for approximately three trash removal projects that include the demonstration of the use of devices/machinery to remove trash from Great Lakes rivermouths and harbors.

Funding will support the purchase and use of devices/machinery -- such as small vessels to skim or otherwise remove trash -- and can help offset the cost of recycling or disposing of the collected material. Projects may also include the purchase and placement of appropriate waste receptacles in the rivermouth and harbor areas to prevent future trash accumulation.

Any unproven and/or experimental trash removal devices/machinery are not eligible expenses under this funding opportunity.

Outreach and education about the funded cleanup activities are encouraged. However, projects must include trash removal. Projects that are solely focused on outreach and education activities are ineligible.

INFORMATION TO INCLUDE IN THE PROJECT NARRATIVE

Applicants are required to submit "Project Narratives" as described in Appendix I. For this funding opportunity, the Project Narrative should additionally include:

In the "Project Design" description:

- A description of the current trash problems at the project site(s), and a description of how the project's trash removal activities will reduce these problems, including how the strategic purchase and use of devices/machinery will reduce trash impacts;
- A description of how purchased equipment will continue to be used to reduce trash impacts after project period has ended.

In the "Results" description:

- Outputs should include the total acres improved by on-the-ground and/or in-the-water removal of trash, litter, and debris.

In the description of "Outreach and Education":

- A description of how the outreach and education activities incorporated into the trash removal projects will result in the reduction of future trash accumulation in the project area.

In the "Budget" description:

- A description of the budget, including a breakdown of the costs associated with the project work and justification for costs, including equipment or supplies (e.g., small vessels to skim or otherwise remove trash, trash receptacles, etc.).
- Please see Appendix II for more information about the budget narrative.

I.5 MINORITY SERVING INSTITUTIONS (MSIS)

Eligible Minority Serving Institutions are strongly encouraged to apply for funding under this competition.

EPA recognizes that it is important to engage all available minds to address the environmental challenges the nation faces. At the same time, EPA seeks to expand the environmental conversation by including members of communities which may have not previously participated in such dialogues to participate in EPA programs. For this reason, EPA strongly encourages all eligible applicants, including minority serving institutions (MSIs), to apply under this opportunity.

For purposes of this solicitation, the following are considered MSIs:

- Historically Black Colleges and Universities, as defined by the Higher Education

Act (20 USC §1061). A list of these schools can be found at Historically Black Colleges and Universities

- Tribal Colleges and Universities (TCUs), as defined by the Higher Education Act (20 USC § 1059c(b)(3) and (d)(1)). A list of these schools can be found at American Indian Tribally Controlled Colleges and Universities
- Hispanic-Serving Institutions (HSIs), as defined by the Higher Education Act (20 USC §1101a(a)(5)). A list of these schools can be found at Hispanic-Serving Institutions
- Asian American and Native American Pacific Islander-Serving Institutions; (AANAPISIs), as defined by the Higher Education Act (20 USC §1059g(a)(2)). A list of these schools can be found at Asian American and Native American Pacific Islander-Serving Institutions; and
- Predominantly Black Institutions (PBIs), as defined by the Higher Education Act of 2008, 20 USC §1059e(b)(6). A list of these schools can be found at Predominantly Black Institutions

II. AWARD INFORMATION

II.1 AVAILABLE FUNDING

Approximately $2 million in EPA funding is expected to be awarded under this RFA for approximately 13 projects in two funding opportunities described below. **Please note that the specified maximum amount that will be awarded for an individual project in each funding opportunity establishes a per-project limit for EPA funding; applications seeking EPA funding in excess of that amount will be rejected**. In addition, an application for a multi-phase project will be treated as a request for the full amount for all phases. If that combined amount exceeds the specified maximum, the application will be rejected.

II.2 ISSUANCE OF AWARDS

The number of projects EPA will fund as a result of this RFA will be based on the quality of applications received, the availability of funding, and other applicable considerations. These amounts are estimates only (except as noted below) and are being provided solely for application preparation purposes. The actual award amounts and number of projects awarded under each of the funding opportunities may change for many reasons, including the number of meritorious applications received and funding availability.

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 6 months after the original selection decisions.

In addition, EPA reserves the right to increase or decrease (including decreasing to zero) the total number and amount of awards under each funding opportunity or change the ratio of assistance agreements it awards among the funding opportunities. EPA reserves the right to reject all applications and make no awards under any or all of the funding opportunities identified in this RFA or make fewer awards than anticipated.

EPA reserves the right to negotiate appropriate changes in project terms and amounts (*i.e.*, changes that do not affect the integrity of the competition or materially change the application) consistent with EPA Order 5700.5A1 and other applicable policies, before making final decisions and awards. EPA reserves the right to reject all applications and make no awards. Applicants may be asked to include greater detail and specificity for their work plans before final awards are issued. Applicants may also be requested to satisfy data quality or peer review requirements before or shortly after the awarding of grants.

Selection or award of funding under this RFA is not a guarantee of future funding.

II.3 PARTIAL FUNDING

Awards may be fully or incrementally funded, as appropriate, based on funding availability, satisfactory performance, and other applicable considerations. In appropriate circumstances, EPA reserves the right to partially fund applications by funding discrete portions or phases of proposed projects. If a proposal is submitted that includes any ineligible tasks or activities, that portion of the proposal will be ineligible for funding and may, depending on the extent to which it affects the proposal, render the entire proposal ineligible for funding. 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.

II.4 PRE-AWARD COSTS

In accordance with 2 CFR §200.458, pre-award costs are allowable only to the extent that they would have been allowable if incurred after the date of the Federal award. **EPA does not guarantee the payment of pre-award costs.** Applicants incur pre-award costs at their own risk and EPA is under no obligation to reimburse applicants for preaward costs.

Under certain circumstances, the applicant may be reimbursed for eligible, allowable, allocable, and reasonable costs that are incurred up to 90 days before grant award without prior EPA approval if:

1. The applicant includes the pre-award costs in its proposal and the workplan negotiated with EPA;
2. EPA agrees that the costs are eligible and allowable when the Agency approves the scope of work for the grant; and
3. Any procurement contracts that are funded with pre-award costs comply with the competitive procurement requirements within the grant.

Please note an applicant **must obtain prior EPA approval from the Award Official to incur pre-award costs more than 90 days before award**. Applicants selected for award will need to discuss any pre-award costs incurred greater than 90 days before award with their EPA Project Officer to discuss the process for getting these costs approved.

II.5 ANTICIPATED PROJECT PERIODS

This anticipated project period for both funding opportunity types is 24 months. This Request for Applications instructs applicants to submit certifications and other documentation required for a full and complete funding package so that their projects could, if selected, proceed expeditiously. Applications for the respective funding opportunities should specify start and end dates for projects, not exceeding 24 months in duration.

II.6 TYPE OF FUNDING INSTRUMENT

Successful applicants will be issued a grant or cooperative agreement as appropriate.

GRANT

A grant is an award of financial assistance to a recipient to carry out a public purpose of support or stimulation authorized by a law of the United States. The recipient is responsible for performance with little Agency involvement, as defined in 2 CFR §200.51.

COOPERATIVE AGREEMENT

A cooperative agreement is a type of assistance agreement used when there is substantial federal involvement with the recipient during the performance of an activity or project. EPA awards cooperative agreements for projects in which it expects to have substantial interaction with the recipient throughout the performance of the project. EPA will negotiate the precise terms and conditions of "substantial involvement" as part of the award process. Federal involvement may include close monitoring of the recipient's performance; collaboration during the performance of the scope of work; in accordance with 2 CFR §200.317 and 2 CFR §200.318, as appropriate, review of proposed procurements; reviewing qualifications of key personnel; and/or review and comment on the content of printed or electronic publications prepared. EPA does not have the authority to select employees or contractors employed by the recipient. The final decision on the content of reports rests with the recipient.

III. ELIGIBILITY INFORMATION

III.1 THRESHOLD ELIGIBILITY CRITERIA

Threshold eligibility criteria are requirements that must be met by the applicant by the time of application submission. Applications not meeting the threshold eligibility criteria will not be considered for funding. These criteria include:

- **Only applications from eligible applicants will be reviewed.** Applicants must be eligible by the time of application submission. Applicants deemed ineligible for funding consideration after the initial threshold eligibility review will be notified by e-mail within 15 calendar days of the ineligibility determination. Further information can be found in the Applicant Eligibility (CFDA 66.469) and Eligible Activities subsections, below.

- **Only eligible activities will be considered for funding.** Further information can be found in the Ineligible Activities subsection, below.

- Applications must substantially comply with the application submission instructions and requirements set forth in this announcement or else they will be rejected. Any pages in excess of the application page limit will not be reviewed. See section IV. Application & Submission Information for more information.

- **Initial applications must be submitted through Grants.gov**, except in limited circumstances, on or before the application submission deadline. Applicants are responsible for following the submission instructions to ensure that their application is timely submitted. See Section IV Application & Submission Information for more information.

- 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 or relevant SAM.gov system issues. An applicant's failure to timely submit their application through **Grants.gov** because they did not timely or properly register in **SAM.gov** or **Grants.gov** will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their application with Victoria Raymond (312-886-7981 / GLRI-RFA@epa.gov) as soon as possible after the submission deadline—failure to do so may result in your application not being reviewed.

- **Each application must address one, and only one, funding opportunity.** Applicants may submit applications under each funding opportunity number.

Applicants may submit multiple applications per funding opportunity number if (1) each application is for a different project and (2) each application is submitted separately under the appropriate FON.

- Projects must include trash removal as described in the funding opportunity description in **Section I**. Projects that are solely focused on outreach and education activities are ineligible.

- Applications that seek funding exceeding the specified maximum or below the specified minimum amount for an individual project under the funding opportunity number will be rejected. In addition, an application for a multi-phase project will be treated as a request for the full amount for all phases. If that combined amount exceeds the specified maximum, the application will be rejected.

III.2 APPLICANT ELIGIBILITY (CFDA 66.469)

Consistent with the Applicant Eligibility Section of CFDA No. 66.469 and EPA Order 5700.5A1: EPA's Policy for Competition of Assistance Agreements, competition under this announcement is being limited to a subset of eligible applicants.

Qualified non-federal entities eligible to apply for grants include non-federal governmental entities, nonprofit organizations, and institutions. This includes state agencies; any agency or instrumentality of local government; interstate agencies; federally-recognized tribes and tribal organizations; colleges and universities; non-profit organizations[6]; and other public or non-profit private agencies, institutions, and organizations.

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[6] Non-profit 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 non-profit organization because they are separately defined in the regulation: (i) institutions of higher education; and (ii) state, local and federally-recognized Indian tribal governments. While not considered to be a non-profit organization(s) as defined by 2 CFR Part 200, Institutions of Higher Education and state, local and federally-recognized Indian tribal governments are, nevertheless, eligible to submit applications under this RFA.

WOMEN, MINORITIES, AND PERSONS WITH DISABILITIES

EPA recognizes that scientific, technical, engineering and mathematical (STEM) competence is essential to the Nation's future well-being in terms of national security and competitive economic advantage. For instance, the health and vitality of the economy is predicated, in part, on the availability of an adequate supply of scientists, technicians, engineers and mathematicians, to develop innovative technologies and solutions. In other words, this country must engage all available minds to address the challenges it faces.

Minorities, women, and persons with disabilities historically have been under-represented in the STEM fields. For this reason, EPA strongly encourages all eligible applicants including, women, minorities, and persons with disabilities to apply.

PARTNERSHIPS, CONTRACTORS AND SUBAWARDS

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

Funding may be used to provide subawards of financial assistance, which includes using subawards to fund partnerships, provided the recipient complies with applicable requirements for subawards including those contained in 2 CFR Part 200 and EPA's Subaward Policy. EPA has also posted Additional Resources on Subawards for applicants to consult.

Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 2 CFR Part 200. Applicants are not required to identify subrecipients and/or contractors (including consultants) in their proposal/application. However, if they do, the fact that an applicant selected for award has named a specific subrecipient, contractor, or consultant in the proposal/application EPA selects for funding does not relieve the applicant of its obligations to comply with subaward and/or competitive procurement requirements as appropriate. Please note that applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal/application.

Successful applicants cannot use subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subrecipient must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance found at 2 CFR §200.330, the definitions of subaward at 2 CFR §200.92 and subrecipient at 2 CFR 2§00.93, and Appendix A to EPA's Subaward Policy.

EPA will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 2 CFR 200.317-326 and cannot use a subaward as the funding mechanism.

COALITIONS

Groups of two or more eligible applicants may choose to form a coalition and submit a single application under this RFA; however, one entity must be responsible for the grant. Coalitions must identify which eligible organization will be the recipient of the grant and which eligible organization(s) will be subawardees of the recipient. Subawards and subgrants must be consistent with the definitions of those terms in 2 CFR §200.92. The recipient must administer the grant, will be accountable to EPA for proper expenditure of the funds and reporting, and will be the point of contact for the coalition. As provided in 2 CFR §200.331(d), subrecipients or subgrantees are accountable to the recipient or grantee for proper use of EPA funding.

Coalitions may not include for-profit organizations that will provide services or products to the successful applicant. For-profit organizations are not eligible for subawards. For-profit organizations are eligible to receive contracts. Any contracts for services or products funded with EPA financial assistance must be awarded under the competitive procurement procedures of 2 CFR §200.319, as applicable. The regulations also contain limitations on consultant compensation.[7] For additional information, please review Federal Register Vol. 69, No. 67.

COST SHARING OR MATCHING

There is no cost-sharing or matching requirement as a condition of eligibility under this RFA.

INELIGIBLE APPLICANTS

Non-profit organizations described in section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible applicants. "For profit" organizations, federal agencies, and individuals are not eligible applicants.

III.3 ELIGIBLE ACTIVITIES

Projects in these funding opportunities must support trash removal activities:

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[7] As applicable, please see 2 CFR Part 1500.9, formerly at 40 CFR §30.27(b) or 31.36(j).

1) on land areas immediately adjacent to the Great Lakes and Great Lakes harbors, such as beaches and other public recreational areas, shorelines, and coastal wetlands;

2) in Great Lakes harbors and rivermouths; and

3) within riparian corridors (stretches of rivers or streams, including the banks) having a direct connection to a Great Lake but extending no more than approximately five river miles upstream of the Lake.

Unless specifically excluded under this RFA, assistance is available to eligible applicants for outreach and implementation projects in furtherance of the GLRI and GLWQA. Proposed projects must also either: (i) protect, enhance, and/or restore the Great Lakes[8], including projects impacting connecting waterways such as Lake St. Clair and the St. Lawrence River (at or upstream from the point at which the St. Lawrence River becomes the international boundary between Canada and the United States) and projects in the historic Great Lakes Basin, which includes the Chicago River watershed; or (ii) protect Great Lakes ecosystem health, including human health. Information about the GLRI can be found at Great Lakes Restoration Initiative (GLRI). Applications for other activities will be rejected.

III.4 INELIGIBLE ACTIVITIES

If an application is submitted that includes any ineligible activities for a specific funding opportunity, 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. The following are ineligible activities:

- For the purpose of this RFA, installation of trash removal technology within sewer infrastructure is not eligible for funding. This includes traditional water or wastewater infrastructure projects that are eligible for funding from:
    - a state water pollution control revolving fund established under title VI of the Clean Water Act; or
    - a state drinking water revolving loan fund established under Section 1452 of the Safe Drinking Water Act (42 U.S.C. Section 300j–12).
- Any activities/projects that are specifically required by a draft or final NPDES permit or by a consent decree.
- Purchase of any unproven/experimental trash removal devices/machinery.

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[8] For the purposes of this RFA, the Great Lakes includes the waterways connecting the Great Lakes, including the U.S. portion of the St. Lawrence River, St. Mary's River, St. Clair River, Lake St. Clair, Detroit River, and the Niagara River.

- Legal/enforcement activities.
- Advocacy.
- Research activities, meaning any systematic investigation principally for the purpose of expanding general knowledge or developing a new solution to a problem.
- Projects for which the principal purpose general operating support.
- Projects principally pertaining to contaminated sediment remediation.
- Projects where a significant portion of the work will be conducted on Federal property.
- Trash removal activities in segments of rivers or streams more than approximately five river miles upstream from a Great Lake.
- Trash removal activities outside of the U.S. Great Lakes basin.

IV. APPLICATION & SUBMISSION INFORMATION

Applicants must apply electronically through Grants.gov under this funding opportunity, except as noted below in the Limited Exception Procedures subsection.

IV.1 APPLICATION SUBMISSION DEADLINE

Your organization's Authorized Organization Representative (AOR) must submit your complete application electronically to EPA through Grants.gov no later than 10:59 p.m. Central Time / 11:59 p.m., Eastern Time on Friday, February 14, 2020. Please allow for enough time to successfully submit your application process and allow for unexpected errors that may require you to resubmit.

IV.2 REGISTRATION

The electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. If your organization is not currently registered with Grants.gov, please encourage your office to designate an AOR and have that individual begin the registration process as soon as possible.

Please note that the registration process also requires that your organization have an unique entity identifier[9] (i.e., DUNS number) and a current registration with the System for Award Management (SAM). *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.*

GRANTS.GOV REGISTRATION

To register, go to the Register page and click the "Get Registered Now" button.

DUNS NUMBER ASSIGNMENT

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 Dun & Bradstreet (D&B)

[9] Currently, DUNS numbers are used as unique entity identifiers. Unique entity identifier is defined as, "…a number or other identifier used to identify a specific commercial, nonprofit, or Government entity." in 48 CFR 2.101.

website.

SAM.GOV REGISTRATION & UNIQUE ENTITY IDENTIFIER REQUIREMENTS

To learn more about the System for Award Management (SAM), go to SAM.gov.

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

- Be registered in SAM prior to submitting an application or proposal under this announcement. SAM information can be found at System for Award Management;
- Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by a Federal awarding agency; and
- Provide a valid unique entity identifier in its application (e.g., provide its DUNS number in each application or proposal it submits to the agency). Applicants need to ensure that the AOR who submits the application through Grants.gov, and whose unique entity identifier 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.

If an applicant fails to fully comply with these requirements by the time EPA is ready to make an award, EPA may determine that the applicant is not qualified to receive an award and use that determination as a basis to make an award to another applicant.

IV.3 GRANTS.GOV INSTRUCTIONS & RESOURCES

GRANTS.GOV INSTRUCTIONS

Instructions for applying on Grants.gov can be found at How to Apply for Grants.
You can access the application package for this announcement by searching for the funding opportunity number or CFDA on Grants.gov. Go to Grants.gov and enter the CFDA number (66.469), or applicable Funding Opportunity Number, into the search field at the top right corner of the page, then click the "GO" button.

GRANTS.GOV RESOURCE PAGE

Visit the Support Center page for FAQs, user guides, checklists, training and technical support.

GRANTS.GOV HELP DESK

Support Center resources are available 24 hours a day, 7 days a week. For any technical questions or issues, call 1-800-518-4726 or email support@grants.gov. Grants.gov issues a "case number" upon a receiving requests for assistance. Be *sure* to obtain, and document, this case number from Grants.gov.

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.

GRANTS.GOV WORKSPACE FEATURE

All applications must now be submitted through Grants.gov using the "Workspace" feature. Information on the Workspace feature can be found at Workspace Overview.

GRANTS.GOV ADOBE READER SOFTWARE REQUIREMENT

Adobe Reader is a free software that you will need to apply through Grants.gov. You must download a compatible version of the Adobe Reader software. For more information about Adobe Reader, to verify compatibility, or to download the free software, please visit Adobe Reader Compatibility.

IV.4 APPLICATION SUBMISSION

It is essential to allow sufficient time to ensure that your application is submitted to Grants.gov BEFORE the due date.

Once your application package has been completed and saved, send it to your AOR for submission to EPA through Grants.gov. Please advise your AOR to close all other software programs before attempting to submit the application package through Grants.gov.

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the fiscal year (i.e., FY20), and the grant funding opportunity number. The filing name should not exceed 40 characters.

From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. A successful transfer will end with an on-screen acknowledgement. For documentation purposes, print or screen capture this acknowledgement.

Applications submitted through Grants.gov will be time and date stamped electronically. If an applicant submits duplicate application packages, the application with the most recent time stamp will be reviewed. Older versions will not be reviewed.

NOTE: Successful submission through Grants.gov or via email does not necessarily mean your application is eligible for award.

INFORMATION PROVIDED TO EPA

Before applying for an award, applicants should be aware that under Public Law No. 105-277, data produced under an award, and any information provided to EPA, is subject to the Freedom of Information Act.

Do not include confidential business information in your application[10].

TECHNICAL ISSUES WITH SUBMISSION

Minor problems are not uncommon with transfers to Grants.gov. Applicants should save a back-up copy of the completed application package (with a different file name) before providing it to the AOR. This will prevent applicants from needing to re-create the package if submission problems are experienced, or if a revised application must be submitted.

The AOR should close all other software before attempting to submit the application package.

If you experience problems and cannot upload the application to Grants.gov, it is essential to call the Support Center **before the application deadline.** If the problems stem from unforeseen exigent circumstances unrelated to Grants.gov, such as extreme weather interfering with internet access, contact Victoria Raymond at 312-886-7981.

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[10] EPA recommends that you do not include confidential business information ("CBI") in your proposal/application. However, if CBI 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. 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.

REBOOT COMPUTER

If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. It may be necessary to turn off the computer (not just restart it). If the AOR continues to experience submission problems, he/she may contact the Support Center for assistance or contact Victoria Raymond via email at: GLRI-RFA@epa.gov

SUBMIT BUTTON

Once the application package has been completed, the "Submit" button should be enabled. If the "Submit" button is still not active after rebooting the computer, please call Support Center.

LATE SUBMISSIONS

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 GLRI-RFA@epa.gov with the FON in the subject line. If you are unable to email, contact Victora Raymond at 312-886-7981 . Be aware that EPA will only consider accepting applications that were unable to transmit due to Grants.gov or relevant 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.

Send an email message to GLRI-RFA@epa.gov **before the application deadline** if the application cannot be successful submitted, and/or is rejected, due to electronic submission system issues or unforeseen exigent circumstances and Support Center cannot resolve the issue before 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.

If a notification is received from Grants.gov stating that the application has been rejected for reasons other than late submittal promptly send an email to GLRI-RFA@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.

IV.5 LIMITED EXCEPTION PROCEDURES

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, the applicant must contact OGDWaivers@epa.gov or the address listed below in writing (e.g., by hard copy, email) at least 15 calendar days prior to the submission deadline to request approval to submit application materials through an alternate method.

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

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

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

- Funding Opportunity Number (FON)
- Organization Name and DUNS
- Organization's Contact Information (email address and phone number)
- Explanation of how they lack the technical capability to apply electronically through 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 aforementioned reasons and will respond in a timely manner to eligible requests--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).

Applicants need only request an exception once in a calendar year and all exceptions will expire on December 31 of that calendar year. Any exception granted is valid for all submissions to EPA for the remainder of the 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, 2019, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2019). Applicants must request a new exception to the electronic submission through Grants.gov requirement for any submissions made in subsequent calendar years. For example, if there is a competitive opportunity issued on December 1, 2018 with a submission deadline of January 15, 2019, the applicant would need a new exception to submit through alternative methods beginning January 1, 2019. 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 listed Agency Contact. 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.

IV.6 APPLICATION PACKAGE

Please submit *all* of the application materials described below using the Grants.gov. **All documents must be submitted as PDF files**.

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. EPA Key Contacts Form (5700-54)
5. EPA Form 4700-4 – Pre-award Compliance Review Report
6. Narrative Proposal- Project Narrative Attachment Form- See Appendix I for content
7. Other Attachments Form - Resumes or *curriculum vitae* of Principal Investigators and Critical Staff
8. Other Attachments Form - Negotiated Indirect Cost Rate Agreement
9. Other Attachments Form - Letters of support

REQUIRED DOCUMENTS

Documents 1 through 7 are required documents and should appear in the "Mandatory Documents" box on the Grants.gov Grant Application Package page.

For documents 1 through 5, click on the appropriate form and then click "Open Form" below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click "Save." When you return to the electronic Grant

Application Package page, click on the form you just completed, and then click on the box that says, "Move Form to Submission List." This action will move the document over to the box that says, "Mandatory Completed Documents for Submission."

For document 6 (Narrative Proposal), you will need to attach electronic files. Prepare your narrative proposal as described above and in Appendix I. and save the documents to your computer as a PDF file. When you are ready to attach your proposal to the application package, click on "Project Narrative Attachment Form," and open the form. Click "Add Mandatory Project Narrative File," and then attach your proposal (previously saved to your computer) using the browse window that appears. You may then click "View Mandatory Project Narrative File" to view it. Enter a brief descriptive title of your project in the space beside "Mandatory Project Narrative File Filename;" the filename should be no more than 40 characters long. If there are other attachments to submit to accompany your proposal, 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."

Documents 7 through 9 are submitted using the Other Attachments form. You must submit document 7 – Resumes or curriculum vitae of Principal Investigators and critical staff. You are required to submit document 8 – Negotiated Indirect Cost Rate Agreement – if you have included any indirect costs in your proposed budget. You are required to submit document 9 – Support Letters – if necessary to confirm non-applicant cost share; however it may also be submitted to demonstrate evidence of collaboration and support. To attach documents 7-9, use the "Other Attachments Form". After attaching the documents, please remember to highlight the "Other Attachments Form" and click "Move Form to Submission List" Please submit each document from 7 through 9 as a separate file. Do not roll them all into one file.

1. APPLICATION FOR FEDERAL ASSISTANCE (SF-424)

Please complete the form. There are no attachments. Please note:

- Be sure to include the organization fax number and email address in Block 5.
- The contact person you provide in Block 8.f. should be different than the Authorized Representative listed in Block 21.
- The organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424.

The Application for Federal Assistance (SF-424) and instructions are available on

Grants.gov.

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

Please complete the form. There are no attachments. Please note:

- The total amount of federal funding requested for the 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 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.

- If the applicant proposes matching funds, the total amount of non-federal funding should be shown on line 5(f) and on line 6(k) of SF-424A.

- The budget section of the workplan must match the budget found in the SF-424A. See Appendix II for additional instructions on developing the budget section of the workplan.

The Budget Information for Non-Construction Programs (SF-424A) and instructions are available on Grants.gov.

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

Please complete the form. There are no attachments. The Assurances for Non-Construction Programs (SF-424B) form and instructions are available on Grants.gov.

4. Key Contacts Form (EPA Form 5700-54)

Please 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.

5. Pre-Award Compliance Review Report (EPA Form 4700-4)

Please complete the form.[11] The EPA Form 4700-4 and instructions are available on Grants.gov.

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[11] See 2 CFR §200.458: Pre-award costs for more information.

6. PROJECT NARRATIVE

This is the **only** file that should be submitted using the Project Narrative Attachment form.

Project Narrative includes the summary information page; project design and workplan; maps, charts and figures; programmatic capabilities and past performance; results; budget information; environmental and regulatory compliance information; and meeting/conference/workshop information. **See Appendix I for more information.**

7. OTHER ATTACHMENTS FORM - RESUMES

Please use the "Other Attachments Form" to attach a copy of the **resume or curriculum vitae of principal investigators and critical staff** for the proposed project. Such documentation should outline the education, work history, and knowledge/expertise of the individual that relate to managing the proposed project. Please include the word "resume" in the filename.

8. OTHER ATTACHMENTS FORM – 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 indirect costs are included in the project budget. Please use the "Other Attachments Form" to attach a copy of your organization's Indirect Cost Rate Agreement. Please include "IDC" in the filename.

9. OTHER ATTACHMENTS FORM – SUPPORT LETTERS

Use the "Other Attachments Form" to attach any relevant letters from collaborators or partners in support of the project. A letter of support may also be required for voluntary cost share commitments. Specifically, indicate how the supporting organization will assist in the project or what that organization supports, as applicable.
No other types of letters of support will be considered in the review of the application. Please include "LOS" in the filename.

IV.7 PAGE LIMIT & FORMAT

PAGE LIMIT

Narrative Proposals must be no more than twenty-five single-spaced pages in length, and include the items below, in the requested order. Excess pages will not be reviewed. Maps,

charts, pictures, and other figures must be included in the Narrative Proposal file. They may be included within the body of the workplan or as an appendix to the Narrative Proposal. In either case those items will be counted against the 25-page limit for the Narrative Proposal. Maps, charts, pictures, and other figures that are submitted as a separate attachment will not be reviewed.

The additional attachments (Other Attachment Forms 7-9) are not part of the Narrative Proposal and are not included in the 25-page limit.

PAGE FORMAT

Each Narrative Proposal must be formatted for 8½" x 11" paper and should use no smaller than an 11-point Times New Roman font with 1" margins. Do not use a "double column" (aka newspaper) format. Readability is of paramount importance. Do not include more than one application in any file. Please do not zip the file or use a zip extension for your file because it will not be accepted.

FILE NAMES

Please note that applicants are limited to using certain characters in all attachment file names. If applicants use any other characters when naming their attachment files their applications will be rejected by Grants.gov. **Valid file names may only include the following UTF-9 characters:** A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period.

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 – FY20 – Funding Opportunity – 1st Submission" or "Applicant Name – FY20 – Funding Opportunity – Back-up Submission." If it becomes necessary to submit an amended package at a later date, then the name of the 2nd submission should be changed to "Applicant Name – FY20 – Funding Opportunity– 2nd Submission."

IV.8 COMMUNICATIONS

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[12]. Applicants are responsible for the contents of their applications/proposals. 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 proposal, 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 as soon as possible so that any questions about the solicitation language may be resolved prior to submitting an application. In addition, if necessary, EPA may clarify threshold eligibility issues with applicants prior to making an eligibility determination
Visit Great Lakes Restoration Initiative 2020 Request for Applications for general provisions regarding communications with applicants. Submit questions using the form available from Great Lakes Restoration Initiative 2020 Request for Applications. EPA will respond to questions received through Febuary 10, 2020 but cannot guarantee that it will respond to questions received thereafter.

Q&A Webinar

EPA will host a webinar during which EPA will discuss this RFA and respond to questions. Since all questions may not be able to be asked and answered during the scheduled time for the call, questions should be submitted in advance using the form available at Great Lakes Restoration Initiative 2020 Request for Applications.

The webinar will be broadcast live and is expected to be archived for future playback. Pre-registration will be required for the webinar:

Date: January 7, 2020 at 1:00 p.m. Central Time/ 2:00 pm, Eastern Time

Further details, including a link for the Webinar, will be available at Great Lakes Restoration Initiative 2020 Request for Applications.

IV.9 Additional Provisions For Applicants Incorporated Into RFA

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to confidential business information, contracts and subawards under grants, and proposal assistance and communications, can be found at EPA Solicitation Clauses. These, and the other provisions that can be found at the website, are important, and applicants must review

[12] In accordance with EPA's Assistance Agreement Competition Policy, EPA Order 5700.5A1

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.

IV.10 No Awards

The Agency reserves the right to make no awards under this competition.

IV.11 Intergovernmental Review

Executive Order 12372, Intergovernmental Review of Federal Programs, may be applicable to awards resulting from this announcement. EPA implemented the Executive Order in 40 CFR Part 29. EPA may require applicants selected for funding to provide a copy of their application to their State Point of Contact (SPOC) for review as provided at 40 CFR 29.7 and 40 CFR 29.8. The SPOC list can be found on the webpage below.

- Office of Federal Financial Management Resources and Other Information

EPA may require successful applicants from states that do not have a SPOC to provide a copy of their application for review to directly affected state, area-wide, regional and local government entities as provided at 40 CFR 29.7 and 40 CFR 29.8. These reviews are not required before submitting an application. Only applicants that EPA selects for funding under this announcement are subject to the Intergovernmental Review requirement.

V. APPLICATION REVIEW & SELECTION

V.1 APPLICATION REVIEW

Applications meeting the threshold eligibility criteria in section III. Eligibility Information will be evaluated based on the criteria set forth below. Applicants should directly and explicitly address these criteria as part of their Narrative Proposal, budget narrative, and application submission. Further information and detailed instructions for Narrative Proposals can be found in Appendix I. Further information and detailed instructions about Budget Information can be found in Appendix II.

REVIEW CRITERIA

Each application will be rated under a point system:

Project Design – 40 points
Programmatic Capability and Past Performance – 12 points
Outreach and Education – 13 points
Results (Outputs and Outcomes) – 20 points
Budget – 15 points
- -
Total – 100 points

PROJECT DESIGN - 40 POINTS

Applicants will be evaluated based on the extent to which they demonstrate:

- Strategic and technical approaches for performing the project, including the soundness and logic of these approaches.
- Responses to Permits and Environmental and Regulatory Compliance and Meetings, Conferences, and Workshops as described in Appendix I.
- Immediacy and timeliness of project implementation.
- Please refer to the "Information to include in the Project Narrative" subsection of the applicable funding opportunity description in Section I for funding opportunity-specific requirements.

There is a potential for higher scoring in under this criterion in the Trash Removal in Great Lakes Communities category (EPA-R5-GL2020-TFC), for applicants who demonstrate an efficient and effective plan to use coalitions to broaden geographic scope of trash removal activities within the Great Lakes Basin.

PROGRAMMATIC CAPABILITY AND PAST PERFORMANCE – 12 POINTS

Past Performance (6 points)
Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project, considering:

- Past performance in successfully completing and managing assistance agreements.
- History of meeting the reporting requirements of assistance agreements.
- Whether the applicant submitted acceptable final technical reports under agreements.
- 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 the reasons for not achieving the expected outputs and outcomes.

In evaluating applicants under item this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources, including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant).

Applicants without any relevant or available past performance or past reporting information should indicate this in the application. Those applicants will receive a neutral score for this subfactor (a neutral score is half of the total points available in a subset of possible points). Applicants that do not provide any response for this item may receive a score of 0 for this factor.

Applicants must provide an explanation if they have failed to expeditiously expend a significant portion of previously awarded GLRI funds. Points may be reduced from an applicant's score if previously awarded GLRI funds, or a significant portion of them, have not been expended expeditiously without adequate explanation as of the date of the application submission.

Programmatic Capability (6 points)
Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project, considering:

- Organizational experience and plan for timely and successfully achieving the objectives of the proposed project, and
- Staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.
- The qualifications, expertise, and experience of any subrecipients identified in the

proposal/application, as appropriate[13].

- The qualifications, expertise, and experience of any contractor(s), including consultant(s), identified in the proposal/application, as appropriate[14].

OUTREACH AND EDUCATION – 13 POINTS

Applicants will be evaluated based on:

- The quality of the applicant's plans to disseminate information about project activities and results to interested stakeholders and the potential of the project for transferability and applicability to other places **(9 points)** and;
- extent to which the applicant will engage and work with stakeholders in the community, including communities with environmental justice concerns and local, state and tribal environmental managers, academia and/or other interested groups, to enhance the effectiveness and/or efficiency of the project **(4 points)**.
- Please refer to the "Information to include in the Project Narrative" subsection of the applicable funding opportunity description in Section I for funding opportunity-specific requirements.

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[13] Subrecipients will be evaluated if the applicant demonstrates that the subaward will be properly awarded consistent with the applicable regulations in 2 CFR Part 200 if an award is received. For example, applicants must not use subawards to obtain commercial services or products from for profit firms or individual consultants. EPA will not consider the qualifications, experience, and expertise of named subrecipients during the evaluation process unless the applicant complies with these requirements.

[14] Contractors will be evaluated if the applicant demonstrates that the contract will be properly selected and awarded consistent with in compliance with the competitive Procurement Standards in 2 CFR §200.317-326. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace. EPA will not consider the qualifications, experience, and expertise of named contractor(s) during the evaluation process unless the applicant complies with these requirements.

RESULTS - OUTPUTS AND OUTCOMES – 20 POINTS:

Applicants will be evaluated based on

- The extent to which they demonstrate the proposed project outputs and outcomes applicable to the funding opportunity to which the application relates.
- The plan and approach for measuring and tracking progress made towards achieving the expected and proposed project outputs and outcomes.
- Please refer to the "Information to include in the Project Narrative" subsection of the applicable funding opportunity description in Section I for funding opportunity-specific requirements

BUDGET – 15 POINTS:

Applications will be evaluated based on:

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- The reasonableness, necessity and allowability[15] (of costs) in the proposed budget for the level of work proposed and for the expected benefits to be achieved **(12 points)**; and
- Their approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner **(3 points).**
- Please refer to the "Information to include in the Project Narrative" subsection of the applicable funding opportunity description in Section I for funding opportunity-specific requirements

V.2 APPLICATION SELECTION

Applications will first be evaluated against the threshold eligibility factors under section III. Eligibility Information . Only those applications which meet all of the threshold factors will be evaluated using the evaluation criteria listed above.

Eligible applications will be evaluated by review panels composed of federal agency staff. There will be separate review panels to evaluate eligible applications submitted under each FON. Review panels will rank the applications based on the criteria above and develop preliminary funding recommendations for presentation to EPA selection official(s). Each FON will have its own ranking list and funding recommendations. Information pertaining to proposed recommendations may be shared with appropriate

[15] As determined in accordance Cost Principles contained in Subpart E of 2 CFR 200.

governmental departments or agencies before selections are made in order to determine whether potential selections (1) are expected to be funded by another funding department or agency under GLRI or any other known funding source or (2) could be affected by permitting or regulatory issues.

Final funding decisions for each funding opportunity will be made by the selection official. In making the final funding decisions, the selection official will consider the review panel rankings and recommendations, and may also consider the following factors: any duplicate funding issues or permitting or regulatory issues as discussed above; the amount of the organization's unliquidated obligations on previous GLRI grants; program priorities; funding availability; appropriate balances of geographic and jurisdictional distribution of projects; and organizational diversity in terms of applicant type selected to receive awards (*e.g.*, local government, state agency, Indian Tribe**,** college and university, or other not for profit entity) in order to help ensure a broad representation of entity types receiving awards to promote program effectiveness.

Any final selections made out of rank order will be documented and justified based on the factors listed above. Once selections have been made, a funding recommendation will be developed and forwarded to the EPA approving and awarding official.

CONFLICTS OF INTEREST

All reviewers will be required to sign a disclosure of conflict of interest statement and will be removed from the review of applications where an actual or potential conflict of interest (that cannot be mitigated) exists. The selection official(s) will also sign a conflict of interest statement.

V.3 ADDITIONAL PROVISIONS FOR APPLICANTS INCORPORATED INTO THE SOLICITATION

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

VI. AWARD ADMINISTRATION

VI.1 AWARD NOTIFICATIONS & STATUS UPDATES

GLNPO will send an e-mail announcement of these and any of its funding opportunities to all who register at Great Lakes News Email List.

All applicants will be contacted following selections to tell them whether or not they have been selected. Selection information will also be posted to on the Great Lakes Restoration Initiative 2020 Request for Applications page.

Following evaluation of applications, all applicants will be notified regarding their status, as follows:

- EPA anticipates notification to *unsuccessful* applicants will be made via email or postal mail to the original signer of the application or the project contact listed in the application.
- EPA anticipates that notification to *successful* applicants will be made via email to the original signer of the application or the project contact listed in the application. The notification will advise them that their proposed project has been evaluated and forwarded to the EPA approving official for further consideration and possible award. This notification, which advises finalists that their proposed project has been forwarded to the approving official, **is not and should not be considered as** an authorization to begin performance. Applicants are cautioned that only the EPA 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 the EPA award official is the authorizing document and will be provided through postal mail. The applicant may need to prepare and submit additional documents and forms, which must be approved by EPA, before the grant can officially be awarded. The time between notification to finalists and award of a grant can take up to 90 days or longer.

VI.2 ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

The successful applicants will be required to adhere to federal grants requirements, particularly those found in applicable Cost Principles (2 CFR 200 Subpart E), Administrative Requirements (2 CFR 200 and 1500), and Audit Requirements (2 CFR 200 Part F, A-133). This includes government-wide requirements pertaining to accounting standards, lobbying, minority or woman business enterprise, publication, meetings, construction, and disposition of property. Additional EPA regulations are codified in Title 40 of the Code of Federal Regulations. A listing and description of

general EPA regulations applicable to the award of assistance agreements may be viewed at EPA Policies and Guidance for Grants.

VI.3 QUALITY SYSTEM DOCUMENTATION

Quality system documentation (i.e., quality assurance project plans or quality management plans) is required for grants involving the use or collection of environmental data[16]. EPA must have this documentation within 90 days of award, and it must be approved before grantees commence activities associated with the use or collection of environmental data. **Applicants should budget time and resources for developing quality system documentation.** Applicants that do not do so may have to fund the quality system documentation and any necessary project changes out of their own funds. Visit Implementation of Quality Assurance Requirements for Organizations Receiving EPA Financial Assistance for further information about quality system requirements.

VI.4 ENVIRONMENTAL AND REGULATORY COMPLIANCE

Awards must comply with applicable Federal, State, and local environmental, historic, cultural, and archaeological resource protection laws, regulations, and executive orders. These may include, but are not limited to: (i) sections 106 and 110 of the National Historic Preservation Act (NHPA), which requires consideration of impacts to historic properties and consultation with relevant entities such as the appropriate State and/or Tribal Historic Preservation Office (SHPO and/or THPO) or other designated Tribal representatives and (ii) sections 7 and 9 of the Endangered Species Act (ESA), which prohibit certain impacts on federally-listed threatened or endangered species and their designated critical habitats and may require consultation with the U.S. Fish and Wildlife Service and/or National Marine Fisheries Service. An award recipient may not begin any ground disturbing activities (including grading, clearing, and other preliminary activities) on a project prior to the completion (by the recipient, EPA, and/or others) of applicable environmental and regulatory compliance requirements. Please keep in mind that NHPA and ESA compliance may take up to six months or more, depending on the project type and location, the affected environmental and historic, cultural, and archaeological

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[16] Environmental data is defined as any measurements or information that describe environmental processes, locations, or conditions; ecological or health effects and consequences; or the performance of environmental technology. For EPA, environmental data include both primary data (i.e., information collected directly from measurements) and secondary/existing data (i.e., data that were collected for other purposes or obtained from other sources, including literature, industry surveys, models, data bases, and information systems). See the Overview of the EPA Quality System for Environmental Data and Technology for more information.

resources, and any listed species considerations. The grantee will assist EPA in meeting NHPA and ESA compliance requirements that may be applicable to the grant award. Applicants should budget time and resources for these activities.

VI.5 Reporting Requirements

Applicants selected for funding shall provide narrative technical progress reports addressing financial and work progress Special conditions requiring quarterly and semi-annual financial and progress reporting and a detailed final technical report, will be added to awards. Applicants should budget time and resources for these activities.

If selected, applicants may be asked to revise their anticipated fiscal expenditure projections on a quarterly basis in order to monitor the progress of the awarded project. These projections should be submitted as a part of the fiscal and technical reporting.

VI.6 Disputes

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at Grant Competition Dispute Resolution Procedures. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement. Note, the FR notice references regulations at 40 CFR Parts 30 and 31 that have been superseded by regulations in 2 CFR parts 200 and 1500. Notwithstanding the regulatory changes, the procedures for competition-related disputes remains unchanged from the procedures described at 70 FR 3629, 3630, as indicated in 2 CFR Part 1500, Subpart E.

VI.7 Additional Provisions For Applicants Incorporated Into The Solicitation:

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

VI.8 Other Programmatic Requirements

Additional applicable programmatic terms and conditions will be included in grant agreements, including provisions for: signage for on-the ground projects, and EPA pre-approval of subcontracting and of conference participation.

Applicants should budget time and resources for these activities.

VI.9 Negotiating Fair Share Objectives/Goals and Disadvantaged Business Enterprises (DBE) Annual Reporting

The requirements of 40 CFR Part 33 apply to all assistance agreements awarded to Disadvantaged Business Enterprises (DBE). Applicants who do not already have negotiated DBE goals in place will be required to negotiate DBE fair share objectives/goals with the Region 5 DBE Coordinator. The recipient will be required to submit proposed DBE objectives/goals based on an availability analysis, or disparity study, of qualified DBE in their relevant geographic buying market for construction, services, supplies and equipment. In addition, recipients will be required to submit annual DBE Reports to the DBE Coordinator.

- Whenever procuring construction, equipment, services and supplies under an EPA financial assistance agreement, the recipient of GLRI funds must undertake good faith efforts to, and ensure that subrecipients, loan recipients, and prime contractors undertake good faith efforts to:

- Ensure that DBEs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For tribal, state and local government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.

- Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.

- Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For tribal, state and local government recipients, this will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.

- Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.

- Use the services and assistance of the SBA and the Minority Business Development Agency of the Department of Commerce.

- If the prime contractor awards subcontracts, require the prime contractor to take the steps in paragraphs (1) through (5) of this section.

Records documenting compliance with the required good faith efforts shall be retained.

VII. AGENCY CONTACTS

General RFA Contact Administrative, eligibility, and other general RFA questions	**Victoria Raymond** 312-886-7981 GLRI-RFA@epa.gov
Technical Contact Questions relating to Trash Removal in Great Lakes Communities (EPA-R5-GL2020-TFC)	**Sara Westergaard** 312-353-9660 westergaard.sara@epa.gov
Technical Contact Questions relating to Trash Removal from Great Lakes Rivermouths and Harbors (EPA-R5-GL2020-TFH)	**James Schardt** 312-353-5085 schardt.james@epa.gov

APPENDIX I – NARRATIVE PROPOSAL

Applicants are required to submit Project Narratives. Project narratives must include:

- Summary Information Page (1 page)
- Work plan
  - Project Design
  - Results -Outputs and Outcomes
  - Programmatic Capabilities and Past Performance
  - Outreach and Education
- Budget (see Appendix II)

1. SUMMARY INFORMATION PAGE

The summary information page **should not exceed one page.** Please include:

FUNDING OPPORTUNITY NUMBER AND FON

Identify only one funding opportunity per application submission. Choose one of the following:

1. Trash Removal in Great Lakes Communities (EPA-R5-GL2020-TFC)
2. Trash Removal from Great Lakes Rivermouths and Harbors (EPA-R5-GL2020 TFH)

PROJECT TITLE

Please limit to 60 characters. EPA reserves the right to change the project title for its administrative convenience. Applicants who are submitting separate, complementary applications may wish to use an application title with the same first words followed by a hyphen and a unique project title.

APPLICANT INFORMATION

Include applicant (organization) name, address, contact person, phone number, and e-mail address. *Do not include private information.*

TYPE OF ORGANIZATION

Specify, consistent with your SF-424, one of the following:

3. Local Government (includes County, Municipal, Inter-municipal organizations, Township, Special Purpose District and other entities defined as local governments at 2 CFR §200.64);

4. State Agency (includes Interstate);
5. Indian Tribe
6. College and University (includes private and state institutions);
7. Not for Profit/Non-profit
8. Other

PROPOSED FUNDING REQUEST

The total dollar amount requested from EPA-make sure it is within the limits specified for the applicable funding opportunity/FON, or your application will be rejected.

PROJECT DURATION

Provide beginning and ending dates that fall within the 24-month period.

BRIEF PROJECT DESCRIPTION

Summarize the proposed project in **100 words or less** in a clear and succinct manner in PLAIN LANGUAGE, including expected outputs, outcomes and environmental benefits resulting from implementation of the project. Include environmental KEY TERMS that could be used as search terms (*e.g.*, water quality, toxins, mercury, *etc*.). Do not use acronyms. Should the application be selected, and a grant awarded, this description may be posted to the EPA Web. EPA reserves the right to make unilateral changes to conform to posting requirements. See GLRI Projects for examples.

PROJECT LOCATION

Specify a single, representative project location within the Great Lakes basin, including 8- or 12-digit hydrologic unit code (HUC) available from the USGS Water Science Center Great Lakes Region Locate Your Watershed tool. Latitude and longitude (specifying decimal degrees) are available from the Great Lakes Restoration Initiative Coordinate Finder.

Please identify only one representative location within the Great Lakes basin, even if the work will be done at multiple locations or by applicants located outside the Great Lakes basin. Please include the reason for the location you identify if that is not self-evident. In addition to the single best representative location, for projects with multiple locations, specify up to five cities, counties, states, zip codes, and congressional districts where work will be performed. If your project includes more than five locations, select the five that best represent the project.

2. WORK PLAN

The work plan for each proposed project must explicitly describe how the proposed project meets the guidelines established in Sections I-IV (including the information for the applicable funding opportunity in section II. Award Information and the threshold eligibility criteria in section III. Eligibility Information) and must address each of the evaluation criteria set forth in section V. Application Review & Selection. Each Work Plan should be organized in the order and with the headings and information requested below.

PROJECT DESIGN

Describe with specificity the nature of the proposed project including what will be done, by whom, how, and when it will be accomplished. Outline the steps to be taken and the significant milestones to be achieved to complete the proposed project as well as the estimated dates of these achievements, including the submittal of the final report.

State whether or not you expect to need to develop quality system documentation and explain why.

Include in the "Project Design" description:

- A description of the current trash problems at the project site(s), including and a description of how the project's trash removal activities will reduce these problems, including:
    - an estimate of the amount (by area, weight, volume or other appropriate measure) of trash that will be removed;
    - a brief description of the types of trash that will be removed;
    - and a description of how the trash currently impacts or could impact terrestrial or aquatic habitat.
- Funding opportunity-specific information
    - Applications submitted to the "Trash Removal in Great Lakes Communities" category should describe how the strategic use of community cleanups will reduce trash impacts.
        - There is a potential for higher scoring under this criterion, for this funding opportunity, for applicants who demonstrate an efficient and effective plan to use coalitions to broaden the geographic scope of the trash removal activities within the Great Lakes Basin.
    - Applications submitted to the "Trash Removal from Great Lakes Rivermouths and Harbors" category should describe how the strategic purchase and use of devices/machinery will reduce trash impacts and how equipment will continue to be used to reduce trash impacts after the project period has ended.
- Rationale for any prevention activities funded by the project, such as the purchase

and placement of trash receptacles.
- A map that delineates the project boundaries and shows the expected location(s) of cleanup project(s); and
- A description of the how efforts of the applicant will be coordinated with other local/state organizations/agencies to help ensure a successful cleanup.

RESULTS - OUTPUTS AND OUTCOMES

Specify the estimated quantitative and qualitative expected results (outputs and outcomes) of the proposed project, any other measurable outputs and outcomes, and the approach that will be used to track and measure your progress towards achieving the applicable outputs and outcomes. Demonstrate how the project will achieve the desired results. Include acreage, miles, gallons, nutrients, economic impacts, etc. Describe the anticipated accuracy of estimates, including applicable limitations. In addition, provide a timetable or schedule with target dates projected for major tasks, accomplishments and deliverables.

Include a statement of the project's relevance to the Great Lakes, particularly how the results will support:
- GLRI Action Plan III
    - Focus Area 4: Habitats and species
        - Objective 4.1: Protect and restore communities of native aquatic and terrestrial species important to the Great Lakes
- FY 2018-22 EPA Strategic Plan
    - Goal 1: Core Mission
        - Objective 1.2: Provide for Clean and Safe Water

In the "Results" description[17]:
- Outputs should include the total acres improved by on-the-ground and/or in-the-water removal of trash, litter, and debris. Outputs may also include other quantitative assessments of the trash removal activities (i.e., pounds of material collected, number of items collected, number of trash bags of material collected, etc.)
- Outcomes should support GLRI's Action Plan III goal to "protect and restore communities of native aquatic and terrestrial species important to the Great Lakes" by reducing the "impacts of human activities such as trash, litter, and debris".

[17] For more information about results, see section II. Award Information.

PROGRAMMATIC CAPABILITIES AND PAST PERFORMANCE

If you do not have any relevant or available past performance or past reporting information, please indicate this in the application and you will receive a neutral score for this subfactor (a neutral score is half of the total points available in a subset of possible points). **If you do not provide any response for this item, you may receive a score of 0 for this factor.**

Submit a list of federally-funded assistance agreements.[18] The list can include, but is not limited to, previous GLRI awards from **EPA or other federal sources** to fund projects similar in size, scope, and relevance to your proposed project. These agreements should be for projects that your organization has done in the last three years. **EPA agreements are preferable.** For all EPA grants listed, **include the EPA Grant Number**. For EPA GLRI awards, please provide an explanation of and documentation supporting your quarterly rate of expenditure.

Also describe:

- whether, and how, you were able to successfully complete and manage those agreements; and
- 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, provide an explanation; and
    - whether you submitted acceptable final technical reports under the agreements.

Please also provide information about:

- your organizational experience; and
- your plan for successfully achieving the objectives of the proposed project in a timely manner; and
- your staffs' expertise/qualifications, knowledge, and resources that will ensure successful achievement of the project results;
    - or describe how you will obtain these qualifications; and
- supporting documentation (i.e., resumes or curricula vitae for key staff, as defined in section IV. Application & Submission Information).

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[18] Assistance agreements include federal grants and cooperative agreements, but **not federal or other contracts.**

OUTREACH AND EDUCATION

In the description of "Outreach and Education:"

- Provide a description of how the outreach and education activities incorporated into the trash removal projects will result in the reduction of future trash accumulation in the project area.
- Provide a description of how the applicant will enhance the effectiveness and efficiency of the project by engaging with stakeholders in the community, including local, state and tribal environmental managers, communities with environmental justice concerns, academia, and/or other interested groups.
    - Describe the extent to which the project will address the needs and concerns of local communities, including any communities with environmental justice[19] concerns.
- Applicants may specify plans for timely information transfer, including presentations, data and reports for use by local, state and tribal environmental managers, academia and/or other interested stakeholders.
- Applicants may describe how project activities and results will be disseminated to interested stakeholders in the community and the potential of the project for transferability and applicability to other places in accordance with the application review criteria in section V. Application Review & Selection.

3. MEETINGS/CONFERENCES/WORKSHOPS

If you plan to host meetings, conferences or workshops please include information such as: Who is initiating the meeting? How will it be advertised? Whose logo will be on the agenda and materials? What is the percentage distribution of the persons attending (*i.e.*, percent federal government, tribal members, public participants, state, local)? Will you be preparing the proceedings or analysis and disseminate this information back to the

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[19] EPA defines "environmental justice" as the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. Fair Treatment means that no group of people should bear a disproportionate share of the negative environmental consequences resulting from industrial, governmental, and commercial operations or policies. Meaningful Involvement means that: (1) people have an opportunity to participate in decisions about activities that may affect their environment and/or health; (2) the public's contribution can influence the regulatory agency's decision; (3) community concerns will be considered in the decision-making process; and (4) the decision makers will seek out and facilitate the involvement of those potentially affected. In the Agency's implementation of environmental justice, EPA has expanded the concept of fair treatment to include not only the consideration of how burdens are distributed across all populations, but also how benefits are distributed.

appropriate community? Do you anticipate any program income being generated, including registration fees?

4. PERMITS AND ENVIRONMENTAL AND REGULATORY COMPLIANCE.

State whether any permits or approvals will be required for the project and whether you anticipate the need to: a) meet any requirements under the Clean Water Act and/or b) conduct any procedures under section 106 of the National Historic Preservation Act (NHPA) and/or section 7(a)(2) of the Endangered Species Act (ESA). Such requirements and procedures under the Clean Water Act, NHPA, and ESA shall be referred to as "Environmental and Regulatory Compliance." Note that section 106 of the NHPA and implementing regulations at 36 CFR Part 800 require certain consultations in connection with federally-funded activities that have the potential to affect (e.g., that include ground-disturbing activities) historic properties. Section 7(a)(2) of the ESA and implementing regulations at 50 CFR Part 402 require certain consultations in connection with federally-funded actions that may affect federally-listed threatened or endangered species or the designated critical habitat of such species. If procedures under either of these statutes are anticipated, also describe your plan for how those requirements will be addressed. (See section VI. Award Administration for additional information.) Applicants should budget time and resources to comply with requirements pertaining to quality, permits, and approvals.

Please answer the questions to the best of your knowledge. If a question is not applicable to your project, please so indicate and explain why:
1. Will your project have collateral adverse impacts to the surrounding environment *(i.e.* soil [dust], air, water [quality and quantity], animal habitat, etc.)? If so, please explain the impacts and any steps that could be taken to minimize the impacts.

2. Endangered Species: Are you aware of any federally-listed endangered or threatened species or any designated critical habitat of such species in the project area? If so, describe whether your project may affect those listed species. In what way? Please include all possible effects.

3. Are there wetlands inside the project boundaries? If so, please estimate how many acres of wetlands there are, and describe any impact your project will have on the identified wetlands.

4. Historic Property: Are there any known "historic properties" located in your project area or is there a reason to believe there may be such properties in the proposed project area? If so, describe whether your project may affect those properties. In what way? Please include all possible effects. For purposes of the National Historic Preservation Act, a "historic property" is defined as any prehistoric or historic district, site, building, structure, or object included in, or eligible for inclusion on, the National Register of

Historic Places (National Register). See 36 CFR §800.16(l). Generally, historic properties must be 50 years or older; however, this requirement may be waived for exceptional resources less than 50 years old (*e.g.* some Cold War-era assets). Note that properties of religious and cultural significance to Indian tribes may be eligible for inclusion in the National Register (traditional cultural properties). Note also that, among other things, section 106 of the NHPA and its implementing regulations at 36 CFR §800 require delineation of the "area of potential effect," which may be broader than the immediate project area. See 36 CFR §800.16(d). This may result in consideration of potential effects to nearby historic properties that may be directly or indirectly affected by your project even though they are located outside of the immediate project area.[20]

5. Archaeological Sites: Are there any known archaeological sites in the proposed project area or is there a reason to believe there may be archaeological sites in the proposed project area? If so, describe whether your project may affect those sites. In what way? Please include all possible effects. Archaeological sites are included in the definition of Historic Property under the NHPA and applicable implementing regulations.[21]

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[20] Applicants may contact their applicable State or Tribal Historic Preservation Office (SHPO or THPO) for help in this determination and reference the results of that contact in their answer to questions (d) and (e). In addition to maintaining relevant cultural resources surveys, the SHPO or THPO maintains a list of cultural resource professionals who meet the Secretary of the Interior's professional standards.

[21] See previous footnote.

APPENDIX II– BUDGET INFORMATION

The budget section of the workplan must match the budget found in the SF-424A. The budget section must include a detailed description of how EPA funds will be used. **Both** a budget narrative and budget table should be included in the budget section.

1. BUDGET NARRATIVE

The budget information must account for both federal funds and any non-federal funds (*e.g*., any voluntary cost-share/match if applicable). Applicants must precisely describe in their budget narrative how they will account for any voluntary cost-share/match or other non-EPA funds and what role EPA funding will play in the overall project.

If applicable, applicants should include costs for quality system documentation (*i.e.*, quality assurance project plans or quality management plans) and environmental and regulatory compliance (*e.g.*, costs for assisting EPA with compliance by conducting surveys and analysis to identify whether protected resources are in the project location and, if so, whether there will be any effects; costs associated with potential mitigation measures; *etc.*). Applicants that do not include such costs may have to fund these and other overlooked costs out of their own funds.

Describe how the funds will be used, and why the costs are necessary to achieve the project objectives. List each item in sufficient detail for EPA to determine the reasonableness and allowability of its cost. **Only use whole dollar amounts and itemize** costs for each object class category:

Object Class Categories

- Personnel
- Fringe benefits
- Travel
- Equipment
- Supplies,
- Contractual costs
- Other direct costs
- Indirect costs; and
- Total costs

PERSONNEL

List all staff positions by title. Give annual salary, percentage of time assigned to the

project, and total cost for the budget period. This category includes only direct costs for the salaries of those individuals who will perform work directly for the project (generally, paid employees of the applicant organization). If the applicant organization is including staff time (in-kind services) as a cost share, this should be included as Personnel costs.

The budget detail must identify the personnel category type by (1) Full Time Equivalent (FTE), including percentage of FTE for part-time employees, (2) number of personnel proposed for each category, and (3) the estimated funding amounts.

Personnel costs do not include:

- Costs for services of consultants, contractors, consortia members, or other partner organizations, which are included in the "Contractual" category;
- Costs for employees of subrecipients under subawards, which are included in the "Other" category; or
- Any effort that is not directly in support of the proposed project, which may be covered by the organization's negotiated indirect cost rate.

FRINGE BENEFITS

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

TRAVEL

Specify the mileage, per diem, estimated number of trips in-State and out-of-State and international (include specific international locations), number of travelers, and other costs for each type of travel. Travel may be integral to the purpose of the proposed project (*e.g.*, inspections) or related to proposed project activities (*e.g.*, attendance at meetings).

Travel costs do not include:

- Costs for travel of consultants, contractors, consortia members, or other partner organizations, which are included in the "Contractual" category;
- Travel costs for employees of subrecipients under subawards, which are included in the "Other" category.

EQUIPMENT

The budget detail must include an itemized listing of all equipment proposed under the

project. Equipment includes any items that cost $5,000 or more (per unit) and have a useful life of more than one year. Equipment also includes accessories necessary to make the equipment operational.

Equipment costs do not include:

- Items with a unit cost of less than $5,000.[22]
- Equipment planned to be leased/rented, including lease/purchase agreement; or equipment service or maintenance contracts. These types of proposed costs should be included in the "Other" category.

SUPPLIES

Supplies are all tangible personal property other than equipment. The budget detail should identify categories of supplies to be procured (*e.g.*, laboratory supplies or office supplies).

Supplies do not include:

- Non-tangible goods and services associated with supplies, such as printing service, photocopy services, and rental costs. These should be included in the "Other" category.

CONTRACTUAL

Identify each proposed contract and specify its purpose and estimated cost. Contractual/consultant services are those services to be carried out by an individual or organization, other than the applicant, in the form of a procurement relationship. The applicant should list the proposed contract activities along with a brief description of the scope of work or services to be provided, proposed duration, and proposed procurement method (competitive or noncompetitive), if known.

Contractual costs do not include:

- Leased or rented goods (equipment or supplies). These costs should be included in the "Other" category.

See the Procurement Standards in 2 CFR §200.317-326 for more information.

OTHER

This category should include only those types of direct costs that do not fit in any of the

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[22] These items should be categorized as supplies, pursuant to 2 CFR § 200.33.

other budget categories. Examples of costs that may be in this category are: insurance, rental/lease of equipment or supplies, equipment service or maintenance contracts, printing or photocopying, rebates, and subaward costs.

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

INDIRECT CHARGES

If indirect charges are budgeted, indicate the approved rate and base. Indirect costs are incurred by the grantee for a common or joint purpose and benefit more than one cost objective or project. Indirect costs are not readily assignable to specific cost objectives or projects as a direct cost.

In order for indirect costs to be allowable, the applicant must have a federal or state negotiated indirect cost rate (*e.g.*, fixed, predetermined, final or provisional), or must have submitted a proposal to the cognizant federal or state agency.

Examples of Indirect Cost Rate calculations are shown below:

- Personnel (Indirect Rate x Personnel = Indirect Costs)
- Personnel and Fringe (Indirect Rate x Personnel & Fringe = Indirect Costs)
- Total Direct Costs (Indirect Rate x Total direct costs = Indirect Costs)
- Direct Costs minus distorting or other factors such as contracts and equipment (Indirect Rate x (total direct cost – distorting factors) = Indirect Costs)

2. EXAMPLE BUDGET TABLE

Object Class Category	EPA Funding	Cost-Share
TOTAL PERSONNEL	$244,000	$20,800
Project Manager @ $40/hr x 10 hrs/week x 52 wks		$20,800
Project Staff @ $30/hr x 40 hrs/week x 40 wks	$244,000	
TOTAL FRINGE BENEFITS	$48,800	$4,160
15% of Salary and Wages	$36,600	$3,120

Retirement, Health Benefits, FICA, SUI	$12,200	$1,040
TOTAL TRAVEL	$610,300	$0
In State travel for Project Manager and staff: 500 mi/mo @ $0.55/mi x 12 mos.	$3,300	
Out of State Travel for Project Staff Members: 20 trips per month x $1,250 per trip x 2 years	$600,000	
Meeting Travel for Project Manager: 2 trips/year x $3,500 each x 2 years	$14,000	
TOTAL EQUIPMENT	81,100	$0
Transducer, coupling, and software package	$25,700	
Electrofishing boom shocker (2 x $7,500each)	$15,000	
1 Project Vehicle	$25,000	
1 Project Boat	$15,400	
TOTAL SUPPLIES	$2,900	$0
Office and related supplies to support training	$400	
Office computer and printer	$2,500	
TOTAL CONTRACTUAL	$166,400	$0
ABC Support Services Contract	$10,000	
XYZ Land & Water Conservation	$156,400	
TOTAL OTHER	$409,600	$0
Subaward agreement ABCD to implement trash removal activities	$399,600	
Equipment Insurance	$10,000	
TOTAL INDIRECT	$26,480	$0
Federal Negotiated Indirect Cost Rate = 10% (Indirect Rate x Personnel = Indirect Costs; as negotiated)	$26,480	
TOTAL FUNDING	$1,589,580	$24,960
TOTAL PROJECT COST	$1,614,540	

3. BUDGET REQUIREMENTS

RESTRICTIONS ON USE OF FEDERAL FUNDS

All costs incurred under this program must be allowable under 2 CFR Part 200 Subpart E. In accordance with applicable law, regulation, and policy, any recipient of funding must agree to comply with restrictions on using assistance funds for unauthorized lobbying, fund-raising, or political activities (i.e., lobbying members of Congress or lobbying for other federal grants, cooperative agreements, or contracts). See e.g. 2 CFR §200.450.

Funds generally cannot be used to pay for travel by federal agency staff. Proposed project activities must also comply with all state and federal regulations applicable to the project area. The applicant must also review the solicitation for any other programmatic funding restrictions applicable to this program.

If awarded funding, the recipient must refer to the terms and conditions of its award for other funding restrictions applicable to its award. It is the responsibility of the recipient to ensure compliance with these requirements.

PRE-AWARD COSTS

In accordance with 2 CFR §200.458, pre-award costs are allowable only to the extent that they would have been allowable if incurred after the date of the Federal award. **EPA does not guarantee the payment of pre-award costs.** Applicants incur pre-award costs at their own risk and EPA is under no obligation to reimburse applicants for preaward costs.

Under certain circumstances, the applicant may be reimbursed for eligible, allowable, allocable, and reasonable costs that are incurred up to 90 days before grant award without prior EPA approval if:

1. The applicant includes the pre-award costs in its proposal and the workplan negotiated with EPA;
2. EPA agrees that the costs are eligible and allowable when the Agency approves the scope of work for the grant; and
3. Any procurement contracts that are funded with pre-award costs comply with the competitive procurement requirements within the grant.

Please note an applicant **must obtain prior EPA approval from the Award Official to incur pre-award costs more than 90 days before award**. Applicants selected for award will need to discuss any pre-award costs incurred greater than 90 days before award with their EPA Project Officer to discuss the process for getting these costs approved.

EXPEDITIOUS SPENDING AND SUFFICIENT PROGRESS IN THE USE OF GLRI FUNDS

As part of the detailed budget narrative, applicants should explain their approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner. Include expenditure projections (quarterly fiscal projections and important milestones) for the duration of the project.

COST SHARE

Any voluntary cost-share funds, while not required under this RFA, must also be included in the SF-424A. Please identify the source of the cost share in your budget narrative; federal funds **cannot** be used for cost share.

If the project budget includes any voluntary cost share, include a detailed description of how you will obtain the cost-share and how the cost-share funding will be used. If EPA accepts an offer for a voluntary cost-share, applicants must meet their sharing commitment as a legal condition of receiving EPA funding. A letter of commitment is required if the proposed cost-share is to be provided by a third-party. Any form of cost-share included in the Budget Detail must also be included on the SF-424 and SF-424A.[23]

MANAGEMENT FEES

The rules for including management fees and similar charges can be found at EPA Solicitation Clauses.

[23] See also 2 CFR §200.306 for more information about cost sharing or matching.