

# OVERVIEW INFORMATION

**U.S. Environmental Protection Agency**  
**Office of Science Advisor, Policy and Engagement**  
**Office of Research and Development**  
*Science to Achieve Results (STAR) Program*

## **AIR QUALITY INFORMATION: MAKING SENSE OF AIR POLLUTION DATA TO INFORM DECISIONS IN UNDERSERVED COMMUNITIES OVERBURDENED BY AIR POLLUTION EXPOSURES**

This is the initial announcement of this funding opportunity.

**Funding Opportunity Number:** EPA-G2024-STAR-D1

**Assistance Listing Number:** 66.509

Solicitation Opening Date: *April 8, 2024*

Solicitation Closing Date: *June 26, 2024: 11:59:59 pm Eastern Time*

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**I. FUNDING OPPORTUNITY DESCRIPTION**

For Updates and Additional Information see [EPA Research Funding Opportunities](#).  
View research awarded under previous solicitations at [EPA Research Grant Areas](#).

**A. Introduction**

The U.S. Environmental Protection Agency (EPA) Office of Research and Development (ORD), as part of the Science to Achieve Results (STAR) program and in collaboration with the Air, Climate, and Energy (ACE) research program, is seeking applications proposing community-engaged research in underserved communities to advance the use of air pollution data and communication of air quality information for empowering local decisions and actions that address community-identified air pollution concerns. Specifically, this funding opportunity is soliciting research projects that involve substantial engagement with communities, community-based organizations, and/or Tribes to address both of the following priorities:

- methods and tools for data integration and analysis to characterize community exposures to air pollution in underserved communities
- effective communication of air quality information to communities and decision makers to support actions to address air pollution concerns in underserved communities

This research solicitation supports the Administration's priorities to address environmental justice (EJ), such as described in the following Executive Orders:

- Executive Order 13985: [Advancing Racial Equity and Support for Underserved Communities Through the Federal Government](#)
- Executive Order 14008: [Tackling the Climate Crisis at Home and Abroad](#)
- Executive Order 14091: [Further Advancing Racial Equity and Support for Underserved Communities Through the Federal Government](#)

- Executive Order 14096: [Revitalizing Our Nation's Commitment to Environmental Justice for All](#)

In supporting the Administration's priorities on advancing environmental justice, the focus of this research solicitation is on underserved communities that are overburdened by air pollution, where "underserved communities" is defined in Executive Order 13985: [Advancing Racial Equity and Support for Underserved Communities Through the Federal Government](#).

Accordingly, for purposes of this funding opportunity, underserved communities are "populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate equitably in aspects of economic, social, and civic life...." 'Equity' means the consistent and systematic fair, just, and impartial treatment of all individuals, including those who belong to underserved communities.

Underserved communities may include people/communities of color, low income communities, Tribal and indigenous populations, and other vulnerable populations that may be disproportionately impacted by environmental harms and risks. Underserved communities have experienced a lack of resources or other impediments to addressing the impacts identified below that affect their community.

Environmental justice (EJ) is an integral part of EPA's mission to protect human health and the environment. EJ is possible when all people are fully protected from environmental and health hazards and have equitable access to decision-making processes to maintain a healthy environment in which to live, learn, and work. The EPA defines EJ as the fair treatment and meaningful involvement of all people regardless of race, color, national origin, income, Tribal affiliation or disability, with respect to the development, implementation and enforcement of environmental laws, regulations, and policies. Fair treatment means 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 people have an opportunity to participate in decisions about activities that may affect their environment and/or health; the public's contribution can influence the regulatory agency's decision; community concerns will be considered in the decision-making process; and decision makers will seek out and facilitate the involvement of those potentially affected. In addition, EPA recognizes federally recognized Tribes as sovereign governments with a right to self-determination and acknowledges the federal government's trust responsibility to Tribes.

The Science to Achieve Results (STAR) Program's goal is to stimulate and support scientific and engineering research that advances EPA's mission to protect human health and the environment. It is a competitive, peer-reviewed, extramural research program that provides access to the nation's best scientists and engineers in academic and other nonprofit research institutions. STAR funds research on the environmental and public health effects of air quality, environmental changes, water quality and quantity, hazardous waste, toxic substances, and pesticides.

The EPA anticipates funding approximately 8 awards under this funding opportunity up to \$1.250 million per award.

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. EPA also 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. Because minority serving institutions (MSIs) have graduated 30% of the nation's STEM professionals and have a large percentage of their student bodies enrolled in STEM courses of study (National Academies of Sciences, Engineering, and Medicine. 2019), applications from and partnerships with these institutions can result in scientific advances that are beneficial to EPA's mission. Additionally, MSIs have unique relationships with communities and are well positioned to carry out the community engagement activities required in this funding opportunity. For these reasons, EPA strongly encourages all eligible applicants identified in Section III, including minority serving institutions (MSIs), to apply under this opportunity.

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

1. Historically Black Colleges and Universities, as defined by the Higher Education Act (20 U.S.C. § 1061(2)). A list of these schools can be found at [Historically Black Colleges and Universities](#);
2. Tribal Colleges and Universities (TCUs), as defined by the Higher Education Act (20 U.S.C. § 1059c(b)(3) and (d)(1)). A list of these schools can be found at [Tribal College or University](#);
3. Hispanic-Serving Institutions (HSIs), as defined by the Higher Education Act (20 U.S.C. § 1101a(a)(5)). A list of these schools can be found at [Hispanic-Serving Institutions](#);
4. Asian American and Native American Pacific Islander-Serving Institutions; (AANAPISIs), as defined by the Higher Education Act (20 U.S.C. § 1059g(b)(2)). A list of these schools can be found at [Asian American and Native American Pacific Islander-Serving Institutions](#);
5. Predominately Black Institutions (PBIs), as defined by the Higher Education Act (20 U.S.C. 1059e(b)(6)). A list of these schools can be found at [Predominately Black Institutions](#);
6. Native American-Serving Non-Tribal Institutions (NASNTIs), as defined by the Higher Education Act (20 U.S.C § 1059f(b)(2)). A list of these schools can be found at [Native American-Serving Non-Tribal Institutions](#); and

7. Alaska Native and Native Hawaiian-Serving Institutions (AANHs), as defined by the Higher Education Act (20 U.S.C § 1059d(b)(2) and (b)(4)). A list of these schools can be found at [Alaska Native and Native Hawaiian-Serving Institutions](#).

## **B. Background, Goals, and Objectives**

The growing use of commercially available air sensors is rapidly changing the current paradigm of air quality monitoring. Enabled by the sensors' relative affordability and ease-of-use, the number of individuals installing air sensors in or near their homes has significantly increased in recent years. Many communities have used air sensors to conduct local air monitoring in order to build knowledge about local air quality conditions and potentially initiate efforts to improve air quality, reduce exposures, or mitigate air pollutant health effects. Across the U.S., air monitoring coverage is being improved and expanded by the [Enhanced Air Monitoring for Communities](#) grant program from the American Rescue Plan and Inflation Reduction Act, as well as other funding sources to address air pollution concerns in communities, including in communities that are underserved, historically marginalized, and overburdened by pollution. EPA's newly launched [Environmental and Climate Justice Program](#) and [Community Change Grants Program](#) are expected to support additional community air monitoring efforts. In addition, the U.S. Forest Service installs temporary monitors and sensors to measure smoke during prescribed burning and wildfires (<https://wrcc.dri.edu/cgi-bin/smoke.pl>), and EPA has several sensor loan programs to enable communities to learn about air quality in their communities (<https://www.epa.gov/air-sensor-toolbox/air-sensor-loan-programs>; <https://www.epa.gov/air-sensor-toolbox/wildfire-smoke-air-monitoring-response-technology-wsmart-pilot>). By greatly expanding the temporal and spatial coverage of air quality data from long-term fixed networks (<https://www.epa.gov/outdoor-air-quality-data>), air sensors can provide information on air pollutant concentrations and disparities on neighborhood scales and in areas with sparse monitoring sites, potentially providing valuable information to improve public health.

In parallel with the proliferation of air sensors, new satellite-based data are providing air pollution information at unprecedented spatial and temporal resolutions. [TEMPO](#) (Tropospheric Emissions: Monitoring Pollution), launched into space in April 2023, is the first space-based instrument to monitor major air pollutants across the North American continent every daylight hour at the neighborhood scale (Naeger et al., 2021). The unprecedented spatial and temporal resolution will provide observations of air quality changes over the course of the daylight hours, and the data may be useful for understanding disparities in air pollution exposures.

Despite the immense increase in local-scale data, important challenges remain in harnessing the data into information that can be used to inform decision-making and actions that effectively address the needs of underserved communities. Expanded observational data have different spatial and temporal coverages and are nonuniform over the span of air pollutants that may be of concern to underserved communities. For example, public air sensors predominantly report surface fine particulate matter (PM<sub>2.5</sub>) concentrations while the satellite-based TEMPO provides information about the amounts of PM and certain gases (e.g., ozone, NO<sub>2</sub>) in a vertical atmospheric column. Also, sensor data quality may vary by technology type, be influenced by

environmental conditions (e.g., temperature and humidity), and change over time. Challenges to harness new observational data include: understanding the uses and limitations of available observational data and models that could be used to evaluate community air pollution concerns; developing strategies to share, access, analyze, and interpret the data; and translating the results into information that can be understood and used by community members as well as policy- and decision-makers. Social and behavioral factors also present challenges, such as building and maintaining trust between communities and other stakeholders around interpretation and evaluation of sensor data when there are discrepancies between data from sensors and regulatory monitors (Hubbell et al., 2018; Shatas and Hubbell, 2022).

Exposure to poor air quality has been found to cause a variety of short and long-term health effects, especially for older adults, children, pregnant women, and individuals with underlying health conditions. There is extensive evidence that underserved communities, especially minority and low-income communities, are disproportionately burdened from exposures to air pollution and other environmental hazards. For example, a growing body of literature has shown a link between historical redlining practices and present-day disproportionate exposures to ambient air pollution (e.g., Cushing et al., 2023; Lane et al., 2022). Residents of low-income neighborhoods and communities may be more vulnerable to air pollution because of proximity to air pollution sources, such as industrial facilities, major roadways, and ports with diesel truck operations. They also may be more susceptible to air pollution because of social and economic factors.

Achieving consequential and sustainable environmental and public health improvements in communities requires strategies that focus on the end user of the research, integrate communities' experience and expertise, and build community capacity that lasts beyond the lifetime of the projects. Community residents are uniquely positioned to describe the local exposures they experience; and they can play significant roles in raising awareness and in planning, advocating for, and implementing the strategies to reduce pollution and mitigate adverse impacts. Incorporating community voices and lived experiences is essential for ensuring that the research is conducted in a just, inclusive, and culturally and ethically responsible manner. It also helps to ensure that the research process is attentive to the specific context and challenges of the study communities, such as history of prior efforts that could contribute to mistrust and research fatigue; the power dynamics between the communities and researchers, and between polluted communities, polluters, and regulators; and resource constraints. Therefore, research that engages the impacted communities and/or Tribes throughout the research process – from defining the research questions and objectives to co-production, translation, and dissemination of tools and knowledge, such as by partnering with local community groups, environmental organizations, public health and environmental agencies, local or Tribal governments, and Tribal consortia – should enhance scientific research pertinent to providing insights and developing analysis and tools needed to inform environmental decision-making. Indeed, community participatory research has been shown to improve research quality and community understanding of health risks and behaviors (Davis and Ramírez-Andreote, 2021 and references therein), including in the context of air pollution control and exposures (Moses 2022; Ward et al., 2022).

Davis and Ramírez-Andreotte (2021) conducted a critical interpretive synthesis of participatory research for EJ. While noting the benefits of participatory research as mentioned above, the authors noted that success is limited with respect to effectively addressing structural causes of health risks in communities with EJ concerns. Davis and Ramírez-Andreotte (2021) defined structural change as “affecting macro- or meso-level determinants of health (Wilson, 2009), such as zoning policy, economic policy, political power, built environment, public service provision, or environmental policy enforcement.” They described key features of participatory research that increase the likelihood of contributing to structural changes that benefit communities with EJ concerns: a) community members hold formal leadership roles; b) project design includes decision makers and policy goals; and c) partnerships are designed to continue over the long term through multiple funding mechanisms.

For the reasons described above, this solicitation seeks research that involves meaningful engagement with community members, community-based organizations, and/or Tribes. Additional information about the community engagement plan is given below, under “Specific Research Areas of Interest” (Section I.E), in the instructions for the “Community Engagement Plan” (Section IV.C.5.iii.e), and in the Peer Review criteria (Section V.A.5).

### **C. Authority and Regulations**

The authority for this funding opportunity and resulting awards is contained in the Clean Air Act, 42 U.S.C. 7403, Section 103(b)(3).

For research with an international aspect, the above statutes are supplemented, as appropriate, by the National Environmental Policy Act, Section 102(2)(I).

Note that a project’s focus is to consist of activities within the statutory terms of EPA’s financial assistance authorities; specifically, the statute(s) listed above. Generally, a project must address the causes, effects, extent, prevention, reduction, and elimination of air pollution, water pollution, solid/hazardous waste pollution, toxic substances control, or pesticide control depending on which statute(s) is listed above.

Additional applicable regulations include: 2 CFR Part 200, 2 CFR Part 1500, and 40 CFR Part 40 (Research and Demonstration Grants).

### **D. EPA Strategic Plan Linkage/Expected Outputs and Outcomes**

*Note to applicant: The term “output” means an environmental activity, effort, and/or associated work products related to an environmental goal or objective, that will be produced or provided over a period of time or by a specified date. The term “outcome” means the result, effect, or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective.*

The activities to be funded under this solicitation support [EPA's FY 2022-2026 Strategic Plan](#). Awards made under this solicitation will support Goal 4: Ensure Clean and Healthy Air for All Communities, Objective 4.1: Improve Air Quality and Reduce Localized Pollution and Health Impacts, of the Plan. All applications should be for projects that support the goal(s) and objective(s) identified above. The proposed research awards support the STAR Program's goal of stimulating and supporting scientific and engineering research that advances EPA's mission to protect human health and the environment in the area of air quality by supporting the use of data to inform decisions and actions by state, Tribal, and local programs and communities to improve air quality and reduce exposure to air pollutants.

EPA also requires that grant applicants adequately describe environmental outputs and outcomes to be achieved under assistance agreements (see [EPA Order 5700.7A1, Environmental Results under Assistance Agreements](#)). Applicants should include specific statements describing the environmental results of the proposed project in terms of well-defined outputs and, to the maximum extent practicable, well-defined outcomes that will demonstrate how the project will contribute to the goal(s) and objective(s) described above.

### **Expected Outputs and Outcomes**

The overarching goal is to give underserved communities science-based information, tools and approaches to utilize air and related environmental data to engage with decision-makers and take actions to address community-identified air pollution concerns associated with criteria air pollutants or hazardous air pollutants. The projects funded under this solicitation should provide the communities engaged in the projects with science-based information, tools and approaches to address their needs (see below for the community engagement plan requirement) as well as developing insights and tools that can be generalized and applied, respectively, to other communities. Specific outcomes that support the overarching goal may include, but are not limited to:

- Advances in methods and tools for integrating multiple streams of data, e.g., air sensor and other ground-level observations, satellite, modeling, and meteorological data to address air quality concerns in underserved communities, such as:
  - Characterizing spatiotemporal patterns of pollutant concentrations
  - Identifying emission sources contributing to poor air quality
  - Providing evidence of exposure to and health impacts from specific air pollution sources
  - Developing and evaluating actions for improving air quality or reducing air pollution exposures
  - Forecasting air quality conditions
- Improved capability to integrate future data streams, as technologies evolve and new measurements become available, to achieve the above outcomes
- Enabling more exposure and health disparities research by maximizing the use of available air quality, environmental, and other relevant data



- Advances in approaches for creating data sharing frameworks, data standards, and analytical tools for harnessing air quality data to inform decision-making
- New social and behavioral insights on how introduction of air sensor data might empower communities to take actions and on how community monitoring efforts might be sustained
- New insights on how continuous provision of air quality information might be used to reduce air pollution exposures
- Advances in effective communication of air quality information tailored to the needs of underserved communities
- Advances in effective communication of air quality information tailored to help underserved communities have dialogues about community air quality with state, local, Tribal, or other air quality managers

Expected outputs should include reports, presentations, and peer-reviewed journal publications documenting the scientific basis of the outcomes and other outputs of the research. Other outputs may include, but are not limited to:

- Free and open-source analysis tools, with how-to training available for non-experts, that can be readily utilized by community members to characterize spatiotemporal distributions of air pollutant concentrations and to identify sources of air pollution exposures
- Free and open-source data visualization tools for communicating technical (including, e.g., probabilistic) information on air quality to general audiences
- Free and open-source tools and resources for sharing air monitoring data and associated metadata
- Communication or educational materials that translate research findings into appropriate information for affected populations or communities, public health and environmental professionals, Tribes, decision makers, and the public
- Reports on science-based strategies to reduce disparities in air pollution exposures, developed with community input that can be used for communication to policy makers
- Reports on the value and challenges of the lower-cost air monitoring data to address community air quality concerns
- Community action plans to reduce air pollution exposures in project communities
- Reports that document lessons learned and best practices for engagement and co-production of knowledge with communities, community-based organizations, and/or Tribes

## **E. Specific Research Areas of Interest**

The Agency is soliciting community-engaged research supporting underserved communities to advance the use of air pollution data and communication of air quality information for empowering local decisions and actions to address community-identified air pollution concerns. Particularly of interest is participatory research that aims to inform structural changes, as discussed in Section I.B., that improve air quality in underserved communities overburdened by

air pollution. Air pollutants being addressed could be criteria air pollutants or hazardous air pollutants.

Applicants are strongly encouraged to approach the research areas from a multi-disciplinary perspective, including a focus on or integration of social sciences. While the proposed research may focus on specific location(s) and community organization(s) and thus produce tools that are customized to specific needs of those locations and organizations, the research, to the extent possible, should also address needs that might be universal across communities and develop insights and tools that can be generalized and applied, respectively, to other communities in the United States.

Note that this solicitation is intended to support research that utilizes data from existing community air monitoring efforts and/or satellite data; additional field measurements campaigns and deployment of air sensors are allowed provided that the activities address one or both of the research areas identified below.

Applications should address both research areas described below. Applications that do not address both research areas may not be rated as highly under the evaluation process described in Section V as those that do. Within each research area, applicants should propose work on one or more of the research topics listed under the research areas.

### **Research Area 1: Methods and Tools for Data Integration and Analysis**

This research area seeks to advance methods and tools that integrate data to inform community exposures to air pollution in underserved communities. Here, integration includes the process of how data are quality assured, harmonized, aggregated, and shared with potential users. Projects should strive to develop methods and tools that can be readily utilized by community members to independently combine and analyze data from multiple sources to address their concerns without requiring detailed knowledge of the underlying analysis tools. These methods and tools should incorporate the performance (accuracy, precision, etc.) of the underlying measurement techniques and be adaptable to inclusion of future data streams (e.g., from networks of new sensors).

Applications should address one or more of the following topics:

- How can multiple forms of air quality data that have varying amounts of information, quality, and spatiotemporal coverage – including air sensor data, data from permanent and temporary monitoring networks, satellite-based observations, mobile monitoring, and modeling results – be integrated to inform actions to address air pollution concerns of underserved communities?
- How can multiple streams of data be combined to quantify disparities in underserved communities and help in developing strategies to reduce the disparities?
- How can multiple streams of data be used to evaluate the effectiveness of strategies aimed to improve air quality or reduce exposures?

- How can air sensor and related data be incorporated with community-based information and local knowledge to provide new information about the spatiotemporal patterns and sources of air pollution and enhance understanding of local air pollution issues?
- For areas with sparse ground-level monitoring for pollutants of interest, how can satellite-based data and/or modeling be combined with existing monitoring data to address community air pollution concerns? In addition, where and for what pollutants are additional ground-level monitoring data needed to have higher confidence in information used to address air pollution concerns of underserved communities?
- How can air sensor and satellite data be used to improve near-real time and forecast air quality conditions that relate to specific concerns of underserved communities?
- How can access to the data and analysis tools be improved for interested communities to learn about their local air quality conditions? How can data sharing and platforms for shared analysis be improved/developed to increase capacity for interpretation and evaluation of sensor data across communities?

## **Research Area 2: Communicating to Communities and Decision Makers**

This research area seeks research on effectively using air quality information derived from multiple streams to address air pollution concerns in underserved communities.

Applications should address one or more of the following topics:

- How can air pollution and related data enhance local knowledge and lived experience to inform decision making or policies that effect structural changes to reduce disparities in air pollution exposures and/or mitigate air pollution health effects?
- What communication approaches are effective at meeting the different needs of the communities? What approaches are effective in helping the community members analyze, interpret, and understand their air quality, and what approaches are effective in helping community members discuss air pollution concerns with state, local, Tribal, and/or other air quality managers? What are the challenges and barriers, and how can these be overcome?
- What types of data products and modes of communication maximize the value of air quality data in increasing awareness and understanding of air pollution issues?
- How can community participation in the research be improved to increase usability of air pollution data?
- How can air quality information be translated to foster collaboration between community members, decision makers, and other stakeholders?
- What forms of media or modes of communication are most effective at communicating air quality information and health risks before, during the time of, or following accidents, disasters, or other events that cause air pollution episodes?

## **Environmental Justice**

To the maximum extent practicable, applicants should demonstrate in their application how they will advance environmental justice for underserved communities, as defined below.

Environmental justice (EJ) is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, income, Tribal affiliation or disability, with respect to the development, implementation and enforcement of environmental laws, regulations, and policies. Fair treatment means no group of people should bear a disproportionate share of the adverse environmental consequences resulting from industrial, governmental, and commercial operations or policies. Meaningful involvement means people have an opportunity to participate in decisions about activities that may affect their environment and/or health; the public's contribution can influence the regulatory agency's decision; community concerns will be considered in the decision-making process; and decision makers will seek out and facilitate the involvement of those potentially affected. For purposes of this competition and the evaluation of applications, “underserved communities” refers to populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate equitably in aspects of economic, social, and civic life. ‘Equity’ means the consistent and systematic fair, just, and impartial treatment of all individuals, including those who belong to underserved communities. Underserved communities may include people/communities of color, low income communities, Tribal and indigenous populations, and other vulnerable populations that may be disproportionately impacted by environmental harms and risks. Underserved communities have experienced a lack of resources or other impediments to addressing the impacts identified below that affect their community.

Disproportionate and adverse environmental, human health, climate-related and other cumulative impacts, as well the accompanying economic challenges of such impacts, may result when greater pollution burdens and/or consequences, and the impact of them, are more likely to affect or have affected the underserved communities described in this solicitation. The impacts may result from various factors including but not limited to being a function of historical trends and policy decisions.

Factors that may indicate disproportionate and adverse impacts as referenced above include: differential proximity and exposure to adverse environmental hazards; greater susceptibility to adverse effects from environmental hazards (due to causes such as age, chronic medical conditions, lack of health care access, or limited access to quality nutrition); unique environmental exposures because of practices linked to cultural background or socioeconomic status (for example, subsistence fishing or farming); cumulative effects from multiple stressors; reduced ability to effectively participate in decision-making processes (due to causes such as lack of or ineffective language access programs, lack of programs to make processes accessible to persons with disabilities, inability to access traditional communication channels, or limited capacity to access technical and legal resources); and degraded physical infrastructure, such as poor housing, poorly maintained public buildings (e.g., schools), or lack of access to transportation.

In addressing the research areas described above in applications, applicants should demonstrate how their project will address the disproportionate and adverse human health, environmental, climate-related and other cumulative impacts, as well as the accompanying economic challenges of such impacts, resulting from industrial, governmental, commercial and/or other actions that have affected and/or currently affect the underserved communities. Applicants should also demonstrate how the project benefits the underserved communities including those that have experienced a lack of resources or other impediments to addressing the impacts identified above that affect their community.

### **Community Engagement Plan**

A community engagement plan is required. See Section IV.C.5.iii.e. Researchers should involve underserved community(ies) or appropriate community-based organizations (see definition below) in the formulation of research objectives and in clarifying their real-world exposures and/or health effects. Researchers are strongly encouraged to partner with underserved community(ies). Applications should, at minimum: a) describe how applicants will work in partnership with appropriate partners to represent relevant community interests (e.g., MSIs, states, Tribes, academia, industry groups, non-profit organizations, associations, and local communities/community-based organizations) and effectively design and implement the proposed project; b) describe how the project will, to the extent possible, coordinate with and/or complement other projects or activities being performed by others that will result in a greater combined positive impact; and c) demonstrate how the proposed project will address the needs and concerns of underserved communities, including how community-based organizations (as defined below) and/or other appropriate parties will be engaged to enhance the project's effectiveness and/or efficiency.

For the purpose of this announcement, a "community-based organization" generally means a nongovernmental organization that has demonstrated effectiveness as a representative of a specific community or a significant segment of a community and that helps members of that community obtain environmental, educational, or other social services. A community-based organization must be a nonprofit or not for profit corporation in good standing under State or Tribal law with authority to enter into binding legal agreements. The community-based organization need not be tax exempt under the Internal Revenue Code but may use documentation of tax-exempt status to demonstrate that it is a nonprofit.

Applicants may utilize a Community Engagement Research (CEnR) framework, defined as a collaborative process of research involving researchers and community representatives, to meet this Community Engagement Plan requirement. The CEnR process of scientific inquiry requires that community members or other key community stakeholders be included in the identification of research problems and objectives and in the formulation of community-driven solutions. Although a range of levels of community involvement can be considered CEnR, CEnR is characterized by substantial community input and involvement in the project. The applicant will need to justify the approach to community involvement that is proposed in the application. While not required, each applicant is encouraged to form a CEnR framework to meet the requirement

for community involvement in the project that may include relevant community leaders and a committee or an advisory group.

The Community Engagement Plan should:

- Clearly define the community of focus for this project and explain why the community partner(s) are an appropriate set of collaborators for the proposed work.
- Describe the type of collaboration/engagement proposed and what role it will play in the overall project, including the degree of partner/community input or engagement in the conceptualization, hypothesis/question development, design, methods, analyses and implementation of the research. This includes describing how the project addresses engagement with underserved communities, especially local residents in these communities who will be affected by the project, to ensure their meaningful involvement with respect to the design, project planning, and performance of the project.
- Describe how the collaboration/engagement will enhance the overall impact of the project such that the project results are applicable and useable by impacted communities and address the needs and concerns of underserved communities. This includes the capacity of the project to more effectively communicate risk and translate scientific results into easily understandable outreach and educational materials. This should also include description of how the project will help build capacity for impacted communities and/or community-based organizations to address their needs and concerns related to the research areas described in Section I.E (Specific Research Areas of Interest) beyond the lifetime of the project.
- Describe how activities of the project will be coordinated with related or complementary projects and studies.
- Describe how the collaboration/engagement will materialize during project performance. Describe the partner(s)' intent to participate in the proposed research including evidence of community support of an active partnership with a community engagement research committee, a community-based organization or advisory group members (e.g., letter(s) of intent or support from MSIs, community leaders, state or local government agencies, non-government organizations, public health professionals, community emergency planners or responders, social workers, child serving organizations, assisted living and nursing homes, utility managers, site managers or operators, decision makers, policy planners, and/or other relevant organizations). Any letters demonstrating evidence of collaboration and support should be included as part of section IV.C.5.viii.a. Letters of Intent/Letters of Support.

Applicants that do not plan on collaborating/engaging with other groups in project performance must still include a community engagement plan in their application describing how they will be able to effectively perform and complete the project without such collaboration.

## F. References

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## G. Special Requirements

It is EPA Policy to ensure that the results of EPA-funded extramural scientific research are accessible to the public to the greatest extent feasible consistent with applicable law; policies and Orders; the Agency's mission; resource constraints; and U.S. national, homeland and economic security. This entails maximizing, at no charge, access by the public to peer-reviewed, scientific research journal publications or associated author manuscripts, and their underlying digital research data, created in whole or in part with EPA funds, while protecting personal privacy; recognizing proprietary interests, confidential business information, and intellectual property rights; and avoiding significant negative impact on intellectual property rights, innovation, and U.S. competitiveness.

Applications submitted under this announcement should include a Scientific Data Management Plan (SDMP) that addresses public access to EPA-funded scientific research data. See the SDMP clause in Section IV for details on the content of an SDMP. Applicants will also be asked to provide past performance information on whether journal publications or associated author manuscripts, and the associated underlying scientific research data and metadata, under prior assistance agreements were made publicly accessible. These items will be evaluated prior to award.

Reasonable, necessary and allocable costs for data management and public access may be included in extramural research applications and detailed in the budget justification described in Section IV.

Agency policy and ethical considerations prevent EPA technical staff and managers from providing applicants with information that may create an unfair competitive advantage. Consequently, EPA employees will not review, comment, advise, and/or provide technical assistance to applicants preparing applications in response to EPA funding opportunities. EPA employees cannot endorse any specific application.

Multiple Investigator applications may be submitted as: (1) a single Lead Principal Investigator (PI) application with Co-PI(s) or (2) a Multiple PI application (with a single Contact PI). If you choose to submit a Multiple PI application, you must follow the specific instructions provided in Sections IV and V of this funding opportunity. For further information, please see the EPA Implementation Plan for Policy on Multiple Principal Investigators ([Research Grants Guidance and Policies](#)).

This solicitation provides the opportunity for the submission of applications for projects that may involve human subjects research. All applications should include a Human Subjects Research Statement (HSRS; described in Section IV.C.5.iii.c of this solicitation). If the project involves human subjects research, it will be subject to an additional level of review prior to funding decisions being made as described in Sections V.D and V.G of this solicitation.



These awards may involve the collection of “Geospatial Information,” which includes information that identifies the geographic location and characteristics of natural or constructed features or boundaries on the Earth or applications, tools, and hardware associated with the generation, maintenance, or distribution of such information. This information may be derived from, among other things, a Geographic Positioning System (GPS), remote sensing, mapping, charting, and surveying technologies, or statistical data.

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

Additional provisions that apply to sections III, IV, V, and VI of this solicitation and/or awards made under this solicitation, can be found at [EPA Solicitation Clauses](#). These provisions are important for applying to this solicitation and applicants must review them when preparing applications for this solicitation. If you are unable to access these provisions electronically at the website above, please contact the EPA point of contact listed in this solicitation (usually in Section VII) to obtain the provisions.

## **II. AWARD INFORMATION**

It is anticipated that a total of approximately \$10 million will be awarded under this announcement, depending on the availability of funds, quality of applications received, and other applicable considerations. The EPA anticipates funding approximately 8 awards under this funding opportunity. Requests for amounts in excess of a total of \$1,250,000 per award, including direct and indirect costs, will not be considered. The total project period requested in an application submitted for this funding opportunity may not exceed 4 years.

EPA intends to use up to 50% of the total amount of funding available under this announcement for applications that include MSI partnerships. Funding decisions will be based on the results of the competitive process as described in Section V.G. MSIs and MSI partnerships are defined in Section I.A. This is an estimate and is subject to change based on funding levels, the quality of applications received, and other applicable considerations. See Section V.G. Funding Decisions for additional information.

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

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

as appropriate, based on funding availability, satisfactory performance, and other applicable considerations.

EPA may award both grants and cooperative agreements under this announcement.

Under a *grant*, EPA scientists and engineers will not be substantially involved in the execution of the research. However, EPA encourages interaction between its own laboratory scientists and grant Principal Investigators after the award of an EPA grant for the sole purpose of exchanging information in research areas of common interest that may add value to their respective research activities. This interaction must be incidental rather than substantial to achieving the goals of the research under a grant. Interaction that is “incidental” does not involve resource commitments by EPA.

Where appropriate, based on consideration of the nature of the proposed project relative to the EPA’s intramural research program and available resources, the EPA may award *cooperative agreements* under this announcement. A cooperative agreement is an assistance agreement that is used when there is substantial federal involvement with the recipient during the performance of an activity or project. EPA awards cooperative agreements for those projects in which it expects to have substantial interaction with the recipient throughout the recipient’s performance of the project. When addressing a research question/problem of common interest, collaborations between EPA scientists and the institution’s principal investigators are permitted under a cooperative agreement. These collaborations may include data and information exchange; providing technical input to experimental design and theoretical development; coordinating extramural research with in-house activities; the refinement of valuation endpoints; 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; and joint authorship of journal articles on these activities. Note EPA does not have the authority to select employees or contractors employed by the recipient and the final decision on the content of reports rests with the recipient. EPA will negotiate the precise terms and conditions of “substantial involvement” as part of the award process. **Applications may not identify EPA cooperators, specific interactions between EPA and those of the prospective recipient for cooperative agreements will be negotiated at the time of award.**

**Potential applicants should contact the Technical Contact listed under Section VII. *Agency Contacts* regarding questions pertaining to EPA’s substantial involvement.**

### **III. ELIGIBILITY INFORMATION**

Note: Additional provisions that apply to this section can be found at [EPA Solicitation Clauses](#).

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

Public and private nonprofit institutions/organizations, public and private institutions of higher education (IHEs), and hospitals located in the U.S. and its territories or possessions; state and

local governments; Federally Recognized Indian Tribal Governments; and U.S. territories or possessions are eligible to apply. Profit-making firms and individuals are not eligible to apply.

Consistent with the definition of Nonprofit organization at 2 CFR § 200.1, the term nonprofit organization means any corporation, trust, association, cooperative, or other organization that is operated mainly for scientific, educational, service, charitable, or similar purpose in the public interest and is not organized primarily for profit; and uses net proceeds to maintain, improve, or expand the operation of the organization. The term includes tax-exempt nonprofit neighborhood and labor organizations. Note that 2 CFR § 200.1 specifically excludes Institutions of Higher Education from the definition of non-profit organization because they are separately defined in the regulation. While not considered to be a nonprofit organization(s) as defined by 2 CFR § 200.1, public or nonprofit Institutions of Higher Education are, nevertheless, eligible to submit applications under this funding opportunity. Hospitals operated by state, tribal, or local governments or that meet the definition of nonprofit at 2 CFR § 200.1 are also eligible to apply as nonprofits or as instrumentalities of the unit of government depending on the applicable law. For-profit colleges, universities, trade schools, and hospitals are ineligible.

Nonprofit organizations that are not exempt from taxation under section 501 of the Internal Revenue Code must submit other forms of documentation of nonprofit status; such as certificates of incorporation as nonprofit under state or tribal law. Nonprofit organizations exempt from taxation under section 501(c)(4) of the Internal Revenue Code that lobby are not eligible for EPA funding as provided in the Lobbying Disclosure Act, 2 U.S.C. 1611.

Foreign governments, international organizations, and non-governmental international organizations/institutions are not eligible to apply.

National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, “FFRDCs”) may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. An award recipient may provide funds through its assistance agreement from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research.

Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on an assistance agreement. Federal employees may not receive salaries or augment their Agency’s appropriations through awards made under this program unless authorized by law to receive such funding.

The applicant institution may enter into an agreement with a Federal Agency to purchase or utilize unique supplies or services unavailable in the private sector to the extent authorized by law. Examples are purchase of satellite data, chemical reference standards, analyses, or use of instrumentation or other facilities not available elsewhere. A written justification for federal involvement must be included in the application. In addition, an appropriate form of assurance

that documents the commitment, such as a letter of intent from the Federal Agency involved, should be included.

If an application is submitted that includes any ineligible tasks or activities, that portion of the application will be ineligible for funding and may, depending on the extent to which it affects the application, render the entire application ineligible for funding.

Potential applicants who are uncertain of their eligibility should contact the Eligibility Contact listed under Section VII. *Agency Contacts*.

## **B. Cost sharing**

Cost sharing is not required.

## **C. Other**

All applications will be reviewed for eligibility and must meet the eligibility requirements described in Sections III.A., B., and C. to be considered eligible. Applicants deemed ineligible for funding consideration as a result of the threshold eligibility review will be notified within 15 calendar days of the ineligibility determination.

a. Applications must substantially comply with the application submission instructions and requirements set forth in Section IV of this solicitation or else they will be rejected. However, where a page limit is expressed in Section IV with respect to the application, or parts thereof, pages in excess of the page limitation will not be reviewed. Applicants are advised that readability is of paramount importance and should take precedence in application format, including selecting a legible font type and size for use in the application.

b. In addition, initial applications must be submitted through [Grants.gov](https://www.grants.gov) as stated in Section IV of this solicitation (except in the limited circumstances where another mode of submission is specifically allowed for as explained in Section IV) on or before the application submission deadline published in Section IV of this solicitation. Applicants are responsible for following the submission instructions in Section IV of this solicitation to ensure that their application is timely submitted. Please note that applicants experiencing technical issues with submitting through Grants.gov should follow the instructions provided in Section IV, which include both the requirement to contact Grants.gov and email a full application to EPA prior to the deadline.

c. Applications submitted outside of Grants.gov will be deemed ineligible without further consideration unless the applicant can clearly demonstrate that it was due to EPA mishandling or technical problems associated with [Grants.gov](https://www.grants.gov) or [SAM.gov](https://www.sam.gov). An applicant's failure to timely submit their application through [Grants.gov](https://www.grants.gov) because they did not timely or properly register in [SAM.gov](https://www.sam.gov) or [Grants.gov](https://www.grants.gov) will not be considered an acceptable reason to consider a submission outside of Grants.gov.

If an applicant submits more than one application under this announcement, each application must be submitted separately, and the scope of work proposed in each application must be significantly different from the other application(s) in order for them to all be deemed eligible. If applications are submitted with scopes of work that do not significantly differ, then EPA will only accept the most recently submitted application and all other applications will be deemed ineligible.

In order to be deemed eligible, the application must include a Community Engagement Plan (see Section IV.C.5.iii.e) that demonstrates collaboration/engagement with partner(s)/community(ies) in the design and execution of the proposed research or how the applicant will be able to effectively perform and complete the project without such collaboration/engagement.

Also, applications exceeding the funding limits or project period described in Section II will be rejected without review. Further, applications that fail to demonstrate a public purpose of support or stimulation (e.g., by proposing research which primarily benefits a Federal program or provides a service for a Federal agency) will not be funded.

#### **IV. APPLICATION AND SUBMISSION INFORMATION**

Note: Additional provisions that apply to this section can be found at [EPA Solicitation Clauses](#).

#### **Formal instructions for submission through Grants.gov are in Section F.**

##### **A. Grants.gov Submittal Requirements and Limited Exception Procedures**

Applicants must apply electronically through [Grants.gov](#) under this funding opportunity based on the grants.gov instructions in this announcement. If your organization has no access to the internet or access is very limited, you may request an exception for the remainder of this calendar year by following the procedures outlined [here](#). Please note that your request must be received at least 15 calendar days before the application due date to allow enough time to negotiate alternative submission methods. Issues with submissions with respect to this opportunity only are addressed in Section IV.F. *Submission Instructions and Other Submission Requirements* below.

##### **B. Application Package Information**

Use the application package available at [Grants.gov](#) (see Section IV.F. “Submission Instructions and Other Submission Requirements”). Note: With the exception of the current and pending support form (available at [Research Funding Opportunities: How to Apply and Required Forms](#)), all necessary forms are included in the electronic application package. Make sure to include the current and pending support form in your Grants.gov submission.

## C. Content and Form of Application Submission

The application is made by submitting the materials described below. **Applications must contain all information requested.**

### 1. Standard Form 424

The applicant must complete Standard Form 424, Application for Federal Assistance. Instructions for completion of the SF-424 are included with the form. However, note that EPA requires that the entire requested dollar amount appear on the SF-424, not simply the proposed first year expenses. The form must contain the signature of an authorized representative of the applying organization. Please note the form will be automatically signed by the authorized organization representative when the “Sign & Submit” button is clicked in the Grants.gov Workspace.

### 2. Key Contacts, EPA Form 5700-54

The applicant must complete the “Key Contacts” form found in the [Grants.gov](#) application package. An “Additional Key Contacts” form is also available at [Research Funding Opportunities: How to Apply and Required Forms](#). The Key Contacts form should also be completed for major subawards (i.e., principal investigators). Do not include information for consultants or other contractors. Please make certain that all contact information is accurate.

For Multiple PI applications: The Additional Key Contacts form **must** be completed (see Section I.G. for further information). *Note: The Contact PI must be affiliated with the institution submitting the application. EPA will direct all communications related to scientific, technical, and budgetary aspects of the project to the Contact PI; however, any information regarding an application will be shared with any PI upon request.* The Contact PI is to be listed on the Key Contact Form as the Project Manager/Principal Investigator (the term Project Manager is used on the Grants.gov form, the term Principal Investigator is used on the form located at [Research Funding Opportunities: How to Apply and Required Forms](#)). For additional PIs, complete the Major Co-Investigator fields and identify PI status next to the name (e.g., “Name: John Smith, Principal Investigator”).

### 3. EPA Form 4700-4, Preaward Compliance Review Report for All Applicants and Recipients Requesting EPA Financial Assistance (For tips on completing the form see: [Tips for Completing EPA Form 4700-4.](#))

### 4. SF-424A Budget Information - Non-Construction Programs

Prepare a master budget table using Standard Form 424A, Budget Information for Non-Construction Programs, available in the [Grants.gov](#) electronic application package. Only complete “Section B-Budget Categories”. Provide the object class budget category (a. - k.) amounts for each budget year under the “Grant Program, Function or Activity” heading. Each

column reflects a separate budget year. For example, Column (1) reflects budget year 1. The total budget will be automatically tabulated in column (5).

Applicants may not use subawards to transfer or delegate their responsibility for successful completion of their EPA assistance agreement. Note: Prior to naming a contractor (including consultants) or subrecipient in your application as a “partner”, please carefully review Section IV.d, “Contracts and Subawards”, of EPA’s Announcement Clauses that are incorporated by reference in this announcement (See Section I.H). EPA expects recipients of funding to comply with competitive procurement contracting requirements as well as EPA’s rule on Participation by Disadvantaged Business Enterprises in EPA Programs in 40 CFR Part 33. The Agency does not accept justifications for sole source contracts for services or products available in the commercial marketplace based on a contractor’s role in preparing an application.

Please note that cost sharing is not required.

**5. Project Narrative, submitted using Project Narrative Attachment Form and prepared as described below:**

**i) Table of Contents**

Provide a list of the major subdivisions of the application indicating the page number on which each section begins.

**ii) Abstract (1 page)**

**The abstract is a very important document in the review process.** Therefore, it is critical that the abstract accurately describes the research being proposed and conveys all the essential elements of the research. Also, the abstracts of applications that receive funding will be posted on EPA’s Research Grants website.

The abstract must include the information described below (a-h). Examples of abstracts for current grants may be found on [EPA’s Research Grants website](#).

- a. Funding Opportunity Title and Number for this application.
- b. Project Title: Use the exact title of your project as it appears in the application. The title must be brief yet represent the major thrust of the project. Because the title will be used by those not familiar with the project, use more commonly understood terminology. Do not use general phrases such as “research on.”
- c. Investigators: For applications with multiple investigators, state whether this is a single Lead PI (with co-PIs) or Multiple PI application (see Section I.G.). For Lead PI applications, list the Lead PI, then the name(s) of each co-PI who will significantly contribute to the project.

For Multiple PI applications, list the Contact PI, then the name(s) of each additional PI. Provide a website URL or an email contact address for additional information.

- d. Institution(s): In the same order as the list of investigators, list the name, city and state of each participating university or other applicant institution. The institution applying for assistance must be clearly identified.
- e. Project Period and Location: Show the proposed project beginning and ending dates and the performance site(s)/geographical location(s) where the work will be conducted.
- f. Project Cost: Show the total funding requested from the EPA (include direct and indirect costs for all years).
- g. Project Summary: Provide three subsections addressing: (1) the objectives of the study (including any hypotheses that will be tested), (2) the experimental approach to be used (a description of the proposed project) and (3) the expected results (outputs/outcomes) of the project and how it addresses the research needs identified in the solicitation, including the estimated improvement in risk assessment or risk management that will result from successful completion of the proposed work.
- h. Supplemental Keywords: Without duplicating terms already used in the text of the abstract, list keywords to assist database searchers in finding your research. A list of suggested keywords may be found at: [Research Funding Opportunities: How to Apply and Required Forms](#).

**iii) Research Plan, Quality Assurance Statement, Human Subjects Research Statement, Scientific Data Management Plan, Community Engagement Plan, and References**

a. Research Plan (15 pages)

Applications should focus on a limited number of research objectives that adequately and clearly demonstrate that they meet the funding opportunity requirements. Explicitly state the main hypotheses that you will investigate, the data you will create or use, the analytical tools you will use to investigate these hypotheses or analyze these data and the results you expect to achieve. Research methods must be clearly stated so that reviewers can evaluate the appropriateness of your approach and the tools you intend to use. A statement such as: “we will evaluate the data using the usual statistical methods” is not specific enough for peer reviewers.

This description must not exceed fifteen (15) consecutively numbered (bottom center), 8.5x11-inch pages of single-spaced, standard 12-point type with 1-inch margins. While these guidelines on page size, point type and margins establish the minimum type size requirements, applicants are advised that readability is of paramount importance and should take precedence in selection of an appropriate font for use in the application.



The description must provide the following information:

- (1) Objectives: List the objectives of the proposed research and the hypotheses being tested during the project, and briefly state why the intended research is important, how it supports the Agency's research priorities and how it fulfills the requirements of the solicitation. This section should also include any background or introductory information that would help explain the objectives of the study. If this application is to expand upon research supported by an existing or former assistance agreement awarded under the STAR program, indicate the number of the agreement and provide a brief report of progress and results achieved under it.
- (2) Approach/Activities: Outline the research design, methods, and techniques that you intend to use in meeting the objectives stated above.
- (3) Environmental Justice: Demonstrate how the project will address the disproportionate and adverse human health, environmental, climate-related and other cumulative impacts described in Section I of this solicitation, as well as the accompanying economic challenges of such impacts, resulting from industrial, governmental, commercial and/or other actions that have affected and/or currently affect the underserved communities defined in Section I of this solicitation. Applicants should also demonstrate how the project benefits the underserved communities, including those that have experienced a lack of resources or other impediments to addressing the impacts identified above that affect their community.
- (4) Expected Results, Benefits, Outputs and Outcomes: Describe the expected outputs and outcomes resulting from the project. This section should also discuss how the research results will lead to solutions to environmental problems and improve the public's ability to protect the environment and human health. A clear, concise description will help ORD and peer reviewers understand the merits of the research.
- (5) Project Management: Discuss other information relevant to the potential success of the project. This should include facilities, personnel expertise/experience, project schedules with associated milestones and target dates, proposed management, interactions with other institutions, etc. If applicable, provide resources available to specific senior/key person(s), such as additional research space or personnel and in-kind contributions with an estimated dollar value of \$5,000 or more that support the research activity for use on the project/application being proposed. If applicable, also provide information on postdoctoral scholars, students, or visiting scholars who are supported by an external entity, and whose research activities are intended for use on the project/application being proposed. Describe the approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner and detail how project objectives will be successfully achieved within the grant period. Describe how progress toward achieving the expected results (outputs and outcomes) of the research will be tracked and measured. Applications for multi-investigator projects must identify project

management and the functions of each investigator in each team and describe plans to communicate and share data.

(6) Appendices may be included but must remain within the 15-page limit.

b. Quality Assurance Statement (3 pages)

For projects involving environmental data collection or processing, conducting surveys, modeling, method development, or the development of environmental technology (whether hardware-based or via new techniques), provide a Quality Assurance Statement (QAS) regarding the plans for processes that will be used to ensure that the products of the research satisfy the intended project objectives. Follow the guidelines provided below to ensure that the QAS describes a system that complies with EPA Quality Standards found at:

<https://www.epa.gov/quality/agency-wide-quality-program-documents>.

Do not exceed three consecutively numbered, 8.5x11-inch pages of single-spaced, standard 12-point type with 1-inch margins.

**NOTE: If selected for award, applicants will be expected to provide additional quality assurance documentation.**

**Address each applicable section below by including the required information, referencing the specific location of the information in the Research Plan or explaining why the section does not apply to the proposed research. (Not all will apply)**

(1) Identify the individual who will be responsible for the quality assurance (QA) and quality control (QC) aspects of the research along with a brief description of this person's functions, experience and authority within the research organization. Describe the organization's general approach for conducting quality research. (*QA is a system of management activities to ensure that a process or item is of the type and quality needed for the project. QC is a system of activities that measures the attributes and performance of a process or item against the standards defined in the project documentation to verify that they meet those stated requirements*).

(2) Discuss project objectives, including quality objectives, any hypotheses to be tested, and the quantitative and/or qualitative procedures that will be used to evaluate the success of the project. Include any plans for peer or other reviews of the study design or analytical methods.

(3) Address each of the following project elements as applicable:

(a) Collection of new/primary data:

*(Note: In this case the word "sample" is intended to mean any finite part of a statistical population whose properties are studied to gain information about the whole. If certain attributes listed below do not apply to the type of samples to be used in your research, simply explain why those attributes are not applicable).*

- (i) Discuss the plan for sample collection and analysis. As applicable, include sample type(s), frequency, locations, sample sizes, sampling procedures, and the criteria for determining acceptable data quality (e.g., precision, accuracy, representativeness, completeness, comparability, or data quality objectives).
  - (ii) Describe the procedures for the handling and custody of samples including sample collection, identification, preservation, transportation, and storage, and how the accuracy of test measurements will be verified.
  - (iii) Describe or reference each analytical method to be used, any QA or QC checks or procedures with the associated acceptance criteria and any procedures that will be used in the calibration and performance evaluation of the analytical instrumentation.
  - (iv) Discuss the procedures for overall data reduction, analysis, and reporting. Include a description of all statistical methods to make inferences and conclusions, acceptable error rates and/or power, and any statistical software to be used.
- (b) Use of existing/secondary data (i.e., data previously collected for other purposes or from other sources):
- (i) Identify the types of secondary data needed to satisfy the project objectives. Specify requirements relating to the type of data, the age of data, geographical representation, temporal representation, and technological representation, as applicable.
  - (ii) Specify the source(s) of the secondary data and discuss the rationale for selection.
  - (iii) Establish a plan to identify the sources of the secondary data in all deliverables/products.
  - (iv) Specify quality requirements and discuss the appropriateness for their intended use. Accuracy, precision, representativeness, completeness, and comparability need to be addressed, if applicable.
  - (v) Describe the procedures for determining the quality of the secondary data.
  - (vi) Describe the plan for data management/integrity.
- (c) Method development:
- (Note: The data collected for use in method development or evaluation should be described in the QAS as per the guidance in section 3A and/or 3B above).*

- Describe the scope and application of the method, any tests (and measurements) to be conducted to support the method development, the type of instrumentation that will be used, and any required instrument conditions (e.g., calibration frequency), planned QC checks and associated criteria (e.g., spikes, replicates, blanks) and tests to verify the method's performance.
- (d) Development or refinement of models:  
*(Note: The data collected for use in the development or refinement of models should be described in the QAS as per the guidance in section 3A and/or 3B above).*
- (i) Discuss the scope and purpose of the model, key assumptions to be made during development/refinement, requirements for code development, and how the model will be documented.
  - (ii) Discuss verification techniques to ensure the source code implements the model correctly.
  - (iii) Discuss validation techniques to determine that the model (assumptions and algorithms) captures the essential phenomena with adequate fidelity.
  - (iv) Discuss plans for long-term maintenance of the model and associated data.
- (e) Development or operation of environmental technology:  
*(Note: The data collected for use in the development or evaluation of the technology should be described in the QAS as per the guidance in section 3A and/or 3B above).*
- (i) Describe the overall purpose and anticipated impact of the technology.
  - (ii) Describe the technical and quality specifications of each technology component or process that is to be designed, fabricated, constructed, and/or operated.
  - (iii) Discuss the procedure to be used for documenting and controlling design changes.
  - (iv) Discuss the procedure to be used for documenting the acceptability of processes and components and discuss how the technology will be benchmarked and its effectiveness determined.
  - (v) Discuss the documentation requirements for operating instructions/guides for maintenance and use of the system(s) and/or process(s).
- (f) Conducting surveys:  
*(Note: The data to be collected in the survey and any supporting data should be described in the QAS as per the guidance in section 3A and/or 3B above).*

Discuss the justification for the size of the proposed sample for both the overall project and all subsamples for specific treatments or tests. Identify and explain the rationale for the proposed statistical techniques (e.g., evaluation of statistical power).

(4) Discuss data management activities (e.g., daily activity record-keeping procedures, data verification and validation procedures).

c. EPA Human Subjects Research Statement (HSRS) (4 pages)

Human subjects research supported by the EPA is governed by EPA Regulation 40 CFR Part 26 ([Protection of Human Subjects](#)). This includes the Common Rule at subpart A and prohibitions and additional protections for pregnant women and fetuses, nursing women and children at subparts B, C and D. While retaining the same notation, subparts B, C and D are substantively different in 40 CFR Part 26 than in the more commonly cited 45 CFR 46. Particularly noteworthy is that research meeting the regulatory definition of intentional exposure research found in subpart B is prohibited by that subpart in pregnant women, nursing women and children. Research meeting the regulatory definition of observational research (any research that is not intentional exposure research) found in subparts C and D is subject to the additional protections found in those subparts for pregnant women and fetuses (subpart C) and children (subpart D). These subparts also differ markedly from the language in 45 CFR 46. For more information, please see: [Basic Information about Human Subjects Research](#).

Procedures for the review and oversight of human research subject to 40 CFR Part 26 are also provided in [EPA Order 1000.17A](#). These include review of projects for EPA-supported human research by the EPA Human Subjects Research Review Official (HSRRO). Additional requirements must be met and final approval must be received from the HSRRO before the human subjects' portion of the research can begin. When reviewing human observational exposure studies, EPA Order 1000.17A requires the HSRRO to apply the principles described in the [SEAOES document](#) and grant approval only to studies that adhere to those principles.

All applications submitted under this solicitation should include a HSRS as described below. For more information about what constitutes human subjects research, please see: [Basic Information about Human Subjects Research](#). For information on the prohibition on the inclusion of vulnerable subjects in intentional exposure research, please see: [Protection of Human Subjects](#).

### **Human Subjects Research Statement (HSRS) Requirements**

If the proposed research **does not** involve human subjects as defined above, provide the following statement in your application package as your HSRS: "The proposed research does not involve human subjects." Applicants should provide a clear justification about how the proposed research does not meet the definition (for example, all samples come from deceased individuals OR samples are purchased from a commercial source and provided without identifiers, etc.).

If the proposed research **does** involve human subjects, then include in your application package a HSRS that addresses each applicable section listed below, referencing the specific location of the

information in the Research Plan, providing the information in the HSRS or explaining why the section does not apply to the proposed research. (Not all will apply). Please note that even research that has been determined to be exempt from the human subjects regulations by an IRB (or other human subject research official at the institution) must be reviewed by the EPA HSRRO. Therefore, consider exempt research to include human subjects work for this EPA solicitation. Do not exceed **four** consecutively numbered, 8.5x11-inch pages of single-spaced, standard 12-point type with 1-inch margins. The factors below are not intended to be exhaustive of all those needed for the HSRRO to provide the final approval necessary for research to be conducted but provide a basis upon which the human subjects oversight review may begin.

NOTE: Researchers must provide evidence of an assurance on file with the U.S. Department of Health and Human Services (HHS) or other Federal Agency that it will comply with regulatory provisions in the Common Rule. In special circumstances where there is no such assurance, EPA will work with investigators to obtain an assurance from HHS or another source.

**Complete all items below for studies involving human subjects.**

Protection of Human Subjects (Adapted from National Institutes of Health Supplemental Instructions for PHS 398 and SF424 (R&R) II-10)

1. Risks to Human Subjects

a. Human Subjects Involvement, Characteristics and Design

- Describe and justify the proposed involvement of human subjects in the work outlined in the Research Strategy section.
- Describe the characteristics of the subject population, including their anticipated number, age range, and health status, if relevant.
- Describe and justify the sampling plan, including retention strategies and the criteria for inclusion or exclusion of any subpopulation.
- Explain the rationale for the involvement of special vulnerable populations, such as pregnant women, children, or others who may be considered vulnerable populations.
- If relevant to the proposed research, describe procedures for assignment to a study group. As related to human subject's protection, describe and justify the selection of an intervention's dose, frequency, and administration.
- List any collaborating sites where human subjects research will be performed and describe the role of those sites and collaborating investigators in performing the proposed research. Explain how data from the site(s) will be obtained, managed, and protected.

b. Sources of Materials

- Describe the research material obtained from living individuals in the form of specimens, records, or data.
- Describe any data that will be collected from human subjects for the project(s) described in the application.
- Indicate who will have access to individually identifiable private information about human subjects.

- Provide information about how the specimens, records, and/or data are collected, managed and protected as well as whether material or data that include individually identifiable private information will be collected specifically for the proposed research project.

c. Potential Risks

- Describe all the potential risks to subjects posed by participation in the research (physical, psychological, financial, legal, or other), and assess their likelihood and seriousness to the human subjects.
- Where appropriate, describe alternative treatments and procedures, including the risks and potential benefits of the alternative treatments and procedures, to participants in the proposed research.

2. Adequacy of Protection Against Risks

a. Recruitment and Informed Consent

- Describe plans for the recruitment of subjects (where appropriate) and the process for obtaining informed consent. If the proposed studies will include children, describe the process for meeting requirements for parental permission and child assent.
- Include a description of the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects and the method of documenting consent. If a waiver of some or all of the elements of informed consent will be sought, provide justification for the waiver.

b. Protections Against Risk

- Describe planned procedures for protecting against or minimizing potential risks, including risks to privacy of individuals or confidentiality of data and assess their likely effectiveness.
- Research involving vulnerable populations, as described in the EPA regulations, Subparts B-D, must include additional protections. Refer to EPA guidance and regulations:

Prohibition of Research Conducted or Supported by EPA Involving Intentional Exposure of Human Subjects who are Children or Pregnant or Nursing Women  
[Basic Information about Human Subjects Research](#)  
[Protection of Human Subjects](#)

Additional Protections for Pregnant Women and Fetuses Involved as Subjects in Observational Research Conducted or Supported by EPA  
[Basic Information about Human Subjects Research](#)  
[Protection of Human Subjects](#)

Additional Protections for Children Involved as Subjects in Observational Research Conducted or Supported by EPA  
[Basic Information about Human Subjects Research](#)  
[Protection of Human Subjects](#)

- Where appropriate, discuss plans for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Studies that involve clinical trials must include a general description of the plan for data and safety monitoring of the clinical trials and adverse event reporting to the IRB, the Data and Safety Monitoring Board (DSMB) (if one has been established for the trial), the EPA and others, as appropriate, to ensure the safety of subjects.

### 3. Potential Benefits of the Proposed Research to Human Subjects and Others

- Discuss the potential benefits of the research to research participants and others.
- Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to research participants and others.
- Please note that financial compensation of subjects is not considered to be a benefit of participation in research.

### 4. Importance of the Knowledge to be Gained

- Discuss the importance of the knowledge to be gained as a result of the proposed research.
- Discuss why the risks to subjects are reasonable in relation to the importance of the knowledge that reasonably may be expected to result.

**Note that an Interventional Study (or Clinical Trial)** is a clinical study in which participants are assigned to receive one or more interventions (or no intervention) so that researchers can evaluate the effects of the interventions on biomedical or health-related outcomes; the assignments are determined by the study protocol.

### d. Scientific Data Management Plan (2 pages)

Applications submitted in response to this solicitation should include a Scientific Data Management Plan (SDMP) that addresses public access to EPA-funded scientific research data by including the information below:

(1) If the proposed research described in the application is expected to result in the generation of scientific research data, the application should include a Scientific Data Management Plan (SDMP) of up to two single-spaced pages (this is in addition to any application page limits described in Section IV of this solicitation that apply to other parts of the application package) describing plans for providing long-term preservation of, and public access to, the scientific research data and accompanying metadata created and/or collected under the award (including data generated under subawards and contracts) funded in whole or in part by EPA. The SDMP should indicate that recipients will make accessible, at a minimum, scientific research data and associated metadata underlying their scientific research journal publications funded in whole or in part by EPA. SDMPs should reflect relevant standards and community best practices for data and metadata and make use of community-accepted repositories whenever practicable. The contents of the SDMP (or absence thereof) will be considered as part of the application review process for selected applicants as described in Section V and must be deemed acceptable for the



applicant to receive an award. The SDMP should include the following elements (Note: If any of the items listed below do not apply, please explain why):

- i. Types of scientific research data and metadata expected to be generated and/or collected under the award.
- ii. The location where the data will be publicly accessible.
- iii. The standards to be used for data/metadata format and content.
- iv. Policies for accessing and sharing data including provisions for appropriate protection of privacy, security, intellectual property, and other rights or requirements consistent with applicable laws, regulations, rules, and policies.
- v. Plans for digital data storage, archiving, and long-term preservation that address the relative value of long-term preservation and access along with the associated costs and administrative burden.
- vi. Description of how data accessibility and preservation will enable validation of published results or how such results could be validated if data are not shared or preserved.
- vii. Roles and responsibilities for ensuring SDMP implementation and management (including contingency plans in case key personnel leave the project).
- viii. Resources and capabilities (equipment, connections, systems, software, expertise, etc.) requested in the research application that are needed to meet the stated goals for accessibility and preservation (reference can be made to the relevant section of the research application's budget justification).
- ix. If appropriate, an explanation as to why data accessibility and/or preservation are not possible.

(2) If the proposed research is not expected to result in the generation of scientific research data, provide the following statement (not subject to any application page limits described in Section IV of this solicitation) in your application as the SDMP: "The proposed research is not expected to result in the generation of scientific research data." If scientific research data are generated after award, the recipient agrees to update the statement by providing EPA with a revised SDMP (see content of SDMP described above) describing how scientific research data and accompanying metadata created and/or collected under the award (including data generated under subawards and contracts) will be preserved and, as appropriate, made publicly accessible.

e. Community Engagement Plan (5 pages, not including letters of intent/support)

Provide a plan to detail strategies for promoting and/or obtaining collaboration/engagement and support from appropriate partners such as MSIs, states, Tribes, academia, industry groups, nonprofit organizations, associations, underserved communities, and community-based organizations. Researchers are strongly encouraged to partner with underserved community(ies) as defined in Section I. Applicants should document the following:

- Clearly define the community of focus for this project and explain why the community partner(s) are an appropriate set of collaborators for the proposed work.

- Describe the type of collaboration/engagement proposed and what role it will play in the overall project including the degree of partner/community input or engagement in the conceptualization, hypothesis/question development, design, methods, analyses and implementation of the research. This includes describing how the project addresses engagement with underserved communities, especially local residents in these communities who will be affected by the project, to ensure their meaningful involvement with respect to the design, project planning, and performance of the project.
- Describe how the collaboration/engagement will enhance the overall impact of the project such that the project results are applicable and useable by impacted communities and address the needs and concerns of underserved communities. This includes the capacity of the project to more effectively communicate risk and translate scientific results into easily understandable outreach and educational materials. This should also include description of how the project will help build capacity for impacted communities and/or community-based organizations to address their needs and concerns related to the research areas described in Section I.E (Specific Research Areas of Interest) beyond the lifetime of the project.
- Describe how activities of the project will be coordinated with related or complementary projects and studies.
- Describe how the collaboration/engagement will materialize during project performance. Describe the partner(s)' intent to participate in the proposed research including evidence of community support of an active partnership with a community engagement research committee, a community-based organization or advisory group members (e.g., letter(s) of intent or support from community leaders, MSIs, state or local government agencies, non-government organizations, public health professionals, community emergency planners or responders, social workers, child serving organizations, assisted living and nursing homes, utility managers, site managers or operators, decision makers or policy planners). Any letters demonstrating evidence of collaboration and support should be included as part of section IV.C.5.viii.a. Letters of Intent/Letters of Support.
- Applicants that do not plan on collaborating/engaging with other groups in project performance must still include a community engagement plan in their application describing how they will be able to effectively perform and complete the project without such collaboration.
- Allocate appropriate resources as needed to the research partners to ensure success of the collaboration, e.g., delineating funds under the project's budget for community participation. Budgets should be designed in consultation with community partners and be attentive to issues of equity. Examples include:
  - i. travel/stipends for partners and community members to participate in advisory group meetings, workshops, and focus groups,
  - ii. subawards to eligible organizations for their involvement in the proposed research.

EPA requires that estimated amounts for subawards and individual participant support costs be classified as "Other" for the purposes of the budget table (aka SF-424A). Please see ([EPA Solicitation Clauses](#)) for EPA guidance on competition for contractors (including consulting

contracts) and acceptable noncompetitive subawards. Applicants may provide subawards to partners to enhance project effectiveness and/or efficiency. Note that applicants, not EPA, will select their subawardees and the applicants must demonstrate in their application that the organization(s) or other groups are willing to accept the subaward and have the capacity to effectively administer and perform the agreement. The selected applicant who proposes to make subawards, including those to partners must follow proper procedures in making subawards and will be expected to make the subawards consistent with their application.

To meet the requirements for a community engagement plan, applicants may utilize a Community Engagement Research (CEnR) framework, defined as a collaborative process of research involving researchers and community representatives. The CEnR process of scientific inquiry requires that community members or other key community stakeholders be included in the identification of research problems and objectives, and in the formulation of community-driven solutions. Although a range of levels of community involvement can be considered CEnR, CEnR is characterized by substantial community input and involvement in the project. The applicant will need to justify the approach to community involvement that is proposed in the application. While not required, each applicant is encouraged to form a CEnR framework to meet the requirement for community involvement in the project that may include relevant community leaders and a committee or an advisory group.

In the plan, the applicant should also identify the methods of community engagement and communication. There are many possible methods that could be employed, including, but not limited to, the following illustrative examples:

- Including substantial contributions from, or leadership by, community groups in application development and project execution.
- Budgeting for subawards to eligible organizations for their involvement in the proposed research.
- Assessing community needs and interest through workshops.
- Forming an advisory board to gain diverse perspectives on various aspects of the project's communications.
- Analyzing, sharing and communicating data in ways that maximize meaning and usefulness for communities and that lead to accurate lessons for communities and individuals.
- Sharing data through a website or through other means.
- Holding events to share research plans or research results.

f. References: References cited are in addition to other page limits (e.g., research plan, quality assurance statement).

**iv) Budget Justification** [*3 pages in addition to the Section IV.C.5.iii page limitations*]

Identify the amount requested for each budget category and describe the basis for calculating the personnel, fringe benefits, travel, equipment, supplies, contractual support, and other costs identified in the SF-424A. The budget justification should not exceed three consecutively

numbered (bottom center), 8.5x11-inch pages of single-spaced, standard 12-point type with 1-inch margins. EPA provides detailed guidance on preparing budgets and budget justifications in the Agency’s [Interim General Budget Development Guidance for Applicants and Recipients of EPA Financial Assistance](#).

Budget information must be supported at the level of detail described below:

- a. Personnel: List all staff positions by title. Give annual salary, percentage of time assigned to the project, total cost for the budget period, project role, and specify any annual cost of living adjustments. Compensation paid for employees engaged in grant activities must be consistent with payments for similar work within the applicant organization. Note that for salaries to be allowable as a direct charge to the award, a justification of how that person will be directly involved in the project must be provided. General administrative duties such as answering telephones, filing, typing, or accounting duties are not considered acceptable.

Below is a sample computation for Personnel:

<b>Position/Title</b>	<b>Annual Salary</b>	<b>% of Time Assigned to Project</b>	<b>Year 1</b>	<b>Year 2*</b>	<b>Year 3*</b>	<b>Total</b>
Project Manager	\$70,000	50%	\$35,000	\$36,050	\$37,132	\$108,182
Env. Specialist	\$60,000	100%	\$60,000	\$61,800	\$63,654	\$185,454
Env. Health Tech	\$45,000	100%	\$45,000	\$46,350	\$47,741	\$139,091
<b>Total Personnel</b>			<b>\$140,000</b>	<b>\$144,200</b>	<b>\$148,527</b>	<b>\$432,727</b>

\*There is a 3% increase after Year 1 for all personnel for cost of living adjustments.

Note this budget category is limited to persons employed by the applicant organization ONLY. Those employed elsewhere are classified as subawardees, program participants, contractors, or consultants. Contractors and consultants should be listed under the “Contractual” budget heading. Subawards made to eligible subrecipients are listed under the “Other” budget heading. Participant support costs such as stipends or travel assistance for trainees (e.g., interns or fellows) are listed under the “Other” budget heading.

- b. Fringe Benefits: Identify the percentage used and the basis for its computation. Fringe benefits are for the personnel listed in budget category (a) above and only for the percentage of time devoted to the project. Fringe benefits include but are not limited to the cost of leave, employee insurance, pensions and unemployment benefit plans. The applicant should not combine the fringe benefit costs with direct salaries and wages in the personnel category.

Below is a sample computation for Fringe Benefits:

Position/Title	Base Fringe % Rate	Year 1	Year 2*	Year 3*	Total
Project Manager	47.22%	\$16,527	\$17,022	\$17,533	\$51,082
Env. Specialist	50.83%	\$30,498	\$31,413	\$32,355	\$94,266
<b>Total Fringe Benefits</b>		<b>\$47,025</b>	<b>\$48,435</b>	<b>\$49,888</b>	<b>\$145,348</b>

\*An annual inflation rate of 3% has been factored into years 2 and 3 of the fringe benefits.

- c. Travel: In a table format, specify the estimated number of trips, purpose of each trip, number of travelers per trip, destinations, and other costs for each type of travel for applicant employees. Travel costs for program participants should be specified in the “Other” budget category. Explain the need for any travel, paying particular attention to travel outside the United States. Foreign travel includes trips to Mexico and Canada but does not include trips to Puerto Rico, the U.S. territories or possessions. **If EPA funds will not be used for foreign travel, the budget justification must expressly state that the applicant will not use EPA funds for foreign travel without approval by EPA.** Include travel funds for annual STAR program progress reviews (estimate for two days in Washington, D.C.) and a final workshop to report on results.

Below is a sample computation for Travel:

Purpose of Travel	Location	Item	Computation	Cost
EPA STAR Progress Review	Washington DC	Lodging	4 people x \$100 per night x 2 nights	\$800
		Airfare	4 people x \$500 round trip	\$2,000
		Per Diem	4 people x 50 per day x 2 days	\$400
<b>Total Travel</b>				<b>\$3,200</b>

- d. Equipment: Identify all tangible, non-expendable personal property to be purchased that has an acquisition cost of \$5,000 or more per unit and a useful life of more than one year. Equipment also includes accessories and services included with the purchase price necessary for the equipment to be operational. It does not include: (1) equipment planned to be leased/rented; or (2) separate equipment service or maintenance contracts. Details such as the type of equipment, cost, and a brief narrative on the intended use of the equipment for project objectives are required. Each item of equipment must be identified with the corresponding cost. Particular brands of equipment should not be identified. General-purpose equipment (office equipment, etc.) must be justified as to how it will be used on the project. (Property items with a unit cost of less than \$5,000 are considered supplies).
- e. Supplies: “Supplies” are tangible property other than “equipment” with a per item acquisition cost of less than \$5,000. Include a brief description of the supplies required to

perform the work. Costs should be categorized by major supply categories (e.g., office supplies, computing devices, monitoring equipment) and include the estimated costs by category.

- f. Contractual: List the proposed contractual activities along with a brief description of the scope of work or services to be provided, the proposed duration of the contract/procurement, the estimated cost, and the proposed procurement method (competitive or non-competitive). **Any procurement of services from individual consultants or commercial firms (including space for workshops) must comply with the competitive procurement requirements of 2 CFR Part 200.317-200.327. Please see [EPA Solicitation Clauses](#) for more details.** EPA provides detailed guidance on procurement requirements in the Agency's [Best Practice Guide for Procuring Services, Supplies, and Equipment Under EPA Assistance Agreements](#).

Examples of Contractual costs include:

- i. Consultants – Consultants are individuals with specialized skills who are paid at a daily or hourly rate. EPA's participation in the salary rate (excluding overhead) paid to individual consultants retained by recipients or by a recipient's contractors or subcontractors is limited to the maximum daily rate for a Level IV of the Executive Schedule (formerly GS-18), to be adjusted annually.
  - ii. Speaker/Trainer Fees – Information on speakers should include the fee and a description of the services they are providing.
- g. Other: List each item in sufficient detail for the EPA to determine the reasonableness of its cost relative to the research to be undertaken. "Other" items may include equipment rental, telephone service and utilities and photocopying costs. Note that subawards, such as those with other universities or nonprofit research institutions for members of the research team, are included in this category. **Provide the total costs proposed for subawards as a separate line item in the budget justification and brief description of the activities to be supported for each subaward or types of subawards if the subrecipients have not been identified.** Subawards may not be used to acquire services from consultants or commercial firms. Please see [EPA Solicitation Clauses](#) for more details. The "Other" budget category also includes participant support costs for community members to participate in workshops, focus groups, or similar activities and stipends or travel assistance for trainees (e.g., interns or fellows). **Provide the total costs proposed for participant support costs as a separate line item in the budget justification and brief description of the costs. If EPA funds will not be used for foreign travel by program participants, the budget justification must expressly state that the applicant will not use EPA funds for foreign travel without approval by EPA.**
- h. Indirect Costs: For additional information pertaining to indirect costs, please see the IDC Competition Clause at [EPA Solicitation Clauses](#).

#### **v) Resumes (2 Pages Per Resume)**

Provide resumes for each senior/key person<sup>1</sup>. Senior/key persons typically do not include undergraduate and graduate students. The resume is not limited to traditional materials but should provide materials to clearly and appropriately demonstrate that the senior/key person has the knowledge needed to perform their component of the proposed research. The resume for each senior/key person must not exceed two consecutively numbered (bottom center), 8.5x11-inch pages of single-spaced, standard 12-point type with 1-inch margins.

In addition to professional preparation (e.g., education and training), the resume should also include academic, professional or institutional appointments and positions, whether or not remuneration is received, and whether they are full-time, part-time, or voluntary. A list of products that demonstrate the individual's qualifications to carry out the project as proposed should also be included.

For a complete listing of what information needs to be disclosed, please see **NSTC Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support** at [NSTC Research Security Subcommittee NSPM-33 Implementation Guidance Disclosure Requirements & Standardization](#).

#### **vi) Current and Pending Support**

Current and pending support information is used to assess the capacity of the individual to carry out the research as proposed and helps assess any potential scientific and budgetary overlap/duplication, as well as overcommitment with the project being proposed. Complete a current and pending support form (provided at [Research Funding Opportunities: How to Apply and Required Forms](#)) for each senior/key person (see footnote 1). Senior/key persons typically do not include undergraduate and graduate students. Include all current and pending support regardless of source. Senior/key persons will certify that the information contained in their current and pending support form is current, accurate, and complete. For applications selected for funding, EPA will require senior/key persons to update, as needed, their current and pending support disclosure prior to award and at any subsequent time the agency determines appropriate during the term of the award.

Current and pending research support means all resources made available, or expected to be made available, to an individual in support of the individual's research and development efforts, regardless of: (i) whether the source of the resource is foreign or domestic; (ii) whether the resource is made available through the entity applying for a research and development award or

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<sup>1</sup> Individual identified by the applicant and designated by EPA who will contribute in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency.

directly to the individual; or (iii) whether the resource has monetary value. Current and pending research support also includes in-kind contributions requiring a commitment of time and directly supporting the individual's research and development efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students.

Consistent with the [Guidance for Implementing National Security Presidential Memorandum 33 \(NSPM-33\) on National Security Strategy for United States Government-Supported Research and Development](#), senior/key persons are required to disclose contracts associated with participation in programs sponsored by foreign governments, instrumentalities, or entities, including foreign government-sponsored talent recruitment programs. Note that non-disclosure clauses associated with these contracts are not acceptable exemptions from this disclosure requirement.

Senior/key persons should disclose current or pending participation in, or applications to, programs sponsored by foreign governments, instrumentalities, or entities, including foreign government-sponsored talent recruitment programs.

Senior/key persons should disclose consulting activities when any of the following scenarios apply: (i) the consulting activity will require the senior/key person to perform research as part of the consulting activity; (ii) the consulting activity does not involve performing research, but is related to the senior/key person's research portfolio and may have the ability to impact funding, alter time or effort commitments, or otherwise impact scientific integrity; or (iii) the consulting entity has provided a contract that requires the senior/key person to conceal or withhold confidential financial or other ties between the senior/key person and the entity, irrespective of the duration of the engagement.

Senior/key persons should also disclose in-kind contributions with an estimated dollar value of \$5,000 or more not intended for use on the project/application being proposed and have an associated time commitment; postdoctoral scholars, students, or visiting scholars who are supported by an external entity, whose research activities are not intended for use on the project/application being proposed and have an associated time commitment; travel supported/paid by an external entity to perform research activities with an associated time commitment; startup company based on non-organization-licensed IP; and startup packages from other than the proposing organization.

For a complete listing of what information needs to be disclosed, please see **NSTC Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support** at [NSTC Research Security Subcommittee NSPM-33 Implementation Guidance Disclosure Requirements & Standardization](#).

**In accordance with Section 223(a)(1) of the *William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021* (42 USC 6605(a)(1)), senior/key persons are required to certify that the information provided in their current and pending support form is**



**current, accurate, and complete. Each senior/key person who provides a pending and support form must also provide a certification attesting that the information contained in the form is current, accurate, and complete.** Senior/key persons should add the certification as an additional page to their current and pending support form.

False representations may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§ 287, 1001, 1031 and 31 U.S.C. §§ 3729-3733 and 3802.

***Note to all prospective applicants requiring multiple Current and Pending Support Form***

***pages:*** Due to a limitation in Adobe Acrobat's forms functionality, additional pages cannot be directly inserted into the original PDF form and preserve the form data on the subsequent pages. Multiple page form submissions can be created in Acrobat 8 and later using the "PDF Package" option in the "Create PDF from Multiple Files" function. If you have an earlier version of Adobe Standard or Professional, applicants will need to convert each PDF page of the form to an EPS (Encapsulated Post Script) file before creating the PDF for submission. The following steps will allow applicants with earlier versions of Adobe Standard or Professional to create a PDF package:

1. Populate the first page of the PDF and save it as an EPS (Encapsulated Post Script) file.
2. Reopen the form and populate it with the data for page 2. Save this page as a different EPS file. Repeat for as many pages as necessary.
3. Use Acrobat Distiller to convert the EPS files back to PDF.
4. Open Acrobat Professional and combine the individual pages into a combined PDF file.

**vii) Applicant Current and Pending Support Certification (1 Page)**

The applicant's Authorized Organization Representative (AOR) is required to provide a certification that each individual employed by the organization and identified on the application as a senior/key person has been made aware of the certification requirements identified in the *William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021*, Section 223(a)(1) (42 USC 6605(a)(1)).

False representations may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§ 287, 1001, 1031 and 31 U.S.C. §§ 3729-3733 and 3802.

**viii) Guidelines, Limitations, and Additional Requirements**

**a. Letters of Intent/Letters of Support**

*Letters of intent* to provide resources for the proposed research or to document intended interactions are limited to one brief paragraph committing the availability of a resource (e.g., use of a person's time or equipment) or intended interaction (e.g., sharing of data, as-needed consultation) that is described in the Research Plan. EPA employees are not permitted to provide letters of intent for any application.

*Letters of support* do not commit a resource vital to the success of the application. A letter of support is written by businesses, organizations, or community members stating their support of the applicant's proposed project. EPA employees are not permitted to provide letters of support for any application.

Note: Letters of intent or support must be part of the application; letters submitted separately will not be accepted. Any letter of intent or support that exceeds one brief paragraph (excluding letterhead and salutations), is considered part of the Research Plan and is included in the 15-page Research Plan limit. Any transactions between the successful applicant and parties providing letters of intent or support financed with EPA grant funds are subject to the contract and subaward requirements described here at [EPA Solicitation Clauses](#).

b. Funding Opportunity Number(s) (FON)

At various places in the application, applicants are asked to identify the FON.

**The Funding Opportunity Number and Title are:**

EPA-G2024-STAR-D1, Air Quality Information: Making Sense of Air Pollution Data to Inform Decisions in Underserved Communities Overburdened by Air Pollution

By submitting an application in response to this solicitation, the applicant grants the EPA permission to make limited disclosures of the application to technical reviewers both within and outside the Agency for the express purpose of assisting the Agency with evaluating the application. Information from a pending or unsuccessful application will be kept confidential to the fullest extent allowed under law; information from a successful application may be publicly disclosed to the extent permitted by law.

**D. Submission Dates and Times**

Applications **must be transferred to Grants.gov no later than 11:59:59 pm Eastern Time** on the solicitation closing date. Applications transferred after the solicitation closing date and time will be deemed ineligible without further consideration. EPA will not accept any changes to applications after the solicitation closing date.

It should be noted that this schedule may be changed without prior notification because of factors not anticipated at the time of announcement. In the case of a change in the solicitation closing date, a new date will be posted on EPA's [Research Grants website](#) and a modification posted on [Grants.gov](#).

Solicitation Closing Date: **June 26, 2024, 11:59:59 pm Eastern Time** (applications *must* be submitted to Grants.gov by this time, see Section IV.F "Submission Instructions and Other Submission Requirements" for further information).

NOTE: Customarily, applicants are notified about evaluation decisions within six months of the solicitation closing date. Awards are generally made 9-12 months after the solicitation closing date.

### **E. Funding Restrictions**

The funding mechanism for all awards issued under STAR solicitations will consist of assistance agreements from the EPA. All award decisions are subject to the availability of funds. In accordance with the Federal Grant and Cooperative Agreement Act, 31 U.S.C. 6301 et seq., the primary purpose of an assistance agreement is to accomplish a public purpose of support or stimulation authorized by federal statute, rather than acquisition for the direct benefit or use of the Agency. In issuing a grant, the EPA anticipates that there will be no substantial EPA involvement in the design, implementation, or conduct of the research. However, the EPA will monitor research progress through annual reports provided by grantees and other contacts, including site visits (as needed), with the Principal Investigator(s).

EPA award recipients may incur allowable project costs 90 calendar days before the Federal awarding agency makes the Federal award. Expenses more than 90 calendar days pre-award require prior approval of EPA. All costs incurred before EPA makes the award are at the recipient's risk. EPA is under no obligation to reimburse such costs if for any reason the recipient does not receive a Federal award or if the Federal award is less than anticipated and inadequate to cover such costs.

If you wish to submit applications for more than one STAR funding opportunity you must ensure that the research proposed in each application is significantly different from any other that has been submitted to the EPA or from any other financial assistance you are currently receiving from the EPA or other federal government agency.

Collaborative applications involving more than one institution must be submitted as a single administrative package from one of the institutions involved.

Each proposed project must be able to be completed within the project period and with the initial award of funds. Applicants should request the entire amount of money needed to complete the project. Recipients should not anticipate additional funding beyond the initial award of funds for a specific project.

#### Coalitions

Groups of two or more eligible applicants may choose to form a coalition and submit a single application under this funding opportunity; 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 subrecipients of the recipient (the “pass-through entity”). *Subawards* must be consistent with the definition of that term in 2 CFR 200.1 and comply with EPA’s [Subaward Policy](#). The pass-through entity that administers the grant and subawards 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 200.332, subrecipients are accountable to the pass-through entity for proper use of EPA funding.

For-profit organizations are not eligible for subawards under this grant program but may receive procurement contracts. Any contracts for services or products funded with EPA financial assistance must be awarded under the competitive procurement procedures of 2 CFR Part 200 and/or 2 CFR Part 1500, as applicable. The regulations at 2 CFR 1500.10 contain limitations on the extent to which EPA funds may be used to compensate individual consultants. Refer to the [Best Practice Guide for Procuring Services, Supplies, and Equipment Under EPA Assistance Agreements](#) for guidance on competitive procurement requirements and consultant compensation. Do not name a procurement contractor (including a consultant) as a “partner” or otherwise in your application unless the contractor has been selected in compliance with competitive procurement requirements.

## **F. Submission Instructions and Other Submission Requirements**

*Please read this entire section before attempting an electronic submission through Grants.gov.*

*If you do not have the appropriate internet access to utilize the Grants.gov application submission process for this solicitation, see Section IV.A above for additional guidance and instructions.*

*Note: Grants.gov submission instructions are updated on an as-needed basis. Please provide your Authorized Organizational Representative (AOR) with a copy of the following instructions to avoid submission delays that may occur from the use of outdated instructions.*

1. SAM.gov (System for Award Management) Registration Instructions: Organizations applying to this funding opportunity must have an active SAM.gov registration. If you have never done business with the Federal Government, you will need to register your organization in SAM.gov. If you do not have a SAM.gov account, then you will create an account using [login.gov](#)<sup>2</sup> to complete your SAM.gov registration. SAM.gov registration is FREE. The process for entity registrations includes obtaining Unique Entity ID (UEI), a 12-character alphanumeric ID assigned an entity by SAM.gov, and requires assertions, representations and certifications, and other information about your organization. Please review the [Entity Registration Checklist](#) for details on this process.

If you have done business with the Federal Government previously, you can check your entity status using your government issued UEI to determine if your registration is active. SAM.gov requires you renew your registration every 365 days to keep it active.

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<sup>2</sup> Login.gov a secure sign in service used by the public to sign into Federal Agency systems including SAM.gov and Grants.gov. For help with login.gov accounts you should visit [the help center](#).

Please note that SAM.gov registration is different than obtaining a UEI only. Obtaining an UEI only validates your organization's legal business name and address. Please review the [Frequently Asked Question](#) on the difference for additional details.

Organizations should ensure that their SAM.gov registration includes a current e-Business (EBiz) point of contact name and email address. The EBiz point of contact is critical for Grants.gov Registration and system functionality.

Contact the [Federal Service Desk](#) for help with your SAM.gov account, to resolve technical issues or chat with a help desk agent: (866) 606-8220. The Federal Service desk hours of operation are Monday – Friday 8am – 8pm ET.

2. Grants.gov Registration Instructions: Once your SAM.gov account is active, you must register in Grants.gov. Grants.gov will electronically receive your organization information, such as e-Business (EBiz) point of contact email address and UEI. Organizations applying to this funding opportunity must have an active Grants.gov registration. Grants.gov registration is FREE. If you have never applied for a federal grant before, please review the [Grants.gov Applicant Registration](#) instructions. As part of the Grants.gov registration process, the EBiz point of contact is the only person that can affiliate and assign applicant roles to members of an organization. In addition, at least one person must be assigned as an Authorized Organization Representative (AOR). Only person(s) with the AOR role can submit applications in Grants.gov. Please review the [Intro to Grants.gov-Understanding User Roles](#) and [Learning Workspace – User Roles and Workspace Actions](#) for details on this important process.

Please note that this process can take a month or more for new registrants. 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 application submission deadline.

Contact [Grants.gov](#) for assistance at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov) to resolve technical issues with 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. The Grants.gov Support Center is available 24 hours a day 7 days a week, excluding federal holidays.

3. Application Submission Process: To begin the application process under this grant announcement, go to [Grants.gov](#) and click the red “Apply” button at the top of the view grant opportunity page associated with this opportunity.

The electronic submission of your application to this funding opportunity must be made by an official representative of your organization who is registered with Grants.gov and is authorized to sign applications for Federal financial assistance. If the submit button is grayed out, it may be because you do not have the appropriate role to submit in your organization. Contact your

organization's EBiz point of contact or contact [Grants.gov](https://www.grants.gov) for assistance at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

Applicants need to ensure that the Authorized Organization Representative (AOR) who submits the application through Grants.gov and whose UEI is listed on the application is an AOR for the applicant listed on the application. Additionally, the UEI listed on the application must be registered to the applicant organization's SAM.gov account. If not, the application may be deemed ineligible.

Please submit all of the application materials described below using the Grants.gov application package accessed using the instructions above.

The application package consists of the following mandatory documents.

(a) Application for Federal Assistance (SF 424): Complete the form except for the "competition ID" field.

(b) EPA Key Contacts Form 5700-54: Complete the form. If additional pages are needed, see (e) below.

(c) EPA Form 4700-4, Preaward Compliance Review Report for All Applicants and Recipients Requesting EPA Financial Assistance: Complete the form.

(d) SF-424A, Budget Information for Non-Construction Programs: Only complete "Section B-Budget Categories". Provide the object class budget category (a. - k.) amounts for each budget year under the "Grant Program, Function or Activity" heading. Each column reflects a separate budget year.

(e) Project Narrative Attachment Form: Attach a single electronic PDF file labeled "Application" that contains the items described in Section IV.C.5.i through IV.C.5.viii.a (Table of Contents, Abstract, Research Plan, Quality Assurance Statement, Human Subjects Research Statement, Scientific Data Management Plan, Community Engagement Plan, References, Budget Justification, Resumes, Current and Pending Support, Applicant Current and Pending Support Certification, and Letters of Intent/Support) of this solicitation. *In order to maintain format integrity, this file must be submitted in Adobe Acrobat PDF.* Please review the PDF file for conversion errors prior to including it in the electronic application package; requests to rectify conversion errors will not be accepted if made after the solicitation closing date and time. If Key Contacts Continuation pages (see [Research Funding Opportunities: How to Apply and Required Forms](#)) are needed, attach them using the Project Narrative Form.

**4. Application Submission Deadline:** Your organization's AOR must submit your complete application package electronically to EPA through [Grants.gov](https://www.grants.gov) no later than **June 26, 2024, 11:59:59 pm Eastern Time**. Please allow for enough time to successfully submit your application

and allow for unexpected errors that may require you to resubmit.

Applications submitted through Grants.gov will be time and date stamped electronically. Please note that successful submission of your application through Grants.gov does not necessarily mean your application is eligible for award. Any application submitted after the application deadline time and date deadline will be deemed ineligible and not be considered.

**5. Technical Issues with Submission:** If applicants experience technical issues during the submission of an application that they are unable to resolve, follow these procedures **before** the application deadline date:

- a. Contact Grants.gov Support Center **before** the application deadline date.
- b. Document the Grants.gov ticket/case number.
- c. Send an email with the FON (EPA-G2024-STAR-D1) in the subject line to [electronic-grant-submissions@epa.gov](mailto:electronic-grant-submissions@epa.gov) **before** the application deadline time and date and it **must** include the following:
  - i. Grants.gov ticket/case number(s)
  - ii. Description of the issue
  - iii. The entire application package in PDF format.

Without this information, EPA may not be able to consider applications submitted outside of Grants.gov. Any application submitted after the application deadline time and date deadline will be deemed ineligible and **not** be considered.

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

EPA will make decisions concerning acceptance of each application submitted outside of Grants.gov on a case-by-case basis. EPA will only consider accepting applications that were unable to submit through Grants.gov due to [Grants.gov](https://www.grants.gov) or relevant [SAM.gov](https://www.sam.gov) system issues or for unforeseen exigent circumstances, such as extreme weather interfering with internet access. Failure of an applicant to submit prior to the application submission deadline date because they did not properly or timely register in SAM.gov or Grants.gov is **not** an acceptable reason to justify acceptance of an application outside of Grants.gov.

## **V. APPLICATION REVIEW INFORMATION**

Note: Additional provisions that apply to this section can be found at [EPA Solicitation Clauses](#).

### **A. Peer Review**

All eligible grant applications are reviewed by appropriate external technical peer reviewers based on the criteria and process described below. This review is designed to evaluate each application according to its scientific merit. The individual external peer reviewers include non-

EPA scientists, engineers, social scientists, and/or economists who are accomplished in their respective disciplines and proficient in the technical subjects they are reviewing.

Prior to the external technical peer review panel meeting, all reviewers will receive access to electronic copies of all applications. Each application will be assigned to a minimum of three primary peer reviewers, one of whom will be assigned the role of Rapporteur. Each reviewer will be assigned up to approximately 10 applications on which to serve as a primary reviewer. During the review period leading up to the panel meeting, primary reviewers read the entire application package for each application they are assigned. The primary reviewers will also prepare a written individual evaluation for each assigned application that addresses the peer review criteria described below and rate the application with a score of Excellent, Very Good, Good, Fair, or Poor. To promote a better panel discussion, all reviewers must, at a minimum, read the abstracts of all applications.

At the beginning of the panel meeting, each primary reviewer will report their ratings for the applications they reviewed. Those applications receiving at least two ratings of *Very Good* or one rating of *Excellent* from among the primary reviewers will then be further discussed by the entire panel in terms of the peer review criteria below. In addition, if there is one *Very Good* rating among the primary reviewers of an application, the primary reviewer, whose initial rating is the *Very Good*, may request discussion of the application by the peer review panel. All other applications will be declined for further consideration.

After the discussion of an application by the panel, the primary reviewers may revise their initial ratings and if they do so, this will also be documented. The final ratings of the primary reviewers will then be translated by EPA into the final peer review score (Excellent, Very Good, Good, Fair or Poor) for the application. This is reflected in a peer review results document developed by the Rapporteur which combines the individual initial and final evaluations of the primary reviewers and captures any substantive comments from the panel discussion. This score will be used to determine which applications undergo the internal relevancy and past performance review discussed below. A peer review results document is also developed for applications that are not discussed. However, this document is a consolidation of the individual primary reviewer initial evaluations, with an average of the scores assigned by the primary reviewers.

As noted in this funding opportunity, EPA is soliciting applications with and without MSI partnerships. There will be separate ranking lists, one list will be comprised of applications not involving an MSI partnership and the other of applications involving MSI partnerships. As explained further below, selections will be made based on both lists.

Peer reviewers consider an application's merit based on the extent to which the application demonstrates the criteria below. Criteria are listed in descending order of importance (i.e., Criteria 1 has the heaviest weight).

1. **Research Merits** (subcriteria are in descending order of importance):



- a. The degree to which the application demonstrates that the research is original and contributes to the scientific knowledge in the topic area. And the degree to which the application demonstrates that the project (and its approach) is defensible and technically feasible, and uses appropriate and adequate research methods.
  - b. The degree to which the application demonstrates that the project results will produce benefits to the public (such as improvements to the environment or human health) and will be disseminated to enhance scientific and technological understanding.
2. **Responsiveness:** The degree to which the application demonstrates that the research is responsive to the objectives and research areas of interest specified by the funding opportunity, including whether the application addresses both of the research areas described in Section I.E.
3. **Project Management** (subcriteria are equally weighted):
- a. **Investigators:** The degree to which the application demonstrates that the Principal Investigator(s) and other key personnel have the appropriate qualifications to effectively perform the project (including research training, demonstrated knowledge of pertinent literature, experience and publication records).
  - b. **Management:** The degree to which the application demonstrates that the project will be adequately managed to ensure the timely and successful achievement of objectives using appropriate project schedules and milestones. And the degree to which the application demonstrates the applicant will adequately track and measure progress toward achieving expected results (outputs and outcomes).
  - c. **Resources and Cost Controls:** The degree to which the application demonstrates that the facilities, equipment and budget are appropriate, adequate, and available. And the degree to which the application demonstrates that well-defined and acceptable approaches, procedures and controls are used to ensure timely and efficient expenditure of awarded grant funds.
4. **Environmental Justice** (subcriteria are equally weighted):
- a. The degree to which the application demonstrates how the project will address the disproportionate and adverse human health, environmental, climate-related and other cumulative impacts described in Section I of the solicitation, as well as the accompanying economic challenges of such impacts, resulting from industrial, governmental, commercial and/or other actions that have affected and/or currently affect the underserved communities described in Section I of the solicitation.

- b. The degree to which the project benefits the underserved communities including those that have experienced a lack of resources or other impediments to addressing the impacts identified above that affect their community.

5. **Community Engagement Plan** (subcriteria are equally weighted):

- a. The degree to which the Plan clearly defines the community of focus for this project and explains why the community partner(s) are an appropriate set of collaborators for the proposed work. If an applicant does not plan on collaborating/engaging with other groups in project performance, the degree to which the Plan clearly describes how the applicant will be able to effectively perform and complete the project without such collaboration/engagement will be evaluated.
- b. The degree to which the Plan clearly describes the type of collaboration/engagement proposed and what role it will play in the overall project including the degree of partner/community input or engagement in the conceptualization, hypothesis/question development, design, methods, analyses and implementation of the research. This includes the degree to which the Plan addresses engagement with underserved communities, especially local residents in these communities who will be affected by the project, to ensure their meaningful involvement with respect to the design, project planning, and performance of the project. If an applicant does not plan on collaborating/engaging with other groups in project performance, the degree to which the Plan clearly describes how the applicant will be able to effectively perform and complete the project without such collaboration/engagement will be evaluated.
- c. The degree to which the Plan clearly describes how the collaboration/engagement will: 1) enhance the overall impact of the project such that the project results are applicable and useable by impacted communities and address the needs and concerns of underserved communities, 2) effectively communicate risk and translate scientific results into easily understandable outreach and education materials; and 3) help build capacity for impacted communities and/or community-based organizations to address their needs and concerns related to the research areas described in Section I.E (Specific Research Areas of Interest) beyond the lifetime of the project. If an applicant does not plan on collaborating/engaging with other groups in project performance, the degree to which the Plan clearly describes how the aforementioned activities will be effectively performed and completed without such collaboration/engagement will be evaluated.
- d. The degree to which the Plan clearly describes how project activities will be coordinated with related or complementary projects and studies.
- e. The degree to which the Plan clearly describes how the proposed collaboration/engagement will materialize during the project along with evidence of the partner(s)' intent to participate. If an applicant does not intend to collaborate/engage with

respect to the project, then the applicant will be evaluated based on how well it demonstrates that it can effectively perform and complete the project without such collaboration/engagement.

## **B. Relevancy Review**

Applications receiving final peer review scores of Excellent or Very Good will then undergo an internal relevancy review, as described below, conducted by experts from the EPA, including individuals from the Office of Research and Development (ORD) and program and regional offices involved with the science or engineering proposed. All other applications are automatically declined. The purpose of the relevancy review is to ensure an integrated research portfolio for the Agency and help determine which applications to recommend for award.

Prior to the relevancy review panel meeting, all relevancy reviewers will receive electronic copies of all applications that passed peer review as well as a full set of abstracts for the applications. Each application will be assigned to a minimum of three primary relevancy reviewers, one of whom will be assigned the role of Rapporteur. Each reviewer will be assigned up to approximately 10 applications on which to serve as a primary relevancy reviewer. During the review period leading up to the relevancy review panel meeting, all reviewers will be instructed to read the full set of abstracts and the entire application package for each application they are assigned. They will also prepare a written individual evaluation for each assigned application that addresses the relevancy review criteria described below and rate the application with a score of A, high relevance to EPA mission; B, relevant to EPA mission; C, moderately relevant to EPA mission; D, possibly relevant to EPA mission; or E, not relevant to EPA mission.

All applications that pass peer review will be discussed by the relevancy review panel with the Rapporteur initiating the discussion. If the primary relevancy reviewers revise their initial scores after the discussion by the panel they will document the reasons for the revisions. After the discussion, the primary relevancy reviewers will provide their final score for the applications they are assigned. The final ratings of the primary reviewers will then be translated by EPA into the final relevancy review score (A, B, C, D, or E) for the application.

The final relevancy review score (A, B, C, D, or E) and final peer review score (Excellent or Very Good) will be used to place each application in one of 6 ranking tiers: Tier 1 = A/Excellent; Tier 2 = A/Very Good or B/Excellent; Tier 3 = B/Very Good or C/Excellent; Tier 4 = C/Very Good or D/Excellent; Tier 5 = D/Very Good; Tier 6 = E/Excellent or E/Very Good.

The internal relevancy review panel will assess the relevancy of the proposed research to the EPA's mission and priorities based on the following criteria that are listed in descending order of importance (i.e., Criteria 1 has the heaviest weight):

1. The degree to which the proposed science/research is relevant to EPA's priorities as described in Goal 4: Ensure Clean and Healthy Air for All Communities, Objective 4.1: Improve Air

Quality and Reduce Localized Pollution and Health Impacts, of EPA's [FY2022-2026 Strategic Plan](#).

2. The degree to which results (i.e., outputs/outcomes) of the research have broad application or affect large segments of society.
3. The degree to which the research is designed to produce data and methods that can immediately and/or with little to no translation be utilized by the public, states, and tribes to better assess or manage environmental problems.

### **C. Past Performance History Review**

Those applicants who received final scores of Excellent or Very Good as a result of the peer review process will also be asked to provide additional information for the past performance history review pertaining to the proposed Lead PI's (in the case of Multiple-PI applications, the Contact PI's) "Past Performance and Reporting History." The applicant must provide the EPA with information on the proposed Lead/Contact PI's past performance and reporting history under prior Federal agency assistance agreements (assistance agreements include grants and cooperative agreements but not contracts) in terms of: (i) the level of success in managing and completing each agreement, (ii) history of meeting the reporting requirements and documenting progress towards achieving the expected results (outputs/outcomes) under each agreement, and (iii) whether journal publications or author manuscripts associated with the journal publications, and the associated underlying scientific research data and metadata, resulting from those agreements were made publicly accessible.

This information is required only for the proposed Lead/Contact PI's performance under Federal assistance agreements performed within the last five years.

Past performance history review scores are satisfactory (S), nothing to report (NTR) or unsatisfactory (U). For purposes of consideration of an award, scores of S will be considered favorable, NTR will be considered neither favorable nor unfavorable and scores of U will be considered unfavorable and unlikely to result in an award recommendation. Scores of S and U must be justified by the reviewer, with scores of U clearly documented to explain why past performance history cannot be considered satisfactory.

The specific information required for each agreement is shown below and must be provided within one week of EPA's request. A maximum of three pages will be permitted for the response; excess pages will not be reviewed. **Note: If no prior past performance information and/or reporting history exists, you will be asked to so state.**

1. Name of Awarding Agency
2. Grant/Cooperative agreement number
3. Grant/Cooperative agreement title
4. Grantee Institution
5. Brief description of the grant/cooperative agreement

6. A discussion on whether the agreement was successfully managed and completed; if not successfully managed and completed, provide an explanation
7. Information relating to the proposed Lead/Contact PI's past performance in reporting on progress towards achieving the expected results (outputs/outcomes) under the agreement and meeting reporting requirements under the agreement. Include the history of submitting acceptable and timely progress/final technical reports, describe how progress towards achieving the expected results was reported/documented and if such progress was not being made, provide an explanation of whether and how this was reported
8. Information relating to whether journal publications or author manuscripts associated with the journal publications, and the associated underlying scientific research data and metadata, resulting from those agreements were made publicly accessible (and if not, explain why not; or explain why this requirement does not apply) to the extent permissible under applicable laws and regulations
9. Total (all years) grant/cooperative agreement dollar value
10. Project period
11. Technical contact (project officer), telephone number and Email address (if available)

In evaluating applicants under the past performance history factor, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current/prior grantors (e.g., to verify and/or supplement the information provided by the applicant). **If you do not have any relevant or available past performance or past reporting information, please indicate this in your response and you will receive a nothing to report (NTR) score for these factors assuming EPA does not have any information in its files or from other sources that can be considered. If you do not provide any response for these items, you may receive an unsatisfactory (U) score for these factors.**

The past performance history review will be conducted by the EPA and will assess the following criteria which are of equal weight:

1. History of successfully managing and completing these prior Federal assistance agreements, including whether there is a satisfactory explanation for any lack of success.
2. History in meeting reporting requirements under the prior agreements and reporting progress toward achieving results (outputs/outcomes) under these agreements, including the proposed Lead/Contact PI's history of submitting acceptable and timely progress/final technical reports that adequately describe the progress toward achieving the expected results under the agreements. Any explanation of why progress toward achieving the results was not made will also be considered.
3. History of whether journal publications or author manuscripts associated with the journal publications, and the associated underlying scientific research data and metadata, resulting from these prior assistance agreements were made publicly accessible, and if not whether the

Lead/Contact PI adequately explained why not, or the Lead/Contact PI explained why the requirement does not apply.

#### **D. Human Subjects Research Statement (HSRS) Review**

Applications being recommended for funding after the Relevancy and Past Performance Review that involve human subjects research studies will have their HSRS reviewed prior to award. The local EPA Human Subjects Officer (HSO) will review the information provided in the HSRS and the Research Plan to determine if the ethical treatment of human subjects is described in a manner appropriate for the project to move forward. The HSO may consult with the EPA Human Subjects Research Review Official (HSRRO) as appropriate. The HSRRO may determine that an application cannot be funded if it is inconsistent with EPA's regulations at 40 CFR Part 26.

#### **E. Scientific Data Management Plan (SDMP) Review**

EPA will evaluate the merits of the SDMPs for those applications recommended for award. The SDMPs for those applications not recommended for award will not be reviewed. The SDMPs of all applications recommended for award will be evaluated to ensure they are appropriate and adequate (e.g., describe the types of scientific research data and metadata to be collected and/or generated under the proposed research award and include plans for providing long-term preservation of, and public access to, the scientific research data and metadata). SDMPs that indicate the proposed research will not result in the generation and/or collection of scientific research data will also be evaluated to ensure the proposed research will not result in the generation and/or collection of scientific research data and therefore not require a more comprehensive SDMP. Applicants may be contacted regarding their SDMP if additional information is needed or if revisions are required prior to award. If upon review of the SDMP, EPA identifies any issues with the plan, EPA will raise these issues to the applicant, so they may be addressed. Applicants with an unsatisfactory SDMP will not receive an award.

#### **F. Quality Assurance Statement (QAS) Review**

EPA will evaluate the merits of the QAS for those applications recommended for award. The QAS for those applications not recommended for award will not be reviewed. The QAS of all applications recommended for award will be evaluated to ensure they are appropriate and adequate. If upon review of the QAS, EPA identifies any issues with the QAS, EPA will raise these issues to the applicant, so they may be addressed. Applicants with an unsatisfactory QAS will not receive an award.

#### **G. Funding Decisions**

EPA intends to select 8 applications for award, including up to half of the awards to applicants that partner with MSIs (as defined in Section I.A). This is an estimate only and is subject to change based on funding levels, the quality of applications received, and other applicable considerations. EPA reserves the right to change the ratio of awards going to applications with

and without MSI partnerships based on the results of the competition and Agency priorities. For selection purposes, EPA's Office of Research and Development will prepare two ranked lists of applications: one list will be comprised of applications not involving an MSI partnership and the other of applications involving MSI partnerships. Selections will be made based on the rankings in both lists.

Final funding decisions are made by the ORD selection official based on the ranking tier, the past-performance history review, the evaluation of the SDMP, the evaluation of the QAS, and, where applicable, the assessment of the applicant's human subjects research (see Section IV.C.5.iii.c). In addition, in making the final funding decisions, the ORD selection official may also consider program balance, the ratio of awards with and without MSI partnerships, potential scientific and/or commitment duplication/overlap, disclosure of support, and available funds. Applicants selected for funding will be required to provide additional information listed below under "Award Notices." The application will then be forwarded to EPA's Grants Management and Business Operations Division for award in accordance with the EPA's procedures.

## **VI. AWARD ADMINISTRATION INFORMATION**

Note: Additional provisions that apply to this section can be found at [EPA Solicitation Clauses](#).

### **A. Award Notices**

Customarily, applicants are notified about evaluation decisions within six months of the solicitation closing date. Applicants to be recommended for funding will be required to submit additional certifications and an electronic version of the revised project abstract. They may also be asked to provide responses to comments or suggestions offered by the peer reviewers and/or submit a revised budget. The EPA Project Officer will contact the Lead PI/Contact PI to obtain these materials. Before or after an award, applicants may be required to provide additional quality assurance documentation.

The official notification of an award will be made by the Agency's Grants Management and Business Operations Division. Applicants are cautioned that only a grants officer is authorized to bind the Government to the expenditure of funds; preliminary selection by the ORD selection official does not guarantee an award will be made. For example, statutory authorization, funding or other issues discovered during the award process may affect the ability of EPA to make an award to an applicant. The award notice, signed by an EPA grants officer, is the authorizing document and will be provided through electronic or postal mail.

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

Expectations and responsibilities of ORD grantees and cooperative agreement recipients are summarized in this section, although the terms grants and cooperative agreements are used interchangeably.

## **1. Meetings**

Principal Investigators will be expected to budget for, and participate in, All-Investigators Meetings (also known as progress reviews) approximately once per year with EPA scientists and other grantees to report on research activities and discuss issues of mutual interest.

## **2. Approval of Changes after Award**

Prior written approval of changes may be required from EPA. Examples of these changes are contained in 2 CFR 200.308. Note: prior written approval is also required from the EPA Award Official for incurring costs more than 90 calendar days prior to award.

## **3. Human Subjects**

A grant applicant must agree to comply with all applicable provisions of EPA Regulation 40 CFR Part 26 (Protection of Human Subjects). In addition, grant applicants must agree to comply with EPA's procedures for oversight of the recipient's compliance with 40 CFR Part 26, as given in EPA Order 1000.17A (Policy and Procedures on Protection of Human Research Subjects in EPA Conducted or Supported Research). As per this Order, no human subject may be involved in any research conducted under this assistance agreement, including recruitment, until the research has been approved or determined to be exempt by the EPA Human Subjects Research Review Official (HSRRO) after review of the approval or exemption determination of the Institutional Review Board(s) (IRB(s)) with jurisdiction over the research under 40 CFR Part 26. Following the initial approvals indicated above, the recipient must, as part of the annual report(s), provide evidence of continuing review and approval of the research by the IRB(s) with jurisdiction, as required by 40 CFR 26.109(e).

Guidance for investigators conducting EPA-funded research involving human subjects may be obtained here:

[Basic Information about Human Subjects Research](#)  
[Protection of Human Subjects](#)

## **4. Data Access and Information Release**

EPA's requirements associated with data access and information release as well as copyrights, may be accessed at [EPA Solicitation Clauses](#).

Congress, through OMB, has instructed each federal agency to implement Information Quality Guidelines designed to "provide policy and procedural guidance...for ensuring and maximizing the quality, objectivity, utility, and integrity of information, including statistical information, disseminated by Federal agencies." The EPA's implementation may be found at [Information Quality Guidelines](#). These procedures may apply to data generated by grant recipients if those data are disseminated as described in the Guidelines.



## **5. Reporting**

A grant recipient must agree to provide annual performance progress reports, with associated summaries, and a final report with an executive summary. The summaries will be posted on EPA's Research Grants website. The reports and summaries should be submitted electronically to the Technical Contact named in Section VII of this announcement.

A grant recipient must agree to provide copies of, or acceptable alternate access to (e.g., web link), any peer reviewed journal article(s) resulting from the research during the project period. In addition, the recipient should notify the ORD Project Officer of any papers published after completion of the grant that were based on research supported by the grant. ORD posts references to all publications resulting from a grant on [EPA's Research Grants website](#).

## **6. Acknowledgement of EPA Support**

EPA's full or partial support must be acknowledged in journal articles, oral or poster presentations, news releases, interviews with reporters and other communications. The acknowledgement to be included in any documents developed under this agreement that are intended for distribution to the public or inclusion in a scientific, technical or other journal will be provided in the award's terms and conditions.

## **VII. AGENCY CONTACTS**

Further information, if needed, may be obtained from the EPA contacts indicated below. Information regarding this funding opportunity obtained from sources other than these Agency Contacts may not be accurate. Email inquiries are preferred.

Technical Contact: Serena Chung; phone: 202-604-9084; email: [chung.serena@epa.gov](mailto:chung.serena@epa.gov)  
Eligibility Contact: Ron Josephson; phone: 202-564-7823; email: [josephson.ron@epa.gov](mailto:josephson.ron@epa.gov)  
Electronic Submissions Contact: [electronic-grant-submissions@epa.gov](mailto:electronic-grant-submissions@epa.gov)