



# Solicitation for Research Grant Proposals - 1992 Exploratory Research Grants

This document has not been submitted to NTIS, therefore it should be retained.

## Introduction

The U. S. Environmental Protection Agency (EPA), through its Office of Exploratory Research (OER), is seeking grant applications to conduct exploratory environmental research in biology, chemistry, physics, engineering, or socioeconomics. Investigations are sought in these research disciplines which focus on any aspect of pollution identification, characterization, abatement or control, or address the effects of pollutants on the environment. In addition, research is sought on environmental policy and its social and economic consequences.

This solicitation only concerns the research grants administered by EPA's Office of Exploratory Research, and outlines procedures for receiving grant assistance from that office.

In addition to this general annual solicitation, applications are sought periodically through more narrowly defined proposal requests, referred to as Requests for Applications (RFA). While this document does not contain any RFA solicitations, it does provide an announcement of tentative RFA titles and approximate issue dates for each proposed RFA.

## Application Procedures

### *General Grants Program*

Application forms, instructions, and other pertinent information for assistance programs are available in the EPA Research Grants Application/Information Kit. Interested investigators should review the materials in this kit before preparing an application for assistance. The kits are available from:

Grants Operations Branch  
Grants Administration Division (PM-216F)  
U.S. Environmental Protection Agency  
401 M Street, SW  
Washington, DC 20460  
(202) 260-5266

or

Office of Exploratory Research (RD-675)  
U.S. Environmental Protection Agency  
401 M Street, SW  
Washington, DC 20460  
(202) 260-7473

Proposed projects must be investigative research. Proposals will not be accepted that are state-of-the-art or market surveys, development of proven concepts, or the preparation of materials and documents, including process designs or instruction manuals.

Fully developed research grant applications, prepared in accordance with instructions in the Application for Federal Assistance Form SF-424, should be sent to the Grants Operations Branch at the above address. One copy of the application with original signatures plus eight copies are required. Informal, incomplete or unsigned proposals will not be considered.

The following special instructions apply to all applicants responding to this solicitation:

Applications must be identified by printing "OER-92" in the upper right hand corner of Application Form SF-424. The absence of this identifier from an application may lead to delayed processing or misassignment of the application.

U.S. Environmental Protection Agency  
Region 5, Library (PL-12J)  
77 West Jackson Boulevard, 12th Floor  
Chicago, IL 60604-3590

The project narrative section of the application must not exceed twenty-five 8 1/2 x 11 inch, consecutively numbered pages of standard type (10-12 characters per inch), including tables, graphs and figures. For purposes of this limitation, the "project narrative section" of the application consists of the following items in the Application/Information Kit:

- (1) Description of Project
- (2) Objectives
- (3) Results or Benefits Expected
- (4) Approach
- (5) General Project Information
- (6) Quality Assurance (if needed)

Attachments, appendices and reference lists for the narrative section may be included, but come under the 25 page limitation. The SF-424 and other forms, itemized budget, resumes, and the abstract are not included in the 25 page limitation.

Resumes must not exceed two pages for each principal investigator and should focus on education, positions held and most recent or related publications.

A one page abstract must be included with the application.

Applications not meeting these requirements will not be forwarded to reviewers. Applicants will be notified of deficiencies and requisite changes will be requested.

While applications responding to this solicitation may be received by EPA at any time, they are evaluated on specific dates which are different for each disciplinary area. Closing dates and appropriate contacts within EPA are listed in Table 1. Generally, all funding decisions on applications are made within 6 months of the application's closing date.

Applicants should contact the appropriate individuals identified in Table 1 for further information on schedules and review procedures. Their address and phone number are:

Office of Exploratory Research (RD-675)  
U.S. Environmental Protection Agency  
401 M Street, SW  
Washington, DC 20460  
(202) 260-7473

**Table 1. Closing Dates and Contacts—General Solicitation**

Discipline	Application Closing Dates	Contact
Biology	March 16, 1992	Clyde Bishop
Health	N/A	Clyde Bishop
Chem/Physics Air	March 6, 1992	Deran Pashayan
Chem/Physics Water/Soil	March 16, 1992	Louis Swaby
Engineering	April 16, 1992	Louis Swaby
Socioeconomics	March 25, 1992	Robert Papetti

## Targeted Grants Program

The Office of Exploratory Research addresses specific research topics which appear to merit extra emphasis or special attention by issuing a separate RFA for each such topic. The RFA is a mechanism by which a formal announcement is released describing a high priority initiative in well defined scientific areas.

Applicants are invited to submit research applications for a one-time competition using the standard Application for Federal Assistance Form SF-424 and other forms described in the Grant Application Kit. One copy of the application with original signatures plus eight copies should be mailed directly to the Grants Operations Branch at the above address.

The deadline for receipt of applications is identified in the RFA announcement.

As in the case of the general grants program, an application for a targeted grant is only considered when a fully developed proposal is submitted. Special guidelines and limitations tailored to each RFA will be published in the individual RFA announcements.

In FY-1992, OER expects to issue two RFAs. Tentative titles and other information relevant to each RFA are provided in Table 2.

Unless otherwise identified in individual RFAs, procedures, guidelines and limitations are the same for grants issued under the general and targeted grants programs.

This document does not constitute an RFA for any of the topics listed here. The RFAs will be published in the *Federal Register* in December 1991.

**Table 2. Tentative RFA Titles**

RFA Title	Approximate Issue Date	Contact
Biomarkers of Priority Pollutants in Immunotoxicology, Neurotoxicology and Teratology	December 1991	Clyde Bishop
Improved Pump and Treat Processes for Remediation of Superfund Sites	December 1991	Louis Swaby

## Guidelines and Limitations for the General Solicitation

The typical grant issued by OER is for approximately \$100,000 per year for two or three years. Funding levels range from a minimum of about \$40,000 to approximately \$150,000 per year. All budget costs and justifications, particularly requests for equipment, will be carefully reviewed. The maximum project period is three years; shorter periods are encouraged. Subcontracts for research to be conducted under the grant should not exceed approximately 40% of the

total direct cost of the grant for each year in which the subcontract was awarded.

### *Eligibility*

The following eligibility requirements apply to both general and targeted grants:

Nonprofit and educational institutions, and state or local governments are eligible under all existing authorizations. Profit-making firms are eligible only under certain laws, and then under restrictive conditions, including the absence of any profit from the project.

Potential applicants who are uncertain of their eligibility should study the restrictive language of the law governing the area of research interest or contact EPA's Grants Operations Branch at (202) 260-5266.

Federal agencies and federal employees are not eligible to participate in this program.

Investigators at minority institutions or those who have not previously received support are encouraged to submit applications.

### *Funding Mechanisms*

For all general and targeted grants, the funding mechanism will consist of a grant agreement between EPA and the recipient.

Federal grant regulation 40 CFR 30.307 requires that all recipients provide a minimum of 5% of the total project cost, which may not be taken from Federal sources. OER will not support a request for a deviation from this requirement for any grant supported by its Research Grants Program.

### *Review Process*

All general and targeted grant applications are initially reviewed by the Agency to determine their legal and administrative acceptability.

Acceptable applications are then reviewed by an appropriate peer review panel. This review is designed to evaluate and rank each proposal according to its scientific merit and utility as a basis for recommending Agency approval or disapproval. Each peer review panel is composed primarily of non-EPA scientists, engineers and economists who are experts in their respective disciplines.

The panels use the following criteria in their reviews:

- Quality of the research plan (including theoretical and/or experimental design, originality, and creativity)
- Qualifications of the principal investigator and staff including knowledge of subject area
- Utility of the research including potential contribution to scientific knowledge
- Availability and adequacy of facilities and equipment
- Budgetary justification — in particular justification and cost requests for equipment will be carefully reviewed

A summary of the scientific review and recommendation of the panel is provided to each applicant.

### *Minority Institutions Assistance*

Preapplication assistance is available upon request from potential investigators representing institutions identified by the Secretary of Department of Education as Historically Black Colleges or Universities (HBCUs) or the Hispanic Association of Colleges and Universities (HACUs).

The application Form SF-424, instructions, subject areas, and review procedures are the same as those for the general grants program.

For further information, contact:

Virginia Broadway  
U.S. Environmental Protection Agency (RD-675)  
401 M Street, SW  
Washington, DC 20460  
(202) 260-7473

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