

US EPA ARCHIVE DOCUMENT

## OVERVIEW SECTION

**AGENCY:** ENVIRONMENTAL PROTECTION AGENCY (EPA)

**TITLE:** “MARKET-BASED APPROACHES TO REDUCING GREENHOUSE GAS EMISSIONS THROUGH ENERGY EFFICIENCY IN HOMES AND BUILDINGS”

**ACTION:** Request for Initial Proposals (RFIP) – Initial Announcement

**RFIP NO.:** OAR-CPPD-05-03

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO.:** 66.034

**DATES:** The closing date and time for receipt of Initial proposals is April 25, 2005, 4:00 p.m. EST. All applications, however transmitted, must be received in the Program Office by the closing date and time to receive consideration.

Final applications will be accepted, only, from those eligible entities whose Initial Proposal has been successfully evaluated and recommended for award. EPA will notify applicants whose Initial Proposal have been recommended for award not later than May 16, 2005. The closing date and time for receipt of Final Proposals is May 27, 2005, 4:00 p.m. EST.

**SUMMARY:** This notice announces the availability of funds and solicits proposals to advance national, regional, and local energy efficiency programming by utilizing market-based approaches to program design and delivery. Proposals submitted for consideration should: (1) identify unique constituencies and approaches or channels for working with stakeholders; (2) demonstrate an understanding of the technologies and market structure for delivery of the technologies, or best practices, to end users; (3) identify market barriers to greater adoption of energy efficient technologies, or best practices, (4) delineate strategies for overcoming barriers identified.

**FUNDING/AWARDS:** The total estimated funding for this competitive opportunity shall not exceed \$1,350,000.00. In FY 2005, total funding shall not exceed \$450,000.00. EPA anticipates award of 2-3 grants, ranging in annual value from \$50,000-\$80,000, as a result of this competitive opportunity. Additionally, award of one cooperative agreement, whose annual value shall not exceed \$200,000 is possible, subject to the availability of funds and quality of evaluated proposals.

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## Section I - Funding Opportunity Description.

### **A. Background.**

The Climate Protection Partnerships Division (CPPD) is committed to reducing greenhouse gases through energy-efficiency and cost-effective partnerships with industries in all sectors of our economy where emissions reductions can be achieved. ENERGY STAR, one of CPPD's dynamic government/industry partnerships, offers businesses and consumers energy-efficient solutions, making it easy to save money while protecting the environment for future generations.

In 1992, the U.S. Environmental Protection Agency (EPA) introduced ENERGY STAR as a voluntary labeling program designed to identify and promote energy-efficient products to reduce greenhouse gas emissions. Computers and monitors were the first labeled products. Through 1995, EPA expanded the label to additional office equipment products and residential heating and cooling equipment. In 1996, EPA partnered with the US Department of Energy (DOE) for particular product categories. The ENERGY STAR label is now on major appliances, office equipment, lighting, consumer electronics, and more. EPA has also extended the label to cover new homes and commercial and industrial buildings. Through the partnerships with more than 7,000 private and public sector organizations, ENERGY STAR delivers the technical information and tools that organizations and consumers need to choose energy-efficient solutions and best management practices.

The Climate Protection Partnerships Division seeks to further enhance delivery of energy efficient products to the residential and commercial sectors, as well as services and best practices to the commercial and industrial marketplace by funding proposals that advance improvement in national, regional, and local energy efficiency programming.

### **B. EPA Strategic Plan Linkage and Anticipated Outcomes/Outputs.**

1. **Linkage to EPA Strategic Plan.** This project supports progress towards EPA Strategic Plan Goal 1(Clean Air and Global Climate Change),Objective 1.5 (Reduce Greenhouse Gas Intensity). This project supports EPA efforts in fostering voluntary energy efficiency improvements with the goal of reducing carbon dioxide emissions.
2. **Outcomes.** Through this project, EPA hopes to reduce emissions of greenhouse gases by creating a lasting change in the market for energy efficient products, services, and/or best practices.
3. **Outputs.** The anticipated output for this project may include educational and outreach materials, conferences and training, and other programs, policies and activities that will result in increased use of strategic energy management practices and the increased purchase of energy efficient products as a means to reduce greenhouse gas emissions.

### **C. Scope-of-Work.**

The Climate Protection Partnerships Division seeks to fund proposals that advance national, regional, and local energy efficiency programming by utilizing market-based approaches to program design and delivery. CPPD seeks proposals that demonstrate potential to create lasting change in the market for energy efficient products, services, and best practices.

Proposals may address one or more of the following concerns:

- Improving energy performance in the residential market through increased use of high-efficiency products
- Increasing supply/market share for high efficiency products through retail, e-tail, and other sales outlets
- Delivering improved energy performance to existing commercial buildings (e.g., offices, schools, hotels, hospitals, supermarkets, etc.) through technology or practice
- Promoting improved energy performance in the commercial new construction market

Proposals submitted for consideration should: (1) identify unique constituencies and approaches or channels for working with stakeholders; (2) demonstrate an understanding of the technologies and market structure for delivery of the technologies, or best practices, to end users; (3) identify market barriers to greater adoption of energy efficient technologies, or best practices, (4) delineate strategies for overcoming barriers identified.

Eligible entities are encouraged to submit multi-year applications. The final assistance agreement must be completed within an awarded period of performance from 24 to 36 months.

#### **D. Supplementary Information.**

The statutory authority for this action is Clean Air Act, Section 103(b)(3) which authorizes the award of grants for research, investigations, experiments, demonstrations, surveys, and studies related to the causes, effect, extent, prevention and control of air pollution.

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

##### **A. What is the amount of funding available?**

The total estimated funding for this competitive opportunity shall not exceed \$1,350,000.00. In FY 2005, total funding shall not exceed \$450,000.00.

##### **B. How many agreements will EPA award in this competition?**

EPA anticipates award of 2-3 grants, ranging in annual value from \$50,000-\$80,000, as a result of this competitive opportunity. Additionally, award of one cooperative agreement, whose annual value shall not exceed \$200,000 is possible, subject to the availability of funds and quality of evaluated proposals.

Cooperative agreements permit substantial involvement between the EPA Project Officer and the selected applicants in the performance of the work supported. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial Federal involvement for this project will be:

1. close monitoring of the successful applicant's performance;
2. collaboration during the performance of the scope of work;

3. approving substantive terms of proposed contracts;
4. approving qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient);
5. review and comment on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient);
6. approving quality assurance plans for collecting and assessing data, if warranted.

**C. What is the project period for awards resulting from this solicitation?**

The estimated project period for awards resulting from this solicitation is October 1, 2005 through September 30, 2008. All projects must be completed within the negotiated project performance period of two to three years.

**D. Can funding be used to acquire services or fund partnerships?**

Funding may be used to acquire services or fund partnerships, provided the recipient follows procurement and subaward or subgrant procedures contained in 40 [CFR](#) Parts 30 or 31, as applicable. Successful applicants must compete contracts for services and products and conduct cost and price analyses to the extent required by these regulations. The regulations also contain limitations on consultant compensation. Applicants are not required to identify contractors or consultants in their proposal. Moreover, the fact that a successful applicant has named a specific contractor or consultant in the proposal EPA approves does not relieve it of its obligations to comply with competitive procurement requirements.

Subgrants or subawards may be used to fund partnerships with non profit organizations and governmental entities. Successful applicants cannot use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products to carry out its cooperative agreement. For profit organizations are not eligible subgrant recipients under this announcement. The nature of the transaction between the recipient and the subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance under Subpart B Section .210 of [OMB Circular A-133](#), and the definitions of “subaward” at 40 CFR 30.2(ff) or “subgrant” at 40 CFR 31.3, as applicable. EPA will not be a party to these transactions.

**Section III - Eligibility Information.**

**A. Eligible Entities.**

Proposals will be accepted from states, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, international organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, as defined by [OMB Circular A-110](#) and [OMB Circular A-122](#).

Non-profit organization, as defined by OMB Circular A-122, means any corporation, trust, association, cooperative, or other organization which: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations. For this purpose, the term "non-profit organization" excludes (i) colleges and universities; (ii) hospitals; (iii) state, local, and federally-recognized Indian tribal governments; and (iv) those non-profit organizations which are

excluded from coverage of this Circular in accordance with paragraph 5 of the Circular.

Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

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

Cost sharing or matching is not required as a condition of eligibility, or otherwise, for proposals selected for award.

### **Section IV - Application and Submission Information.**

#### **A. How to Obtain Application Package.**

Applicants may download individual grant application forms, or electronically request a paper application package and an accompanying computer CD of information related to applicants/grant recipients roles and responsibilities from EPA's Grants and Debarment website by visiting:

[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

#### **B. Content and Form of Application Submission.**

1. **Initial Proposals.** Applicants must submit one original signature Initial Proposal and two complete copies. Initial Proposals may not exceed 20 pages in length and must conform to the following outline:
  - a. Overview of the organization, its mission, and related experience (2 pages maximum);
  - b. Description of key project activities and approaches. The Project Description must explicitly describe the applicant's proposed project and specifically address each of the evaluation criteria disclosed in *Section V(A), Evaluation Criteria*. (10 pages maximum);
  - c. Brief biographical sketches of key technical experts who will be involved in the project (3 pages maximum);
  - d. Detailed budget narrative (3 pages maximum);
  - e. SF 424a (2 pages).

Applicants are strongly advised to avoid submission of non-essential materials unrelated to the proposal's requirements. Upon receipt, proposals will be reviewed for content. Proposals that do not conform to the specific outline and content detailed above may not be considered for award.

**Incomplete proposals will not be considered for award.** EPA will not consider or evaluate pages in excess of the maximum page limitation. The maximum page limitation shall include any pieces that may be submitted by a third party (e.g., references or letters confirming commitments).

2. **Final Applications.** *(FINAL APPLICATIONS WILL BE ACCEPTED, ONLY, FROM THOSE ELIGIBLE ENTITIES WHOSE INITIAL PROPOSAL HAS BEEN SUCCESSFULLY EVALUATED AND RECOMMENDED FOR AWARD. **DO NOT INCLUDE THESE DOCUMENTS WITH THE INITIAL PROPOSAL.**)*

Applicants whose Initial Proposals have been evaluated and recommended for award must submit one original signature document and two copies of the completed federal grant application package and narrative workplan. All application materials must be completed in English.

- a. A complete **FINAL APPLICATION** must contain the following, in the sequential order shown:
  1. SF-424 Application for Federal Assistance, with original signature.
  2. Narrative Statement, in the format detailed below.
  3. Other supporting documentation.
  4. SF-424 A, Budget by categories and indirect cost rate.
  5. SF-424 B, Assurances for non-construction programs.
  6. Debarment and Suspension Certification.
  7. Certification Regarding Lobbying and SF LLL, if applicable.
  8. EPA Form 4700-4 Preaward Compliance review report.
  9. Quality Assurance Narrative Statement, if applicable.
  10. Copy of Negotiated Indirect Cost Rate Agreement, if applicable.
  11. Biographical Sketch.
  12. E-mail address or self-addressed envelope (to receive notification of receipt of application).
  
- b. The narrative statement should conform to the following outline:
  1. Project Title.
  2. Applicant Information. Include applicant (organization) name, address, contact person, phone number, fax and e-mail address.
  3. Funding Requested. Specify the amount you are requesting from EPA.
  4. Project period. Provide beginning and ending dates (for planning purposes, applicants should assume a project start date of October 1, 2005).
  5. Narrative Workplan. Summarize the project and specifically explain how the project meets the evaluation criteria detailed in *Section V(A)* of this solicitation.
  6. Qualifications. Summarize your technical experience and knowledge. Demonstrate how your qualifications meet the evaluation criteria detailed in *Section V(A)* of this solicitation.
  7. Total Project Cost. Specify total cost of the project. Identify funding from other sources including any in-kind resources.
  8. Detailed Itemized Budget. Clearly explain how EPA funds will be used. Provide a budget for the following categories:
    - Personnel
    - Fringe Benefits
    - Contractual Costs
    - Travel
    - Equipment
    - Supplies
    - Other
    - Total Direct Costs
    - Total Indirect Costs: must include documentation of accepted indirect rate
    - Total Cost
  9. Reporting Requirements. Discuss quarterly progress (schedule to be established by EPA). Quarterly progress reports should include: a summary of performance progress-to-date, problems encountered, successes achieved, and lessons learned.

### C. Submission Dates and Times.

1. The closing date and time for receipt of Initial proposals is April 25, 2005, 4:00 p.m. EST. All applications, however transmitted, must be received in the Program Office by the closing date and time to receive consideration. Proposals received after the closing date and time will not be considered for funding. Electronic or facsimile transmission of Initial Proposals/Final Applications will not be accepted.
2. The closing date and time for submission of completed Final Application packages is May 27, 2005, 4:00 p.m. EST. *(Final applications will be accepted, only, from those eligible entities whose Initial Proposal has been successfully evaluated and selected for award.)*
3. **Confidential Business Information.** In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions of applications/proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure.
4. Because of the unique situation involving U.S. mail screening in Washington, DC, EPA highly recommends that applicants use an express mail option to submit their proposals. Initial Proposals and Final Applications shall be addressed to:

Express Delivery Address (FedEx, UPS, DHL, etc)

U.S. EPA  
Attn: Kayla Roach  
OAR/OAP/Climate Protection Partnerships Division  
1310 L Street, NW, 9<sup>th</sup> Floor  
Washington, DC 20005

Regular Mail Delivery Address (U.S. Postal Service)

U.S. EPA  
Attn: Kayla Roach (Mail Code 6202J)  
OAR/OAP/PPD  
1200 Pennsylvania Avenue, NW  
Washington, DC 20460

### **Section 5 - Application Review Information.**

#### **A. Evaluation Criteria.**

Each eligible proposal, based on Section III, Eligibility Information, will be evaluated according to the criteria set forth below. Proposals that are best able to directly and explicitly address the evaluation criteria below will have a greater likelihood of being selected for award. Each proposal will be rated under a points system, with a total of 100 points possible.



Criterion	Maximum Points per Criterion
<p><b>Project Description.</b> Extent to which the proposal describes the importance of the project and its potential to deliver energy efficient products or services that lead to the public benefit of reducing air pollution by reducing energy consumption. The proposal effectively describes:</p> <ul style="list-style-type: none"> <li>• the size and importance of the market that will be affected;</li> <li>• the estimated impact of the initiative(s) on reducing energy consumption/carbon emissions and/or enhancing the design of national, state, and local energy efficiency programs;</li> <li>• the anticipated outcomes of the project;</li> <li>• the project’s contributions to market transformation in terms of engaging relevant and unique constituencies and stakeholders, identifying market barriers, developing strategies to overcome market barriers, and implementing key activities with discrete tasks and time lines.</li> </ul> <p>CPPD will review proposals for their potential to create lasting change in the market for energy efficient products, services, and best practices. Quantify targets and goals where possible (e.g. market size, potential energy and/or carbon reduction, etc.).</p>	30
<p><b>Experience of key personnel.</b> Extent to which the experience of key personnel, described in detail, is related to the project(s) proposed and demonstrates a level of expertise or proficiency. CPPD will review biographical sketches to determine if staff experience is commensurate with activities proposed. Applicants must designate a primary contact, who will be responsible for the implementation of the grant and serve as a liaison with CPPD staff.</p>	25
<p><b>Resources:</b> Extent to which the applicant’s proposed budget is clearly stated, detailed, and appropriate to achieve the project’s objectives.</p>	20
<p><b>Performance Measurement.</b> Applicants’s proposal includes a method for tracking the effectiveness of efforts to deliver increased public awareness of the benefits of reducing energy consumption, thereby creating a lasting change in the market for energy efficient products, services, and/or best practices. Tracking may focus on the effectiveness of (1) educational and outreach materials distributed (2), conferences and training , as measured by the number of participants involved; and/or quantify (3) new markets or stakeholders reached; or (4) other activities that will result in reduced greenhouse gas emissions through increased use of strategic energy management practices and the purchase of energy efficient products.</p>	15
<p><b>Past experience.</b> Proposal demonstrates the applicant’s organizational experience in promoting products and processes that improve energy efficiency to key stakeholders.</p>	10

## **B. Other Factors.**

EPA reserves the right to make award decisions based on factors that help ensure geographic equity and demonstration of a variety of technical approaches.

## **C. Review and Selection Process.**

Each Initial proposal will be evaluated by a team chosen to address the range of activities associated with reducing greenhouse gases through energy efficiency and cost effective partnerships with private industry to achieve emissions reduction. The Evaluation Team will base its evaluation solely on the selection criteria disclosed in this notice (*see Section V(A), Evaluation Criteria*).

Completed evaluations will be referred to a Selection Committee that is responsible for further consideration and final selection. The highest numerically-ranked proposal(s) (subject to the quality of proposals, availability of funds, and consideration of *Section V(B), Other Factors*) will be recommended for award and required to submit Final Applications.

## **Section VI - Award Administration Information.**

### **A. Award Notices.**

Following evaluation of Initial Proposals, all applicants will be notified regarding their application's status.

#### **1. Initial Proposal Notifications.**

- a. EPA anticipates notification to *successful* applicant(s) will be made, via telephone, electronic or postal mail by May 16, 2005. The notification will advise the applicant that its Initial Proposal has been successfully evaluated and recommended for award. The notice shall require submission of a Final Application. (*Refer to Section IV(B), Content and form of Application Submission.*)
- b. EPA anticipates notification to *unsuccessful* applicant(s) will be made via electronic or postal mail by May 16, 2005. In either event, the notification will be sent to the original signer of the application.

#### **2. Final Proposal Notifications.**

- a. EPA anticipates notification to *successful* applicant(s) regarding the status of Final Applications will be made, via telephone, electronic or postal mail by September 30, 2004. This notification, which advises that the applicant's proposal has been recommended for award, is not an authorization to begin performance. The award notice signed by the EPA grants officer is the authorizing document and will be provided through postal mail. At a minimum, this process can take up to 90 days from the date of recommendation.

## B. Administrative and National Policy Requirements.

1. A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at:  
[http://www.epa.gov/ogd/AppKit/applicable\\_epa\\_regulations\\_and\\_description.htm](http://www.epa.gov/ogd/AppKit/applicable_epa_regulations_and_description.htm).
2. Executive Order 12372, Intergovernmental Review of Federal Programs may be applicable to awards, resulting from this announcement. Applicants *selected* for funding may be required to provide a copy of their proposal to their [State Point of Contact](#) (SPOC) for review, pursuant to Executive Order 12372, Intergovernmental Review of Federal Programs. This review is not required with the Initial Proposal and not all states require such a review.
3. All applicants are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for a Federal grant or cooperative agreement. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com>.

## C. Reporting Requirement.

Quarterly progress reports will be required unless the applicant demonstrates the adequacy of less frequent reporting. The progress reports should include: a summary of performance progress-to-date, detailed expenditures-to-date, problems encountered, successes achieved, and lessons learned. The schedule for submission of progress reports will be established, by EPA, after award. The recipient must submit a final report for EPA approval within ninety (90) days of the end of the project period.

## D. Disputes.

Assistance agreement competition-related disputes will be resolved in accordance with the [dispute resolution procedures](#) published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) located on the web at: <http://a257.g.akamaitech.net/7/257/2422/01jan20051800/edocket.access.gpo.gov/2005/05-1371.htm>. Copies of these procedures may also be requested by contacting the Agency contact identified in Section VII of this solicitation.

## VII. Agency Contact

All questions while this funding opportunity is open should be e-mailed to [cppd.grant-funding-inquiries@epa.gov](mailto:cppd.grant-funding-inquiries@epa.gov). Answers will be posted, bi-weekly, until the closing date for this announcement at the OAR Grants/Funding website [http://www.epa.gov/air/grants\\_funding.html](http://www.epa.gov/air/grants_funding.html)

**FOR FURTHER INFORMATION CONTACT:** Kayla Roach, (MC 6202J), U.S. EPA, Office of Atmospheric Programs, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. Fax: (202) 343-2202, or e-mail [roach.kayla@epa.gov](mailto:roach.kayla@epa.gov).

## VIII. Other Information

EPA reserves the right to reject all proposals or applications and make no award as a result of this announcement. The EPA Grant Award Officer is the only official that can bind the Agency to the expenditure of funds for selected projects resulting from this announcement.