

US EPA ARCHIVE DOCUMENT

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

**Title:** “COST-EFFECTIVE APPROACHES TO REDUCING GREENHOUSE GAS EMISSIONS THROUGH ENERGY EFFICIENCY, CLEAN ENERGY, AND CORPORATE GREENHOUSE GAS MANAGEMENT.”

**Action:** Request for Proposals (RFP)

**RFP No.:** EPA-OAR-CPPD-08-04

**Catalog of Federal Domestic Assistance (CFDA) No.:** 66.034

**Dates:** The closing date and time for receipt of hard copy proposal packages is **August 6, 2008, 4:00 p.m. eastern standard time (EST)**. All hard copies of proposal packages must be received by Kayla Roach by August 6, 2008, 4:00 p.m., EST in order to be considered for funding. Electronic submissions must be submitted via Grants.gov by August 6, 2008, 11:59 p.m., EST. Proposals received after the closing date and time will not be considered for funding. Final applications will be requested from those eligible entities whose proposal has been successfully evaluated and preliminarily recommended for award.

**Summary:** This notice announces the availability of funds and solicits proposals to advance energy efficiency and clean energy programming and policies, including corporate greenhouse gas management, through cost-effective strategies.

**Funding/Awards:**

The total estimated funding for this competitive opportunity is approximately \$6,000,000. EPA anticipates awarding 1-10 grants, ranging in annual value from \$40,000 to \$90,000, from this announcement. Additionally, EPA anticipates awarding 4-10 cooperative agreements, ranging in annual value from \$100,000 to \$250,000. Awards are subject to the availability of funds and quality of evaluated proposals.

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## I. Funding Opportunity Description

### A. Background

The Climate Protection Partnerships Division (CPPD) is committed to reducing greenhouse gases through energy-efficiency, clean energy, and corporate greenhouse gas management by employing cost-effective partnerships with industries in all appropriate sectors of our economy. CPPD's programs and activities include:

- **ENERGY STAR Labeling, Residential and Commercial/Industrial.** These programs offer businesses and consumers energy-efficient solutions, making it easy to save money while protecting the environment for future generations.
- **Combined Heat and Power (CHP) Partnership.** Working with partners and stakeholders, the CHP Partnership fosters development of cost-effective CHP applications.
- **Clean Energy-Environment State Program.** In this initiative EPA works closely with states to promote clean energy policies and programs.
- **Climate Leaders.** In 2002, EPA established *Climate Leaders* as an industry-government partnership to work with companies to develop comprehensive climate change strategies.
- **Green Power Partnership.** This program supports organizations interested in purchasing or installing green power products as a key component of their environmental strategies.
- **The National Action Plan for Energy Efficiency ("Action Plan").** In addition to the partnership programs noted above, CPPD also facilitates the Action Plan and, separately, provides assistance to state utility commissions interested in exploring policies that recognize the full environmental and economic benefits of clean energy.

In 1992, EPA introduced ENERGY STAR as a voluntary labeling program designed to identify and promote energy-efficient products to reduce greenhouse gas emissions. In 1996, EPA partnered with the U.S. 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 technical information and tools that organizations and consumers need to choose energy-efficient solutions and best management practices. In 2001, EPA established the CHP Partnership in an effort to publicize the potential energy, environmental, and economic benefits of using CHP to meet a greater portion of our nation's growing energy demand. Since 2002, Climate Leaders has worked with industry to inventory their greenhouse gas emissions, establish aggressive reduction goals, and track and report their progress annually. EPA's Green Power Partnership provides expert advice, tools and resources, credibility, and publicity and recognition support to their partners. In 2005, the Clean Energy-Environment State Program was established to help states review and adopt available policies and programs that effectively integrate clean energy into a low-cost, clean and reliable energy system. And, lastly, through EPA's facilitation of the Action Plan, as well as our support to utility commissions, critical policies are advanced to support the aggressive pursuit of energy efficiency and clean energy.

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 energy efficiency, CHP programming, greenhouse gas management, green power, energy efficiency, and clean energy policies.

## B. Scope of Work

Section 103 of the Clean Air Act authorizes the federal government to provide grants to conduct, and promote the coordination and acceleration of research, investigations, experiments, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, and control of air pollution. The Climate Protection Partnerships Division seeks proposals from eligible entities that will advance international (greenhouse gas management only), national, regional, state, and/or local energy efficiency and clean energy programming by utilizing market-based approaches to program design and delivery, and by fostering information exchange about policies that are supportive of these approaches. Proposals should demonstrate the potential to create lasting change in the market for energy efficient and clean generation products, services, and best practices. Proposed activities should address one or more of the following concerns:

- Improving energy performance in the residential and/or commercial/government 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, datacenters, etc.) through technology or practice
- Promoting improved energy performance in the commercial new construction market
- Increasing knowledge of CHP or waste energy applications and design principles among engineers, architects, or within the sustainable design community
- Improving quantification and management of greenhouse gas emissions, reductions, and energy use across the lifecycle of products (e.g., electronics) and industry sectors, such as manufacturing
- Providing information and technical support on greenhouse gas management in the public and private sectors
- Increasing demand/market penetration for green power products and on-site renewables
- Fostering the removal of barriers for the development and use of clean energy and renewable energy technologies, through the development of effective programs of policies.
- Providing information and/or technical support about policies that have been effective at the state or regional level in encouraging recognition of the full range of benefits of energy efficiency in the utility and public sectors.

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

While the above paragraphs describe areas that proposals should address, they are not absolute requirements. However, applicants should note that proposals that address these areas may score higher during the evaluation process than proposals that do not address them.

In addition, to be eligible for funding consideration, a project's focus must consist of activities within the statutory terms of EPA's financial assistance authorities; specifically, the statute listed above. These activities are limited to research, investigations, experiments, demonstrations, surveys, training, outreach and studies. Proposals that include project implementation will not be accepted. Generally, a project must address the causes, effects, extent, prevention, reduction, and elimination of air pollution. These activities should relate to the gathering or transferring of information or advancing the state of knowledge. Proposals should emphasize this "learning" concept, as opposed to "fixing" an environmental problem via a well-established method. Proposals relating to other topics which are sometimes included within the term "environment" such as recreation, conservation, restoration, protection of wildlife habitats, etc., must describe the relationship of these topics to the statutorily required purpose of pollution prevention and/or control.

### C. 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. Outputs.** The term “output” means an environmental activity, effort, and/or associated work product related to an environmental goal and objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.

The anticipated outputs for this project may include educational and outreach materials; conferences and trainings; and other programs, policies and activities that will support increased use of strategic energy management practices and the increased purchase of energy efficient products as a means to reduce greenhouse gas emissions.

**3. Outcomes.** 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. Outcomes may be environmental, behavioral, health-related, or programmatic in nature, but must be quantitative. They may not necessarily be achievable within an assistance agreement funding period.

Projects to be funded under this announcement are expected to support outcomes including a reduction in emissions of greenhouse gases by creating a lasting change in the market for energy efficient products, services, and/or best practices.

### D. Supplementary Information

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

In addition, Section 102(2) (F) of the National Environmental Policy Act authorizes Agency support of initiatives and programs designed to maximize international cooperation to anticipate and prevent a decline in the quality of the world environment.

## II. Award Information

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

The total estimated funding expected to be available for awards under this competitive opportunity shall not exceed \$6,000,000.

### B. Partial Funding

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

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

The total estimated funding for this competitive opportunity is approximately \$6,000,000. EPA anticipates awarding 1-10 grants, ranging in annual value from \$40,000 to \$90,000, from this announcement. Additionally, EPA anticipates awarding 4-10 cooperative agreements, ranging in annual value from \$100,000 to \$250,000. Awards are subject to the availability of funds and quality of evaluated proposals. EPA reserves the right to make additional awards under this announcement, consistent with Agency policy, if additional funding becomes available. Any additional selections for awards will be made no later than six months from the date of original selection date.

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

The estimated project period for awards resulting from this solicitation will begin March 1, 2009. Proposed project periods may be up to three years.

**E. Funding Type**

The funding for selected projects will be in the form of a grant or a cooperative agreement. Cooperative agreements permit substantial involvement between the EPA Project Officer and the selected applicants in the performance of the work supported. Grants do not authorize substantial involvement by EPA in the course of the project. Although EPA will negotiate precise terms and conditions relating to substantial involvement under cooperative agreements as part of the award process, the anticipated substantial Federal involvement for these projects will be:

- Close monitoring of the successful applicants' performance to verify the results proposed;
- Collaboration during the performance of the scope of work;
- Review of substantive provisions of proposed procurements;
- Approving qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient);
- Review and comment on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient);
- Approving quality assurance plans for collecting and assessing data, if warranted.

**III. Eligibility Information**

**A. Eligible Entities**

Proposals will be accepted from States, local governments, territories, Indian Tribes, and possessions of the United States, including the District of Columbia, international organizations, universities and colleges, hospitals, laboratories, and other public or private nonprofit organizations.

Non-profit organization, as defined by OMB Circular A-122, located at 2 CFR Part 230, 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 part in accordance with § 230.20 (c).

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 receive Federal grants.

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

There is no statutory or regulatory match requirement under the Clean Air Act Section 103. Eligible and allowable voluntary contributions of funds and/or in-kind contributions of resources will be treated as cost shares under 40 CFR 30.23.

## **C. Threshold Eligibility Criteria**

These are requirements that if not met by the time of proposal submission will result in elimination of the proposal from consideration for funding. Only proposals from eligible entities (see above) that meet all of these criteria will be evaluated against the ranking factors in Section V of this announcement. 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.

1.
  - a. Proposals must substantially comply with the proposal submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. In addition, where a page limit is expressed in Section IV with respect to the proposal, pages in excess of the page limitation will not be reviewed.
  - b. In addition, proposals must be received by the EPA on or before the solicitation closing date published in Section IV of this announcement. Applicants are responsible for ensuring that their proposal reaches the designated person/office specified in Section IV of the announcement by the submission deadline.
  - c. Proposals received after the published closing date will be considered late and returned to the sender without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling. For hard copy submissions, where Section IV requires proposal receipt by a specific person/office by the submission deadline, receipt by an agency mailroom is not sufficient. Applicants should confirm receipt of their proposal with Kayla Roach as soon as possible after the submission deadline. Failure to do so may result in your proposal not being reviewed.
2. Proposals must support Goal 1 “Clean Air and Global Climate Change” of EPA’s Strategic Plan: *“Protect and improve the air so it is healthy to breathe and risks to human health and the environment are reduced. Reduce greenhouse gas intensity by enhancing partnerships with businesses and other sectors”*.
3. In addition, to be eligible for funding consideration, a project’s focus must consist of activities within the statutory terms of EPA’s financial assistance authorities; specifically, the CAA sec 103 (b)(3). These activities are limited to research, investigations, experiments, demonstrations, surveys, training, outreach and studies. Generally, a project must address the causes, effects, extent, prevention, reduction, and elimination of air pollution. These activities should relate to the gathering or transferring of information or advancing the state of knowledge. Proposals should emphasize this “learning” concept, as opposed to “fixing” an environmental problem via a well-established method. Proposals relating to other topics which are sometimes included within the term “environment” such as recreation, conservation, restoration, protection of wildlife

habitats, etc., must describe the relationship of these topics to the statutorily required purpose of pollution prevention and/or control.

4. Hard copy proposals will only be accepted via an **express delivery service**. EPA will not accept proposals sent via U.S Postal Service, FAX or email.

#### IV. Proposal and Submission Information

##### A. How to Obtain Proposal Package

EPA encourages applicants to obtain proposal materials and apply electronically through <http://www.grants.gov>

Applicants may also download individual grant application forms from EPA's Office of Grants and Debarment website at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

To obtain a hard copy of materials, please send an email or written request to the Agency contact listed in Section VII of this announcement.

##### B. Form of Proposal Submission

Applicants have the option to submit their proposals in *one of two ways*: 1) Hard copy via express delivery, or 2) electronically via Grants.gov website. Proposals will not be accepted via U.S Postal Service, fax or email. All proposals must be prepared, and include the information, as described in Section IV.C. below regardless of mode of transmission.

###### 1. Hard Copy Submission

Please provide one original of the proposal package (including signed and completed SF-424 and SF424A forms) and four copies—no binders or spiral binding—to:

###### **Hard Copy via Express Delivery Address (FedEx, UPS, DHL, etc)**

U.S. EPA  
Attention: Kayla Roach  
OAR/OAP/Climate Protection Partnerships Division  
1310 L Street, NW, 9<sup>th</sup> Floor, Office 927G  
Washington, DC 20005  
Phone: (202) 343-9186

###### **Hard Copy Proposal Submission Deadline**

All hard copies of proposal packages must be received by Kayla Roach, August 6, 2008 at 4:00 p.m, EST.

###### 2. Grants.gov Submission

The electronic submission of your proposal must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information, go to <http://www.grants.gov> and click on "Get Registered" on the left side of the page.

**\*Registration process may take a week or longer to complete.** If your organization is not currently

registered with Grants.gov, please encourage your office to designate an Authorized Organizational Representative (AOR) and ask that individual to begin the registration process as soon as possible.

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

Once you have downloaded the viewer, you may retrieve the proposal package by entering the Funding Opportunity Number, EPA-OAR-CPPD-08-04, or the CFDA number that applies to the announcement (CFDA 66.034), in the appropriate field. You may also be able to access the application package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the "Find Grant Opportunities" button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

If you have any questions regarding Grants.gov, please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

### **Grants.gov Proposal Submission Deadline**

Your organization's AOR must submit your complete proposal package as described below electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **11:59 p.m. EST on August 6, 2008**.

### **Proposal Materials**

**The following forms and documents are required to be submitted under this announcement:**

- I. Application for Federal Assistance (SF-424)
- II. Budget Information for Non-Construction Programs (SF-424A)
- III. Narrative Proposal (**as described in section IV.C**)

The proposal package *must* include all of the following materials:

#### **I. Standard Form (SF) 424, Application for Federal Assistance**

Complete the form. There are no attachments. Please be sure to include organization fax number and email address in Block 5 of the Standard Form SF 424.

Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.

#### **II. Standard Form SF 424A – Budget Information:**

Complete the form. There are no attachments.

The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be

entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

**\*Selected applicant(s) will need to submit a copy of their current indirect cost rate that has been negotiated with a federal cognizant agency during application phase.**

### **III. Narrative Proposal**

*The document should be readable in PDF, MS Word or Word Perfect WP6/7/8 for Windows and consolidated into a single file and be prepared in accordance with Section IV.C of the announcement.*

**Documents I through III** listed under Proposal Materials above should appear in the “Mandatory Documents” box on the Grants.gov Grant Application Package page.

For documents I and II, click on the appropriate form and then click “Open Form” below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click “Save.” When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, “Move Form to Submission List.” This action will move the document over to the box that says, “Mandatory Completed Documents for Submission.”

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

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

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the fiscal year (e.g., FY08), and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] **If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726 or email at <http://www.grants.gov/help/help.jsp> or contact Kayla Roach at (202) 343-9186 or roach.kayla@epa.gov.**

Proposal packages submitted thru grants.gov will be time/date stamped electronically.

### C. Content of Proposal Submission

All proposal submissions, regardless of mode of submission, must contain a completed and signed Standard Form (SF) 424, Application for Federal Assistance, a completed SF-424, Budget Information—Non Construction Programs, and a Narrative Proposal as described below. Submissions must conform to the outline below.

#### Narrative Proposal

The Narrative Proposal (section 1-3 below) **may not** exceed a maximum of 20 single-spaced typewritten pages, including the Summary Page. Pages in excess of 20 will not be considered. Supporting materials, such as resumes and letters of support, can be submitted as attachments and are not included in the 20-page limit.

#### 1. Summary Information Page

- a. Project Title.
- b. Applicant Information. Include applicant (organization) name, address, contact person, phone number, fax and email address.
- c. Funding Requested. Specify the amount being requested from EPA.
- d. Total Project Cost. Specific total cost of the project. Identify funding from other sources, including any in-kind resources.
- e. Project period. Provide beginning and ending dates (for planning purposes, applicants should assume a project start date of March 1, 2009).

#### 2. Narrative Work Plan

**\*\*The Narrative must explicitly describe how the proposed project meets the guidelines established in Sections I—III (including the threshold eligibility criteria in Section III.C) of this announcement, and address each of the evaluation criteria set forth in Section V.**

**a. Project Summary/Approach:** The summary shall contain the following components:

- i. Detailed project summary, description of specific actions and methods to be undertaken and the responsible institutions, including estimated timeline for each task.
- ii. Description of the associated work products to be developed.
- iii. Explanation of project benefits to the public, and specifically the potential audiences served.
- iv. Description of the roles of the applicant and partners, if any.
- v. Description of the applicant's organization and experience related to the proposed project.
- vi. Description of staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.
- vii. Description of expertise in working with unique constituencies and stakeholders to advance energy efficiency, green power or CHP goals; demonstrated understanding of the technologies and market structure for delivering clean energy technologies and/or best practices to stakeholders; and demonstrated ability to delineate and deploy strategies for overcoming market barriers to greater use of clean energy.

- viii. Budget and estimated funding amounts for each work component/task. This section provides an opportunity for narrative description of the budget or aspects of the budget found in the SF-424A such as “other” and “contractual.”

**b. Environmental Results—Outcomes and Outputs**

Identify the expected quantitative and qualitative outcomes of the project (**See Section I**), including what measurements will be used to track your progress towards achieving the expected project outcomes (including those identified in Section I.C) and how the results of the project will be evaluated. Identify the expected project outputs (including those identified in Section I.C) and how progress towards achieving them will be tracked and measured.

**c. Past Performance**

**I. Programmatic Capability:** Submit a list of federally funded assistance agreements (**assistance agreements include Federal grants and cooperative agreements but not Federal contracts**) similar in size, scope and relevance to the proposed project that your organization performed within the last three years (no more than 5, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage those agreements and (ii) your history of meeting the reporting requirements under those agreements including submitting acceptable final technical reports.

\*In evaluating applicants under these factors in Section V, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current and prior Federal agency grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the proposal and you will receive a neutral score for these factors under Section V-failure to do so may result in 0 points for the factors.

**II. Reporting on Environmental Results--Outcomes and Outputs:** Submit a list of federally funded assistance agreements (**assistance agreements include Federal grants and cooperative agreements but not Federal contracts**) that **your organization** performed within the last three years ( no more than 5, and preferably EPA agreements), and describe how you documented and/or reported on whether you were making progress towards achieving the expected results (e.g., outputs and outcomes) under those agreements. If you were not making progress, please indicate whether, and how, you documented why not.

\*In evaluating applicants under this factor in Section V, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current and prior Federal agency grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available environmental results past performance information, please indicate this in the proposal and you will receive a neutral score for this factor under Section V-failure to do so may result in 0 points for the factor.

**3. Detailed Budget Narrative**

In addition to the SF-424A, please provide specific total costs of the project (EPA funding and cost share if any).

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

**4. Attachments (not included in the 20 page limit)**

**a. Resumes.** Provide resumes or curriculum vitae for all principal investigators and any other Key personnel.

**b. Support Letters.** Specifically indicate how the supporting organization will assist in the project.

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

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

Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those contained in 40 [CFR](#) Parts 30 or 31, as appropriate. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses to the extent required by the procurement provisions of the regulations at 40 CFR Parts 30 or 31, as appropriate. The regulations also contain limitations on consultant compensation. Applicants are not required to identify subawardees/subgrantees and/or contractors (including consultants) in their proposal/application. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the proposal/application EPA selects for funding does not relieve the applicant of its obligations to comply with subaward/subgrant and/or competitive procurement requirements as appropriate. Please note that applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal/application.

Successful applicants may not use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subawardee or 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. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 40 CFR Part 30 or 40 CFR Part 31 and cannot use a subaward/subgrant as the funding mechanism.

**E. How will an applicant's proposed subawardees/subgrantees and contractors be considered during the evaluation process described in Section V of the announcement?**

Section V of the announcement describes the evaluation criteria and evaluation process that will be used by EPA to make selections under this announcement. During this evaluation, except for those criteria that relate to the

applicant's own qualifications, past performance, and reporting history, the review panel will consider, if appropriate and relevant, the qualifications, expertise, and experience of:

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

EPA will not consider the qualifications, experience, and expertise of named subawardees/subgrantees and/or named contractor(s) during the proposal/application evaluation process unless the applicant complies with these requirements.

#### **F. Submission Dates and Times**

The deadline for receipt of hard copy proposal packages is **August 6, 2008, 4:00 p.m., EST**. All hard copies of proposal packages must be received by **Kayla Roach by 4:00 p.m., EST on August 6, 2008** in order to be considered for funding. Electronic submissions must be submitted via Grants.gov by **August 6, 2008, 11:59 p.m., EST**. Proposals received after the closing date and time will not be considered for funding.

Final (full) grant applications will be requested only from those eligible entities whose proposals have been tentatively selected for award. Additional instructions for final application packages will be provided when the applicant is notified of the tentative selection.

#### **G. 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. Note that under Public Law No. 105-277, data produced under an award is subject to the Freedom of Information Act.

#### **H. Pre-proposal/Application Communications and Assistance**

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their applications/proposals. However, EPA will respond to questions in writing from individual applicants regarding eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement.

Applicants are responsible for the content of their proposal, and for ensuring that their proposal is submitted as specified in Section IV of the announcement.

V. **Proposal Review Information**

A. **Evaluation Criteria**

Only those proposals that meet the threshold criteria in section III will be evaluated according to the criteria set forth below. Applicants should directly and explicitly address these criteria as part of their proposal submittal. Each proposal will be rated under a points system, with a total of 100 points possible.

Criteria	Points
<p><b>1. Project Summary/Approach:</b> Under this criterion, the Agency will evaluate the following factors: <b>(i) (30 pts)</b> the extent and quality to which the proposal narrative includes a well-conceived strategy for addressing all of the requirements <b>and objectives stated in Section I, Part B (Scope of Work) and Part C (EPA Strategic Plan Linkage and Anticipated Outcomes/Outputs)</b>, <b>(ii) (10 pts)</b> the extent to which the applicant clearly demonstrates how they will ensure timely and successful completion of the project, and how the project goals will contribute 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, <b>(iii) (10 pts)</b> whether the proposal sets forth a reasonable time schedule for the execution of the tasks associated with the project(s).</p>	50
<p><b>2. Environmental Results-Outcomes and Outputs:</b> Extent to which the proposal describes the evaluative component of the project, including how the applicant's success in achieving the expected project outcomes and outputs, including technical specifics identified in Section I, will be tracked and measured.</p>	15
<p><b>3. Past Performance--Programmatic Capability and Reporting on Environmental Results:</b> Under this criterion, the Agency will evaluate the applicant's technical ability to successfully complete and manage the proposed project taking into account the applicants: <b>(i) (5 pts)</b> past performance in successfully completing and managing federally funded assistance agreements (<b>assistance agreements include Federal grants and cooperative agreements but not Federal contracts</b>) similar in size, scope, and relevance to the proposed project performed within the last 3 years, <b>(ii) (5 pts)</b> history of meeting reporting requirements on federally funded assistance agreements (<b>assistance agreements include Federal grants and cooperative agreements but not Federal contracts</b>) similar in size, scope, and relevance to the proposed project performed within the last 3 years and submitting acceptable final technical reports under those agreements, and <b>(iii) (5 pts)</b> past performance in documenting and/or reporting on progress towards achieving the expected outcomes and outputs (e.g., results) under federally funded assistance agreements (<b>assistance agreements include Federal grants and cooperative agreements but not Federal contracts</b>) similar in size, scope and relevance to the proposed project within the last 3 years; and, if such progress was not made whether the documentation and/or reports satisfactorily explained why not.</p> <p><u>NOTE:</u> In evaluating applicants under this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). Applicants with no relevant or available past performance or reporting history will receive a neutral score for those elements under this criterion. <u>A neutral score is half of the total points available in a subset</u></p>	15

of possible points.	
<b>4. Budget/ Resources:</b> The Agency will evaluate the proposed project budget to determine whether, (i) (5 pts) costs are reasonable to accomplish the proposed goals, objectives, and measurable environmental outcomes, (ii) (5 pts) proposed budget provides an approximation of the percentage of the budget designated for each major activity.	<b>10</b>
<b>5. Staff Expertise/Qualifications:</b> (i) (5 pts) Description of staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project , (ii) (5 pts) and description of the applicant’s organization and experience relating to the proposed project.	<b>10</b>

**B. Review and Selection Process**

A review team will evaluate all eligible proposals using the criteria above. Each proposal will be given a numerical score, with a total of 100 points possible, and will be rank ordered according to the numerical score. The review team will develop preliminary funding recommendations for the Approval Official based on this ranking.

**C. Other Factors**

Final funding decisions will be made by the Approval Official based on the recommendation of the review team. In making the final funding decisions, the Approval Official may also consider: programmatic priorities and geographical diversity of awards. Once final decisions have been made, a funding recommendation will be developed and forwarded to the EPA Award Official.

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

**VI. Award Administration Information**

**A. Award Notices**

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

**1. Proposal Notifications**

- a. EPA anticipates notification to *successful* applicant(s) will be made, via telephone, electronic or postal mail by October 1, 2008. The notification will advise the applicant that its 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.*)

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. EPA anticipates notification to *unsuccessful* applicant(s) will be made via electronic or postal mail by October 1, 2008. In either event, the notification will be sent to the original signer of the application.

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

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).

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.

## **C. DUNS Number**

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>.

## **D. Reporting Requirement**

Quarterly progress reports and a detailed final report will be required. Quarterly reports summarizing technical progress, planned activities for next quarter and summary of expenditures are required. The final report shall be completed within 90 calendar days of the completion of the period of performance. The final report should include: summary of the project or activity, advances achieved, and costs of the project or activity. In addition, the final report shall discuss the problems, successes, and lessons learned from the project or activity that could help overcome structural, organizational or technical obstacles to implementing a similar project elsewhere. The schedule for submission of quarterly reports will be established by EPA, after award.

## **E. Exchange Network**

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

## **F. Disputes**

Assistant 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://frwebgate.access.gpo.gov/cgi-in/getpage.cgi?position=all&page=3629&dbname=2005\\_register](http://frwebgate.access.gpo.gov/cgi-in/getpage.cgi?position=all&page=3629&dbname=2005_register)

## **G. Non-profit Administrative Capability**

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

## VII. Agency Contact

Agency contact:

U.S. Environmental Protection Agency  
Attn: Kayla Roach (Mail Code 6202J)  
OAR/OAP/Climate Protection Partnerships Division  
1200 Pennsylvania Avenue, NW,  
Washington, DC 20460  
Phone: 202-343-9186  
Fax: 202-343-2202  
E-mail: [roach.kayla@epa.gov](mailto:roach.kayla@epa.gov)

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)