

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) - Continuation Announcement

RFIP NO: OAR-CPPD-04-03

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO: 66.034

DATES: The closing date for receipt of initial proposals is March 30, 2004. Applications received via U.S. mail must be received by the deadline date.

Final applications will be accepted, only from those eligible entities whose Initial proposals have been successfully evaluated and selected for award. EPA will notify successful applicants no later than April 30, 2004.

The deadline for receipt of Final proposals is June 1, 2004.

SUMMARY: This notice announces the availability of funds and solicits applications to advance national, regional, and local energy efficiency programming by utilizing market-based approaches to program design and delivery. Proposals should identify unique constituencies and approaches/channels for working with stakeholders, demonstrate an understanding of the technology(ies) and the market structure for delivery of the technology(ies) or best practice(s) to end users, identify market barriers to wider spread adoption of energy efficient technologies or best practices, and delineate strategies for overcoming these barriers.

FUNDING/AWARDS: The total amount of funding that EPA expects to award through the announcement is up to \$1,350,000 in the first year. EPA anticipates awarding 1-3 grants ranging from \$25,000 - \$100,000 per year. EPA anticipates awarding 1-3 cooperative agreements ranging from \$300,000 - \$500,000 per year.

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

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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 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 would like to further enhance delivery of energy efficient products, services, and best practices to the residential, commercial and industrial marketplace by funding proposals that advance improvement in national, regional, and local energy efficiency programming.

B. 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. Proposals should identify unique constituencies and approaches/channels for working with stakeholders, demonstrate an understanding of the technology(ies) and the market structure for delivery of the technology(ies) or best practice(s) to end users, identify market barriers to wider spread adoption of energy efficient technologies or best practices, and delineate strategies for overcoming these barriers.

Proposals may address one or more of the following:

- Improving home energy performance in the existing housing market via contractor or other supply channels

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

C. Supplementary Information.

The Statutory Authority for this action is Clean Air Act, Section 103 (b) which authorizes the award of grants for investigations, surveys, and studies relating to the causes, extent, prevention and control of air pollution.

II. Award Information

A. What is the amount of funding available?

The total funding for this project is estimated to be \$1,350,000 in the first year with similar amounts in year two and three.

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

EPA anticipates awarding 1-3 grants ranging from \$25,000 - \$100,000 per year. EPA anticipates awarding 1-3 cooperative agreements ranging from \$300,000 - \$500,000 per year.

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 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 award(s) resulting from this solicitation?

The estimated project period for award(s) resulting from this solicitation is July 2004 through July 2007. All projects must be completed within the negotiated project performance period of 24 to 36 months.

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. 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.

III. Eligibility Information

A. Eligible Entities.

Proposals will only be accepted from non-profit organizations, as defined by OMB Circular A-122, that are subject to Section 501(c)(3) of the Internal Revenue Service tax code. These organizations include: state, local, multi-state, colleges and universities, and non-profit organizations.

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) hospitals; (ii) State, local, and federally-recognized Indian tribal governments; and (iii) those non-profit organizations which are excluded from coverage of this Circular in accordance with paragraph 5 of the Circular.

B. Cost-Sharing or Matching.

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

IV. Application and Submission Information

A. How to Obtain Application Package.

The complete grants application package can be downloaded from EPA's website at: <http://www.epa.gov/ogd/AppKit/index.htm>. Potential applicants may request a paper copy of the application package by contacting the agency contact listed in *Section VII* of this announcement.

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 15 pages in length and must conform to the following outline:
 - a. Overview of the organization, its mission, and related experience (1-2 pages);
 - b. Description of key project activities and approaches (3-5 pages);
 - 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 extemporaneous materials. Proposals that exceed the maximum page limitation will not be considered. The maximum page length will include any pieces that may be submitted by a third party (e.g., references or letters confirming commitments). [Pages exceeding the maximum length will not be considered.] All application materials must be completed in English. The minimum acceptable font size for application materials, excluding the SF 424a, shall be 10 pitch.

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

Applicants whose Initial Proposals have been evaluated and selected 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 funds will be available in September, 2004).
 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 Date and Times.

1. The deadline for submission of completed Initial Proposal packages is March 30, 2004, 2:00 p.m. EST. All proposal packages must be received in the program office listed below by the deadline. Proposals received after the deadline will not be considered for funding. Electronic or facsimile transmission of Initial Proposals/Final Applications will not be accepted.
2. The deadline for submission of completed Final Application packages is June 1, 2004, 2:00 p.m. EST. (*Final applications will be accepted, only, from those eligible entities whose Initial Proposals have been successfully evaluated and selected for award.*)

Because of the unique situation involving U.S. mail screening in Washington, DC, EPA highly recommends that applicants use express mail to submit their proposals. Initial Proposals and Final Applications should be addressed to:

Express Delivery Address (FedEx, UPS, DHL, etc)
US EPA
Attn: Kayla Roach,
OAR/OAP, Climate Protection Partnerships Division
1310 L Street, NW, 9th Floor
Washington, DC 20005
(202) 343-9186

Regular Mail Delivery Address (U.S. Postal Service)
US EPA
K. Roach (Mail Code 6202J)
OAR/OAP/PPD
1200 Pennsylvania Avenue, NW
Washington, DC 20460

V. Application Review Information

A. Evaluation Criteria

Each eligible application will be evaluated according to the criteria set forth below. Initial proposals that are best able to directly and explicitly address these criteria will have a greater likelihood of being selected for award. Each proposal will be rated under a point system, with a total of 100 points possible.

Criterion	Maximum Points per Criterion
Benefit to the public: Describe the importance of the project and its potential to deliver energy efficient products or services that lead to the public good of reducing air pollution by reducing energy consumption. The Initial proposal shall describe: (1) the size and importance of the market that will be affected; (2) 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; and (3) anticipated outcomes of the project. (4) Briefly describe the project(s) contributions to market transformation in terms of engaging relevant and unique constituencies and stakeholders, formulating goals, identifying market barriers, developing strategies to overcome market barriers, and implementing key activities with discrete tasks and time lines. CPPD will review proposals for their potential to create lasting change in the market for energy efficient products, services, and best practices.	50
Experience of key personnel: For Initial proposals, briefly describe the experience of key personnel identified, and designate a primary contact, who will be responsible for the implementation of the grant and will serve as a liaison with CPPD staff. CPPD will review biographical sketches to determine if staff experience is commensurate with activities proposed.	25
Cost effectiveness: Applicants shall describe their ability to leverage grant funds. CPPD will review budget narratives and form SF 424a to determine if costs are reasonable and commensurate with activities proposed.	15
Past experience: For Initial proposals, briefly describe organizational experience promoting products and processes that improve energy efficiency to key stakeholders.	10

B. Other Factors.

EPA reserves the right to make decisions on applications based on factors that help ensure geographic equity and the demonstration of a variety of different 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 selected for award and required to submit Final Applications.

VI. Award Administration Information

A. Award Notices.

Following final selections, all applicants will be notified regarding their application's status.

1. EPA anticipates notification to *successful* applicant(s) will be made via telephone, electronic or postal mail by June 15, 2004. This notification, which advises that the applicant's proposal has been selected and is being 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 selection.
2. EPA anticipates notification to *unsuccessful* applicant(s) will be made via electronic or postal mail by May 7, 2004. In either event, the notification will be sent to the original signer of the application.

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
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 to their State Point of Contact (SPOC) for review, pursuant with Executive Order 12372, Intergovernmental Review of Federal Programs. This review is not required with the RFIP and not all states require such a review.

C. Reporting Requirement.

Quarterly progress reports will be required. The quarterly progress report should include: a summary of performance progress to date, problems encountered, successes achieved, and lessons learned. The schedule for submission of quarterly progress reports will be established by EPA after award.

VII. Agency Contact

All questions while this funding opportunity is open should be e-mailed to 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

FOR FURTHER INFORMATION CONTACT: Kayla Roach, US EPA, Office of Atmospheric Programs, 1200 Pennsylvania Avenue, NW (MC 6202J), Washington, DC 20460, Phone (202) 343-9186, Fax (202) 343-2202: e-mail roach.kayla@epa.gov

VIII. Other Information

Applicants should clearly mark information in their proposal which they consider confidential. EPA will make final confidentiality decisions in accordance with Agency regulations at 40 CFR, Part 2, Subpart B.

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.

Formal disputes challenging the Agency award decision, will be resolved using the Dispute Procedures at 40 [CFR](#) 30.63 and 40 CFR 31.70.

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B - BUDGET CATEGORIES

6. OBJECT CLASS CATEGORIES	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$