

**AGENCY:** ENVIRONMENTAL PROTECTION AGENCY (EPA)  
**TITLE:** ENVIRONMENTAL FINANCE CENTER GRANT PROGRAM  
**ACTION:** Request for Applications (RFA)  
**RFA NUMBER:** EPA-OCFO-CEF-09-01

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO: 66.203**

**DATES:** The closing date and time for receipt of applications pursuant to this notice is **July 15, 2009 at 4:30 PM, Eastern Daylight Time (EDT)**. All hard copies of application packages must be received by the EPA contact, **Timothy McProuty**, by that date and time in order to be considered for funding. All electronic submissions of applications packages must be received via [efcgrant@epa.gov](mailto:efcgrant@epa.gov) by **July 15, 2009 at 4:30 PM, Eastern Daylight Time (EDT)** to be considered for funding. Applications of any type received after the closing date and time will not be considered for funding. **See Section IV for further submission information.**

**SUMMARY:** This notice announces the availability of funds and solicits applications from eligible entities for Environmental Finance Centers (EFCs) that provide multi-media environmental finance expertise and outreach to the regulated communities (e.g., states, tribes, local governments, and the private sector) to help them meet environmental requirements. The objective is to help the states, tribes, local governments, and private entities find effective and innovative ways to help address the growing costs of protecting public health and the environment in a sustainable manner. Under this program, EFC's will be established across the nation to provide regulated parties with finance-related training, technical assistance, finance studies, and other analytical support (eligible services) to help them develop solutions to the critical "how-to-pay" issues associated with meeting environmental goals. The EFCs will educate regulated parties on lowering costs, increasing investments, improving financial capacity, encouraging full cost pricing, and identifying and evaluating financing options.

**FUNDING/AWARDS:** The total estimated funding available under this competitive opportunity shall not exceed \$24 million for the six-year period, FY 2010-2015. In FY 2010, total estimated funding shall not exceed \$4 million. EPA may award up to ten cooperative agreements from this announcement, subject to the quality of applications received and the availability of funds. While EPA will seek to achieve the broadest possible coverage of EFC services across the nation, there is no guarantee that there will be an award covering each EPA region and there may be multiple awards in any EPA region(s). For FY 2010, the annual value of each cooperative agreement from this competitive opportunity will depend on the number of awards made. All cooperative agreements will be funded in annual increments in subsequent years subject to the availability of funds, satisfactory performance, and other applicable considerations.

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### **I. FUNDING OPPORTUNITY DESCRIPTION**

#### **A. Background**

While the nation has made significant investments and progress in addressing environmental and public health needs over the past forty years, more remains to be done. Not only does the nation still face many environmental challenges such as air and water pollution, solid and hazardous waste clean-up and disposal, ecosystem protection needs and suburban sprawl, it also faces the problem of how to pay for the growing costs of the facilities, programs, services, and activities needed to meet these and other environmental challenges on a sustainable basis. In addition, these environmental and financing challenges are occurring at a time when budgets at all levels of government are facing increasing pressures and problems in the financial markets are constraining needed sources of capital. EPA recognizes that existing environmental gains cannot be preserved nor further progress achieved unless the regulated communities (State and local governments, tribes, and the private sector) find ways to pay for the growing costs of protecting the environment and public health.

The objectives sought to be attained through the awards under this RFA relate to EPA's recognition that supporting the capacity of state, tribal, and local governments and the private sector to meet the costs of their environmental and public health responsibilities is critical to the success of EPA's mission. EPA further recognizes that given the colliding trends of growing costs and increasing resource pressures, the need to support the environmental work of the regulated communities through vehicles such as the Environment Finance Centers (EFCs) is more important and timelier than ever. EFCs provide state, tribal, and local governments and private sector parties with eligible services to develop their capacity to protect human health and the environment. EFCs pursue this work using specialized expertise in environmental finance and through cooperation and collaborative partnerships with other EFCs, regulated parties, regulators, other universities, technical assistance providers, and non-profit organizations throughout the U.S. EFCs are expected to use their expertise and partnerships to provide eligible services for environmental finance projects in EPA regions, as appropriate.

#### **B. Project Overview and Scope of Work**

EPA is soliciting applications from eligible entities to support the operations of Environmental Finance Centers (EFCs) located across the country in providing eligible services to the regulated communities (e.g., state and local governments and the private sector). EFCs will work with state, tribal, and local governments and private sector parties to help them address the growing costs of environmental protection. EFCs will assist these regulated parties develop solutions to the difficult “how-to-pay” issues associated with meeting environmental standards.

Under the cooperative agreements, EFCs should assist the regulated communities in lowering the costs of environmental protection, increasing environmental investments, improving/expanding financial capacity, encouraging the use of full-cost pricing and improving environmental financing options. A central goal of EFCs will be to create environmentally and financially sustainable systems. Such systems should have the financial, technical and institutional resources and capabilities to operate in compliance with environmental requirements and in conformance with accepted environmental practices over the long term. EFCs will focus on helping regulated parties find ways to finance their environmental protection and public health responsibilities.

Specific types of EFC eligible services that the successful applicants should provide include but are not limited to developing training courses, delivering educational presentations, conducting finance-focused, community-based workshops, providing training on how to build public-private partnerships, providing training and analytical support for public information and involvement efforts, developing computer planning and finance models, and sharing environmental finance tools. In addition to training activities, EFCs should develop and share environmental financing information through research reports, videos, case studies, best practices and how-to guides, models, computer software, and direct consultations.

Examples of environmental finance-related priorities that EFCs are encouraged to address in their applications and provide to the regulated communities (e.g., state, tribal, and local officials and private businesses) with eligible services if they receive an award include:

- (1) building the capacity of the regulated communities to develop and support sustainable water systems;
- (2) providing computer-based financial outreach tools to communities (particularly small ones) to help them more effectively manage watersheds and water systems;
- (3) supporting cleaner/greener business through source reduction, pollution prevention, energy conservation, resource recovery, reuse, and recycling;
- (4) promoting environmentally sustainable redevelopment, smart growth, and green building efforts by state and local governments;
- (5) supporting environmentally sustainable infrastructure, growth management and land use planning;
- (6) financing wetlands programs and protection;

- (7) improving water and wastewater utility energy efficiency, management and capital planning;
- (8) encouraging green jobs and green business products and services;
- (9) promoting innovative ways to finance interstate, state, regional, and local air pollution reduction efforts;
- (10) addressing climate change through reduction of greenhouse gas emissions, and developing decision tools and financial strategies for climate change adaptation.

Please note that EPA will not fund projects which seek to provide research training and technical assistance to facilitate the inventory of brownfield sites, site assessments, remediation of brownfield sites, community involvement, or site preparation. EPA funds these activities in competitions conducted under Catalogue of Federal Domestic Assistance Number 66.814, Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements Program.

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

- 1. Linkage to EPA Strategic Plan.** Tasks under the awards expected under this RFA will support the following goals in the EPA Strategic Plan:

Goal 1	Clean Air and Global Climate Change
Goal 2	Clean and Safe Water
Goal 3	Land Preservation and Restoration
Goal 4	Healthy Communities and Ecosystems
Goal 5	Compliance and Environmental Stewardship

Applications must demonstrate how the proposed project will support all of these goals. Detailed information on EPA’s Strategic Plan, may be found on the EPA website at: [http://www.epa.gov/ocfo/plan/2006/entire\\_report.pdf](http://www.epa.gov/ocfo/plan/2006/entire_report.pdf).

- 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.

Expected outputs from the project(s) to be funded under this announcement may include: the development and implementation of environmental finance training courses, on-line environmental finance information exchanges and forums, computerized models and software tools focused on paying for environmental protection, case studies, and direct consultations, all related to environmental finance. It is expected that these outputs will be provided to state, tribal, and local governments, and the private sector as appropriate. Progress reports and a final report will also be a required output, as specified in Section VI(C) of this announcement, “Reporting Requirement.”

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 produce at least one, and preferably all, of the following environmental outcomes: States, Tribes, local communities, and private sector parties will create more sustainable environmental financing systems covering all environmental and public health media and these systems will have the financial, technical, and institutional resources and capabilities to operate in compliance with environmental requirements and in conformance with accepted environmental practices over the long term. EPA anticipates that improved compliance with regulations and practices will further all five of EPA’s strategic plan goals listed above under Section I.C.1. and located on the EPA website at [http://www.epa.gov/ocfo/plan/2006/entire\\_report.pdf](http://www.epa.gov/ocfo/plan/2006/entire_report.pdf).

**D. Supplementary Information.**

The statutory authorities for this action are: the Clean Water Act, Section 104,(b)(3), as amended; the Safe Drinking Water Act, Section 1442(b)(3) and Section 1420(g), as amended; the Solid Waste Disposal Act, Section 8001(a); the Clean Air Act, Section 103(b)(3); the Toxics Substances Control Act, Section 10, as amended; the Federal Insecticide, the Fungicide, and Rodenticide Act, Section 20, as amended; and the Marine Protection, Research and Sanctuaries Act, Section 203.

**II. AWARD INFORMATION**

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

The total estimated funding available for awards made under this competitive opportunity over the six year period from FY 2010 to FY 2015 shall not exceed \$24 million. In FY 2010, total funding for all awards made, however many that may be, shall not exceed \$4 million.

**B. Partial Funding.**

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

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

While EPA will seek to achieve the broadest possible coverage of EFC eligible services across the nation, the number of applications that EPA awards under this announcement/competition will depend on the number and quality of the applications received and evaluated.

Within this context, EPA may award up to ten cooperative agreements with funding amounts subject to the availability of funds, number of awards made, and other applicable considerations. However, EPA reserves the right to reject all applications and make no award as a result of this announcement or to make fewer than ten awards. EPA further reserves the right to fund one or more awards in a region or no awards in a region. If additional funding becomes available after the original selections, EPA reserves the right to make additional awards under this announcement, consistent with Agency policy. Additional selections for awards will be made no later than six months from the date of original selections.

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

The estimated project period for awards resulting from this competitive solicitation is October 1, 2009 through September 30, 2015. All project activities must be completed within negotiated activity performance periods within this overall project period.

**E. Funding Type**

The funding for selected projects will be provided in the form of a cooperative agreement. Cooperative agreements permit substantial involvement between the EPA Project Officers 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 include:

- in accordance with 40 CFR 31.36(g), review of proposed procurement;
- approving qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient);
- participation in planning meetings;
- consultations when problems or difficulties are encountered;

- collaboration during performance of the scope of work;
- close monitoring of the successful applicant's performance to verify the results proposed by the applicant;
- review and comment on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient).

### III. ELIGIBILITY INFORMATION

#### A. Eligible Entities

In accordance with CFDA 66.203, applications will be accepted from public and private non-profit universities and colleges and non-profit organizations subject to 2 CFR Part 215 and 40 CFR Part 30, **Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations (11/19/1993) (further amended 09/30/1999)**, 2 CFR Part 220, **Cost Principles for Educational Institutions**, and 2 CFR Part 230, **Cost Principles for Non-Profit Organizations (05/10/2004)**.

Non-profit organization, as defined by 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).

To be eligible for funding under this announcement, an educational institution must be public (e.g. state, tribal, or municipal colleges and universities) or a private college or university that is recognized by a governmental body as a non-profit or not-for-profit entity. Proprietary, commercial or other "for profit" schools, colleges or universities are not eligible to apply for funding under this announcement.

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

This program does not have a statutory or regulatory formula for a cost-sharing or matching requirement. However, applicants may propose a voluntary financial or

in-kind commitment of resources that may improve their score under **Section V. APPLICATION REVIEW INFORMATION, A. Evaluation Criterion, 5. Budget/Resources**. Examples of in-kind resource contributions may include, but are not limited to, low overhead/indirect cost rates (below 50%), pro-bono contributions from environmental finance experts, the use of unpaid/low-cost interns and students with specialized skills, and direct resource contributions.

Leveraged funding or other resources need not be for eligible and allowable project costs under the EPA assistance agreement unless the Applicant proposes to provide a voluntary cost share or match. If EPA accepts an offer for a voluntary cost share/match, applicants must meet their matching/sharing commitment as a condition of receiving EPA funding. Applicants may use their own funds or other resources for voluntary match/cost share/participation if the standards at 40 CFR 30.23 or 40 CFR 31.24, as applicable, are met. Only eligible and allowable costs may be used for voluntary matches/cost shares/participation. Other Federal grants may not be used as voluntary matches or cost shares without specific statutory authority.

**C. Threshold Eligibility Criteria**

These are requirements that if not met by the time of application submission will result in elimination of the application from consideration for funding. Only applications 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. Applications must substantially comply with the application submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. However, where a page limit is expressed in Section IV with respect to the application or parts thereof (e.g., narrative proposal), pages in excess of the page limitation will not be reviewed.
- b. In addition, applications must be received by the EPA, as specified in Section IV of this announcement, on or before the application submission deadline published in Section IV of this announcement. Applicants are responsible for ensuring that their application reaches the designated person/office (**Timothy McProuty**) specified in Section IV of the announcement by the submission deadline (**July 15, 2009 at 4:30 PM, Eastern Daylight Time (EDT)**).
- c. Applications received after the submission deadline (**July 15, 2009 at 4:30 PM, Eastern Daylight Time (EDT)**) 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 or e-mailed submissions, where Section IV requires application receipt by a specific person/office (**Timothy McProuty**) by the submission deadline (**July 15, 2009 at 4:30 PM, Eastern Daylight Time (EDT)**), receipt by an agency mailroom is not sufficient. Applicants should confirm receipt of their application with **Timothy McProuty** as soon as possible after the submission deadline—failure to do so may result in your application not being reviewed.

2. Applications must demonstrate how the proposed project will support all five Goals contained in the current EPA Strategic Plan:

Goal 1	Clean Air and Global Climate Change
Goal 2	Clean and Safe Water
Goal 3	Land Preservation and Restoration
Goal 4	Healthy Communities and Ecosystems
Goal 5	Compliance and Environmental Stewardship

3. Projects which seek funding to provide research training and technical assistance to facilitate the inventory of brownfield sites, site assessments, the remediation of brownfield sites, community involvement, or site preparation are not eligible for consideration under this announcement.
4. Individual applications covering more than one EPA region will be rejected. However, applicants may submit multiple applications under this competitive announcement, so long as each application is for a separate project, is separately submitted, and covers only one EPA region.
5. Hard copy applications will only be accepted via an **express delivery service**. EPA will not accept applications submitted via fax or standard 1<sup>st</sup> Class Mail delivery by U.S. Postal Service.

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

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

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) or  
<http://www.epa.gov/ogd/AppKit/application.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. Mode of Application Submission**

Applicants have the option to submit their applications in *one of two ways*: 1) Hard copy via express delivery to the specified EPA contact below, or 2) electronically through e-mail to the specified EPA contact below. Applications will not be accepted via fax or standard 1<sup>st</sup> class mail delivery by U.S. Postal Service. All applications must be prepared, and include the information, as described in Section IV.C., “Content of Application,” regardless of mode of transmission.

## 1. **Hard Copy Submission**

Please provide one original of the complete application package as described below in Section C (including signed and completed SF 424 and SF 424A forms) and four copies--**no binders or spiral binding**--to:

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

**U.S. Environmental Protection Agency  
ATTN: Timothy McProuty  
Office of the Chief Financial Officer  
Center for Environmental Finance  
1300 Pennsylvania Avenue, NW  
Ronald Reagan Building – Room 81264  
Washington, DC 20460**

### **Hard Copy Application Submission Deadline**

All hard copies of application packages must be received by **Timothy McProuty** no later than **July 15, 2009 at 4:30 PM, Eastern Daylight Time (EDT)**.

## 2. **E-mail Submission**

E-mail submissions must be submitted to **Timothy McProuty** via [efcgrant@epa.gov](mailto:efcgrant@epa.gov) and received by the submission deadline stated in Section IV.F of this announcement (**July 15, 2009 at 4:30PM, Eastern Daylight Time (EDT)**). All required documents listed in Section IV.C of this announcement must be attached to the e-mail as separate Adobe PDF files. Please note that if you choose to submit your materials via e-mail, you are accepting all risks attendant to e-mail submission including server delays. E-mail submissions exceeding 15MG will experience delays and may not be received on time by the Agency. For these size submissions, applicants should submit their application materials via hardcopy or else they may be received late and not considered for funding.

## C. Content of Application Package Submission

All application submissions, regardless of mode of submission, must contain completed and signed grant application forms, as well as a Narrative Proposal, as described below.

**Grant Application Forms.** Please be sure to include your organization's fax number and email address in Block 5 of the Standard Form SF 424. The forms are available at <http://www.epa.gov/ogd/forms/forms.htm>.

- Standard Form 424, *Application for Federal Assistance*
- Standard Form 424A, *Budget Information – Non-Construction Programs*
- Standard Form 424B, *Non-Construction Programs*
- Standard Form LLL, *Pre-Award Disclosure of Lobbying Activities*
- EPA Form 4700-4, *Pre-Award Compliance Review Report for All Applicants Requesting Federal Financial Assistance*
- EPA Form 5700-54, *Key Contacts Form*
- Narrative Proposal

**Narrative Proposal.** The **Narrative Proposal (including sections 1-3 below)** cannot exceed a maximum of 20 single-spaced typewritten pages, including the Summary Page. 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 (recommended not to exceed one page)

- a. Project Title
- b. Applicant Information. Include applicant (organization) name, address, contact person, phone number, fax and e-mail address.
- c. Funding Requested. Specify the amount you are requesting from EPA.
- d. Total Project Cost. Specify total cost of the project. Identify funding from other sources, including cost share or in-kind resources.
- e. Project period. Provide beginning and ending dates. (Projects are anticipated to begin date and end no later than date.)

### 2. Narrative Proposal Work-Plan

**The Narrative Proposal work-plan must explicitly describe how the proposed project meets the guidelines established in Sections I-III of this announcement, and must address each of the evaluation criteria set forth in Section V.**

- a. **Project Summary/Approach:** This section should contain the following components:
- i. Detailed project summary of how the project will address the priorities, objectives, and information contained in Section I of the announcement.
  - ii. Description of specific actions and methods to be undertaken and the responsible institutions, including estimated time line for each task.
  - iii. Description of the associated work products to be developed.
  - iv. Explanation of project benefits to the public, and specifically the potential audience(s) served.
  - v. Description of the roles of the applicant and partners, if any.
  - vi. Description of the applicant's organization and experience related to the proposed project.
  - vii. Description of staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.
  - viii. Budget and estimated funding amounts for each work component/task
  - ix. Description of how the project will address all of the EPA Strategic Plan goals.

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

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 outcomes and how the results of the project will be evaluated. Identify the expected project outputs and how progress towards achieving the expected outputs will be tracked and measured.

c. **Past Performance**

**Programmatic Capability:** Submit a list of federally and/or non-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 agreements) similar in size, scope and relevance to the proposed project and describe how you successfully performed and managed those agreements and your history of meeting reporting requirements under the agreements including submission of acceptable final technical reports. This may include past performance under agreements that involved

addressing environmental finance issues, multi-media environmental challenges and solutions, and working cooperatively on such projects with other universities and non-profit entities.

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 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 narrative proposal and you will receive a neutral score for these factors under Section V. If you do not provide any response for these items, you may receive a score of 0 for these factors

**Reporting on Environmental Results--Outcomes and Outputs:** Submit a list of federally and/or non-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 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 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 narrative proposal and you will receive a neutral score for this factor under Section V. If you do not provide any response for this item, you may receive a score of 0 for this factor.

### **3. Detailed Budget Narrative**

Clearly explain how EPA funds will be used. This section provides an opportunity for narrative description of the budget found in the SF-424A. Applicants must itemize costs related to personnel, fringe benefits, contractual costs, travel, equipment, supplies, other direct costs, indirect costs, and total costs.

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.** These are 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.** Indicate how the supporting organization will assist in the project.

**D. Can funding be used for the applicant to make sub-awards, acquire contract 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 sub-grants or sub-awards of financial assistance, which includes using sub-awards or sub-grants to fund partnerships, provided the recipient complies with applicable requirements for sub-awards or sub-grants 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 sub-awardees/sub-grantees 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 sub-awardee/sub-grantee, contractor, or consultant in the proposal/application EPA selects for funding does not relieve the applicant of its obligations to comply with sub-award/sub-grant 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 cannot use sub-grants or sub-awards 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 sub-awardee or sub-grantee must be consistent with the standards for distinguishing between vendor transactions and sub-recipient assistance under Subpart B Section .210 of OMB Circular A-133 , and the definitions of sub-award at 40 CFR 30.2(ff) or sub-grant 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 31.36 and cannot use a sub-award/sub-grant as the funding mechanism.

**E. How will an applicant's proposed sub-awardees/sub-grantees 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 sub-awardees/sub-grantees identified in the proposal/application if the applicant demonstrates in the proposal/application that if it receives an award that the sub-award/sub-grant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use sub-awards/sub-grants 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 sub-awardees/sub-grantees and/or named contractor(s) during the proposal/application evaluation process unless the applicant complies with these requirements.

**F. Submission Dates and Times**

The closing date and time for receipt of applications is **July 15, 2009 at 4:30 PM**

**Eastern Daylight Time (EDT)**. All hard copies of application packages must be received by **Timothy McProuty** by that date and time (**July 15, 2009 at 4:30 PM Eastern Daylight Time (EDT)**) in order to be considered for funding. Electronic submissions must be received by **Timothy McProuty** via e-mail at [efcgrant@epa.gov](mailto:efcgrant@epa.gov) by **July 15, 2009 at 4:30 PM Eastern Daylight Time (EDT)** in order to be considered for funding. Applications received after the closing date and time will not be considered for funding.

**G. Confidential Business Information**

In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal package as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions thereof that 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. However, competitive proposals/applications are considered confidential and protected from disclosure prior to the completion of the competitive selection process.

**H. Pre-Application Assistance and Communications**

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft application packages, provide informal comments on draft narrative proposals, or provide advice and/or guidance to applicants on how to respond to ranking criterion. Applicants are responsible for the contents of their applications. However, EPA will respond to questions in writing from individual applicants regarding threshold eligibility criterion, administrative issues related to the submission of the application, and requests for clarification about the announcement. All questions and answers will be posted on the Office of the Chief Financial Officer's Center for Environmental Finance Grants/Funding webpage located on the EPA website at: <http://www.epa.gov/efinpage/efcgrants>.

**V. APPLICATION REVIEW INFORMATION**

Only eligible entities whose application(s) meet the threshold criteria in Section III of this announcement will be reviewed according to the following five evaluation criterion set forth in this Section. Applicants should explicitly address all of these criteria as part of their application package submittal. Each application will be rated under a points system, with a total of 100 points possible.

**A. Evaluation Criteria**

Criteria	Points
<p><b>1. <u>Project Summary/Approach:</u></b> Under this criterion, EPA will evaluate the extent and quality to which the application and narrative proposal:</p> <p>(i) includes a well-conceived strategy for addressing all of the goals, objectives and requirements in <b>Section I, Part B (Project Overview and Scope of Work)</b> of this announcement <b>(15 points)</b>; and</p> <p>(ii) demonstrates how the proposed project will address the priorities listed in <b>Section I, Part B (Project Overview and Scope of Work) (10 points)</b>.</p>	<p><b>25</b></p>
<p><b>2. <u>Environmental Results—Outcomes and Outputs:</u></b> Under this criterion, EPA will evaluate:</p> <p>(i) the effectiveness of the applicant’s plan for tracking and measuring its progress toward achieving expected project outputs and outcomes, including those identified in <b>Section I, Part C (EPA Strategic Plan Linkage and Anticipated Outputs and Outcomes)</b> of this announcement <b>(5 points)</b>;</p> <p>(ii) the extent and quality to which the narrative proposal’s goals are realistic and will be actually implemented by project end <b>(5 points)</b>; and</p> <p>(iii) whether the narrative proposal sets forth a reasonable time schedule for the execution of the tasks associated with the project(s) <b>(5 points)</b>.</p>	<p><b>15</b></p>
<p><b>3. <u>Past Performance--Programmatic Capability and Reporting on Environmental Results:</u></b> Under this criterion, EPA will evaluate the applicant’s technical ability to successfully complete and manage the proposed project taking into account the applicant’s:</p> <p>(i) past performance in successfully completing and managing federally and/or non-federally funded assistance agreements* similar in size, scope, and relevance to the proposed project performed within the last 3 years including but not limited to environmental finance projects or similar projects in which the applicant worked in cooperation with other public and private non-profit universities and colleges and/or non-profit entities or for multimedia projects involving the financing of environmental protection activities for state, tribal, and local governments and/or the private sector <b>(15 points)</b>; and</p> <p>(ii) history of meeting reporting requirements and submitting acceptable final technical reports under federally and/or non-federally funded assistance</p>	<p><b>25</b></p>

<p>agreements* similar in size, scope, and relevance to the proposed project performed within the last 3 years; and past performance in documenting and/or reporting on progress towards achieving the expected outcomes and outputs (e.g., results) under federally and/or non-federally funded assistance agreements* 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 <b>(10 points)</b>.</p> <p><b>NOTE:</b> In evaluating applicants under this criterion, EPA will consider the information provided by the applicant and may 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. A neutral score is half of the total points available in a subset of possible points. If you do not provide any response for these items, you may receive a score of 0 for these factors.</p> <p><b>* (assistance agreements include Federal grants and cooperative agreements but not Federal contracts)</b></p>	
<p><b>4. <u>Staff Expertise/Qualifications:</u></b> Under this criterion, the Agency will evaluate the following factors:</p> <p>(i) the applicant’s description of its staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project <b>(10 points)</b>; and</p> <p>(ii) the description of the applicant’s organization and experience relating to the proposed project <b>(10 points)</b>.</p>	<b>20</b>
<p><b>5. <u>Budget/Resources:</u></b> Under this criterion, the Agency will evaluate the following factors:</p> <p>(i) whether the proposed project budget is appropriate to accomplish the proposed goals, objectives, and measurable environmental outcomes and whether the budget provides an approximation of the percentage of the budget designated for each major activity <b>(5 points)</b>; and</p> <p>(ii) whether the proposal demonstrates how the applicant will coordinate the use of EPA funding with other Federal and/or non-Federal sources of funds to leverage additional resources to carry out the proposed project(s) and achieve stated goals, and how well EPA funding will complement activities relevant to the proposed project(s) carried out by the applicant with other sources of funds</p>	<b>15</b>

or resources. (10 points).	
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**B. Review and Selection Process**

Applications will first be evaluated against the threshold factors listed in Section III. Only those applications which meet all of the threshold factors will be evaluated using the evaluation criteria listed above by an EPA evaluation team. Each application will be given a numerical score and will be rank-ordered according to the numerical score. Funding recommendations will be provided to the Approving Official based on this ranking.

**C. Other Factors**

Final funding decisions will be made by the Approving Official based on the rankings and preliminary recommendation of the EPA evaluation team. In making the final funding decisions, the Approving Official may also consider programmatic priorities and geographic distribution of funds. Once final decisions have been made, a funding recommendation will be forwarded by the Approving Official's staff to the EPA Award Official.

**VI. AWARD ADMINISTRATION INFORMATION**

**A. Award Notices**

Following EPA's evaluation of applications, all applicants will be notified regarding their status.

1. EPA anticipates that notification to the *successful* applicant(s) will be made via telephone, e-mail or postal mail by **August 30, 2009**. The notification will advise the applicant that its proposed project has been successfully evaluated and recommended for award. The notification will be sent to the original signer of the Standard Form (SF) 424, Application for Federal Assistance.

This notification, which advises that the applicant's proposed project 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. EPA Grant Award Officers are the only officials that can bind the Agency to the expenditure of funds for selected projects

resulting from this announcement.

2. EPA anticipates notification to *unsuccessful* applicant(s) will be made via e-mail or postal mail by **August 30, 2009**. Notification will be sent to the original signer of the Standard Form (SF) 424, Application for Federal Assistance.

## **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 application 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 Application and not all states require such a review.
3. All applicants applying for a Federal grant or cooperative agreement are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. 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 or semiannual reports (as determined by the EPA project officer) and a detailed final technical report will be required. The quarterly or semiannual progress reports shall cover work status, work progress, any difficulties encountered, planned activities for next quarter or six months, and a summary of expenditures which shall include a comparison of the percentage of the project activities completed to the project schedule. The report shall also include any changes of key personnel concerned with the project. The schedule for the submission of quarterly or semiannual progress reports will be determined by EPA after the award. The final technical report shall be completed within 90 calendar days of the completion of the period of performance. The final technical report should include: summary of the project or activity, advances achieved and costs of the project or activity. In addition, the final technical 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.

**D. 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-bin/getpage.cgi?position=all&page=3629&dbname=2005\\_register](http://frwebgate.access.gpo.gov/cgi-bin/getpage.cgi?position=all&page=3629&dbname=2005_register). Copies of these procedures may also be requested by contacting the Agency contact identified in Section VII of this solicitation.

**E. 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 CONTACTS**

**FOR FURTHER INFORMATION, CONTACT:**

U.S. Environmental Protection Agency  
ATTN: Timothy McProuty (Mail Code: 2731R)  
Office of the Chief Financial Officer  
Center for Environmental Finance  
1200 Pennsylvania Avenue, NW  
Washington, DC 20460  
[efcgrant@epa.gov](mailto:efcgrant@epa.gov)

All questions or comments must be communicated in writing via postal mail or e-mail to the contact person, **Timothy McProuty**, listed above. Questions, comments, and answers will be posted until the closing date of this announcement at the Office of the Chief Financial Officer's Center for Environmental Finance Grants/Funding webpage located on the EPA website at: <http://www.epa.gov/efinpage/efcgrants>. For all questions and comments received by EPA pursuant to this notice, the goal will be to post the questions, comments, and answers on this website within 48 hours of receipt.