

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

**TITLE:** CLIMATE MODELING WORKSHOPS AND STUDY

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

**RFP NO:** OAR-CCD-07-11

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

**DATES:** The closing date for receipt of hard copy proposal packages is **September 7, 2007, 4:00 p.m. EST**. All hard copies of proposal packages must be received by Steven Rose by September 7, 2007, 4:00 p.m., EST in order to be considered for funding. Electronic submissions must be submitted via Grants.gov by September 7, 2007, 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 that advance the field of the economics of energy use and climate change through modeling workshops, comparisons, and specific studies.

**FUNDING/AWARDS:** The total estimated funding for this competitive opportunity is approximately \$1,000,000. EPA anticipates awarding up to approximately 3 cooperative agreements from this announcement, subject to availability of funds and the quality of proposals received.

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## **Section I - Funding Opportunity Description**

### **A. Background**

The relationship between energy and resource use, economic growth, and environmental impacts continues to be the subject of intense study. Atmospheric emissions of greenhouse gases (GHGs) have historically been closely correlated with economic activity. The relationship between GHG emissions and economic growth is commonly measured by “Greenhouse Gas Intensity.” Policies that reduce GHG intensity can have implications across various economic sectors.

The Climate Economics Branch (CEB), as part of the Climate Change Division (CCD) in EPA’s Office of Atmospheric Programs, is responsible for the modeling and economic analysis of domestic and international scenarios that reduce GHG intensity. Approaches to reducing GHG intensity include voluntary programs and market based mechanisms, and CEB analysis of these measures is a core function of the Climate Change Division. Furthermore, advancing the state-of-the-art in modeling the relationship between energy use, economic growth, and environmental impacts in the context of climate change and GHG intensity policy is a priority of CCD.

To provide academic, corporate, non-governmental experts and the public with improved access to state-of-the-art research, CEB is interested in advancing climate economic and integrated assessment modeling by funding a proposal for designing and coordinating a series of climate economic and integrated assessment modeling studies with premier international modeling teams. Among the studies this funding opportunity seeks to support is a proposed analysis to improve the representation of end-use energy efficiency in climate economic and integrated assessment models. Overall, the series of studies should address key policy relevant climate topics and frontiers that are best informed by multi-model economic and integrated assessment analyses that reflect model uncertainty. Among other issues, the studies could address domestic and international economic effects of climate change programs and policy scenarios, including interactions between various sectors of the economy in response to greenhouse gas mitigation and climate change. The series of studies is envisioned to involve participation by top modeling groups from around the world, and this solicitation seeks proposals that demonstrate the applicant’s ability to attract participants who are internationally recognized experts in the modeling of energy, economics, greenhouse gases, and integrated biophysical and economic systems. The studies will require annual to semi-annual meetings or workshops with the study participants in order to effectively design the studies, discuss assumptions, and compare results.

### **B. Scope of Work**

Through this solicitation, EPA seeks proposals from eligible entities interested in advancing the field of climate economic modeling through a regular series of studies on GHG emissions and policies, including a specific study on energy efficiency and renewable energy. These series of studies will be made available to researchers and experts in the field, and to the public in general.

#### ***Climate Economic and Integrated Assessment Studies***

Proposals should include an overview of prospective topics for study, including the structure,

composition, timing of, and logistics for collaborations. The studies should include premier international energy, economic, and integrated assessment modelers who study climate change. A key feature of the studies should be to facilitate the sharing, vetting, and comparison of modeling approaches and assumptions. The studies may be single or multi-year efforts. Study results should strive to highlight broad understanding of a substantive portion of the international modeling community on an issue, as well as provide a basis for identifying and improving understanding of key modeling assumptions and differences across models. The study results are to be made public.

Eligible entities interested in this funding opportunity shall have sufficient standing and stature within the community to convene the studies. All proposals must demonstrate the candidate's ability to successfully design and coordinate studies involving national and international experts and modeling teams.

### ***Energy Efficiency and Renewable Energy Study***

One specific study to be addressed in the proposal concerns the modeling of the potential of renewable energy and end-use energy efficiency to contribute to GHG mitigation in the U.S. Energy efficiency is the subject of significant study, but disagreements remain between the results of "bottom up" technology models and "top down" computable general equilibrium models. Renewable energy technologies currently contribute a very small portion of the energy consumed in the U.S., but the fraction is growing rapidly – different models with differing functional forms project renewable energy penetration at vastly different rates. The proposal will include an approach to investigate whether end-use energy efficiency and renewable energy could be better represented in the general equilibrium and integrated assessment frameworks, and propose methodologies for doing so.

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

### **1. Linkage to EPA Strategic Plan.**

Tasks under this agreement support the EPA Strategic Plan's Goal 1: Clean Air and Global Climate Change; Objective 1.5: Reduce Greenhouse Gas Intensity. The Climate Change Division (CCD) supports workshops, meetings and studies to advance the understanding of climate change analytics. These workshops, meetings and studies provide insights on strategies to reduce greenhouse gas intensity.

### **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, but are not limited to, organizing at least one modeling workshop each year and convening project meetings as necessary to coordinate modeling studies. The findings of workshops shall be made public on an annual basis, and the results of all studies shall be published.

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.*

Expected environmental outcomes from the project(s) to be funded under this announcement may include but are not limited to the following.

- Improved understanding of domestic and international economic effects of climate change programs and scenarios.
- Improved understanding of the interactions between various sectors of the economy in response to greenhouse gas mitigation.
- Improved modeling assumptions for economic analysis of climate change scenarios.

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

The statutory authority for this action is Clean Air Act, Section 103(b)(3) which authorizes the award of grants for research, investigations, experiments, demonstrations, surveys, and studies related to activities that improve economic, technical and programmatic understanding of climate change. Such activities include rendering technical services and providing financial assistance, as well as promoting workshops with the goal of improved understanding of climate change economics and mitigation.

## **Section 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 is approximately \$1,000,000.

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

EPA anticipates the award of up to three cooperative agreements resulting from this announcement, each approximately \$200,000 per year, subject to the availability of funds, and the quality of proposals submitted. In addition, EPA reserves the right to make additional awards under this announcement, consistent with Agency policy, if additional funding becomes available after the original selections are made. Any additional selections for awards will be made no later than six months from the date of original selection date.

#### **C. Partial Funding**

In appropriate circumstances, EPA reserves the right to partially fund proposals by funding discrete 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.

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

The estimated project period for awards resulting from this solicitation will begin in January 2008. Proposed project periods may be up to five years.

**E. Funding Type**

The funding for selected project(s) will be in the form of a cooperative agreement. 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 may be:

1. close monitoring of the successful applicant's performance to verify the results proposed by the applicant;
2. collaboration during performance of the scope of work;
3. approving substantive terms of proposed contracts;
4. approving qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient);
5. review and comment on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient).

**F. Can funding be used to acquire services or fund other 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 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. Successful applicants must compete contracts for services and products and conduct cost and price analyses to the extent required by the procurement provisions of 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. 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.

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 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.

## **Section III - Eligibility Information**

### **A. Eligible Entities.**

Proposals will be accepted from States, local governments, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, international organizations, public and private universities and colleges, hospitals, laboratories and other public or private non-profit institutions.

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 apply.

### **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 Criteria.**

1. 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.

2. Proposals must be received by the EPA or through [www.grants.gov](http://www.grants.gov) on or before the solicitation closing date published in Section IV of this announcement. Proposals received after the published closing date will be returned to the sender without further consideration.

**Note:** Applicants whose proposals are deemed ineligible for funding consideration based on Section III will be notified within fifteen calendar days of the ineligibility determination.

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

### **A. How to Obtain Application 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) Electronically through the [Grants.gov](http://www.grants.gov) website, or 2) hard copy by express delivery service or U.S. Postal Service. All proposals must be prepared, and include the information as described in Section IV.C. below, regardless of mode of transmission.

### **1. 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](http://www.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. **Note that the registration process may take a week or longer to complete.** If your organization is not currently registered with [Grants.gov](http://www.grants.gov), please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

To begin the application 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 PureEdge viewer and obtain the application package for the announcement. To download the PureEdge viewer click on the "PureEdge Viewer" link. Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number, **EPA-OAR-CCD-07-11**, 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 button "How To Apply" 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).

### **Proposal Submission Deadline**

Your organization's AOR, (*Authorized Representative*) must submit your complete proposal package as described below, electronically to EPA through [Grants.gov](http://www.grants.gov) (<http://www.grants.gov>) **no later than 11:59 p.m. EST on September 7, 2007.**

### **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, 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 [www.grants.gov](http://www.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 Authorized Representative (AOR) for submission to U.S. EPA through [www.grants.gov](http://www.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., FY07), 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](http://www.grants.gov) for assistance by phone at 1-800-518-4726 or email at <http://www.grants.gov/help/help.jsp> or contact Steven Rose at (202) 343-9553 or [rose.steven@epa.gov](mailto:rose.steven@epa.gov).

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

\*If you have not received a confirmation of receipt from EPA (*not from [grants.gov](http://www.grants.gov)*) within 30 days of the proposal deadline, please contact Steven Rose at (202) 343-9553. Failure to do so may result in your application not being reviewed.

## 2. Hard Copy Submission

Because of the unique situation involving U.S. mail screening, **EPA highly recommends that applicants use an express mail option to submit their proposal packages** (SF 424, SF 424A and Narrative Proposal). Please provide one original of the proposal package (including signed and completed SF 424 and SF 424A forms) and four copies--no binders or spiral binding--to:

### U.S. Postal Service

U.S.EPA  
Attn: Steven Rose (Mail Code: 6207J)  
OAR/OAP/CCD/CEB  
1200 Pennsylvania Avenue NW  
Washington, DC 20460

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

U.S.EPA  
Attn: Steven Rose (Mail Code: 6207J)  
OAR/OAP/CCD/CEB  
1310 L Street NW, Room 818  
Washington, DC 20005

## C. Content of Proposal Submission

All proposal submissions, regardless of mode of transmission, must contain a completed and signed SF-424, Application for Federal Assistance, a completed SF-424A, Budget Information—Non-Construction Programs, and a Narrative Proposal.

## **Narrative Proposal**

The Narrative Proposal **cannot** exceed a maximum of 20 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 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.

### **2. Narrative Work Plan**

*\*The Narrative must explicitly describe the proposed project and address each of the evaluation criteria set forth in Section V.*

#### **a. Project Summary/Approach:**

- i. Detailed project summary, description of specific actions and methods to be undertaken and the responsible institutions, including estimated time line 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 audience(s) 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. 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 outcomes and how the results of the project will be evaluated. Identify the expected project outputs and how progress towards achieving the outputs will be tracked and measured.

#### **c. Past Performance**

**i. Programmatic Capability:** Submit a list of federally funded assistance agreements similar in size, scope and relevance to the proposed project that your organization performed within the last three years (no more than 5 agreements, 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 this factor under Section V.

In addition, provide information on your organizational experience and plan for timely and successfully achieving the objectives of the proposed project, and your staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.

**ii. Reporting on Environmental Results--Outcomes and Outputs:** Submit a list of federally funded assistance agreements that your organization performed within the last three years (no more than 5 agreements, 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.

### **3. Detailed Budget Narrative/Funds Leveraging**

In addition to the SF 424A, please provide specified total costs of the project (EPA funding and cost share if any). Identify funding from other sources including any in-kind or leveraging of resources. Describe your ability to leverage funding for this project including any special measures to maximize cost effectiveness in implementing the project.

## **D. Submission Dates and Times**

The deadline for receipt of hard copy proposal packages is September 7, 2007, 4:00 p.m., EST. All hard copies of proposal packages must be received by Steven Rose by September 7, 2007, 4:00 p.m. in order to be considered for funding. Electronic submissions must be submitted via Grants.gov by September 7, 2007, 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.

**E. Confidential Business Information**

In accordance with 40 CFR 2.203, applicants may claim all or a portion of their proposal as confidential business information. EPA will evaluate confidential claims in accordance with 40 CFR Part 2. Applicants must clearly mark proposals or portions of 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.

**F. Pre-proposal/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 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 proposals. However, EPA will respond to questions in writing from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement.

**Section V - Application Review Information**

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 application will be rated under a points system, with a total of 100 points possible.

**A. Evaluation Criteria.**

Criteria	Points
<p><b>1. Project Summary/Approach/Staffing:</b> (1) Extent and quality of the project description, overall approach, and the organization’s demonstrated expertise to perform the project addressing all the requirements in Section I, Part B (Scope of Work) and Part C (EPA Strategic Plan Linkage and Anticipated Outcomes/Outputs) <b>(15 points)</b>. (2) Extent and quality to which the proposal has the potential to broadly advance the field of energy, economic, and integrated assessment modeling pertaining to climate change policy <b>(15 points)</b>. (3) 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>.</p>	<p><b>40</b></p>
<p><b>2. Past Performance – Programmatic Capability and Reporting on Environmental Results:</b> Under this criterion, the Agency will evaluate the applicant’s ability to successfully complete and manage the proposed project taking into account the following factors: (1) its past performance in successfully completing and managing federally funded projects similar in size, scope, and relevance to the proposed project performed within the last 3 years <b>(20 points)</b>, (2) its history of meeting reporting requirements on federally funded assistance agreements 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 <b>(5 points)</b>, and (3) its past performance in documenting and/or reporting on progress towards achieving the expected</p>	<p><b>30</b></p>

<p>outcomes and outputs (e.g., results) under federally funded projects 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>5 points</b>).</p> <p>NOTE: 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 performance or reporting history will receive a neutral score for this criterion.</p>	
<p><b>3. <u>Environmental Results – Outcomes and Outputs:</u></b> Effectiveness of the applicant’s plan for tracking and measuring progress toward achieving the expected project outputs and outcomes, including those identified in Section I of this announcement.</p>	<b>15</b>
<p><b>4. <u>Budget/Resources:</u></b> Extent to which the applicant’s proposed budget is clearly stated, detailed, and appropriate to achieve the project’s objectives.</p>	<b>10</b>
<p><b>5. <u>Leveraging:</u></b> Under this criteria, applicants will be evaluated based on the extent they demonstrate (i) how they 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/or (ii) that EPA funding will compliment activities relevant to the proposed project(s) carried out by the applicant with other sources of funds or resources. Applicants may use their own funds or other resources for a voluntary match or cost share 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 matches or cost shares. Other Federal grants may not be used as matches or cost shares without specific statutory authority (e.g. HUD's Community Development Block Grants)</p>	<b>5</b>

**C. Review and Selection Process.**

A CCD 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 CCD review team will develop preliminary funding recommendations for the Approving Official based on this ranking.

Final funding decisions will be made by the Approving Official, based on the recommendation of the CCD review 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 developed and forwarded to the EPA Award Official.

**Section VI – Award Administration Information**

**A. Award Notices**

**1. Proposal Notifications.**

a. EPA anticipates notification to *successful* applicant(s) will be made, via telephone, electronic or postal mail by October 15, 2007. 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(C), Content of Proposal Submission*).

b. EPA anticipates notification to *unsuccessful* applicant(s) will be made via electronic or postal mail by October 15, 2007. In either event, the notification will be sent to the original signer of the application.

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

a. EPA anticipates notification to *successful* applicant(s) regarding the status of Final Applications will be made, via telephone, electronic or postal mail by November 15, 2007.

This notification, which advises that the applicant's proposal has been recommended for award, is not an authorization to begin performance. The award notice signed by the EPA grants officer is the authorizing document and will be provided through postal mail. At a minimum, this process can take up to 90 days from the date of recommendation.

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

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 greenhouse gas emissions reductions if applicable, 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, 2006) 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)

#### **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.

### **Section VII – Agency Contacts**

For further information, contact:

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All questions or comments must be communicated in writing via postal mail, facsimile, or electronic mail to the contact person listed above. Answers will be posted, weekly, until the closing date of this announcement at the OAR Grants/Funding webpage ([http://www.epa.gov/air/grants\\_funding.html](http://www.epa.gov/air/grants_funding.html)).