

**REQUEST FOR GRANT PROPOSALS**  
Governors' Institute for Community Design

**OVERVIEW INFORMATION**

**AGENCY NAME:** U.S. Environmental Protection Agency; Office of the Administrator, Office of Policy; Office of Sustainable Communities.

**FUNDING OPPORTUNITY TITLE:** Governors' Institute for Community Design, Request for Proposals (RFP)

**ANNOUNCEMENT TYPE:** Request for Proposals

**FUNDING OPPORTUNITY NUMBER:** EPA-OP-OSC-12-01

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** 66.611

**DATES:** The closing date for receipt of hard-copy (paper) proposal packages is **December 5, 2011**. All hard copies of proposal packages must be received by Adhir Kackar by **5:00 p.m. Eastern Time** in order to be considered for funding. Electronic submissions must be submitted through [www.grants.gov](http://www.grants.gov) on or before **December 5, 2011, 5:00 p.m. Eastern Time**. Proposals received after the closing date and time will not be considered for funding. Award announcements are expected to be made by **April 2012**.

**EXECUTIVE SUMMARY**

The Office of Sustainable Communities (OSC) in EPA's Office of Policy is seeking proposals to conduct research and studies, analyze state policies and programs, and create and deliver technical assistance programs to leaders of states that are facing air and water pollution, land use, and development challenges. This Request for Proposals (RFP) seeks to fund one applicant to operate the Governors' Institute for Community Design. The institute will select and work with interested state leadership (governors and their cabinets and staffs) to deliver technical assistance that supports state efforts to implement smart growth and sustainable communities development approaches that protect the environment, improve public health, facilitate job creation and economic opportunity, and improve overall quality of life.

Providing financial assistance to establish and operate the Governors' Institute is a joint effort of the U.S. Department of Housing and Urban Development (HUD), U.S. Department of Transportation (DOT), and EPA. Each of these agencies will be providing financial support to the Governors' Institute and will be actively involved in the activities of the Governors' Institute. These three agencies are partners in the interagency Partnership for Sustainable Communities. The Partnership is a joint effort between HUD, DOT, and EPA to advance development patterns and infrastructure investment programs that reduce air and water pollution; achieve economic prosperity; foster healthy,

environmentally sustainable, opportunity-rich communities; and increase housing and transportation choices.

The “Governors’ Institute” is a trademark owned by the National Endowment of the Arts (NEA). Since 2005, the Governors’ Institute has provided policy analysis and guidance to governors and state leaders to help them produce more cost-efficient and economically and environmentally sustainable patterns of growth. The Governors’ Institute is currently operated by a recipient of a cooperative agreement from NEA. EPA has assumed responsibility as the funding agency for the Governors’ Institute. If an organization other than the current recipient of NEA funds successfully competes for EPA funding to operate the Governors’ Institute, EPA and NEA will ensure that the successful applicant receives a license to use the Governors’ Institute trademark. Additionally, NEA and EPA will provide the successful applicant with data and materials produced under the NEA cooperative agreement to develop and initially operate the Governor’s Institute as authorized by 2 CFR 215.36.

The successful applicant for the Governors’ Institute should support an appropriate number of state workshops annually. The maximum amount of funding for an award under this RFP will be approximately \$2 million over the five-year life of the agreement. EPA expects to make one award and have approximately \$325,000 for the first year of activity. The award will be negotiated for a project period of up to 5 years and will be set up for incremental funding, with funding for future years dependent on funding availability, agency priorities, recipient performance, and other applicable considerations. The award will be made through a cooperative agreement. EPA reserves the right to reject all proposals and make no awards under this RFP.

Eligible applicants include:

- 1) States, territories, Indian Tribes, interstate organizations, intrastate organizations, and possessions of the U.S., including the District of Columbia.
- 2) Public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions.

Consortiums of two or more eligible entities may also apply. However, one entity must be responsible for the cooperative agreement. Consortiums must identify which eligible organization will be the recipient of the cooperative agreement and which eligible organizations will be the subawardee. Please carefully review section 4.7 of this RFA before submitting a consortium proposal.

For-profit organizations are not eligible to apply. If you intend to include a for-profit organization in your application as a “partner” or under a similar arrangement, please carefully review Section 4.7 of this RFA. Individuals are not eligible to apply. Applications for renewal or supplementation of existing projects are eligible to compete with applications for new awards.

The closing date for receipt of hard-copy (paper) proposal packages is **December 5, 2011**. All hard copies of proposal packages must be received by Adhir Kackar by **5:00 p.m. Eastern Time** in order to be considered for funding. Electronic submissions must

be submitted through [www.grants.gov](http://www.grants.gov) on or before **December 5, 2011, at 5:00 p.m. Eastern Time**. Proposals received after the closing date and time will not be considered for funding. Award announcements are expected to be made by **April 2012**.

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## **FULL TEXT OF ANNOUNCEMENT**

### **Section 1: FUNDING OPPORTUNITY DESCRIPTION**

#### **1.1. PROJECT SUMMARY**

An increasing number of regions and communities across the United States are turning their attention to smart growth and sustainable communities development approaches that can revitalize their economies, facilitate job creation, protect clean air and water, and improve residents' quality of life.

Smart growth—development that benefits the environment, public health, the economy, and the community—is defined by the following ten principles:

- Mix land uses.
- Take advantage of compact building design.
- Create a range of housing opportunities and choices.
- Create walkable neighborhoods.
- Foster distinctive, attractive communities with a strong sense of place.
- Preserve open space, farmland, natural beauty and critical environmental areas.
- Strengthen and direct development towards existing communities.
- Provide a variety of transportation choices.
- Make development decisions predictable, fair and cost-effective.
- Encourage community and stakeholder collaboration in development decisions.

State actions and policy have a large and direct impact on the ability of regions and localities to achieve their development objectives and pursue smart growth approaches. For example, the decisions that states make about housing, transportation, and infrastructure spending and policy often determine whether land should be developed or protected, farmed or subdivided, and served by transit or roads. State development and spending decisions can also have a substantial impact on achieving national policy objectives and priorities.

In June 2009, the U.S. Department of Housing and Urban Development (HUD), U.S. Department of Transportation (DOT) and the U.S. Environmental Protection Agency (EPA) established the Partnership for Sustainable Communities. The Partnership aims to reduce air and water pollution and build economically competitive, healthy, and environmentally sustainable communities by connecting housing with transportation, jobs, infrastructure, and services. The three agencies are working together to achieve better outcomes for communities and states and more effective federal investments by better targeting federal resources and by aligning agency priorities around the following livability principles:

- **Provide more transportation choices** with strategies that develop safe, reliable, and economical transportation choices to decrease household transportation costs, reduce our nation's dependence on foreign oil, improve air quality, reduce greenhouse gas emissions, and promote public health.
- **Promote equitable, affordable housing** by expanding location- and energy-efficient housing choices that lower the combined cost of housing and transportation by saving fuel and, in turn, reducing air pollution.
- **Enhance economic competitiveness** by enabling workers and businesses to accomplish daily activities by driving fewer miles, reducing the environmental impacts of construction and maintenance of major facilities leading to reductions of air and water pollution.
- **Support existing communities** by targeting federal funding toward existing communities—through strategies like transit oriented, mixed-use development, and land recycling—to increase community revitalization and the efficiency of public works investments and safeguard rural landscapes.
- **Coordinate and leverage federal policies and investment** by aligning federal policies and funding to remove barriers to collaboration, leverage funding, and increase the accountability and effectiveness of all levels of government to plan for future growth, including making smart energy choices such as locally generated renewable energy.
- **Value communities and neighborhoods** by enhancing the unique characteristics of communities through investment in healthy, safe, and walkable neighborhoods—rural, urban, or suburban.

EPA, HUD, and DOT want to help interested state leadership implement policy changes that support smart growth and sustainable communities approaches and outcomes that are consistent with the Livability Principles. All three agencies are partnering to support the continued operation of the Governors' Institute on Community Design.

This RFP seeks to fund one applicant that will provide technical assistance through the Governors' Institute to interested state leadership (governors, their cabinets, and their senior staff) on smart growth and sustainable communities approaches. This RFP was

developed in consultation with HUD and DOT, and staff from all three agencies may participate in the review of applications. Final selections will be made by EPA.

Applicants for funding to operate the Governors' Institute should explain how they will carry out the following program elements. Applicants may also propose additional or different program elements that may enhance the operations of the Governor's Institute.

- a. *Technical assistance workshops* – the successful applicant is expected to deliver an appropriate number of technical assistance workshops to state leadership, including governors, per year. Workshops should be customized to the particular needs of an interested state.

Workshops should (1) support implementation of state-level best practices in land use, transportation, housing, environmental protection, and/or economic development; (2) improve coordination between state agencies and between state and federal programs; and (3) facilitate policy dialogue between states and federal agencies that are participants in the interagency Partnership for Sustainable Communities in order to represent state interests.

The successful applicant would be responsible for coordinating technical assistance workshops. EPA will be a co-sponsor of these workshops. This includes activities such as, but not limited to:

- Soliciting interest and securing participation of state leadership, in particular governors, to host and actively participate in workshops.
- Coordinating workshop logistics with state leadership and experts.
- Conducting pre-workshop fact-finding visits to gather information, meet with state leadership, and plan workshops.
- Developing workshop briefing materials.
- Reimbursement of nonfederal national experts (selected by the successful applicant rather than EPA, DOT, or HUD) for their time and participation in workshops.
- Producing a final report for state leadership following each workshop that summarizes key issues, workshop proceedings, and policy options developed during the workshop.
- Applicants may also propose other activities that they believe will enhance the effectiveness of the workshops.

- b. *Workshop follow-up* – the successful applicant is expected to provide follow-up assistance to states that participate in or host a Governors' Institute workshop during the life of the new assistance agreement to be awarded through this RFP. Follow-up assistance should support implementation of policy options and strategies identified through the technical assistance workshops. Examples of follow-up activities include, but are not limited to, evaluation of state programs or policy, policy formulation, and coordination and convening of follow-up workshops and/or meetings. Workshop

follow-up is a significant activity, and applicants should budget accordingly. Applicants may propose other follow-up activities as well.

- c. *Outreach* – the successful applicant is expected to raise awareness of the mission, services, and accomplishments of the Governors’ Institute by creating a Governors’ Institute website, developing and distributing customized outreach materials, and participating in conferences and meetings that convene state leaders. The address for the current Governors’ Institute website is [www.govinstitute.org](http://www.govinstitute.org). Under 2 CFR 215.36, EPA and NEA have the right to obtain any data and materials on this website that were produced with federal funding and, if appropriate, provide them to the successful applicant.

Please note that under this RFP, EPA will not fund research, training, or technical assistance to individuals and organizations to facilitate the inventory of brownfield sites, site assessments, remediation of brownfield sites, community involvement, or pre-cleanup and cleanup site preparation. The Agency funds these activities under Catalogue of Federal Domestic Assistance Number 66.814. Applicants may propose to carry out “post cleanup” technical assistance activities to promote sustainable redevelopment of brownfields sites.

## **1.2. EXPECTED RESULTS**

Applicants should clearly define expected project outcomes and outputs in their proposals, as well as the process by which the outcomes and outputs will be tracked and measured. Successful applicants will be expected to track results as their work progresses. Wherever possible, outputs and outcomes should be tracked quantitatively.

“Outputs” are activities, efforts, or work products that: (1) will be produced by a specific date and (2) are directly related to environmental goals or objectives. Outputs can be quantitative or qualitative and must be measurable. “Outcomes” are the results of carrying out a project. Outcomes may be environmental, behavioral, health-related or programmatic; must be quantifiable; and may not always be achievable within the project funding period. All outputs and outcomes proposed for a project funded under this RFP must support objective 4.2 (sustain, clean up, and restore communities and the ecological systems that support them) in EPA’s 2006-11 Strategic Plan.

Potential outputs during at least the first year of the assistance agreement might include, but are not limited to:

- Number of Governors’ Institute workshops held.
- Number of governors and/or state leaders participating in workshops.
- Number of requests from state leaders to host a Governors’ Institute workshop.
- Amount of follow-up assistance, including evaluation of state policy, provided to states that participated in or hosted a workshop.
- Number of conferences and/or meetings that the successful applicant has participated in to raise awareness of the Governors’ Institute.
- Number of visitors to Governors’ Institute website.

- Final reports that document key policy issues within a state and outline possible implementation and policy options prepared for and presented to state leadership and workshop participants.

General outcomes might include, but are not limited to:

- Changes in state policies.
- Greater coordination of state agency action and institutional change.
- Adoption of state smart growth and sustainable communities-related development principles.
- Increased alignment of state investment and programs with the smart growth principles and the Partnerships' six Livability Principles.
- Increased state financial and technical assistance for local and regional smart growth and sustainable communities planning and related activities.

Additionally, the ultimate goal of the assistance agreements is to improve the environment and the community in the areas assisted through longer-term outcomes such as:

- Expanded housing and transportation choices that contribute to the reduction of air and water pollution, particularly for households earning below area median income.
- Increased access to employment, educational, and health care opportunities.
- More balanced transportation systems that support walking, biking, and public transit, as well as driving.
- Reduced vehicle miles traveled, resulting in lower greenhouse gas emissions, improved air quality, lower commuting costs, and decreased road congestion.
- Efficient use of services and infrastructures, resulting in post cleanup sustainable redevelopment of brownfields sites and other underused infill locations.
- Improved water quality through efforts that reduce stormwater runoff into waterways.
- Reduced cost and energy intensity of stormwater management systems through increased use of green stormwater practices.
- More healthy and safe pedestrian walkways and streetscapes through use of street trees, swales, and other green infrastructure components.
- Improved public health through increased neighborhood walkability, access to open space, and availability of healthy foods.
- Reduced energy and water consumption, lower household energy costs, and improved indoor air quality through use of sustainable design techniques.
- Reduced use of open space and agricultural land for development.
- High-quality, environmentally friendly design that is consistent with community character.

### **1.3. Alignment of This Funding Solicitation with EPA's Strategic Plan**

The Office of Sustainable Communities (OSC) in U.S. EPA's Office of Policy is issuing this RFP. OSC focuses on sustainable communities development and design issues of regional and national significance. Sustainable communities development practices support integrated environmental management approaches that both protect local ecosystems and support ecologically compatible development. Sustainable design

practices support building design, construction, and operation methods that minimize environmental impacts and protect public health. Taken together, these approaches support national environmental and public health goals by protecting sensitive watersheds, minimizing water quality impacts from development, reducing air emissions by increasing the quantity and quality of low or no emission transportation choices and reducing household vehicle miles traveled, and encouraging sustainable redevelopment of brownfields. The projects this solicitation seeks to fund will directly support EPA's strategic objective to sustain, clean up, and restore communities and the ecological systems that support them (Objective 4.2 in EPA's 2006-2011 Strategic Plan, <http://nepis.epa.gov/Adobe/PDF/P1001IPK.PDF>).

#### **1.4. Statutory Authority**

As outlined in Section 3.3, all proposed activities must be authorized under one or more of the following U.S. EPA grant authorities: Clean Air Act section 103 (b) (3); Clean Water Act section 104 (b) (3); Solid Waste Disposal Act section 8001, as amended; Toxic Substances Control Act section 10; Federal Insecticide, Fungicide and Rodenticide Act section 20, as supplemented by P.L. 106-74; and Safe Drinking Water Act sections 1442 (a) and (c). These statutes authorize grants for research, investigations, experiments, training, demonstrations, surveys, and studies.

## **Section 2: AWARD INFORMATION**

### **2.1. Expected Size, Number, and Scope of Awards**

The maximum amount of funding for an award under this RFP will be approximately \$2 million. EPA expects to make one award and have approximately \$325,000 for the first year. The award will be negotiated for a project period of up to 5 years and will be set up for incremental funding, with funding for future years dependent on funding availability, agency priorities, recipient performance, and other applicable considerations. The award will be made through a cooperative agreement. EPA reserves the right to reject all proposals and make no award under this RFP.

### **2.2. Eligibility of Existing Projects**

Proposals for renewal or expansion of existing projects are eligible to compete with applications for new awards.

### **2.3. Type of Assistance Agreements to Be Awarded**

The funding for the selected projects will be in the form of a cooperative agreement. Cooperative agreements entail substantive involvement in the funded project by EPA and federal partners, currently HUD and DOT. Substantive involvement may include EPA and federal review of project phases and input on work plans before they are initiated. It may also include participation in and collaboration on selected phases of the work, including but not limited to: consultation on the selection of states and locations for Governors' Institute workshops, although the final decision on these matters will be made by the successful applicant, and the delivery of the assistance; review of proposed procurements in accordance with 40CFR 31.36(g) (governmental entities) and 40CFR 30.44(e) (non-

profit organizations); and/or review and approval of all draft and final products for consistency with the scope of work. The recipient will make the final determination on the states in which they will work and the products produced within the scope of work.

#### **2.4. Anticipated Start Dates and Period of Performance**

The estimated project period for a cooperative agreements awarded under this solicitation will begin **April 2, 2011**. The proposed project period (i.e., the length of the project) may be up to five (5) years.

#### **2.5. Partial Funding and Additional Awards**

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.

EPA reserves the right to make additional awards under this solicitation consistent with EPA policy if additional funds become available after the original selections are made. Any additional award selections will be made no later than six months after the original selection decisions. EPA also reserves the right to reject all proposals and make no awards under this RFP.

### **SECTION 3: ELIGIBILITY INFORMATION**

#### **3.1. Eligible Applicants**

Eligible applicants are states, territories, Indian Tribes, interstate organizations, intrastate organizations, and possessions of the U.S., including the District of Columbia; public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions. Applicants must be located in, and project activities must be conducted within, the United States, the Commonwealth of Puerto Rico, or a territory or possession of the United States. Nonprofit organizations described in section 501 (c) (4) of the Internal Revenue Code that engage in lobbying activities as defined in the Lobbying Disclosure Act of 1995 are not eligible to apply. For-profit organizations are not eligible to apply. Individuals are not eligible to apply. Applications from ineligible applicants will not be considered.

#### **3.2. Cost-Sharing**

**No matching funds are required** under this competition. Although cost-sharing/matching is not required as a condition of eligibility under this competition, under Section V of this announcement EPA will evaluate proposals based on a leveraging criterion.

Leveraging is generally when an applicant proposes to provide its own additional funds/resources or those from third-party sources to support or complement the project they are awarded. Any leveraged funds/resources, and their source, must be identified in

the proposal (See Section IV of the announcement). Leveraged funds and resources may take various forms as noted below.

**Voluntary cost share** is a form of leveraging. Voluntary cost-sharing is when an applicant voluntarily proposes to legally commit to provide contributions to support the project when a cost share is not required. Applicants who propose to use a voluntary cost share must include the contributions for the voluntary cost share in the project budget on the SF-424. If an applicant proposes a voluntary cost share, the following apply:

- A voluntary cost share is subject to the match provisions in the grant regulations (40 CFR 30.23 or 40 CFR 31.24, as applicable).
- A voluntary cost share may only be met with eligible and allowable costs.
- The recipient may not use other sources of federal funds to meet a voluntary cost share unless the statute authorizing the other federal funding provides that the federal funds may be used to meet a cost share requirement on a federal grant.
- The recipient is legally obligated to meet any proposed voluntary cost share that is included in the approved project budget. If the proposed voluntary cost share does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and take other appropriate action as authorized by 40 CFR Parts 30 or 31 as applicable.

**Other leveraged funding/resources** that are not identified as a voluntary cost share are another form of leveraging that may be met by funding from another federal grant, from an applicant's own resources, or resources from other third-party sources. This form of leveraging should not be included in the budget, and the costs need not be eligible and allowable project costs under the EPA assistance agreement. While this form of leveraging should not be included in the budget, the grant workplan should include a statement indicating that the applicant is expected to produce the proposed leveraging consistent with the terms of the announcement and the applicant's proposal. If applicants propose to provide this form of leveraging, EPA expects them to make the effort to secure the leveraged resources described in their proposals. If the proposed leveraging does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and take other appropriate action as authorized by 40 CFR Parts 30 or 31 as applicable.

### **3.3. Threshold Eligibility Criteria**

These are requirements that if not met by the time of proposal submission will result in elimination of the proposal from consideration for funding. Only proposals from eligible applicants (see Section 3.1, "Eligible Applicants," above) that meet all of these criteria will be evaluated against the ranking factors in Section 5 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.

Only one proposal submission will be accepted per applicant. If an applicant submits more than one proposal, EPA will contact them to determine which one to withdraw.

### **Threshold Criterion 1: Allowable Activities**

The activities proposed must be authorized under one or more of the following U.S. EPA grant authorities: Clean Air Act section 103 (b) (3); Clean Water Act section 104 (b) (3); Solid Waste Disposal Act section 8001, as amended; Toxic Substances Control Act section 10; Federal Insecticide, Fungicide and Rodenticide Act section 20, as supplemented by P.L. 106-74; and Safe Drinking Water Act sections 1442 (a) and (c). These statutes authorize grants for research, investigations, experiments, training, demonstrations, surveys, and studies. The project activities must advance the state of knowledge or transfer information. The term “research” may include the application of established practices when they contribute to learning about an environmental concept or problem. The term “demonstrations” can encompass the first instance of a pollution control or prevention technique or an innovative application of a previously used method.

Please note that under this RFP, EPA will not fund research, training, or technical assistance to individuals and organizations to facilitate the inventory of brownfield sites, site assessments, remediation of brownfield sites, community involvement, or pre-cleanup and cleanup site preparation. The Agency funds these activities under Catalogue of Federal Domestic Assistance Number 66.814. Applicants may propose to carry out “post cleanup” technical assistance activities to promote sustainable redevelopment of brownfields sites.

### **Threshold Criterion 2: Environmental Focus**

The project's general focus must be one that is specified in the statutes listed under threshold criterion 1. For most statutes, the project must address the causes, effects, extent, prevention, reduction, and elimination of air, water, or solid/hazardous waste pollution. In the case of grants under the Toxic Substances Control Act or the Federal Insecticide, Fungicide and Rodenticide Act, the project must “(carry) out the purposes of the Act.” The overarching focus of the proposed project must be on the statutory purpose of the applicable grant authorities, which in most cases is “to prevent or control pollution.” Proposals must clearly describe how the activities proposed will prevent or control pollution.

### **Threshold Criterion 3: Serve a Public Purpose**

Proposals must clearly demonstrate that the proposed activities will be of primary benefit to the applicant organization (i.e., directly advancing their overall mission and goals) and the non-federal community rather than to provide a service for the direct use or benefit of the federal government.

### **Threshold Criterion 4: Complete Proposals That Are Submitted on Time**

Proposals must substantially comply with the proposal submission instructions and requirements set forth in Section 4.2 of this announcement (“Content and Form of Proposal Submission”) or else they will be rejected. However, where page limits are expressed in Section 4.2 with respect to the proposal and/or parts of the proposal, pages in excess of the page limitation will not be reviewed.

In addition, proposals must be received by EPA or through [www.grants.gov](http://www.grants.gov) on or before the solicitation closing date published in Section 4.4 of this announcement (“Submission Dates and Times”). Applicants are responsible for ensuring that their proposal reaches the designated person or office specified in Section 4.8 of the solicitation by the submission deadline.

Proposals received after the published closing date will be considered late and will be excluded from further consideration unless the applicant can clearly demonstrate that the proposal was late due to EPA mishandling or because of technical problems associated with [www.grants.gov](http://www.grants.gov). For hard-copy submissions where Section 4.4 requires that proposals be received by a specific person or office by the closing date, receipt by an agency mailroom is not sufficient. Applicants should confirm receipt of their proposal with the EPA personnel specified in Section 7 as soon as possible after the submission deadline; failure to do so may result in your proposal not being reviewed.

## **SECTION 4: PROPOSAL AND SUBMISSION INFORMATION**

### **4.1. How to Get Application Materials**

This RFP provides all of the instructions needed for preparing your proposal. If applicants are submitting a paper copy of their proposal, they will need to submit an Application for Federal Assistance- Standard Form 424 and SF 424A along with their package. These forms can be downloaded at <http://www.epa.gov/ogd/AppKit/application.htm>. The format and content requirements are described below under Section 4.2, “Content and Form of Proposal Submission.” Applicants also have the option to apply electronically through [www.grants.gov](http://www.grants.gov). As with paper applications, anyone filing electronically will be required to fill out the cover sheet of a standard federal form (SF424) and submit it with their application. Requirements for electronic submissions are discussed in Section 4.3 (“Instructions for Electronic Submission through [www.Grants.gov](http://www.Grants.gov)”).

Paper copies of this announcement can be obtained by contacting the EPA personnel listed in Section 7 (“Agency Contacts”). Electronic copies of this announcement will be available on the Office of Sustainable Communities’ website ([www.epa.gov/smartgrowth](http://www.epa.gov/smartgrowth)).

### **4.2. Content and Form of Proposal Submission**

To be considered complete all proposals must include (a) a cover letter; (b) a summary information page; (c) a completed Application for Federal Assistance Standard Form (SF) 424); (d) a demonstrated expertise and experience in smart growth and sustainable communities; (e) a project description subject to a page limitation; (f) a summary budget table and budget narrative; (g) supplemental documentation of staff expertise, approach to awarding subawards and subgrants, and programmatic capability; and (h) confirmation of partner participation and/or description of proposed leveraging (if applicable). Demonstrated Expertise in Smart Growth and Sustainable Communities cannot exceed 4

pages (two pages double-sided)—excess pages will not be reviewed. Project descriptions cannot exceed 10 pages (five pages double-sided) —excess pages will not be reviewed.

Proposals shall be on 8 ½” x 11” paper, single-spaced, using no less than 11-point font and no less than an average of 3/4" margins. Type size limits do not apply to Tables and Figures, provided they are clear and readable. Resumes shall not exceed two (2) pages. Foldout pages are considered in the total number of 8 ½” x 11” pages, even if it does not cover a full typed page.

The following format is required for all proposals:

**4.2(a). Cover letter (does not count against page limit)**

The cover letter that accompanies your proposal must be signed by an official with the authority to commit your organization to the project and should be written on your organization's official letterhead.

**4.2(b). Summary information page (does not count against page limit)**

The summary information page should be one page long and include the following information:

- The title and number of this request for initial proposals (Governors’ Institute on Community Design, Funding Opportunity Number EPA-OP-OSC-12-01).
- Project title and location.
- Applicant name, address, telephone and fax numbers, and email address.
- Name and title of project contact (including how to reach if different from above).
- Type of applicant organization (e.g., nonprofit, local government, state government, etc.).
- Summary budget information (amount requested from U.S. EPA; amount and source of any leveraged funds).
- 5- to 10-line abstract of the proposal.
- DUNS number. See Section VI.

**4.2(c) SF 424 Application for Federal Assistance and SF 424 A (Budget Information for Non-Construction Programs)**

Complete all relevant sections in accordance with instructions provided with the forms.

**4.2 (d) Demonstrated expertise and experience in smart growth and sustainable communities (no longer than 2 pages)**

Applicant should discuss experience conducting innovative, forward-thinking work in the area of smart growth and sustainable communities. Up to 6 examples of work will be evaluated in which the offeror completed a significant portion of the work. Any work with state leadership and that has supported state policy changes should be clearly noted and described.

**4.2 (e) Project description (no longer than 10 pages)**

The project description must provide a concise overview of the project and address the requirements in Section I, any threshold eligibility requirements in Section III, and the evaluation criteria in Section V. It should include a preliminary workplan outlining all major tasks, including:

1. An outreach plan describing the process for soliciting state leadership interest, selecting states for workshops, and securing the active participation of the governor (two pages maximum).
2. An approach to delivering a workshop, including discussion of the role of national subject matter experts and a sample agenda format (three pages maximum).
3. Description of workshop products and approach to delivery of post-workshop follow-up assistance (one page maximum).
4. The method for developing and delivering a technical assistance workshop (as described in Section 1.1) including a description of the workshop topic (two pages maximum).
5. Expected outputs and outcomes (including environmental results) for the life of the project, and a proposed approach to tracking and measuring the applicant's progress towards achieving the expected project outputs and outcomes (described in Section 1.2, "Expected Results,") (two pages maximum).

In addition, the successful applicant should include any additional tasks they feel would be necessary to support the goals of the Governors' Institute.

If other project partners or funding sources are involved, their role and contribution must be clearly defined and documented.

**4.2(f). Budget and budget narrative (does not count against page limit)**

The project budget must include two elements: summary budget table(s) and a budget narrative. The budget summary shall include information summarizing all relevant direct costs (e.g., personnel, fringe benefits, travel, equipment, supplies, and contractual) and indirect costs. It shall also break out and describe any costs that will be associated with sub-awardees from those directly associated with the applicant. To the extent possible, the budget should also identify: anticipated travel costs incurred to work with states, the anticipated level of effort and cost for key staff working on the project (more than 20 total hours of involvement), and any other major cost categories. Entries under each category must be subsequently explained in the accompanying budget narrative. The budget should be prepared for a five-year budget period.

**Management fees:** When formulating budgets for proposals, applicants must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicant’s 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 by this agreement, except to the extent authorized as a direct cost of carrying out the scope of work.

**Pre-award costs**

If the applicant is proposing pre-award costs, these must be included and explained in the applicant's proposal. All pre-award costs are undertaken at the applicant's risk. If the applicant is including pre-award costs they must comply with OMB cost principles and the competitive procurement requirements of EPA grant regulations. Applicants may not incur pre-award cost more than 90 days prior to award without EPA approval.

**4.2(g). Supplemental Documentation (does not count against page limit)**

Applicants must include supplemental information regarding project staff, planned subgrants and subawards, programmatic capability, and past performance.

**Staff profiles and qualifications:**

The applicant must include short profiles of all principal staff who will have a major role in the project. Where applicable, this includes principal staff from partner organizations, only to the extent that any financial transactions with partner organizations are consistent with the provisions described in section 4.7. Note: Applicants must demonstrate that they have selected individual consultants in compliance with the competitive procurement procedures specified in section 4.7. Also, before EPA will consider the qualifications of staff employed by for-profit commercial organizations, the applicant must have selected the firm that employs them in a manner that complies with the competitive procurement procedures specified in section 4.7.

These staff profiles must specifically address each individual’s experience with the issues addressed by this RFP. These profiles will be used to help assess the applicant’s expertise and experience in the smart growth and sustainable communities approaches associated with this RFP, as well as expertise working with governors, their cabinets, and their senior staff.

**Programmatic Capability and Past Performance:** Submit a list of federally and/or non-federally funded assistance agreements (assistance agreements include federal grants and cooperative agreements but not federal contracts) similar in size, scope, and relevance to the proposed project that your organization performed within the last three years (no more than 5 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 whether you adequately and timely reported on your progress towards

achieving the expected outputs and outcomes of those agreements (and if not, explain why not) and whether you submitted acceptable final technical reports under the agreements. 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/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 past reporting information, please indicate this in the proposal and you will receive half of the total points available in the applicable subset of possible points. If you do not provide any response for these items, you may receive a score of 0 for these factors.

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.

**4.2(h). Leveraging and Partner Participation (Does Not Count against Page Limit)**

Applicants who are formally partnering with other organizations, agencies, or institutions must include a letter from the partner, on partner letterhead, indicating the partner's role in the project. Each partner letter must be signed by an individual with the authority to commit the partner to the project. This is mandatory if the partner is contributing funds or in-kind services to the project. Letters confirming partner participation must be included in the initial proposal package and will not be accepted separately. Proposals relying on partner participation which are missing documentation of that participation will be evaluated as if the undocumented partners were not involved in the project.

Also, applicants should demonstrate how they will leverage additional funds/resources beyond the grant funds awarded to support the proposed project activities and how these funds/resources will be used to contribute to the performance and success of the proposed project. This includes but is not limited to funds and other resources leveraged from businesses, labor organizations, non-profit organizations, education and training providers, and/or Federal, state, tribal, and local governments, as appropriate. Describe the amount and type of leveraged resources to be provided, how you will obtain the leveraged resources, the likelihood the leveraging will materialize during grant performance, the strength of the leveraging commitment, and the role the leveraged resources will play to support the proposed project activities. Selected applicants are expected to abide by their proposed leveraging commitments during grant performance and the failure to do so may affect the legitimacy of the award.

**4.2(i). Additional Information Regarding How Proposals Should Be Submitted and What Will Happen Following Selection**

If applicants are submitting hard-copy proposals, they must submit one original and four copies of their proposal (as defined above) and their completed SF 424 form to the address listed in Section 4.8. If applicants are submitting electronically through

[www.grants.gov](http://www.grants.gov), they must follow the directions in Section 4.3 below. Fax and email submissions will not be accepted.

Following selection, successful applicants will be required to complete a formal application for federal assistance (which will include other standard federal grant forms and associated documentation as well as a more detailed project narrative and workplan). These formal application materials should not be submitted unless requested by EPA.

#### **4.2(j). Confidential Business Information**

In accordance with 40 CFR 2.203, applicants may claim all or part of their applications/proposals as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions of their applications/proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure. However, competitive proposals/applications are considered confidential and protected from disclosure prior to the completion of the competitive selection process.

#### **4.3. Instructions for Electronic Submission through [www.Grants.gov](http://www.Grants.gov)**

Applicants may choose to submit their proposals electronically through [www.grants.gov](http://www.grants.gov). If you wish to apply electronically via Grants.gov, the electronic submission of your proposal must be made by an official representative of your institution (i.e., an AOR) who is registered with Grants.gov and 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, please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

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

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number, EPA-OP-OSC-12-01, or the CFDA number that applies to the announcement (CFDA 66.611), in the appropriate field. You may also be able to access the proposal package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities”

button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

Proposal materials submitted through grants.gov will be time/date stamped electronically. As stated above, they must be submitted by 5:00 p.m. Eastern time on December 5, 2011.

If you have any technical difficulties while applying electronically, please refer to <http://www.grants.gov/help/help.jsp>. You may also contact Adhir Kackar at 202-566-2846 or [kackar.adhir@epa.gov](mailto:kackar.adhir@epa.gov).

#### **4.3(a). Proposal Materials for Electronic Submissions**

If applying through [www.grants.gov](http://www.grants.gov), all of the proposal materials described below must be submitted:

1. Application for Federal Assistance (SF 424) and SF 424A. Complete form on [www.grants.gov](http://www.grants.gov). No attachments necessary.
2. Project Narrative Attachment Forms. Using this form, the following documents will need to be attached:
  - Cover letter (see Section 4.2(a)).
  - Summary Information page (see Section 4.2(b)).
  - Demonstrated Expertise in Smart Growth and Sustainable Communities (see Section 4.2 (d)).
  - Project description (see Section 4.2(e)).
3. Other Attachment Form. Using this form, the following documents will need to be attached:
  - Summary Budget Tables and Budget Narrative (See Section 4.2(f)).
  - Supplemental Documentation (See Section 4.2(g)).
  - Confirmation of partner participation and leveraging information (See Section 4.2(h)).

Applicants should submit the attached documents in Microsoft Word format or in Portable Document Format (PDF). If submitting a letter(s) confirming partner participation, which requires a signature and official letterhead, applicants should attach a PDF document with an electronic signature. Electronic proposals which rely on partner participation that is not documented in the electronic submission will be evaluated as if the undocumented partner were not involved in the project.

#### **4.3(b). Electronic Proposal Preparation And Submission Instructions**

This section discusses how applicants should prepare, attach, and submit the documents through [www.grants.gov](http://www.grants.gov). On the [www.grants.gov](http://www.grants.gov) Application Package Page, there is a “Mandatory Documents” box. In this box, there will be three items: Application for Federal Assistance (SF424), “Project Narrative Attachment Form,” and “Other Attachment Form.” The paragraphs below describe what goes into each of those forms.

For the Application for Federal Assistance (SF 424), applicants must click on the form and then click “Open Form” below the “Mandatory Documents” box. All fields highlighted in yellow must be completed. Optional fields and completed fields will appear in white. An error message will appear if information in the field is incomplete or invalid. Click “Save” when the form is completed. When the document is completed, click on the name of the completed form in the “Mandatory Documents” box, then click on the button that says “Move Form to Submission List.” This action will move the document to the “Mandatory Completed Documents for Submission.”

For the remaining required items, electronic files will need to be attached. These documents should be prepared on the applicant’s computer and saved as an MS Word or PDF file. When ready to attach to the application package, use the following instructions:

Click on the “Project Narrative Attachment Form” and open the form. Click “Add Mandatory Project Narrative File” and then individually attach each of the required documents (cover letter, summary information page, demonstrated expertise, and project description), using the window that appears. Click on “View Mandatory Project Narrative File” to view. Enter a brief descriptive title of the project (no longer than 40 characters) in the space beside “Mandatory Project Narrative File Filename.” This must be done for each attached document. Once the necessary documents are attached, click “Close Form.” 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.”

**To attach the required supplemental documentation**, confirmation of partner participation/leveraging, and description of related funding, click on the “Other Attachment Form” and follow the steps detailed above.

Once all of the forms/attachments appear in the “Mandatory Completed Documents for Submission,” click the “Save” button that appears at the top of the Web page. An application package is similar to a single file, made up of the cover page and (possibly) many forms. **Data at the form level will be retained when you close a form.** Although data at the form level will be saved, the applicant must click the save button to ensure that the entire application package is saved. If the individual preparing the application is not the Authorized Organization Representative (AOR), he/she will need to share the file with the AOR for submission through [www.grants.gov](http://www.grants.gov). This can be accomplished by either giving the AOR access to the files through a shared drive or emailing the entire package. Only the AOR can submit the application package to EPA through [www.grants.gov](http://www.grants.gov). All other software programs should be closed before attempting to submit the application package through Grants.gov.

In the “Application Filing Name” box, the AOR should enter the organization’s name (abbreviate where possible). The filing name should not exceed 40 characters. From the “Grant Application Package” page, the 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 you have technical difficulties while applying electronically, refer to <http://www.grants.gov/CustomerSupport> or call 1-800-518-4726. Additionally, you may contact EPA directly: Adhir Kackar, 202-566-2846, [kackar.adhir@epa.gov](mailto:kackar.adhir@epa.gov).

#### **4.4. Submission Dates And Times**

The deadline for receipt of hard-copy (i.e., paper) proposal packages is **5:00 p.m. Eastern Time, December 5, 2011**. All hard-copy proposal packages must be received by the EPA contact listed in Section 4.8 (“Agency Contacts:”) by **5:00 p.m. Eastern Time, December 5, 2011**, in order to be considered for funding. Electronic submissions must be submitted through [www.grants.gov](http://www.grants.gov) by **5:00 p.m. Eastern Time, December 5, 2011**. No late proposals will be accepted.

#### **4.5. Pre-Proposal/Application Assistance and Communication**

In accordance with EPA’s assistance agreement competition policy (EPA order 5700.5A 1), EPA staff will not discuss draft proposals with applicants, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their applications/proposals. However, EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement.

#### **4.6. Intergovernmental Review**

All applicants should be aware that formal applications for federal assistance (i.e., SF 424 and associated documentation as described above) may be subject to intergovernmental review under Executive Order 12372, “Intergovernmental Review of Federal Programs.” Applicants may contact their state's Single Point of Contact for further information. There is a list of these contacts at the following website:  
<http://whitehouse.gov/omb/grants/spoc.html>.

#### **4.7. Funding Restrictions**

##### **4.7(a) Can funding be used for the applicant to make subawards to 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,” “co-applicants,” or members of a “coalition” or “consortium.” The recipient is accountable to EPA for the proper expenditure of funds.

Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those

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

Successful applicants cannot use subgrants and 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 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 party to these transactions. Applicants acquiring commercial goods or services must comply with competitive procurement standards in 40 CFR Part 30 or 40 CFR Part 31.36 and cannot use a subaward/subgrant as the funding mechanism.

**4.7(b) How will an applicant's proposed subawardees/subgrantees and contractors be considered during the evaluation process described in Section 5 of the announcement?**

Section 5 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, as appropriate and relevant, the qualifications, expertise, and experience of:

(i) an applicant's named subawardees/subgrantees identified in the proposal/application if the applicant demonstrates in the proposal/application that if it receives an award that the subaward/subgrant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use subaward/subgrants to obtain commercial services or products from for-profit firms or individual consultants.

(ii) an applicant's named contractor(s), including consultants, identified in the proposal/application if the applicant demonstrates in its proposal/application that the contractor(s) was selected in compliance with the competitive Procurement Standards in 40 CFR Part 30 or 40 CFR 31.36 as appropriate. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with

opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole-source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

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

**4.7(c). How should program income be handled?**

Any program income generated under assistance agreements awarded under this solicitation must be applied to eligible activities under the award.

**4.7(d). Other Restrictions**

Funding is only available for the activities authorized under one or more of the US. EPA grant authorities cited in this RFP. Allowable costs for nonprofit organizations are defined in OMB circular A-122, for public entities in OMB circular A-87, and for universities in OMB circular A-21. Preward costs and equipment costs are only allowable with the written consent of EPA.

**4.8. Hard (Paper) Copy Submission Requirements**

The delivery address for submitting your hard-copy proposal will vary depending on whether you are mailing it or arranging for hand delivery.

If you are sending your proposal via hand delivery (e.g., UPS, Federal Express, courier or some other means) send it to:

Adhir Kackar  
Office of Sustainable Communities  
U.S. Environmental Protection Agency  
1301 Constitution Avenue, NW  
EPA West, Room 1335B  
Washington, DC 20004

(202) 566-2846

If you are mailing your proposal through the U.S. Postal Service, send it to:

Adhir Kackar  
Office of Sustainable Communities  
U.S. Environmental Protection Agency  
1200 Pennsylvania Avenue, NW  
Mailcode 1807T  
Washington, DC 20460

Please note that there may be substantial delays in conventional mail service to EPA due to heightened security screening.

**Section 5: PROPOSAL REVIEW INFORMATION**

**5.1: SELECTION CRITERIA**

**Eligible proposals will be evaluated based on the criterion below.**

Criterion	Maximum Points Per Criterion
<p><b>1. Degree to which the applicant demonstrates expertise and experience in smart growth and sustainable communities.</b> Applicants will be evaluated on (1) their familiarity and knowledge of smart growth and sustainable communities concepts (especially the state and federal policy nexus) as reflected by the ten smart growth principles and the Livability Principles associated with the HUD-DOT-EPA Partnership for Sustainable Communities, and (2) their expertise and experience in raising awareness of smart growth concepts and delivering technical assistance to stakeholders on smart growth and sustainable communities issues.</p> <p>In order to score well on this criterion, applicants need to demonstrate a clear understanding and familiarity with smart growth and sustainable communities concepts and have a demonstrated successful track record in delivering assistance to and raising awareness of communities, states, developers, and other smart growth constituencies on smart growth and sustainable communities concepts and principles.</p>	25
<p><b>2. Quality and likely effectiveness of the proposed workplan.</b> Applications will be evaluated on the quality and effectiveness of the applicant’s approach in achieving the goals of this RFP. Particular emphasis will be placed on (1) the applicant’s approach to identify, select, and secure the active participation of state leadership, particularly governors, in workshops; (2) the applicant’s plan to access national subject matter experts for participation in workshops; and (3) the applicant’s capacity and approach to providing follow-up assistance to interested states that have participated in a workshop.</p> <p>In order to score well, applicants need to propose a detailed, well-thought-out, and realistic approach to establishing the Governors’ Institute and delivering assistance through technical workshops. Applicants that can demonstrate past success and expertise in providing technical assistance to state leadership will likely score highly under this criterion.</p>	25
<p><b>3. Degree to which the applicant demonstrates expertise and experience in state policy change.</b> Applicants will be evaluated on their expertise and experience in working collaboratively with state leaders to catalyze changes in state and local policies and regulations that support smart growth and sustainable communities development.</p>	15

<p>In order to score well on this criterion, applicants need to have extensive experience in working with state government and leaders on smart growth and related issues and be able to demonstrate how their efforts have directly contributed to changes in state policy. Applicants that demonstrate experience in successfully helping state leadership to change state policy will score highly.</p>	
<p><b>4. Degree to which the project budget effectively uses EPA funds.</b> In evaluating budget effectiveness, applications will be assessed on how much of the funding request will be used for activities directly related to the project, as opposed to overhead and indirect expenditures, as well as the number of states that will be served with the funding awarded.</p> <p>Applicants that devote the majority of their budgets to activities directly related to the project may score higher. Applications that deliver multiple workshops per year will be rated highly.</p>	<b>15</b>
<p><b>5. Quality of the approach to measuring project results.</b> The applicant’s plan for measuring and tracking progress towards achieving the expected project outputs and outcomes, including those identified in Section I, will be evaluated. In this context, “outputs” are activities, efforts, or work products that: (1) will be produced by a specific date and (2) are directly related to an environmental goal or objective. Outputs can be quantitative or qualitative and must be measurable. “Outcomes” are the results of carrying out a project. Outcomes may be environmental, behavioral, health-related, or programmatic and must be quantifiable.</p> <p>In order to score well, applicants need to provide a sound and practical approach to measuring their progress in achieving the expected project outputs and outcomes.</p>	<b>5</b>
<p><b>6. Degree to which the project effectively leverages funds.</b> Under this criterion, applicants will be evaluated based on the extent they demonstrate (1) how they will coordinate the use of funding available under this RFP with other Federal and/or non Federal sources of funds to leverage additional resources to carry out the proposed project(s) and/or (2) that funding available under this RFP will compliment activities relevant to the proposed project(s) carried out by the applicant with other sources of funds or resources. Applicants will also be evaluated based on the type and amount of leveraging proposed, how the applicant will obtain the leveraged resources, the likelihood the leveraging will materialize during grant performance, the strength of the leveraging commitment, and the role the leveraged resources will play to support the proposed project activities.</p> <p>To score highly on this criterion, applicants need to demonstrate that they have secured matching funds. The greater the percentage of leveraged funds, the greater the likelihood that the applicant will score highly on this criterion.</p>	<b>5</b>

<p><b>7. Programmatic capability and environmental results past performance.</b> Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project, taking into account the applicant's: (1) past performance in successfully completing and managing the assistance agreements identified in response to Section IV of the announcement; (2) history of meeting the reporting requirements under the assistance agreements identified in response to Section IV of the announcement including whether the applicant submitted acceptable final technical reports under those agreements and the extent to which the applicant adequately and timely reported on their progress towards achieving the expected outputs and outcomes under those agreements and if such progress was not being made whether the applicant adequately reported why not; (3) organizational experience and plan for timely and successfully achieving the objectives of the proposed project; and (4) staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project. Note: In evaluating applicants under items (1) and (2) of 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). If you do not have any relevant or available past performance or past reporting information, please indicate this in the proposal and you will receive s half of the total points available for this criterion. If you do not provide any response for these items, you may receive a score of 0 for these factors.</p> <p>Applicants that successfully demonstrate that they have successfully managed federal assistance agreements will score highly on this criterion.</p>	<p><b>10 (2.5 points for each item)</b></p>
<p><b>TOTAL POSSIBLE POINTS</b></p>	<p><b>100</b></p>

**5.2. Review and Selection Process**

Proposals will first be evaluated against the threshold factors listed in Section 3.3. Only those proposals which meet all of the threshold factors will be evaluated using the evaluation criteria listed above by an EPA evaluation team, which may also include participation from HUD and DOT staff. Each proposal will be given a numerical score by the reviewers and the average score will be used to rank the proposals. Based on this ranking, preliminary funding recommendations will be provided to the Approving Official who will make the final funding decisions. In making the final funding decisions, the Approving Official may also consider programmatic priorities and geographic diversity of funds. Once final decisions have been made, a funding recommendation will be developed and forwarded to the EPA Award Official.

## **SECTION 6: AWARD ADMINISTRATION INFORMATION**

### **6.1. Award Notices**

Successful applicants will receive an official notice of award from EPA's Grants and Interagency Agreement Management Division.

EPA will announce successful recipients on the U.S. EPA Office of Sustainable Communities website ([www.epa.gov/smartgrowth](http://www.epa.gov/smartgrowth)). This information will be posted within 30 days after U.S. EPA's Grants and Interagency Agreement Management Division issues a written offer of award to the recipient. U.S. EPA anticipates that awards will be announced in **April 2012**.

Unsuccessful applicants will be notified via mail or e-mail in **March 2012**.

Applicants who do not pass threshold or eligibility screening will be notified via email within 15 calendar days of the determination of their ineligibility.

EPA reserves the right to reject all applications and make no awards.

### **6.2. Disputes**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR ( Federal Register ) 3629, 3630 (January 26, 2005) which can be found at <http://www.epa.gov/ogd/competition/resolution.htm>. Copies of these procedures may also be obtained from the agency contact person listed in Section 7 (“Agency Contacts”).

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

#### **6.3(a). Central Contractor Registration (CCR) and Data Universal Numbering System (DUNS) Requirements**

Unless exempt from these requirements under OMB guidance at [2 CFR Part 25](http://www.federalregister.gov) (e.g., individuals), applicants must:

1. Be registered in the CCR prior to submitting an application or proposal under this announcement. CCR information can be found at <https://www.bpn.gov/ccr/>.
2. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by an agency.
3. Provide its DUNS number in each application or proposal it submits to the agency. 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>.

If an applicant fails to comply with these requirements, it will, should it be selected for award, affect their ability to receive the award.

### **6.3(b). Pre-award review for non-profit administrative capability**

Non-profit applicants recommended for funding under this announcement are subject to a pre-award review for administrative capability consistent with Sections 8b, 8c and 9d of EPA Order 5700.8 (Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards). The policy can be accessed on-line at [http://www.epa.gov/ogd/grants/award/5700\\_8pdf](http://www.epa.gov/ogd/grants/award/5700_8pdf). Non-profit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to EPA's Grants Management Office the Administrative Capabilities Form with supporting documents contained in Appendix A of that policy. This review may include assessing the adequacy of administrative systems for financial management, procurement, property management, reporting and record-keeping.

### **6.3(c). Standard Terms and Conditions/Unliquidated Obligations**

All applicants that receive an award under this announcement are expected to manage assistance agreement funds efficiently and effectively and make progress towards completing the project activities described in the workplan in a timely manner. The assistance agreement will include terms/conditions implementing this requirement. All successful applicants must comply with the standard requirements, terms and conditions of EPA assistance agreements. Funded activities must be allowable under EPA statutory authority (see Section 3).

### **6.3(d). Subaward and Executive Compensation Reporting**

Applicants must ensure that they have the necessary processes and systems in place to comply with the sub-award and executive total compensation reporting requirements established under OMB guidance at [2 CFR Part 170](#), unless they qualify for an exception from the requirements, should they be selected for funding.

## **6.4. Reporting**

Recipients will be required to submit quarterly reports detailing their progress towards achieving agreed-upon products and outcomes. If their projects involve program income, quarterly reports will be required on how much income has been earned, from what activities, and how it is being spent. Recipients will have to participate in annual reviews of their projects with their U.S. EPA project officer. A project officer will be designated at the time of award and will work in partnership with the recipient throughout the life of the assistance agreement. Recipients will be required to submit a final technical report 90 days after the expiration of their assistance agreement.

## **6.5. Instructions for Final Application Submission**

Following EPA's evaluation of proposals, all applicants will be notified regarding their status. Final applications and forms will be requested, as necessary, from those eligible entities whose proposal/application has been successfully evaluated and preliminarily recommended for award. Those entities will be provided with instructions and a due date for submittal of the final application package.

**SECTION 7: AGENCY CONTACTS**

If you have questions about this solicitation, please contact:

Adhir Kackar  
Office of Sustainable Communities  
U.S. Environmental Protection Agency  
1200 Pennsylvania Avenue, NW  
Mailcode 1807T  
Washington, DC 20460  
[kackar.adhir@epa.gov](mailto:kackar.adhir@epa.gov)  
(202) 566-2846