

District of Columbia  
Department of Energy and Environment



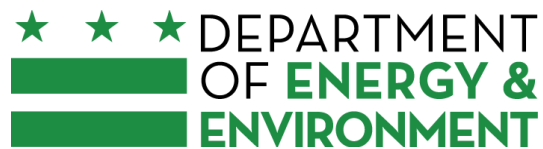
**NOTICE OF FUNDING AVAILABILITY  
AND  
REQUEST FOR APPLICATIONS (RFA)**

DC FloodSmart Homes Resilience Upgrades  
(Short name: DC FSH Project)  
RFA # FY23-RRD-799

**Publication Date:** 1/27/2023

**Application Deadline:** 3/20/2023 at 11:59 p.m.

Government of the District of Columbia  
Department of Energy and Environment  
1200 First Street, NE  
5th Floor  
Washington, DC 20002  
(202) 535-2600



## TABLE OF CONTENTS

<b>SECTION 1. GENERAL INFORMATION</b> .....	<b>4</b>
1.1 INTRODUCTION .....	4
1.2 PURPOSE OF THE GRANT .....	4
1.3 SOURCE OF FUNDS .....	4
1.4 COMPETITION FOR A GRANT .....	4
1.5 PROJECTS AND FUNDS AVAILABLE .....	4
1.6 ELIGIBILITY .....	5
1.7 DEFINITIONS .....	5
1.8 PERMISSIBLE USE OF GRANT FUNDS .....	6
1.9 GRANT MONITORING .....	6
1.10 COVID-19 VACCINATION CERTIFICATION REQUIREMENT .....	6
1.11 GENERAL TERMS AND CONDITIONS .....	6
1.12 RFA CONDITIONS - PROMISES, CERTIFICATIONS, ASSERTIONS, AND ASSURANCES .....	6
1.13 DOE’s AUTHORITY TO MAKE GRANTS .....	6
1.14 CONFLICTS BETWEEN RFA AND APPLICABLE LAW .....	7
2.1 RFA RELEASE DATE .....	7
2.2 ADDITIONAL RFA INFORMATION .....	7
2.3 APPLICATIONS: SUBMISSION INFORMATION .....	7
2.4 AWARD ANNOUNCEMENT .....	8
2.5 UPDATES AND QUESTIONS AND ANSWERS (Q & A) .....	8
<b>SECTION 3. APPLICATION CONTENT</b> .....	<b>8</b>
3.1 APPLICATION CONTENT .....	8
3.4 WORK PLAN .....	15
3.5 REQUIRED DOCUMENTS .....	15
<b>SECTION 4. REVIEW PANEL AND APPLICATION SCORING</b> .....	<b>18</b>
4.1 REVIEW PANEL .....	18
4.2 SCORING CRITERIA .....	18
<b>SECTION 5. GRANTEE DOCUMENT REQUIREMENTS</b> .....	<b>19</b>
5.1 SUBMISSIONS IF APPLICANT WILL RECEIVE THE GRANT .....	19
<b>SECTION 6. REPORTING, PAYMENT, AND OTHER PROVISIONS</b> .....	<b>19</b>
6.1 REPORTING REQUIREMENTS .....	19
6.2 REIMBURSEMENT OF PROJECT EXPENDITURES, ADVANCES, AND DISBURSEMENT OF FUNDS .....	20
7.1 SUMMARY: PROJECT NAME, PERIOD, AND AVAILABLE FUNDS .....	21

**SECTION 8. CHECKLIST FOR APPLICANTS..... 27**

**APPENDICES..... 29**

APPENDIX 1 – GENERAL TERMS AND CONDITIONS ..... 29

APPENDIX 2 – PROMISES, CERTIFICATIONS, ASSERTIONS, AND ASSURANCES ..... 29

APPENDIX 3 – N/A..... 29

APPENDIX 4 – N/A..... 29

Appendix 5 – N/A ..... 29

Appendix 6 – Insurance Requirements..... 29

Appendix 7 – Flood Resilience Upgrades ..... 29

Appendix 8 – Cadmus FSH Report Slides ..... 29

Appendix 9 – Cadmus FSH Report Summary ..... 29

Appendix 10 – Cadmus Summary Memo ..... 29

Appendix 11 – Flood Smart Homes Phase 1 Assessment Solicitation ..... 29

## SECTION 1. GENERAL INFORMATION

### 1.1 Introduction

The Department of Energy and Environment (DOEE) solicits grant applications from eligible entities (called “Applicant” or “Applicants”). The goals of this Request for Applications (RFA) are to install upgrades into flood-sensitive homes in the District, and/or provide flood protection materials to them. The amount available for the first year is \$2.5 million. The Natural Resources Administration - Regulatory Review Division (RRD) of DOEE will administer this RFA.

### 1.2 Purpose of the Grant

The purpose of this grant is to install flood resilience upgrades on residential properties in the District through the FloodSmart Homes Installation Program (FSH).

### 1.3 Source of Funds

The funds are local budget enhancement funds provided from the District Council.

### 1.4 Competition for a Grant

This RFA is competitive. Each Applicant must demonstrate its ability to carry out the activities for the grant for which it applies (called a “project”). A review panel will evaluate the applications for each advertised grant according to the stated list of criteria in each project’s description. The most responsive application/s will be recommended for a grant.

Specifically, an award will be made based on eligibility (Section 1.6), the extent to which the proposed project fits within the scope and available funding of the grant, strength of the application, and the organization’s capacity to achieve the grant’s goals.

Each Applicant may submit more than one application with different projects. If an Applicant responds with more than one project, it must do so in a separate proposal and submit all corresponding required documents.

### 1.5 Projects and Funds Available

DOEE seeks applications for:

Project Name	Project Amount
DC FloodSmart Homes Resilience Upgrades	\$2,520,969.00

## 1.6 Eligibility

The following are eligible to apply if an “x” appears:

- Nonprofit organizations, including those with IRS 501(c)(3) or 501(c)(4) determinations;
- Faith-based organizations;
- Government agencies;
- Universities/educational institutions; and
- Private Enterprises.

Continuing conditions of eligibility are that the information in the application is complete and truthful and that the Applicant at all times is able to meet material conditions stated in its application. Ineligible applicants or applications will not be considered for review.

A material condition can be an eligibility condition, or it can be some other condition that a reasonable DOEE evaluator would conclude is necessary to the Applicant carrying out the proposed project.

For instance, an Applicant’s nonprofit status was a condition of eligibility, and the Applicant lost its nonprofit tax status. That would be a material change in condition and would require immediate communication. Another example: Applicant’s ability to fulfill the terms of the grant is based on the availability of skilled staff. DOEE awards the grant and then these staff leave. The Applicant must immediately inform DOEE and follow up in writing.

## 1.7 Definitions

**District** - The District of Columbia.

**Grantee** - The person provided a grant by the District, including a sub-grantee.

**Person** - A natural person or a legal entity, including a partnership, firm, association, joint venture, public or private corporation, trust, estate, commission, board, public or private institution, cooperative, the District government and its agencies, and the federal government and its agencies.

**Sub-Grantee** – Also referred to as “subrecipient”. A person that is awarded funds by DOEE using a federal grant award. Subgrants are awarded in order to accomplish the same public purpose as DOEE’s grant from the federal awarding agency.

**Writing** - A tangible or electronic record of a communication or representation, including handwriting, typewriting, printing, photostat, fax, photography, word processing computer output, and e-mail. A "signed" writing includes an electronic symbol or process attached to, or logically associated with a writing, and executed or adopted by a person with the intent to sign the writing.

#### 1.8 Permissible Use of Grant Funds

A grantee may use grant funds only for allowable grant expenditures. Grant funds related to work performed will be provided on a reimbursement basis, except that, in limited circumstances, an advance of funds may be provided for grant administration expenses for good cause approved by DOEE at its sole discretion. (*See* Parts 3.1(b)2.i, 6.2; Appendix 1 Paragraph 10.g)

#### 1.9 Grant Monitoring

In its sole discretion, DOEE may use several methods to monitor the grant, including site visits, periodic financial reports and the collection of performance data. Each grant is subject to audit.

#### 1.10 COVID-19 Vaccination Certification Requirement

N/A

#### 1.11 General Terms and Conditions

Appendix 1, "General Terms and Conditions" is incorporated by reference in this RFA. Applicants and Grantees must comply with any and all applicable terms and conditions appearing in Appendix 1.

#### 1.12 RFA Conditions - Promises, Certifications, Assertions, and Assurances

Appendix 2, "Applicant's Promises, Certifications, and Assurances" ("PCA"), is incorporated by reference in this RFA.

#### 1.13 DOEE's Authority to Make Grants

DOEE has grant-making authority under:

- The Renewable Energy Portfolio Standard Act of 2004 (D.C. Law 15-340, D.C. Official Code §§ 34-1431-40), including § 34-1436(b) and (c);

- The Water Pollution Control Act of 1984, effective March 16, 1985, as amended, (D.C. Law 5-188; D.C. Official Code § 8-103.01 *et seq.*);
- The District Department of the Environment Establishment Act of 2005, effective February 15, 2006, as amended, (D.C. Law 16-51, D.C. Official Code § 8-151.01 *et seq.*);
- The Comprehensive Stormwater Management Enhancement Amendment Act of 2008, effective March 25, 2009, (D.C. Law 17-371; D.C. Official Code § 8-152.01 *et seq.*); and
- Other applicable laws and regulations.

#### 1.14 Conflicts between RFA and Applicable Law

If any requirement of this RFA conflicts with a provision of any applicable law, including a District or federal law or regulation, the applicable legal provision shall control.

### SECTION 2. SUBMISSION OF APPLICATION

#### 2.1 RFA Release Date

The release date of this RFA is 1/27/2023.

#### 2.2 Additional RFA Information

This RFA is issued on DOEE’s website at <https://doee.dc.gov/page/grants-and-other-funding>.

The contact person for this RFA is Schnitzlein, Joshua.

#### 2.3 Applications: Submission Information

**Deadline:** All applications must be received at <https://doee.dc.gov/page/active-grants-application-portal> by 11:59 p.m. on 3/20/2023

Once the application is submitted an email will be automatically generated stating that the application was received. In DOEE’s Grants Management System (GMS), the application will be dated and recorded as “received” pending review by DOEE for completeness. DOEE considers an application to be “filed” only if all the required materials are submitted. A late or incomplete application will be considered received, not filed.

**How to Submit:** The contents of the application are specified in Section 3. All required documents specified in the RFA must be submitted in the designated places in the GMS. Information on how to use the System can be found by scrolling to the bottom of the DOEE Grants page <https://doee.dc.gov/page/grants-and-other-funding>.

DOEE will not receive an application as a hard copy, emailed copy, or faxed copy unless technical issues arise with the GMS and these issues are documented before the deadline. If technical issues do occur, DOEE can make arrangements to accept a copy another way. If you need to report a technical difficulty, please contact [doee.grants@dc.gov](mailto:doee.grants@dc.gov) and copy [flood.risk@dc.gov](mailto:flood.risk@dc.gov).

Rare circumstances may justify another exception to the deadline. If DOEE anticipates major storms, public security disruptions, or power outages, it may change the deadline and advise the public through emails, web posting, and other announcements. Applicants are urged to file timely and not wait until minutes before a deadline.

## 2.4 Award Announcement

DOEE expects to notify each Applicant in writing of its award status within six to twelve weeks after the application due date.

## 2.5 Updates and Questions and Answers (Q & A)

Additional information may become available before the application is due. It is the Applicant's responsibility to stay up-to-date on the status and requirements of the grant for which it is applying.

DOEE welcomes questions seeking clarification of matters in this RFA. Questions about the RFA should be sent to [flood.risk@dc.gov](mailto:flood.risk@dc.gov) with "RE: RFA-FY23-RRD-799" in the subject line.

DOEE will publish updates and Questions and Answers (Q&A) regarding the RFA at [doee.dc.gov](http://doee.dc.gov). DOEE will also create an email list to send updates and information regarding the RFA. A person can be put on the email list by immediately emailing [flood.risk@dc.gov](mailto:flood.risk@dc.gov) with the subject line "RE: RFA-FY23-RRD-799" Add me to the email list."

DOEE will provide the information to those on the email list at the same time the information is uploaded to the DOEE website. DOEE will not mail out updates or Q&A materials.

The cutoff date for receipt of any questions is one week prior to the application deadline.

## **SECTION 3. APPLICATION CONTENT**

### 3.1 Application Content



DOEE intends to fund a project that will benefit the environment, and, in particular, the environment of the District. The application should, in increasing levels of detail, explain how the Applicant will accomplish this.

(Note: Before drafting the application, please read the project description carefully to see if there are restrictions for the DOEE grant. For instance, certain activities might be required to take place in a specific location in the District or the scoring might give extra points to labor sourced in the District.)

**(a) Project Summary**

Provide a brief one paragraph summary that explains the project.

**(b) RFA Narrative**

Enter the project application narrative in the sections provided. Address the following:

**(1) Project Description**

Organize the Application in sections that follow the order of the criteria of the scoring box of Section 7. The review panel will seek an explanation of the following as they evaluate your application:

i. Goals and Objectives

State how: (a) this project will benefit the environmental goal(s) described in Section 7, and (b) the goal(s) this project will advance. Typically, a goal is long-term and diffuse. An objective is specific, and it will be discrete and identifiable. A project with one goal may have more than one objective. For example: The goal of a grant might be clean District rivers. Objectives of the application might be: implement a citywide recycling campaign; install trash traps.

ii. Target Audience

Identify the target audience. Whom will this project engage? Whom will this project benefit and how?

iii. Target Location

Identify in which ward(s) in the District the project will be implemented. You may select more than one ward, or districtwide.

#### iv. Project Activities, Outputs, and Outcomes

Connect the funded activities to quantifiable outputs that produce desired outcomes. DOEE prefers projects that present quantifiable measures. This will show how the project will advance the goal(s) and meet the objective(s). This enables reviewers to evaluate what the proposed project will achieve if funded.

*Activities* describe how the objectives will be accomplished. A description of activities may include quantity, frequency, duration, and location. For example: “20 community members will participate in a single two-hour-long workshop. There will be a total of 10 workshops. The workshops will take place at community centers in the evening after typical workday hours.”

An *output* is a short-term quantifiable result that one or more activities achieve. DOEE will measure the outputs in order to determine if the grantee successfully implements the activities. For example: “At the end of the project period, 10 recycling workshops will be held, 200 community members will attend the workshops, and 25 social media posts will appear featuring information about recycling.”

A *project outcome* can be a short, medium, or long-term result. It can occur and/or continue during the project and after the project ends. It can be general in nature; or it can be quantifiable. A project can present multiple outcomes. Even if not quantifiable, DOEE may look for an outcome to show that the project is making progress toward achieving a goal.

For example: After several recycling workshops, this project will yield: (a) the Anacostia River will show substantially fewer floating recyclables by next spring, and (b) 60 % of workshop participants will increase their knowledge about where and what to recycle.

#### (2) Project Budget

You must submit a numeric budget and a separate budget narrative as part of your application under heading “Proposed Project Budget” in the GMS.

The budget narrative must explain and justify every line item in the numeric budget. The explanation should be thorough enough to allow a reviewer to understand why expenditure levels were chosen and how the line-item amounts were derived. For example: “Personnel will be paid \$xx per hour times xx hours.”

The budget will be the basis for DOEE’s later evaluation of the project and payment requests. DOEE will require documentation for grant payments, and the entire grant will be subject to audit.

i. DOEE’s standard policy on reimbursements vs. advances

In the overwhelming majority of cases, DOEE’s policy is to reimburse supported, approved, and allowable expenses. If the Applicant seeks an advance payment, it must request advance payment in its application and explain why an advance payment is requested. (See Parts 1.8, and 6.2; Appendix 1, Section 10.g)

ii. Grantee matches and other contributions

Resources provided by the applicant should appear in the column titled “Non-DOEE Match,” meaning the Applicant intends to provide the indicated resources (i.e., the “match,” and that the resources do not come from DOEE). Entries in this column could include both dollars and the value of the in-kind contributions. For example, in-kind contributions can include staff time, volunteer services, already-paid licensing fees, materials, supplies, and the use of equipment or real estate.

The requirements for matching funds are that they MUST:

1. be verifiable from recipient records;
2. not be allocated as contributions for other grant funded programs;
3. not already come from federal funds, unless there is specific authorization;
4. be necessary for accomplishing program objectives;
5. if the grant is based on any federal funds, be allowable and reasonable according to applicable OMB cost principles; and
6. be spent during the project period.

Volunteer hours provided to a grantee or sub-grantee must be valued at rates consistent with those the Applicant’s organization ordinarily pays for similar work, including salary and fringes. If the grantee or a sub-grantee does not have employees performing similar work, the rates must be valued the same as rates ordinarily paid by employers in the same labor market for similar work.

iii. Allowable and non-allowed expenditures

The Applicant must show that all costs in the budget are allowable. Typical allowable costs are:

1. Rental of office space, some vehicles, and some equipment;
2. Employee salaries and benefits;
3. Contractor labor, including professional services;
4. Accounting and bookkeeping services;
5. Communications, including telephone and data services;
6. Printing, reproduction, including signage;

7. Materials and supplies;
8. Computers and printers;
9. Small tools;
10. Some field equipment, typically below \$5,000 in value;
11. Postage and shipping;
12. Necessary travel, meals and lodging; and
13. Insurance.

Non-Allowable costs include:

1. Most major equipment, like vehicles;
2. Lobbying, including salaries and overheads and out-of-pocket expenses;
3. Entertainment;
4. Interest payments on loans;
5. Most food; and
6. Land purchases.

iv. Applicant's indirect costs calculation

An Applicant may include its indirect costs in its budget calculation. (*See* the Nonprofit Fair Compensation Act of 2020, DC Act 23-565 [effective March 2021]) This may be done through use of a cost rate. In budget backup materials the Applicant should identify the basis for the calculation, addressing one of the following bases that District law permits it to choose:

1. Its current, unexpired, federally Negotiated Indirect Cost Rate Agreement (NICRA) rate, a negotiated rate with the federal government;

OR

2. One of the following methods:
  - a. 10% of the grant's direct costs;
  - b. A new negotiated rate with DOEE;
  - c. The same indirect rate that it has used with any District agency in the past 2 years; or
  - d. An independent Certified Public Account's (CPA) calculated rate using federal Office of Management and Budget (OMB) guidelines

(The cited statute requires DOEE to provide for at least one of these listed methods. However, the statute excludes the following from the requirement: foundation; hospital; university; college.) If the Applicant proposes to use the services of a *nonprofit* subgrantee or contractor, it must propose to apply the same indirect cost rate to that entity's services. (See Appendix 1. General Terms & Conditions, Paragraph 15.f.)

Federal rules always control for federal funding. For federal funding that passes through the District to the grantee, the indirect cost rate must be consistent with federal regulation 2 CFR 200.331 or its successor.

**(c) Applicant**

**(1) Organization**

Describe the named Applicant’s history, mission, and current or past projects that demonstrate the organization’s capacity to achieve the project’s goals. To provide further information, the applicant can reference its website or upload an organizational brochure or résumé under the heading “Additional Information and Document Uploads” in the GMS.

**(2) Key personnel**

Identify the key team members for the project and provide brief biographies or their résumés under the heading “Additional Information and Document Uploads” in the GMS. The team members can be staff, volunteers, subgrantees, or contractors.

**(3) Past performance on District Grants/Contracts**

Identify District agencies from which the Applicant has received funding as a contractor, grantee, or partner in the past five years under the heading “Additional Information and Document Uploads” in the GMS. Provide specific information including:

- i. The grant(s) or contract(s) title;
- ii. The District agency/agencies;
- iii. The grant number(s), contract number(s), or other identifier(s);
- iv. The amount(s) paid; and
- v. What was accomplished as a result of the funding(s).

Briefly describe each dispute, investigation, and/or audit, if any, related to any of these District grants or contracts, or partnerships in the past five years.

**(4) Partners**

DOEE awards a grant to one entity. When that entity is a legal corporation or partnership, DOEE would award to that entity. Sometimes a “partnership” is informal, just a working arrangement. The “partners” may have decided that multiple participants can improve the success of a project. Such a partnership might be between a government agency, nongovernmental organization (NGO), company, or an individual. One of these “partners” would be the Applicant.

If one or more partners are to be involved in the project, the Applicant must describe each partner’s involvement and resource commitments. The partnering organization should attach a letter of support. If the letter is a hard copy letter, or scanned, the document should be written on the partner’s letterhead, and signed by its authorized official. If the letter is an email, the email should clearly identify the writer and position, the partner, its mailing address, website, and an official’s contact name, telephone number, and email address.

For the following types of partners, provide the documentation indicated.

i. District of Columbia Public Schools

If the Applicant will work with the District of Columbia Public Schools (DCPS), it must include a letter of support from the principal of each school with which it will work, and, if available, from each participating teacher. Teachers and principals may send a joint letter.

ii. Property Owner

If the Applicant will work on public land, it must submit a letter of support from an official of the managing agency. Similarly, if the Applicant is to work on private land, it must submit a letter of support from each property owner. If the project includes construction or installation, the letter must acknowledge that the property owner will be responsible (either directly or through an agreement with another entity) for project maintenance.

iii. Partnering Organization

Include a letter of intent from the collaborating organization(s) stating that it agrees to participate in the proposed project, describing the partner’s involvement and resource commitments, and explaining the activities and/or services the partner will provide. The letter should demonstrate that the partnering organization understands the project presented for funding and the activities and/or services that the partner will provide. Under the grant terms and conditions, grant-related work or activity that is contracted, subcontracted or subgranted must be in compliance with

applicable District laws, including business licensing requirements and documentation of a claimed tax exempt status.

#### iv. National Park Service - Exception

Projects that would be carried out on National Park Service (NPS) property will require NPS permission. Sometimes the paperwork supporting such permission takes extra time to complete. DOEE will accept more informal statements generated by responsible NPS officials, including an email statement of intent.

#### 3.4 Work Plan

The application must include a proposed work plan that describes the project's activities and the timeline for project implementation. Upload the work plan in "Additional Information and Document Uploads" in the GMS.

#### 3.5 Required Documents

Each of the following documents must be filed as part of the application package. If the document is not in this filing, DOEE may classify the grant application as "received" but not "filed," as specified in Section 2.3. However, if a government agency must issue a required document, and the Applicant has requested the document but not received it, DOEE may accept a copy of the Applicant's written request to the agency for the purpose of deeming the Application "filed."

##### **(a) Certificate of Good Standing**

Each Applicant must submit a current Certificate of Good Standing from the District Department of Consumer and Regulatory Affairs. DOEE requires that the submitted Certificate of Good Standing reflect a date within a six-month period immediately preceding the application's submission.

##### **(b) Certificate of Clean Hands**

The Grantee shall submit a validated Certificate of Clean Hands (CCH) from the DC Office of Tax and Revenue. The CCH can be obtained through [MyTax.DC.gov](https://mytax.dc.gov)

##### **(c) Promises, Certifications, Assertions, and Assurances**

Each Applicant must sign and submit the "Promises, Certifications, Assertions, and Assurances" ("PCA") in Appendix 2. Signing the PCA is a condition of eligibility for this grant. If the

Applicant is not prepared to sign the PCA, it should not apply for a grant. Compliance with the promises, certifications, and assurances in the PCA is a continuing condition of eligibility for this grant.

The PCA must be signed by the Applicant or, if the Applicant is an organization, by a duly authorized officer of the organization.

The PCA also includes a sworn statement verifying that the Applicant is not in arrears (i.e. is “current”) on all obligations outstanding to the District, including all District agencies. The Applicant must be “current” as of the date of the application and the date of a grant award. DOEE requires, as a condition of continuing eligibility, that a grantee stay current on such obligations during the period of the grant.

**(d) IRS W-9 Tax Form**

The Applicant must submit a current completed W-9 form prepared for the U.S. Internal Revenue Service (IRS). DOEE defines “current” to mean that the document was completed within the same calendar year as that of the application date.

**(e) Tax Exemption Affirmation Letter**

If the Applicant claims it is a nonprofit organization, the Applicant must prove its nonprofit status. The tax exemption affirmation letter should be provided. It is the IRS’s determination letter of non-profit status. If this letter is not available, then the Applicant should provide its most recent IRS Form 990 tax return, if one was submitted. If no return has yet been filed, the organization can submit its application for tax-exempt status. If the group is a “supporting organization” with an IRS tax-exempt status determination, then that organization’s tax exemption affirmation letter should also be submitted.

**If there is no IRS tax exemption affirmation letter because the organization is a religious organization, then the Applicant may submit the best evidence it can of its status.** Examples of potential best evidence for this purpose include, but are not limited to (i) a letter from the leader of the organization verifying that the organization is a religious group; (ii) a letter from the group’s board chair or similar official, verifying that the organization is a religious group; (iii) the Applicant’s most recently submitted state sales or other tax exemption form, if it exists (Form 164 in the District of Columbia); or (iv) the state’s issued tax exemption certificate or card, if it exists. (*See IRS publication no. 1828, Tax Guide for Churches and Religious Organizations.*)

**(f) Applicant’s Current Fiscal Year Budget**



The Applicant must submit its full budget, including projected income, for the current fiscal year. Also, the Applicant should submit a comparison of budgeted versus actual income and expenses of the fiscal year to date.

**(g) Applicant's Financial Statements**

If the Applicant has undergone an audit or financial review, it must provide the most recent audited financial statements or reviews. If audited financial statements or reviews are not available, the Applicant must provide its most recent complete year's unaudited financial statements.

**(h) Separation of Duties Policy**

The Applicant must state how the organization separates financial transactions and duties among people within the organization in order to prevent fraud or waste. This may be a statement that already exists as a formal policy of the organization, or the Applicant may create the statement for purposes of the application. The applicant should state which of these situations apply.

This statement should:

1. Describe how financial transactions are handled and recorded;
2. Provide the names and titles of personnel involved in handling money;
3. Identify how many signatures the financial institution(s) require on the organization's checks and withdrawal slips; and,
4. Address other limits on staff and board members' handling of the organization's money.

**(i) System for Award Management (SAM) with Federal Government**

The Applicant must be registered in the System for Award Management at [www.sam.gov](http://www.sam.gov) and provide evidence of this registration as part of its application package to DOEE.

**(j) Indirect Costs Rate Documentation**

If the Applicant seeks a 10% indirect costs rate in its proposed budget, no special documentation is required. However, for another rate, include one of the following documents with the application:

1. Unexpired federally Negotiated Indirect Cost Rate Agreement (NICRA);
2. DOEE negotiated agreement;

3. A letter from a District government agency, dated within the last two years stating the negotiated indirect cost rate; or
4. A letter from an independent CPA certifying the indirect cost rate was determined by the nonprofit organization's audited financial statements following OMB Uniform Guidance.

**(k) Certified Business Enterprise Certificate**

For grants funded by the Renewable Energy Development Fund, if the Applicant wants to qualify as a Certified Business Enterprise (CBE), the Applicant must submit a current District CBE certificate.

**SECTION 4. REVIEW PANEL AND APPLICATION SCORING**

**4.1 Review Panel**

This is a competitive grant. The review panel for the RFA will be composed of individuals with knowledge in the areas directly related to the RFA. The review panel will review, score and rank each Applicant's application.

The panel will recommend the most responsive application for award of the grant.

Review panels vary in size, but typically are made up of three to five people. Review panel members can be from DOEE staff or outside of DOEE, as long as they do not have a conflict of interest.

**4.2 Scoring Criteria**

The reviewers score each application according to a list of criteria and the points available for each criterion. See Section 7. A scoring table/grid appears at the end of the Project Description. The points shown in the scoring table/grid for each criterion are the maximum that can be awarded for that criterion.

A reviewer awards points based on how much the project application satisfies each criterion. The reviewer will award points on a scale using the following descriptions:

- (a) Unacceptable - fails to meet minimum requirements, so will be awarded no points.
- (b) Poor - marginally meets minimum requirements but contains major deficiencies.
- (c) Minimal - marginally meets minimum requirements, but the deficiencies are minor, and may be correctable.

- (d) Acceptable - meets the requirements.
- (e) Good – meets the requirements and exceeds some requirements.
- (f) Excellent - exceeds all or most requirements, so will be awarded maximum points.

An RFA may require a match of funds or other resources dedicated to the project. If the application fails to address this, no points will be awarded for the criterion.

Sometimes an RFA will offer additional points. The Applicant should read the grant description carefully to determine if preference points are available. A separate line of the scoring table/grid will show this.

## **SECTION 5. GRANTEE DOCUMENT REQUIREMENTS**

### **5.1 Submissions if Applicant Will Receive the Grant**

Upon acceptance of DOEE’s award of the grant, the Grantee must provide the following documents.

#### **(a) Certificate of Insurance**

The Grantee shall submit a certificate of insurance giving evidence of the required coverage. *See* Appendix 1, General Terms and Conditions Section 29. Insurance, and Appendix 6. Insurance Requirements. Ordinarily, DOEE will presume that the budget covers the cost of this required insurance and will not later adjust the grant award for this amount.

#### **(b) Assurance of Continued Truth and Accuracy**

Upon receiving DOEE’s Grant Award Notice the Grantee must notify DOEE of any changes that may have occurred to its organization since the time of submission of its original application. This obligation continues through the grant period. *See* also Section 1.12. RFA Conditions - Promises, Certifications, Assertions, and Assurances.

## **SECTION 6. REPORTING, PAYMENT, and OTHER PROVISIONS**

### **6.1 Reporting Requirements**

The grantee must submit the following reports as a condition of continuing eligibility for funding.

**(a) Quarterly Status Reports**

DOEE will provide a quarterly status report template with the Grant Award Notice. These reports, which discuss grant activities for the preceding quarter, will be due on each of the following dates.

Quarter 1 (January - March):	April 15
Quarter 2 (April - June):	July 15
Quarter 3 (July - September):	October 15
Quarter 4 (October - December):	January 15

If a report's due date falls on a weekend or District holiday, the report will be due the next business day.

The report must detail: actions taken in the quarter preceding the report date, highlight outputs achieved, provide a financial update, and describe unforeseen changes to project timetable, staffing, or partnerships, as well as any other changes that may affect project outcomes.

**(b) Final Report**

DOEE will provide a final report template with the Grant Award Notice. This report includes quantification by the grantee of the project's outputs and describes the extent to which project outcomes met or will meet the objectives of the funded application. The template requires submission of data and analysis of the data.

**6.2 Reimbursement of Project Expenditures, Advances, and Disbursement of Funds**

DOEE will not reimburse the grantee for any work undertaken before DOEE awards the grant.

DOEE will reimburse the grantee only for expenditures incurred to perform work under the grant. Ordinarily DOEE pays out grant funds as reimbursements. Advances are exceptions; not the rule. In limited cases, DOEE may advance funds at the beginning of the grant period for good cause approved by DOEE at its sole discretion. If the Applicant seeks an advance payment, **it must request such payment in its application** and explain why an advance payment is being requested. (*See* Parts 1.8, 3.1(b)2; Appendix 1 Section 10.g)

DOEE operates on the District's fiscal year, which starts October 1 of a calendar year and ends September 30 of the next calendar year. Ordinarily, there is no requirement for weekly or monthly invoicing. The grantee should submit each reimbursement request/invoice during the fiscal year for work performed within that same fiscal year. Each request/invoice must include supporting documentation.

Reimbursements will be mailed to the address on file for the grantee. DOEE may make electronic payments in lieu of mailing checks. DOEE generally pays timely, approved, supported grant invoices within 30 days after DOEE receives them.

DOEE may withhold up to the final 10% of a grant until all required activities have been completed, including receipt of the final report. The grantee should treat the prospect of such withholding as likely.

## **SECTION 7. PROJECTS PROPOSED FOR GRANT FUNDING**

### 7.1 Summary: Project Name, Period, and Available Funds

#### **Project Name**

FloodSmart Homes Resilience Upgrades

#### **Introduction**

This request for applications seeks an organization to provide flood risk resilience upgrades to residential homes in the District of Columbia who request the service. In some cases, this will involve construction; in others it will involve the delivery of flood-related materials and supplies.

This assistance will be provided to homes in the floodplains of the District of Columbia and to homes outside the floodplains, but who have recently experienced flooding. Flood resilience upgrades installed on residential properties are an effective way to reduce flood damages and promote sustainable development in urban environments.

This project will focus on reducing and limiting the harmful impacts of floods and flood-related damages to these District residential structures: one and two-family residential homes and townhouses not more than three stories above grade plane in height.

#### **Background**

This RFA offers a grant to a single entity to carry out one aspect – installation of resilience upgrades to homes - of DOEE’s larger FloodSmart Homes (FSH) Program. From a property owner’s perspective, the overall program consists of five steps:

1. DOEE staff responds to homeowners who express interest in resilience upgrades.
2. DOEE’s contractor (not the grantee from this RFA) conducts in-home resilience assessments, generates a report, and provides to DOEE.

3. DOEE staff reviews the report and notifies grantee of which upgrades can be installed at each home.
4. The grantee reviews the potential upgrades with the homeowner, and gets homeowner's written agreement to proceed.
5. The grantee installs the agreed resilience upgrades at the home.

These steps are described in more detail in the project description below, but the selected grantee is only responsible for steps 4 and 5.

The overall FSH program is in its early stages. Over the past six months DOEE has spoken publicly to District homeowners about the upcoming launch of the program. The agency now has a waitlist of over 100 homeowners who are interested in the program. DOEE is also in the process of hiring a contractor to perform the assessments described in step 2. The first assessments may occur before this grant is awarded. No resilience upgrades have yet been installed; that is the subject of this RFA. Information that DOEE has shared publicly about the program is available at the FloodSmart Homes webpage:

<https://doee.dc.gov/service/floodsmart-homes>

FSH focuses on making resilience improvements at the individual building scale. Other state and city flood risk management programs focus on neighborhood-scale approaches to reducing flood risk. These other approaches include levees or blue-green infrastructure. Building-scale resilience upgrades help families stay in their homes after a flood, reduce the cost of flood insurance, reduce or eliminate the cost of repairs post flood, and improve health outcomes. For example, elevating electrical systems helps safeguard building occupants from electrocution during a flood and helps prevent building damage and mold growth due to post-flood loss of power. Installing flood vents helps prevent foundation collapse due to hydrostatic pressure. Flood vents can reduce a home's cost of flood insurance.

In some ways, DOEE has patterned its FSH program on DOEE's RiverSmart Homes program, which offers incentives to District of Columbia homeowners to reduce stormwater pollution from their properties. It also draws from resilience programs implemented by Cook County, IL, Mecklenburg County, NC, and the State of New York.

For further information, see Appendices 7 through 11.

### **Project Amount**

Up to \$2,520,969.00. This amount is subject to increase, depending on DOEE's assessment of the performance of the grantee and the availability of funds.

### **Project Period**

The project period is 24 months. This period is subject to extension, depending on DOEE's assessment of the performance of the grantee and the availability of funds.

### **Project Location**

The grantee will address eligible structures from the District's 100-year floodplain, the 500-year floodplain, and other areas outside the floodplain that have experienced recent flooding in the District. The structures must be (a) residential (b) one- and two-family standalone structures, or townhouses, and (c) not more than three stories above grade plane in height.

DOEE will work with the grantee to come up with prioritization guidance if more homes are requesting upgrades than can be accomplished within the allocated timeframe and budget. The priority could include flood risk factors such as location within the 100-year and 500-year floodplains, property owner income, and benefit cost ratios of selected upgrades. The application could address how to prioritize.

### **Project Description**

DOEE will select a grantee to install resilience upgrades in the homes of District residents interested in the Flood Smart Homes (FSH) program. The grantee is part of a team that includes DOEE staff and DOEE's contractor.

The grantee will professionally install or provide the resilience upgrades and communicate with homeowners. Materials and workmanship should be high quality. Customer care should be high quality. The application should describe the process to achieve these results.

In addition to helping individual homes be more resilient, DOEE seeks to build the flood-construction-related skills and experience of District residents. The application should describe how work would be performed predominantly by locally-owned, small and minority- or women-owned businesses.

Communication with residents will be a key aspect of the project and should be handled in a way that is sensitive to residents' experiences and anxieties related to flood risk. Temporary lodging for residents during installation upgrades may be offered with DOEE's approval. The application should address how the grantee will communicate with the homeowner for the upgrades - before, during and after the work.

Although DOEE has generally described above the process it uses and anticipates, this RFA seeks a creative approach and some detail from the grantee. DOEE will act as a funder for its approved measures.

This project is intended to serve two functions to address flood risk: long term resilience upgrades (Function 1) and short-term resilience upgrades in emergency situations (Function 2).

### **Function 1**

Generally, DOEE would expect these 5 steps, with the grantee only responsible for steps 4 and 5:

1. DOEE staff responds to homeowners who expresses interest in resilience upgrades.

The grantee would not be funded to do this outreach. DOEE will conduct outreach and compile a waitlist of interested residents. DOEE is currently conducting an outreach campaign to raise awareness and encourage enrollment. DOEE has mailed a letter to every residential structure in the 100-year floodplain.

DOEE will collect resident responses and manage the application intake process. If necessary DOEE will prioritize applications for initial assessment using similar criteria described above.

2. DOEE's contractor conducts in-home resilience assessments, generates a report, and provides to DOEE. DOEE will provide the contact information and address of property owners who have expressed interest to its contractor. The contractor will contact the property owner, schedule the resilience assessment, conduct it, provide cost estimates, develop a Benefit-Cost Analysis (BCA), and produce a report to DOEE.

3. DOEE staff reviews the report and notifies the grantee which upgrades can be installed at each home.

DOEE will decide what work will be funded. DOEE projects that the cost estimate produced in step 2 will enable DOEE staff to determine the financial feasibility of retrofit measures at the home. DOEE will review the report and decide which of the recommendations should be implemented. DOEE will provide the grantee with the list of upgrades that can be installed / implemented at each home.

4. Grantee reviews the potential upgrades with the homeowner and gets homeowner's written agreement to proceed.

No grantee work will proceed without full owner understanding and written agreement. The grantee will explain the list of DOEE-approved upgrades to each identified homeowner. If the homeowner wishes to proceed, the grantee will obtain a DOEE-approved homeowner-signed agreement.

DOEE expects the grantee to draft the agreement for DOEE approval. DOEE will review and approve. (See, for example, the documents that DOEE uses for its RiverSmart Program, available at this website: <https://doee.dc.gov/service/riversmart-homes>)

5. Grantee installs the agreed, specified resilience upgrades at the home.

The grantee will act as the contractor for the resilience upgrades. The grantee can propose serving only as a general contractor. It can also propose providing trades work and procurement of materials and supplies. The application should specify how the grantee will complete the work in a cost-effective manner that results in high-quality installations.

The grantee will be expected to document electronically the work at each property. This should include: the figures for expenditures, description of the work, receipts, homeowner waiver/consent, construction drawings, permits, photos, warranties, and operations/maintenance plans.

## **Function 2:**



Function 1, described in the 5 steps above, addresses long term resilience and is to be the norm for this project. Function 2 addresses emergency situations in which homeowners may require immediate protection from flooding. This grant is intended to provide the flexibility to assist homeowners who are likely to be in distress from anticipated flooding.

The applicant is asked to design a fair, expedited, and cost-effective process to address an emergency situation, in which materials, services, or flood protection could be delivered without the need of an in-depth home assessment. One example might be the procurement of sandbags for residents to use to protect certain structures as a hurricane bears down on the District. Please spend roughly a page of the application describing how this operation would work, and what types of materials or interventions would be made available for Function 2.

### **Project Outcomes**

At the conclusion of this grant, flood risk for many District single and two-family homes will be reduced. Some residents will be more resilient, through floodproofed homes that are less likely to flood, and through increased awareness of flood risk and how to prepare. Also, emergency pre-flood services would help residents avoid displacement, expensive home repairs, and negative health impacts following a flood event.

### **Project Outputs**

1. Quality, cost-effective resilience upgrades in as many homes as the funded work cost-effectively supports

### **Deliverables**

1. A work plan for cost-effective, high quality, and professional installation of long term resilience upgrades (Function 1) and short-term resilience upgrades in emergency situations (Function 2)
2. Completed installations
3. Excellent financial records
4. Participation in monthly, or as needed, in-person and video meetings and calls
5. Electronic copies of data and files
6. Quarterly status reports
7. A final report

### **Scoring Criteria**

Scoring Criteria	Points
Presents a skilled and customer-oriented approach to working with homeowners.	10
Presents a robust plan for the construction work, from design through installation, for long-term resilience upgrades (Function 1).	15
Presents a robust plan for short-term resilience upgrades in emergency situations (Function 2).	5
Presents clear and achievable timelines.	10
Presents a detailed line-item budget that includes narrative justification for project management and overhead.	15
Presents a plan to procure goods and services that is likely to provide high quality work and materials at a fair price.	10
Demonstrates substantial expertise working with homeowners and ability to provide quality customer service.	5
Demonstrates substantial expertise in planning, designing, cost estimating, installing, and maintaining flood resilience home upgrades.	15
Demonstrates organizational capacity to manage multiple subcontractors and multiple installation jobs at once.	5
Demonstrates a commitment to using locally owned: businesses / small businesses/ minority- and/or woman-owned businesses.	10

**-SECTION 8. CHECKLIST FOR APPLICANTS**

Instructions for applicants: Do not upload this checklist. <b>This checklist is for your benefit.</b> If you use the checklist, you will want to answer all of the questions below. This checklist is not part of your application.		
1	Does the applicant provide a brief summary of the project?	
2	Is the application from one entity, as the Applicant?	
3	Is the named Applicant eligible for funding according to section 1.6 of the RFA?	
4	If project eligibility conditions appear in Section 1.6 of the RFA, does the project fit these conditions?	
5	Is project application narrative included ?	
6	Does the application include a project description and all of the information required for the scoring rubric that appears at the end of Section 7 of the RFA?	
7	Is there a numeric budget?	
8	Is there a budget narrative justifying each budget line item?	
9	Do the line items in the application budget consider the allowable and non-allowable costs in Section 3.1 subsection b.2.iii of the RFA?	
10	Did the applicant read the General Terms and Conditions document (Appendix 1)?	
11	Does the application package include the first page and signed last page of the DOEE Promises, Certifications, Assertions, and Assurances (Appendix 2)?	
12	Does the application package include a Certificate of Good Standing that reflects a date within 6 months of the deadline date?	

13	Does the application package include a valid Certificate of Clean Hands?	
14	Does the application package include IRS W-9 Tax Form?	
15	If the Applicant is a nonprofit organization does the application package include a Tax Exemption Affirmation Letter?	
16	Does the application package include the applicant's current fiscal year budget?	
17	Does the application package include the applicant's most recent audited or unaudited financial statements?	
18	Does the application package include a Separation of Duties Policy as described in Section 3.5 subsection (h) of the RFA?	
19	If funded by Renewable Energy Development Fund (REDF) and the Applicant is seeking to qualify as a Certified Business Enterprise (CBE) is the current District CBE certificate included?	
20	Is the Applicant registered in the System for Award Management (SAM)?	
21	If the Applicant is eligible to claim indirect costs and is claiming more than 10% of direct costs, does the application package include supporting documentation for the indirect cost rate?	
22	If applicable, does the application package include letters of support from other entities?	
23	If requested, does the application include resumes of key personnel mentioned in the application?	
24	If applicable, does the application identify District agencies from which funds were received, including the project title, amount paid, and what was accomplished?	
25	Does the application include a work plan?	

## **APPENDICES**

- Appendix 1 – General Terms and Conditions
- Appendix 2 – Promises, Certifications, Assertions, and Assurances
- Appendix 3 – N/A
- Appendix 4 – N/A
- Appendix 5 – N/A
- Appendix 6 – Insurance Requirements
- Appendix 7 – Flood Resilience Upgrades
- Appendix 8 – Cadmus FSH Report Slides
- Appendix 9 – Cadmus FSH Report Summary
- Appendix 10 – Cadmus Summary Memo
- Appendix 11 – Flood Smart Homes Phase 1 Assessment Solicitation