**FEDERAL AGENCY:** U.S. Environmental Protection Agency (EPA), Regional Pollution Prevention Program Offices

**FUNDING OPPORTUNITY TITLE:** Source Reduction Assistance Grant Program

**ANNOUNCEMENT TYPE:** Request for Proposals (RFP)

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** 66.717

**FUNDING OPPORTUNITY NUMBER**: EPA-HQ-OPPT-2011-03

**SUBMISSION DATE:** Applicants may submit a proposal by mail or electronically through Grants.gov. E-mailed submissions will not be reviewed. If sending a proposal through Grants.gov, the proposal must be submitted by **Thursday, February 24, 2011, 11:59 pm (EST).** If mailing a proposal, the proposal must be received by the Region listed in **Section VII** on or before the submission date. Proposals received after the submission date will not be considered for funding. For additional information on submitting a proposal refer to **Section IV.**

## SUMMARY OF ANNOUNCEMENT

**I. Introduction:** This Request for Proposals announces that EPA's Regional Pollution Prevention Program Offices (herein referred to as the Regions) anticipate having up to $130,000 **per region** to issue Source Reduction Assistance (SRA) awards in Fiscal Year (FY) 2011 to support pollution prevention (P2)/source reduction projects in FY 2012.[1] The Regions will issue the awards in the form of grants and/or cooperative agreements. Award selection, funding and grant oversight will be managed by the Regions.

Subject to Congressional appropriation, SRA awards are issued annually by the Regions. The purpose of issuing SRA awards is to support environmental projects that reduce or eliminate pollution at the source. Collectively, the Regions are interested in funding proposals that encourage broad environmental concepts – greenhouse gas (GHG) reduction, toxic and hazardous materials reduction, resource conservation, efficient business practices and P2 integration activities. However, independently, each Region has drafted a set of priorities **(refer to Section I.C)** to note specific types of projects the Region will consider when reviewing proposals and making final funding decisions. Applicants are strongly encouraged to submit proposals that demonstrate new, innovative techniques, surveys, studies or use research, investigations, experiments, and/or training promoting P2/source reduction efforts. Proposals that principally support recycling, clean-up, treatment, disposal or energy recovery activities will not be considered for funding.

**Note:** EPA Region 6, representing the states of Arkansas, Louisiana, New Mexico, Oklahoma and Texas, is not participating in this announcement and will not accept proposals under this competition**.** Any projects proposed in EPA Region 6 **will not** be reviewed. However, applicants from the Region 6 area may propose grant work in one of the other nine EPA Regions. Proposals should be sent to the applicable Region where the work will take place.

1 All estimates are subject to the availability of Congressional appropriation. FY 2011 represents the period from October 1, 2010 – September 30, 2011.

**II. Eligibility:** Eligible applicants include the fifty states, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school districts, incorporated nonprofit organizations (other than institutions of higher education), public and private institutions of higher education, community-based grassroots organizations, and federally-recognized tribes and intertribal consortia.

**Note: Individuals, for-profit businesses and nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply for funding under this grant competition.**

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**FULL TEXT OF ANNOUNCEMENT**

**Applicants are advised to read this announcement carefully as it provides information on the goals of the program, policy and program requirements, new evaluation criteria, and information on the selection process.**

**I. Funding Opportunity Description:** EPA is announcing the opportunity to submit SRA proposals. EPA anticipates having *up to* $130,000 available **per region** to award grants or cooperative agreements in FY 2011 to support P2/source reduction projects during FY 2012.[2]

**Note:** EPA Region 6 representing the states of Arkansas, Louisiana, New Mexico, Oklahoma and Texas is not participating in this announcement and will not accept proposals under this competition**.** Any

2 All estimates are subject to the availability of Congressional appropriation. FY 2011 represents the period from October 1, 2010 – September 30, 2011.

projects proposed in EPA Region 6 **will not** be reviewed. However, applicants from the Region 6 area may propose grant work in one of the other nine EPA Regions. Proposals should be sent to the applicable Region where the work will take place.

**A. Introduction:** In 2010, the P2 program (Headquarters and Regional staff) finalized a strategic plan. The plan, called the 2010-2014 Pollution Prevention Program Strategic Plan, describes the role the P2 program will play in identifying and leveraging pollution prevention opportunities within and outside of the Agency over a five-year period.[3] The reason for developing the plan was to provide a workable framework for addressing climate change, sustainability, business efficiency and P2 integration activities. These concepts and activities are reflected in the plan's five goals:

1. Reduce the generation of GHG emissions to mitigate climate change;
2. Reduce the manufacture and use of hazardous materials to improve human and ecological health;
3. Reduce the use of water and conserve other natural resources to protect ecosystems;
4. Create business efficiencies that derive economic benefits and improve environmental performance; and
5. Institutionalize and integrate pollution prevention practices through government services, policies, and initiatives.

As representatives of the P2 program, each Region has developed Region-specific priorities for the FY 2011 SRA grant competition that align with one or more of the plan's five goals.

**B. Grant Program Requirements:** This section summarizes EPA's grant policies and requirements, many of which are further discussed in other sections of this announcement including **Sections III, IV and V.** It also describes information that applicants must include in their proposals.

1. **Eligible Applicants:** Eligible applicants include the fifty states, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school districts, incorporated nonprofit organizations (other than institutions of higher education), public and private institutions of higher education, community-based grassroots organizations, and federally-recognized tribes and intertribal consortia. Eligible nonprofit organizations must be able to demonstrate their nonprofit status (with appropriate documentation) by the time of award.

**Note: Individuals, for-profit businesses and nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply for funding under this grant competition.**

3 2010-2014 P2 Program Strategic Plan - http://www.epa.gov/p2/pubs/docs/P2StrategicPlan2010-14.pdf.

2. **Terminology for P2/Source Reduction:**

**P2/Source Reduction:** Under this announcement, the term P2 also means "source reduction" and refers to any practice which reduces or eliminates the creation of pollutants through: increased efficiency in the use of raw materials, energy and water; protection of natural resources by conservation activities; or actions that prevent pollution by reducing the use of toxic chemicals.

P2/source reduction does not include any practice which alters the physical, chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which itself is not integral to and necessary for the production of a product or the providing of a service. **Projects that apply any of these activities will not be eligible for funding.**

Examples of acceptable P2/source reduction activities include, but are not limited to: equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, improvements in housekeeping, maintenance, training, or inventory control.

**Note:** The definition of P2 may also include activities that involve "in-process recycling" in which materials are incorporated back into the same production process to produce a reusable product or other environmental benefit. Alternatively, the definition of P2 does not include activities involving "out-of-process recycling," in which by-products are emitted and then transferred, stored or recovered. While out-of-process recycling may share many of the advantages of P2 (e.g., reducing the need for end-of-pipe treatment, or promoting energy and resource conservation), it is a distinct topic area that involves disposal efforts, waste material clean-up, etc. These sorts of activities are not eligible for SRA award funding. For more information on EPA's recycling program managed by EPA's Office of Resource Conservation and Recovery, please visit http://www.epa.gov/epawaste/conserve/rrr/recycle.htm.

3. **EPA Statutory Authorities for SRA Awards:** SRA grants and cooperative agreements will be awarded under the following EPA statutory authorities: Clean Air Act, Section 103(b), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and Toxic Substances Control Act, Section 10, as amended. *All activities in the applicant's proposal must be eligible under **one** or more of these statutory authorities.*

**Note:** Projects must consist of activities within the statutory terms of these EPA authorities. The statutes authorize EPA to award grants or cooperative agreements for the following activities: research, investigations, experiments, training, surveys, studies and demonstration of new or innovative techniques. These activities relate generally to the gathering or transferring of information or advancing awareness. Proposals should emphasize this "learning" concept, as opposed to "fixing" an environmental problem using a well-established method. For example, a proposal to install a more energy efficient heating system in a facility in order to conserve energy would not fall within research, studies, demonstrations, etc. Other examples of unsuitable projects that EPA will not fund are those that focus on recycling, treatment, clean-up, disposal and/or energy recovery activities.

4. **Programmatic Capability:** Applicants are required to describe their ability to successfully complete and achieve the goals of the proposed project(s). To do so, the applicant must address these topics:

   a. **Experience Achieving Project Objectives:** Describe how the applicant's organizational experience and resources support the successful completion of the proposed project. Also, describe if and how the applicant participates in the National Pollution Prevention Results Data System. The System collects P2 measures on a national basis and reflects the applicant's overall ability to measure and demonstrate P2 achievements. For more information visit: http://www.p2rx.org/services/measurement.cfm; and

   b. **Staff Qualifications:** Describe how the applicant's staff has the qualifications and knowledge to successfully accomplish the proposed project.

5. **Past Performance and Reporting History:** Applicants are required to describe in their proposals their past performance regarding grant management/performance and compliance with reporting requirements. To do so, the applicant must submit a list of federally-funded agreements (assistance agreements include Federal grants and cooperative agreements, but not Federal contracts) similar in size, scope and relevance to the proposed project that they performed within the last three years (no more than 5 agreements, and preferably EPA agreements), and address the three items listed below for each such agreement.

   a. **Experience Managing Grants:** Describe the applicant's past performance in completing and managing the agreements;

   b. **Experience Meeting Reporting Requirements:** Describe the applicant's history of meeting reporting requirements under the agreements including submission of final technical reports; and

   c. **Experience Reporting Expected Results:** Describe whether the applicant adequately documented and/or reported on achieving the expected results (e.g., outcomes and outputs) under the agreements. If such progress was not made, please explain why the applicant does not have experience reporting expected results.

   **Note:** Applicants with no relevant or available past performance or reporting history must indicate this in their proposal. Applicants in this category will receive a **neutral score** for these factors in accordance with the evaluation process noted in **Section V.**

6. **Cost Sharing and Matching Requirements:** Applicants are required to provide a minimum 5 percent match, as part of the total allowable project cost. For example, the Federal government will provide 95 percent of the total allowable cost of the project and

the recipient will provide the remaining 5 percent. The match may be issued in the form of cash and/or in-kind contributions, e.g., donated services, charges for real property and equipment or the value of goods and services directly benefiting the EPA funded project. Proposals that do not describe the 5 percent match will not be reviewed. The match requirement may be applied at the time of award or at specified intervals during the project period. The grant applicant must document in the itemized budget plan the type of match to be applied and how it will be used. The grant project officer in the Region will monitor the grant recipient's compliance. If the match requirement is not met or is not applied at specified intervals during the project period, federal funding will cease and the recipient will be held liable for all incurred costs.

**Note:** Insular area applicants in the U.S. Virgin Islands, American Samoa, Guam and the Northern Mariana Islands are advised to contact the applicable regional P2 contact in EPA Region 2 or 9 to determine if cost share requirements will be waived in all or in part, as authorized by the Omnibus Territories Act of 1977, as amended, 48 U.S.C. Section 1469a. For contact information refer to **Section VII** to locate the applicable Region.

7. **Funding Period:** The Region will fund grant activities for no more than two (2) years.

8. **Alignment with EPA's Environmental Results Policy:** Applicants are required to describe outcome and output environmental measurement efforts in their proposals. The term "outcome," as defined by the Agency, refers to the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature and must be able to be quantified. The term "output," as defined by the Agency, refers to an environmental activity or effort and associated work product related to an environmental goal or objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative, but must be measurable during the assistance agreement funding period.[4]

   Examples of outcome measures the P2 program expects to achieve under SRA awards include, but are not limited to:

   **a.** Pounds of hazardous materials reduced;

   **b.** Million metric tons of carbon dioxide equivalent ($MMTCO_2Eq$) reduced[5];
   **c.** Gallons of water saved; and

   **d.** Dollars saved through P2 efforts.

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[4] EPA Order 5700.7, Environmental Results Under Assistance Agreements - http://www.epa.gov/ogd/grants/award/5700.7.pdf.
5 SRA grantees will be asked to report to the Region in metric tons of carbon dioxide equivalent ($MTCO_2e$) reduced to reflect the true capacity that the grantee can document and track results. However, on a programmatic level, the P2 program and the Agency, document and track greenhouse gas results using the measures $MMTCO_2Eq$ and MMTCE respectively. These measures are used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions, please go to: http://www.epa.gov/OMS/climate/420f05002.htm.

Examples of output measures the P2 program expects to achieve under SRA awards include, but are not limited to:

**a.** Number of stakeholder groups involved in the process;

**b.** Number of assistance visits;

**c.** Number of workshops, trainings and courses conducted; and

**d.** Number of fact sheets developed or distributed.

**9.** **Work Plan Measurement Elements:** To ensure that an environmental measurement strategy is incorporated into the proposal, applicants will need to submit a work plan that includes the following elements **(for a complete description of the applicant's work plan, refer to Section IV.D.3.b):**

**a.** Numeric estimates of expected P2 results per project;

**b.** A description of the relevant data collection methods (e.g., surveys, pre/post tests, participant reporting arrangements);

**c.** A description of the equations, factors and assumptions used to calculate the estimated P2 results;

**d.** An itemized budget that reflects the resources needed to pay for measurement and reporting activities. In some cases this may require 10-20% of the proposed budget;[6] and

**e.** A project timeline that includes data collection and evaluation activities supporting environmental outcome measures.

**10.** **Alignment with EPA's Strategic Plan:** SRA proposals must note a commitment to work towards the five long-term P2 targets provided in the Agency's FY 2011 – 2015 Strategic Plan. The P2 Program's targets are located under Goal 4: Ensuring Safety of Chemicals and Preventing Pollution, Objective 4.2: Promote Pollution Prevention.

**Strategic targets:**

**a.** By 2015, reduce 15 billion pounds of hazardous materials cumulatively through P2 (Baseline is 4.8 billion pounds reduced through 2008.)

**b.** By 2015, reduce 9 million metric tons of carbon dioxide equivalent ($MMTCO_2Eq$) cumulatively through P2. (Baseline is 6.5 $MMTCO_2Eq$ reduced in 2008. The data

[6] Appendix E provides a sample of an itemized budget. EPA will consider partial funding in appropriate circumstances. For more information on partial funding, please refer to Section II A.

from this measure is also calculated into the Agency's overall greenhouse gas measure under Goal 1.)[7]

**c.** By 2015, reduce water use by an additional 24 billion gallons cumulatively through P2. (Baseline is 51 billion gallons reduced through 2008.)

**d.** By 2015, save $1.2 billion through P2 improvements in business, institutional, and government costs cumulatively. (Baseline is $3.1 billion dollars saved through 2008.)

**e.** Through 2015, increase the use of safer chemicals cumulatively by 40 percent. (Baseline: 476 million pounds of safer chemicals used in 2009 as reported to be in commerce by the Design for the Environment program.)

For more information on the Agency's 2011- 2015 Strategic Plan, please go to: http://www.epa.gov/ocfo/plan/2015/FY2011_2015_EPA_Strategic_Plan.pdf.

**C. Region-Specific Priorities:** These priorities are provided to highlight specific environmental issues/projects/programs of interest to each Region. Applicants will need to address at least one of the priorities listed for the Region. When addressing one or more of the Region's priorities, the applicant must also incorporate research, investigations, experiments, training, surveys, studies and/or demonstrations of new or innovative techniques into the work plan. When submitting a proposal the applicant **must** apply to the Region where the applicant plans to conduct the project (refer to **Section IV.B** on how to submit a proposal). Proposals that involve more than one Region will not be considered for funding and will be returned. For a list of states and/or U.S. territories represented by each Region, please refer to **Section VII.**

**Note:** EPA Region 6, representing the states of Arkansas, Louisiana, New Mexico, Oklahoma and Texas, is not participating in this announcement and will not accept proposals under this competition**.** Any projects proposed in EPA Region 6 will not be reviewed.

**Region 1**

Conduct Pollution Prevention/Source Reduction projects with one or more of the following themes:

- **Sector-based P2/source reduction efforts –** e.g., healthcare, hospitality, autobody sectors;
- **Environmental Justice –** e.g., projects involving local efforts in EJ communities;
- **Green Economy/Green Jobs**[8] – e.g., developing/implementing green curricula, funding interns to conduct P2/source reduction projects;

7 SRA grantees will be asked to report to the Region in metric tons of carbon dioxide equivalent ($MTCO_2e$) reduced to reflect the true capacity that the grantee can document and track results. However, on a programmatic level, the P2 program and the Agency, document and track greenhouse gas results using the measures $MMTCO_2Eq$ and MMTCE respectively. These measures are used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions, please go to: http://www.epa.gov/OMS/climate/420f05002.htm.

- **P2/source reduction projects that align with any EPA media priorities –** e.g., municipal stormwater low-impact development projects, new Clean Air Act Area Source Rules impacting many varied sources);

- **Green Chemistry –** e.g., eliminating toxics by using more benign substitutes in schools, hospitals, or elsewhere;

- **Energy Efficiency projects –** e.g., set goals, develop and implement plan for energy use reductions particularly those that prevent pollution of other media such as water or waste); and/or

- **Economy, Energy and Environment Initiative –** Programs that promote a combination of Lean/Green reviews and Greenhouse Gas evaluations for manufacturers and work with various partners to leverage resources (possible partners include EPA's Green Suppliers Network, Department of Energy's Industrial Technologies program, Manufacturing Extension Programs, Department of Labor's Employment and Training Administration, Small Business Development Program, municipal governments, and utility companies).

**Region 2**

- Promote projects that prevent pollution through the use of sustainable tools (e.g., Design for the Environment, green chemistry, green engineering, environmental management systems, life cycle analysis, environmentally preferable purchasing), and achieve measurable results in reducing greenhouse gases, hazardous materials, conserving water or saving money; and/or

- Promote projects that address the above criteria and focus on the hospitality sector, manufacturing sector and colleges/universities campuses; and/or in the geographical areas of Puerto Rico and the U.S. Virgin Islands.

**Region 3**

- **Hazardous and/or Toxic Chemicals -** Achieve measurable reductions of hazardous and/or toxic chemicals (especially priority and emerging chemicals of concern identified by EPA's National Partnership for Environmental Priorities) through the use of sustainable practices such as replacing chemicals with greener substitutes, extending chemical or product life or reducing chemical use;

- **Sustainable Manufacturing –** Promote local projects that support manufacturing leadership through collaborative sustainable efforts with industrial resource centers, manufacturing extension partnerships. Promote energy efficiency, lean and clean manufacturing, environmentally preferable purchasing, and/or source reduction efforts to achieve measurable results;

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8 Region 1 defines green economy/green jobs as work that supports green workforce development.

- Support programs and projects that promote conservation of natural resources and the protection of ecosystems; and/or

- Promote the advancement of green infrastructure, including life cycle activities in construction and building renovation.

**Region 4**

- Promote P2 using Lean and Green (see http://www.epa.gov/lean ) initiatives by encouraging industries, utilities, municipalities and other institutions to reduce pounds of pollution, conserve water and/or energy, reduce greenhouse gases, and save money. Provide technical assistance and P2 expertise to Economy, Energy and Environment (E3) projects to enable businesses to lean and green their operations;

- Implement P2 projects focusing on the hospitality sector (e.g., green lodging, green venues); and/or

- Implement P2 projects for green building and/or construction sectors focusing on reduction of greenhouse gas emissions, energy efficiency and water conservation. *Projects that will <u>not</u> be considered under this topic area include those that seek to use funds for equipment and supplies that will be used to retrofit buildings (e.g., changing out lighting, windows etc) or building systems upgrades.*

**Region 5**

- Promote projects that prevent pollution in the hospitality, health care, chemical and manufacturing sectors through the use of sustainable tools and programs which achieve measurable results in reducing hazardous materials, solid waste, energy and water use, as well as reductions in associated greenhouse gases and economic costs; and/or

- Promote geographic-based projects that enable businesses within the manufacturing sector to move toward sustainable practices through P2 technical assistance networking projects and/or Economy, Energy, and Environment (E3) initiatives.

**Region 7**

- Promote pollution prevention projects that emphasize water management that either enhances water quality and/or reduces water quantity demand;

- Improve pollution prevention assistance delivery techniques such as pollution prevention student intern programs or other direct pollution prevention assistance to businesses and institutions. Such efforts include the institutionalization of professional and degree/certificate-related pollution prevention education through traditional and distance-learning mechanisms by professional-based and university-based P2 programs;

- Utilize voluntary environmental leadership programs [such as National Partnership for Environmental Priorities (including Priority Chemicals and emerging chemicals), Resource Conservation Challenge, Design for the Environment, Sustainable Infrastructure, and environmental management systems] to leverage successes or add benefits to national/regional pollution prevention goals and achieve measurable results in reducing energy use, hazardous materials, conserving water and/or saving money;

- Provide pollution prevention technical assistance to the agribusiness industry, with an emphasis on food processing; and/or

- Provide pollution prevention technical assistance to the construction, hospitality and healthcare sectors.

**Region 8**

- Advance partnerships and technical assistance efforts to support EPA's Economy, Energy and Environment (E3) initiative by testing the approach in manufacturing and agriculture. Assessments and training opportunities will emphasize the following:
  - energy efficiency,
  - hazardous materials reduction,
  - carbon emissions reduction, and
  - sustainable practices and growth.

**Region 9**

- Support the Strategic Plan for EPA's P2 Program sector focus areas: Electronics, Chemical & Manufacturing Industries, Hospitality, Buildings & Construction (especially, residential areas and schools);

- Build partnerships to target specific P2 opportunities with businesses, communities, and tribes; and/or

- Promote product redesign, green product standards, environmentally preferable purchasing and/or green chemistry.

**Region 10**

- Support technical assistance provider programs/networks that assist businesses in reducing air, water, waste and greenhouse gas emissions at the source; and/or

- Support technical assistance provider programs/networks that employ *Lean Manufacturing* as a pollution prevention opportunity assessment tool.

**II. Award Information:** The Regions will issue SRA awards in the form of grants and/or cooperative agreements. If a cooperative agreement is awarded, the degree of involvement will be determined by the Region. EPA anticipates having *up to approximately* $130,000 available ***per region [for Regions 1, 2, 3, 4, 5, 7, 8, 9 and 10]*** to fund P2/source reduction projects during FY 2011 – FY 2012. All estimates are subject to the availability of Congressional appropriations. EPA anticipates awards will be in the range of $10,000 – $130,000. It is anticipated that *collectively* the Regions will receive approximately 60 grant proposals and issue approximately 20 awards.

**Note:** Consistent with Agency policy, the Regions reserve the right to make additional awards under this announcement, if additional funding becomes available after the original selections. Any additional selections for awards will be made no later than six months from the date of the original selections. The Regions also reserve the right to reject all proposals and issue no awards under this announcement, or issue fewer awards than anticipated.

**A. Partial Funding:** In appropriate circumstances, the Regions may reserve the right to partially fund proposals by funding discrete activities, portions, or phases of a proposed project. Regions which partially fund proposals will do so in a manner that will not prejudice any applicant or affect the basis upon which a proposal or a portion thereof was evaluated or selected for award in order to maintain the integrity of the competition, the evaluation and the selection process.

**Note:** In order to be considered for partial funding, proposals must have clearly delineated activities or phases with separate budget estimates for each activity/phase of the project. The completed work plan must include a budget that estimates the costs for labor (by labor category), fringe benefits, travel, equipment, supplies, contractors, and other direct costs and indirect costs. The budget must itemize these costs under each task of the **entire** work plan and must identify the activities (and corresponding estimated costs) covered by the match of 5 percent or more of the total allowable project cost.

**B. Funding Restrictions:** Award funds may only be used for the purposes set forth in the assistance agreement and must be consistent with one or more of the statutory authorities listed in **Section I.B.3.** Award funds may not be used for matching funds for other Federal assistance agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, the funds may not be used to sue the federal government or any other government entity. All costs identified in the budget must conform to applicable federal cost principles contained in OMB Circular A-87; A-122; and A-21, as appropriate. If necessary, the Regions will subtract proposed ineligible costs from the final approved budget.

**C. Type of Assistance Instrument:** Each Region will fund selected proposals in the form of grants and/or cooperative agreements. If a cooperative agreement is selected for funding the Region will have substantial technical interaction with the recipient. For such projects, the Region may review and approve project phases, review and approve substantive terms of subgrants and contracts, collaborate with the recipient on the scope of work and mode of operation of the project, closely monitor the recipient's performance, approve any proposed changes to the work plan and/or budget, approve qualifications of key personnel, and review and comment on reports prepared under the assistance agreement. The Region will not be substantially involved in the performance of grants.

**III. Eligibility Information:** Eligible applicants include the fifty states, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school districts, incorporated nonprofit organizations (other than institutions of higher education), public and private institutions of higher education, community-based grassroots organizations, federally-recognized tribes and intertribal consortia.

**Note: Individuals, for-profit businesses and nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are <u>not eligible</u> to apply for funding under this grant competition.**

**A. Cost Sharing and Matching Requirements:** EPA requires the applicant to provide a minimum 5 percent match, as part of the total allowable project cost, in order to receive an award. For example, the federal government will provide 95 percent of the total allowable cost of the project and the recipient will provide the remaining 5 percent. The match may be issued in the form of cash and/or in-kind contributions, e.g., donated services, charges for real property and equipment or the value of goods and services directly benefiting the EPA funded project. Proposals that do not describe how the 5 percent match requirement will be met will not be reviewed. SRA award recipients must comply with 40 CFR 30.23 or 40 CFR 31.24 as applicable when meeting the cost share requirement. Please note the match requirement may be applied at the time of award or at specified intervals during the project period. The grant applicant must document in the itemized budget plan the type of match to be applied and how it will be used. The grant project officer in the Region will monitor the grant recipient's compliance. If the match requirement is not met or is not applied at specified intervals during the project period, federal funding will cease and the recipient will be held liable for all incurred costs.

**Note:** Insular area applicants in the U.S. Virgin Islands, American Samoa, Guam and the Northern Mariana Islands are advised to contact the applicable regional P2 contact in EPA Region 2 or 9 to determine if cost share requirements will be waived in all or in part, as authorized by the Omnibus Territories Act of 1977, as amended, 48 U.S.C. Section 1469a. For contact information refer to **Section VII** to locate the applicable Region.

**B. Threshold Program and Submission Requirements:** Proposals must meet the Threshold Program and Submission Requirements as identified below (as well as the cost match requirements described above) in order to be considered for funding. Proposals that fail to meet all of the requirements will be rejected. The Region will notify applicants within 15 calendar days of ineligibility:

**C. Threshold Program Requirements:**

**1.** Projects must apply the criteria for P2/source reduction **(Section I.B.2)**.

**2.** Projects must be for no more than two (2) years **(Section I.B.7).**

**3.** Projects must align with EPA's Strategic Plan **(Section I.B.10)**.

**4.** Projects must address one or more of the Region-specific priorities that apply to the Region where the applicant will perform the project **(Section I.C)**.

**5.** Projects must involve one (1) Region only **(Section I.C).**

**6.** Projects may not take place in EPA Region 6 (Arkansas, Louisiana, New Mexico, Oklahoma, and Texas).

**D. Threshold Submission Requirements:**

1. Proposals must substantially comply with the proposal submission instructions and requirements set forth in **Section IV** or they will be rejected.

2. The proposal narrative must be 10 pages or less **(Section IV.C)**. Pages in excess of the 10-page limit will not be reviewed.

3. Proposals must be sent to the Region where the project will take place.

4. Proposals must be submitted to the Region or sent electronically through Grants.gov as specified in **Sections I and IV.A** of this announcement on or before the submission deadline. Applicants are responsible for ensuring that their proposal reaches the designated Region by the submission deadline. Point of contact information for each Region is provided in **Section VII**. Proposals received after the submission deadline will be considered late and returned to the sender without further consideration unless the applicant can clearly demonstrate that their proposal was late due to EPA mishandling or because of technical problems associated with Grants.gov. Where **Section IV** requires the receipt of proposals by the Region, receipt by the EPA mailroom is not sufficient. Applicants should confirm receipt of their proposal with the Region listed in **Section VII** as soon as possible after the submission deadline – failure to do so may result in the proposal not being reviewed.

**IV. Proposal Submission Information:** The application process is a two-step process involving a **proposal** package, followed by an **application package**. First, the applicant submits a proposal package to the Region or through Grants.gov containing the following items:

- Cover Page;
- Application for Federal Assistance Form (SF 424);
- Key Contact Form;
- Proposal narrative; and
- Letters of Support

**Section D** below provides instructions for preparing these items. Applicants that submit eligible proposals that merit further consideration based on the evaluation criteria in **Section V** will be contacted by the Region and asked to submit an application package. Only those applicants who are asked to submit an application package will be considered for an SRA award. Application packages include additional federal forms and supporting documentation. An application package **should not** be submitted at this time.

The following section provides important information on the submission deadline, the types of proposal submission methods to use (hard copy or electronic), the format of the proposal, and the content to include in the proposal.

**A. Submission Date:** To be considered for funding, proposals must be received by the appropriate Region or submitted electronically through Grants.gov on or before **Thursday, February 24, 2011.**

E-mailed submissions will not be reviewed. If sending a proposal electronically, the proposal must be received by **Thursday, February 24, 2011, 11:59 pm (EST).** For mailed submissions, proposals must be received by the appropriate Region listed in Section VII by the submission date. Proposals received after the submission date will not be considered for funding. The Regions anticipate that final funding decisions will be made 180 days after the post date of this announcement.

**B. Proposal Submission Methods:** Applicants may choose to submit proposals in one of two ways – either by mail or electronically through Grants.gov. If applying by mail, please follow the instructions under "Hard copy Submission" **(refer to Section IV.E).** To apply electronically through Grants.gov, please follow the instructions in **Section IV.F**.

**C. Proposal Length and Format:** Proposal narratives as described in **Section D.3** below must be no more than 10 single spaced pages (i.e., a page equal's one side). Proposals longer than 10 pages will only be reviewed up to the page limit. Proposals must be in English and readable in MS Word or PDF.

**D. Proposal Package Content:** The proposal package must contain a cover page, information related to the Central Contractor Registration and Data Universal Numbering System, the federal assistance form (SF-424), proposal narrative, key contact information, and letters of support. The 10-page limit **only** applies to the proposal narrative. Refer to item 4 below.

1. **Cover Page:** The cover page must contain the following information:

    **a.** Grant program title;

    **b.** Funding opportunity number of this announcement;

    **c.** Title of proposal;

    **d.** Short description of proposal;

    **e.** Total funding of project and requested funding of project; and

    **f.** Applicant's contact information (i.e., name of applicant, name of organization, mailing address, phone number, fax number, and e-mail address).

    **g.** Central Contractor Registration date **(refer to Section VI.C.2).**

2. **Application for Federal Assistance Form (SF-424):** To download the form, go to http://www.epa.gov/ogd/AppKit/form/SF424.pdf. When filling out form SF-424, applicants **must** provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number on the form. 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.

3. **Key Contacts Form (5700-54):** To download the form, go to http://www.epa.gov/ogd/forms/adobe/5700-54_sec.pdf. You are asked to identify the key

personnel who will file and manage the paperwork, fund the project(s) and direct the work plan.

4. **Proposal Narrative:** The proposal narrative includes parts – **a** *and* **b** below. The proposal narrative is subject to a 10-page limit **(Section IV.C).**

   a. **Project Narrative:** The project narrative must address how the proposal meets the threshold program requirements described in **Section III.C**, and must also include information addressing the programmatic capability **(Section I.B.4)** and past performance requirements **(Section I.B.5)** in order to receive an evaluation score as described in **Section V.**

   b. **Work Plan:** The work plan must describe the project strategy, environmental measures, financial aspects, and timeframe of the proposed project(s) as described below**:**

      (i) **Project Strategy:** Describe the following elements of the project(s): The environmental and public health concerns and partners involved, along with project transferability – how well will the project serve surrounding communities after its completion?

      (ii) **Environmental Measures:** Applicants will need to provide the following information:

         a. Provide qualitative and quantitative estimates of expected outcomes and outputs of project activities in the work plan. **(Refer to Section I.B.8 for examples of outcomes and outputs)**;

         b. Describe relevant data collection methods (e.g., surveys, pre/post tests, participant reporting arrangements);

         c. Provide numeric estimates of expected P2 results per project;

         d. Provide a description of equations, factors and assumptions used to calculate the estimated P2 results;

         e. Provide a plan for tracking the applicant's progress towards achieving the expected project outcomes and outputs **(Section I.B.8)**; and

         f. Provide discussion on forecasting environmental outcomes.

      **Note:** For proposals that include more than one project, measurement information **must** be provided for each proposed project. For general guidance on documenting environmental measures, refer to Pre-Proposal Assistance on Environmental Measurement **(Section IV.J)**. Applicants may also reference **Appendix C** to assist in measuring and documenting environmental outcomes.

(iii) **Budget Detail:** The budget must comply with the 5 percent cost sharing and matching requirements **(Section I.D.6).** The budget must also reflect the resources needed to pay for measurement and reporting activities. In some cases this may require 10-20 percent of the proposed budget. An example of a detailed itemized budget is provided in **Appendix E**.

a. **Management Fees:** When formulating a budget, applicants may not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by their audit agency, or at the rate provided for in the terms of the assistance 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 grants or cooperative agreements. Management fees or similar charges may not be used to improve or expand the project funded under the grant or cooperative agreement, except to the extent authorized as a direct cost of carrying out the work plan.

b. **Compensation for Consultants:** The use of EPA assistance agreement compensation for consultants is limited to the daily equivalent of the rate paid to federal employees at the ES-IV level (refer to 40 CFR Sections 30.27 (b) and 31.36 (j)).

(iv) **Project Timeline:** A project timeline of no more than two (2) years **(Section I.B.7)** should reflect project tasks and deliverables as well as the data collection activities that capture environmental results **(Section I.B.8)**. For examples of project timelines, please refer to **Appendix D**.

**Note:** Applicants are advised to make sure their proposal narrative (parts **a** *and* **b** above) will also address the evaluation criteria identified in **Section V** to the extent that the criteria are not otherwise addressed above.

5. **Letters of Support:** Please include letters of support as part of the grant proposal.

**Note:** Under this competition, the Region will only consider Letters of Support. Letters of Recommendation will not be reviewed or evaluated. For clarification, a Letter of Support specifies the services the grant partner will provide to help carry out the work plan objectives, while a Letter of Recommendation simply notes approval of a proposed activity.

**E. Hard Copy Submission:** Applicants choosing to mail their proposal package **must** send two (2) complete copies to the appropriate Region listed in **Section VII.** EPA strongly recommends that applicants use an overnight delivery service or courier service as regular mail may be subject to unforeseeable delays. Proposals received after the submission date as noted **in Section IV.A** will not be considered for funding. Proposals must be prepared in accordance with **Sections IV.C – D.**

**Note:** For mailed proposals, applicants are strongly encouraged to send an e-mail to the Region listed in **Section VII** to serve as notification that the proposal was mailed.

**F. Electronic Submission:** Applicants who choose to apply electronically must submit their entire proposal electronically through Grants.gov (http://www.grants.gov). Please follow the instructions in **Appendix A**. Please do not e-mail any portion of the proposal to the Region, as it will not be reviewed and will be rejected.

**G. Other Submission Requirements:**

1. **Confidential Business Information:** By submitting an application in response to this solicitation, the applicant grants the Region permission to make limited disclosures of the application to technical reviewers both within and outside the Agency for the express purpose of assisting the Agency with evaluating the application. Information from a pending or unsuccessful application will be kept confidential to the fullest extent allowed under law. Information from a successful application may be publicly disclosed to the extent permitted by law.

   In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal package as confidential business information. The Region will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions thereof that they claim as confidential. If no claim of confidentiality is made, the Region 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.

2. **Intergovernmental Review:** This grant program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. If the applicant does not know who their single point of contact is, they are advised to call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325 or may refer to the State Single Point of Contact web site at http://www.whitehouse.gov/omb/grants_spoc. *Federally-recognized Tribal governments are not required to comply with this procedure.*

3. **Federal Requirements:** If an applicant's proposal is selected for Federal funding during the initial review process, the applicant will be contacted by the Region and instructed to submit required application forms. All application forms **must** be filled out in their entirety, prior to being considered for an award (refer to 40 CFR 30.12 and 31.10). In addition, successful applicants will be required to certify that they have not been debarred or suspended from participation in federal assistance awards in accordance with 40 CFR Part 32.

**H. Pre-proposal/Application Assistance and Proper Communication with Applicants:** In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1),[9] P2 program staff may not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their proposals and applications. However, consistent with the provisions in the announcement, P2 program staff can respond to questions from applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement.

**I. Pre-proposal Assistance on Environmental Measurement:** The Regions have prepared a set of written questions and answers on environmental measurement to help applicants understand why preparing, documenting and reporting environmental measurement data (outcomes and outputs) is important to their work. The questions and answers also provide guidance on what things to measure, how to measure and how the Regions will evaluate measurement work. Applicants are strongly encouraged to review the questions and answers by clicking on Q & As on the Requirements to Provide Estimates of Outcomes for Proposed Grant and Cooperative Agreement Projects to Track Progress. To augment the questions and answers, applicant may also find it useful to refer to **Appendix C –** which provides assistance on documenting and tracking environmental outcomes.

**J. Consideration of an Applicant's Proposed Subawardees/Subgrantees and/or Contractors During the Evaluation Process: Section V** of the announcement describes the evaluation criteria and evaluation process that will be used by the Region to make selections under this announcement. During this evaluation, except for those criteria that relate to the applicant's own qualifications (i.e., past performance and reporting history), the review panel may consider, as appropriate and relevant, the qualifications, expertise, and experience of:

1. **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 subawards/subgrants to obtain commercial services or products from for-profit firms or individual consultants; and

2. **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. The Region may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

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[9] EPA Order 5700.5A1 - http://www.epa.gov/ogd/competition/5700_5A1.pdf.

**Note:** The Region 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.

**K. Proper Use of SRA Award Funds Under Subgrants/Contracts:** To ensure the proper use of award funds, the following requirements must be followed: The Region will award funds to one eligible applicant as the recipient even if other eligible applicants are named as partners or co-applicants or members of a coalition or consortium. The recipient is accountable to the Region for the proper expenditure of funds. Funding may be used to provide subgrants or subawards of financial assistance, which include 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 30 or 31, as appropriate. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 40 CFR Parts 30 or 31, as appropriate. The regulations also contain limitations on consultant compensation. Applicants are not required to identify 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 selected for funding does not relieve the applicant of its obligations to comply with subaward/subgrant and/or competitive procurement requirements as appropriate.

**Note:** 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 or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subawardee or subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance under Subpart B Section .210 of OMB Circular A-133, and the definitions of subaward at 40 CFR 30.2(ff) or subgrant at 40 CFR 31.3, as applicable. The Region will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 40 CFR Part 30 or 40 CFR Part 31.36 and cannot use a subaward/subgrant as the funding mechanism.

**V. Proposal Review Information:** This section describes the criteria for evaluating eligible proposals **(Section III)**.

**A. Evaluation Criteria:** Eligible proposals will be evaluated on the criteria noted below. Proposals can receive a maximum score of 100. For reference, each criterion includes the corresponding section of this announcement that is relevant to the criterion:

**1. Programmatic Capability and Past Performance [10 points]**

**a. Programmatic Capability (Section I.B.4) [5 points]:** Proposals will be evaluated based on the extent and quality to which the applicant clearly describes their organizational experience and resources to perform and support the successful completion of the proposed project(s). This includes experience achieving project objectives, degree of participation in the National Pollution Prevention Results

Data System[10] **(Section I.B.4.a)** and staff qualifications **(Section I.B.4.b.)**

**b. Past Performance (Section I.B.5) [5 points]:** Proposals will be evaluated based on the factors described in Section I.B.5 including the extent and quality to which the applicant demonstrates it has successfully performed and managed federally-funded assistance agreements (federal grants and cooperative agreements and not contracts) of similar size, scope and relevance to the proposed project within the last three years and complied with reporting requirements under these agreements including submission of acceptable final technical reports. Also, the Region will evaluate the extent to which the applicant adequately documented or reported on whether it was achieving the expected results under prior grants.

**Note:** In evaluating applicants under this factor, the Region will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). Applicants with no relevant or available past performance reporting history must indicate this in their proposal. Applicants falling into this category will receive a neutral score for this factor. **[2.5 points]**

If the proposal does not provide information on programmatic capability and past performance it may receive a score of **[0 points]** for these factors.

**2. Work Plan [90 points]**

**a. Project Strategy (Section I.B.3):** The project strategy should be a realistic and thoughtful plan that promotes P2. The Region will consider the following criteria: **[40 Points – broken out below]**

**(i) Environmental and/or Public Health Concerns [20 Points]**

- How well does the project strategy define or resolve one or more of the regional priorities listed in **Section I.C**?
- How well does the project strategy define or address a significant environmental and/or public health concern, based on the relevant environmental, economic, technical, scientific or social circumstances?

**(ii) Partnership [10 points]**

- How well does the applicant leverage resources (i.e., engage project partners, pool funding from outside contributors, engage involvement from local the community, etc) to address the environmental concern of the project?

10 Background information and access links to the National Pollution Prevention Results Data System - http://www.epa.gov/p2/pubs/resources/currentp2meas.htm.

**(iii) Transferability [10 points]**

- Will the project be utilized by a business, academic institution or community at the completion of the project period?
- Will lessons learned from the project be transferred (scaled up) to a larger audience at the completion of the project?

**b. Environmental Measures (Section I.B.8 and 9) [30 points]:** The Region will evaluate the extent and quality to which the work plan presents numeric estimates of expected P2 results (outcomes and outputs) and describes a pragmatic effort to collect, calculate, and report pollution prevention measures. Also, to be evaluated will be the applicant's plan for tracking and measuring its progress towards achieving the expected project outcomes and outputs.

**c. Environmental Outcome Performance [10 points]:** The Region will evaluate how successful the applicant has been in forecasting measurable environmental outcomes and performance measures?

**d. Budget Detail (Section I.B.9.d) [5 points]:** The Region will evaluate the extent to which the detailed budget presents estimated costs for each budget object class, broken down by project and funding source. Reviewers will also evaluate the detailed budget based on the extent to which the costs are reasonable and necessary. Note that the detailed budget must comply with cost share requirements **(Section I.B.6)** and must indicate the cost of environmental measurement activities **(Section I.B.8)**.

**e. Project Timeline [5 points]:** The Region will evaluate the extent to which the project timeline reflects key project tasks and deliverables as well as the data collection and evaluation activities supporting environmental outcome measures **(Section I.B.8)**. Project schedules can be no longer than two years **(Section I.B.7)**.

**B. Review and Selection Process:**

**1. Review Process:** Eligible proposals will be reviewed by the Region's review panel. The review panel will be composed of P2 program staff in the Region and may include staff from other Regional program offices. Each Region will draft evaluation forms to score proposals and document comments. The evaluations will be based on the evaluation criteria and point scoring found in **Section V.**

**2. Selection Process:** Following the Region's evaluation, applicants will be notified by the Region of their status. The highest ranked *proposals* from each Region will be *recommended* for funding and a memorandum listing the selected proposals and explaining the selection process will be forwarded to the Selection Official.

3. **Final Funding Decision:** Final funding decisions will be made by the Selection Official based on the rankings and preliminary recommendations of the regional evaluation team. In making the final funding decisions, the Selection Official may also consider programmatic priorities and geographic diversity in funding proposals. Final concurrence is required from the Pollution Prevention Division Director or Deputy Director in EPA Headquarters in order for selected grants or cooperative agreements to be processed for funding. Once final decisions have been made, a funding recommendation will be forwarded to the EPA Award Official. The Regions *anticipate* that final funding decisions will be made in May 2011.

## VI. Award Administration Information:

**A. Award Announcements:** After application packages have been reviewed and evaluated, applicants will be notified regarding their status by the Region, usually 60 – 90 days from the date of submission.

**B. Dispute Resolution Process:** 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 be requested by contacting the appropriate Region listed in **Section VII.**

### C. Administrative Requirements:

1. **Subaward and Executive Compensation Reporting:** Applicants must ensure that they have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements established under OMB guidance at 2 CFR Part 170, unless they qualify for an exception from the requirements.

2. **Central Contractor Registration (CCR) Requirements:** Unless exempt from these requirements under OMB guidance at 2 CFR Part 25 (e.g., individuals), an applicant must:

   **a.** 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/.

   **b.** Maintain an active CCR registration with current information at all times during which the applicant has an active Federal award or an application or proposal under consideration by the agency. An applicant may indicate their CCR status by noting it on their Cover Page. **Appendix B provides a sample Cover Page.**

   **c.** Provide a DUNS number on the Application for Federal Assistance form (SF-424) **(refer to Section IV.D.2).**

   **Note:** If an applicant fails to comply with these requirements and the applicant is selected for an SRA award, it will affect their ability to receive funding.

3. **Effective Management of Funding and Project Activities:** Applicants that receive

funding under this announcement are expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the project activities described in the work-plan in a timely manner. All assistance agreements will include terms/conditions implementing this requirement.

4. **Award Management:** Awards issued in FY 2011 will be managed by the appropriate Region.

5. **Nonprofit Administrative Capability:** Nonprofit applicants that are recommended for funding are subject to pre-award administrative capability reviews consistent with Section 8b, 8c and 9d of EPA Order 5700.8 – Policy on Assessing Capabilities of Nonprofit Applicants for Managing Assistance Awards (http://www.epa.gov/ogd/grants/award/5700_8.pdf). In addition, nonprofit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to the Grants Management Office the Administrative Capabilities Form, with supporting documents, contained in Appendix B of EPA Order 5700.8.

6. **Quality Assurance and Quality Control (QA/QC):** Certain quality assurance and/or quality control (QA/QC) and peer review requirements are applicable to the collection of environmental data. Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data also include information collected directly from measurements, produced from models, and obtained from other sources such as databases or published literature. Regulations pertaining to QA/QC requirements can be found in 40 CFR 30.54 and 31.45. Additional guidance can be found at http://www.epa.gov/quality/qa_docs.html#noeparqt.

   Applicants collecting, measuring, or tracking environmental data should allow sufficient time and resources to set up a Quality Management System for their proposed project(s). If the applicant's organization is collecting, measuring or tracking environmental data and does not have a Quality Management System in place, one must be developed. A Quality Management System would be the mechanism for managing the quality of environmental data collection, generation and use. To build a Quality Management System the applicant needs to develop a Quality Management Plan (QMP). A QMP is a document that describes the applicant's overall organization or program in terms of its organizational structure, policy and procedures, functional responsibilities of management and staff, lines of authority, and required interfaces for those planning, implementing, documenting, and assessing all activities conducted.

   For projects that produce environmental data, applicants will be required to develop a project-specific Quality Assurance Project Plan (QAPP) or functional equivalent. A QAPP is a document that describes project-specific information on quality assurance, quality control, and other technical activities that must be implemented to ensure that the results of the work performed will satisfy the stated performance criteria. A QAPP must be submitted and approved by the Region.

   Applicants for the FY 2011 SRA awards are not required to submit a QAPP as part of the proposal or application package, but may be required at time of award. Every SRA award will contain a condition establishing a deadline for the grantee to submit acceptable quality assurance/quality control documentation to the Region.

7. **Audits:** Periodic audits should be made as part of the recipient's system of financial management and internal control to meet the terms and conditions of grants and other assistance agreements. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," and non-federal entities that receive financial assistance of $500,000 or more within the State's FY period shall have an audit made for that year. State agencies that receive less than $500,000 within the State's fiscal year shall have an audit made in accordance with federal laws and regulations governing the programs in which they participate.

8. **Records:** Financial records, including all documents to support entries on accounting records to substantiate charges of each assistance agreement must be kept available to personnel authorized to examine EPA assistance agreement accounts. All records must be maintained for three (3) years from the date of submission of the annual financial status report. If questions remain, such as those posed as a result of an audit, related records should be retained until the matter is completely resolved.

9. **Computers:** Recipients who use SRA award funds to purchase desktop computers, or notebook computers must specify that such equipment is an Electronic Product Environmental Assessment Tool (EPEAT)-registered product with a rating of "silver" or better. This specification requirement is consistent with EPA's role in the Federal Electronics Challenge. For more information, visit http://www.federalelectronicschallenge.net.

10. **Exchange Network:** Applicants should be aware that EPA, states, federally-recognized tribes and U.S. territories are working together to develop the National Environmental Information Exchange Network, a secure, Internet and standards-based way to support electronic data reporting, sharing, and integration of both regulatory and non-regulatory environmental data. States, federally-recognized tribes and territories that exchange data with each other or with EPA, should make the Exchange Network and the Agency's connection to it, the Central Data Exchange (CDX), the standard way they exchange data and should phase out any legacy methods they used previously. More information on the Exchange Network is available at http://www.exchangenetwork.net.

**VII. Agency Contacts:** For further information, please contact the appropriate Region.

| **Region** | **EPA REGIONAL P2 PROGRAM COORDINATOR** |
|---|---|
| Region 1<br>CT, MA, ME<br>NH, RI, VT | Lee Fiske<br>5 Post Office Square, Suite 100 (OES04-1)<br>Boston, MA 02109-3912<br>Phone: 617-918-1847<br>E-mail: fiske.lee@epa.gov |

| Region | EPA REGIONAL P2 PROGRAM COORDINATOR |
|---|---|
| | Website: http://www.epa.gov/region1/assistance/p2/index.html |
| Region 2<br>NJ, NY, PR, VI | Alex Peck<br>290 Broadway, 25th Floor (PSPMMB)<br>New York, NY 10007-1866<br>Phone: 212-637-3758<br>E-mail: peck.alex@epa.gov<br>Website: http://www.epa.gov/region02/p2/grants.htm |
| Region 3<br>DC, DE,MD, PA, VA, WV | Mindee Osno<br>1650 Arch Street (3EA40)<br>Philadelphia, PA 19103-2029<br>Phone: 215-814-2074<br>E-mail: osno.mindee@epa.gov<br>Website: http://www.epa.gov/region03/grants/grantopp.htm |
| Region 4<br>AL, FL, GA, KY, MS, NC, SC, TN | Suganthi Simon<br>61 Forsyth Street SW<br>Atlanta, GA 30303<br>Phone: 404-562-9384<br>E-mail: simon.suganthi@epa.gov<br>Website: http://wrrc.p2pays.org/P2GrantInfo.asp |
| Region 5<br>IL, IN, OH, MI, MN, WI | Julia Guenther<br>77 West Jackson Boulevard (LM-8J)<br>Chicago, IL 60604-3590<br>Phone: 312-886-3172<br>E-mail: guenther.julia@epa.gov<br>Website: http://www.epa.gov/reg5cra/wptdiv/p2pages/grants.htm |
| Region 7<br>IA, KS, MO, NE | Marcus Rivas<br>901 N. 15th Street (AWMD/SWPP)<br>Kansas City, KS 66101<br>Phone: 913- 551-7669<br>E-mail: rivas.marcus@epa.gov<br>Website:<br>http://www.epa.gov/region07/economics/r7_grant_opportunities.htm |
| Region 8<br>CO, MT, ND ND, SD, UT, WY | Linda Walters<br>1595 Wynkoop Street (8P-P3T)<br>Denver, CO 80202<br>Phone: 303-312-6385<br>E-mail: walters.linda@epa.gov<br>Website: http://www.epa.gov/region08/grants |

| Region | EPA REGIONAL P2 PROGRAM COORDINATOR |
|---|---|
| Region 9<br>AZ, CA, HI, NV, AS, GU | Jessica Counts-Arnold<br>75 Hawthorne Street (WST-7)<br>San Francisco, CA 94105<br>Phone: 415-972-3288<br>E-mail: counts-arnold.jessica@epa.gov<br>Website: http://www.epa.gov/region09/funding/rfps.html |
| Region 10<br>AK, ID, OR, WA | Carolyn Gangmark<br>1200 Sixth Avenue, Suite 900 (AWT-128)<br>Seattle, WA 98101<br>Phone: 206-553-4072<br>E-mail: gangmark.carolyn@epa.gov<br>Website:<br>http://yosemite.epa.gov/R10/homepage.nsf/79794ef74873b5d48825650f006b2193/d7b3b0464224c1e88825661a0074635e?OpenDocument |

# APPENDIX A

## Grants.gov Instructions

**I. Introduction:** The electronic submission of your proposal must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information, go to http://www.grants.gov and click on "Get Registered" on the left side of the page. *Note that the registration process may take a week or longer to complete.* If your organization is not currently registered with Grants.gov, please encourage your office to designate an Authorized Organization Representative (AOR) and ask that individual to begin the registration process as soon as possible.

To begin the submission process, 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.**)**

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number: EPA-HQ-OPPT-2011-03 or the CFDA number: 66.717 in the appropriate field. You may also 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).

**II. Submission Deadline:** Your organization's AOR must submit your complete proposal package electronically to EPA through Grants.gov (http://www.grants.gov) by **Thursday, February 24, 2011, 11:59 pm (EST).**

**III. Proposals Materials:** The forms and documents noted below are **required** to be submitted under this announcement. The instructions for preparing these documents are provided in **Section IV.D.**

1. **Cover Page**

2. **Application for Federal Assistance Standard Form (SF- 424)**

3. **Key Contacts Form EPA Form (5700-54)**

4. **Proposal Narrative**

**5. Letters of Support**

**IV. Application Preparation and Submission Instructions:** For forms **2 and 3** click on the appropriate form and then click "Open Form" below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click "Save." When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, "Move Form to Submission List." This action will move the document over to the box that says, "Mandatory Completed Documents for Submission."

For documents **1 and 4** you will need to attach electronic files. Prepare your Cover Page, Proposal Narrative as described in Section IV.D of the announcement. Save all documents to your computer in either as an MS Word or PDF file. When you are ready to attach your documents to the application package click on "Project Narrative Attachment Form," and open the form. Then Click on "Add Mandatory Project Narrative File," and then attach the documents (previously saved to your computer) using the browse window that appears. You may then click "View Mandatory Project Narrative File" to view it. Enter a brief descriptive title of your project in the space beside "Mandatory Project Narrative File Filename;" the filename should be no more than 40 characters long. To add Letters of Supports (document **5**) please click on "Add Optional Project Narrative File" and proceed as before. When you have finished attaching the necessary documents, click "Close Form." When you return to the "Grant Application Package" page, select the "Project Narrative Attachment Form" and click "Move Form to Submission List." The form should now appear in the box that says, "Mandatory Completed Documents for Submission."

Once you have finished filling out all of the forms/attachments and they appear in one of the "Completed Documents for Submission" boxes, click the "Save" button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: "Applicant Name – FY 11 – Assoc Prog Supp – 1st Submission" or "Applicant Name – FY 11 Assoc Prog Supp – Back-up Submission." If it becomes necessary to submit an amended package at a later date, then the name of the 2nd submission should be changed to "Applicant Name – FY 11 Assoc Prog Supp – 2nd Submission."

Once your proposal package has been completed and saved, send it to your AOR for submission to EPA through Grants.gov. Please advise your AOR to close all other software programs before attempting to submit the proposal package through Grants.gov.

In the "Application Filing Name" box, your AOR should enter your organization's name (abbreviate where possible), the FY period and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the "Grant Application Package" page, your AOR may submit the application package by clicking the "Submit" button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the proposal package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726 or email at http://www.grants.gov/help/help.jsp or you may contact the applicable Region in Section VII.

Proposal packages submitted through Grants.gov will be time and date stamped electronically. If you have not received a confirmation of receipt from EPA (*not from Grants.gov*) within 30 days of the proposal deadline, please contact the appropriate Region**.** Failure to do so may result in your proposal not being reviewed.

**Appendix B**

**Sample Cover Page**

*[Grant Program Title]* **FY 2011 Source Reduction Assistance Grant Program**
*[Funding Opportunity Number]* **EPA-HQ-OPPT-2011-03**

*[Title]* **Groundwater Guardian Green Sites Expansion (GGGS)**

*[Short Description - no more than 300 characters]*

Project will use pollution prevention at the source. It will document, calculate, and publicly recognize the environmental outcomes of reducing the use of fertilizer, pesticide, and water and of effectively managing sources of pollution.

*[Project funding]*
**Total Project Funding:** $46,804
**Requested Funding:** $39,804

*[Applicant's contact information. The contact information should include a primary contact, i.e., the person responsible for implementing the grant project and if desired an administrative contact, i.e., the person responsible for submitting the grant proposal]*

**Name:** Jane Doe
**Address:** 1200 Pennsylvania Ave, N.W.
Washington, D.C. 20460
**Tel:** (222) 222-2222
**Fax:** (222) 222-2222
**Email:** doe.jane@aol.com

[*Central Contractor Registration*]
**Central Contractor Registration Date:** 1/10/2011

## Appendix C

## Guidance for Submitting P2 Measurement Information

**I. Introduction:** As noted in **Section I.B.8** of the RFP, applicants must provide quantitative estimates of outcomes and outputs of P2 project activities. P2 project outputs are fairly straightforward to document, however, selecting, documenting and tracking P2 outcomes requires more time and attention. This guidance is provided to assist the applicant in describing the project characteristics and documenting P2 outcome data. **Section II** of this guidance provides **examples** of what to include in the grant proposal and offers a sample table to demonstrate how to present P2 outcome information. **Section III** provides examples of how to describe P2 outcomes, and **Section IV** provides reference material on gathering, understanding and documenting P2 outcomes.

**II. Presenting P2 Measurement Information:** To address the measurement requirements, the proposal may include P2 outputs, but should also include at least one P2 project that will result in numeric P2 outcomes within the grant project period. The proposal should include the following measurement elements (items 1- 4 listed below) for each P2 project that is expected to be measured for numeric outcome results.

**A. Measurement Elements –** there are four necessary components to include in the proposal:

1. **Project Overview:** A list of the project's characteristics:
   - Project title;
   - Outputs;
   - Behavioral Measures;
   - Partners; and
   - Target Sector

2. **Data Collection:** A description of the relevant data collection methods, e.g., surveys, pre/post tests, the participant reporting arrangements, etc.

3. **Estimating P2 Outcomes:** Numeric estimates of pollution prevention outcomes per project.

4. **Calculation of P2 Outcome Results:** A description of the equations and methodologies used to calculate the estimated pollution prevention results.

**B. Documenting the Information –** the type of information to provide.

1. **Project Overview:** This section provides a "snap shot" of the proposed project by providing brief responses to the following five project characteristics:
   - Project title;
   - Outputs;
   - Behavioral measures;
   - Partners; and
   - Target sector

A sample description is provided below:

- Project title: Green Hotels Project;
- Outputs: The project will organize five three-hour workshops followed by on-site environmental audits and technical assistance for up to ten participating facilities;
- Behavioral measures: Number of workshop attendees that join the Green Hotels Project;
- Partners: State hotel and motel association, state visitors and tourist bureau; and
- Sectors: Hotel and hospitality businesses

2. **Data Collection:** By writing a short description of the data collection method, applicants take a proactive approach towards measurement by selecting the most appropriate data collection tool(s) and thinking through the logistics of the measurement process. As described in **Section IV.A** of this appendix, requested data may include surveys (mail, fax, e-mail, Internet, and phone) and observed data (on-site revisits, pre/post tests, and reviews of self-reported data).

   **Note:** The steps to institute measurement (i.e., measurement planning, data collection, data analysis and reporting) should be reflected in the budget detail and the project timeline. A sample explanation is provided below.

   - **Data Collection Description:** The data collection effort for the Green Hotels Project will begin with a pre/post survey conducted at each of the 5 workshops. The survey will assess the change in the level of environmental awareness of workshop participants and collect baseline facility information. P2 outcome measures will be collected as part of a voluntary program in which participating hotels will receive technical assistance from P2 staff and, in return, provide self-reported data for pounds of pollution prevented, energy and water conserved, and dollars saved.

3. **Estimating P2 Outcomes:** The following table is a sample description showing how to present estimated P2 outcome information in an acceptable format. As illustrated in the table, the "Green Hotels Project" expects to yield numeric P2 outcomes from the listed "P2 Efforts." The number of "Pounds of Pollutants Reduced" is totaled in column (g). The underlying calculation for each estimated outcome is described in **Section IV.C** of this appendix.

   **Note:** Refer to **Section IV.B** of this appendix for criteria of the outcome categories, including pounds of pollution prevented, metric tons of carbon equivalent reduced ($MTCO_2e$) conserved, gallons of water conserved, and dollars saved.

**Table 1** **Estimated P2 Outcomes for the Green Hotels Project**

| | Pounds of Hazardous Materials Reduced | | | | | Resources Conserved and Dollars Saved | | | |
|---|---|---|---|---|---|---|---|---|---|
| (a) P2 Efforts | (b) Haz. Inputs | (c) Haz Waste. | (d) Air Poll. | (e) Waste Water | (f) Total Lbs | (g) Solid Waste | (h) $MTCO_2e$ | (i) Gallons | (j) Dollars |
| 1. Water conservation | | | | | | | | 50,000 | $6,844 |
| 2. Green cleaning | | | | 500 | | | | | |
| 3. Organic lawn care | | | | | 200 | | | | |
| 4. Efficient Lighting | | | | | | | 34.7 | | |
| **Total:** | | | | 500 | 200 | | 34.7 | 50,000 | $6,844 |

**III. Describing P2 Outcomes –** Proposals will need to include the following information: underlying assumptions, environmental factors, and the logic used to calculate the expected project outcomes.

**A. Sample descriptions –** The sample descriptions that follow cover the first two P2 efforts listed in Table 1 (i.e., water conservation and green cleaning).

1. **Water Conservation:** Four workshops will reach an expected audience of 50 hotels. Of these, 5 hotels, representing approximately 500 bed spaces, are expected to adopt water efficiency practices within two years. A typical U.S. hotel uses 100 gallons of water per day per occupied room (water used for toilet, bathing, hygiene and laundry). Assuming a 50 percent occupancy rate, the 5 participating hotels use approximately 9,125,000 gallons of water per year. New water-efficient shower and faucet fixtures combined with an "Eco Linen" program are expected to result in a savings of 15 percent or 1,368,750 gallons conserved per year. With water and sewer rates at approximately $5.00 per 1,000 gallons, the estimated cost savings are $6,844.

2. **Green Cleaning:** It is expected that a total of five hotels will provide self-reported data on the amount of cleaning products that are converted to environmentally preferable cleaners. It is estimated that, on average, each hotel room requires the use of two pounds of cleaning products per year for a total annual usage of 1,000 pounds for 500 rooms. It is expected that the participating hotels will convert half of their cleaning products to green cleaners within two years. Furthermore, assuming 50 percent occupancy rate, it is expected that a shift to green cleaners will result in 250 pounds of in-product source reduction per year.

**IV. Background Information on Gathering, Understanding and Documenting P2 Outcomes:** The three sections that follow are provided to give the applicant additional resources for gathering data, having a better understanding of the environmental measures used in Table 1 and using the most beneficial method to document P2 outcomes.

## A. Possible Data Collection Methods:

1. **Pre/Post-Test:** Before conducting the pollution prevention assistance activity (e.g., workshops, training sessions), consider testing attendee knowledge of the subject you plan to cover. At the end of the assistance activity, retest the participants to determine changes in understanding of the materials presented. Similarly, you can assess behavioral practices at the facility before a workshop and practices reported in a follow-up survey to identify changes made. Pre/post-tests can also help you improve your pollution prevention assistance materials by revealing areas where key messages did not come across.

2. **Telephone Survey:** A telephone survey is a standard set of questions asked to potential respondents over the telephone. These surveys used alone or in combination with mail or online surveys allow you to ask follow-up or clarifying questions, potentially resulting in better data than a mailed survey. Telephone surveys work best if the list of potential respondents is a manageable number (e.g., less than 50 respondents). To reduce costs, some regions have hired college students to make the call-backs.

3. **Mail/Email/Fax Survey:** A mail, e-mail, or fax survey is a set of questions sent to potential respondents with a request that they voluntarily respond. These surveys enable you to reach a large number of potential respondents, and may be the best option where there are more than 50 recipients. However, mail/e-mail/fax surveys can provide ambiguous results, since it is not easy to immediately follow up and clarify unclear, conflicting, or unexpected responses. Similarly, a limited level of detail is obtained, as respondents will generally not spend the time to write long answers to open-ended questions.

4. **Online Survey:** An online survey is a set of questions posted on a Web site or list serve. These surveys have the potential to reach a large number of respondents. For surveys on websites, you can reach users that might otherwise be unknown to you. Many respondents like online surveys because they can respond at their convenience and they do not need to worry about losing a survey or mailing it back. As with mail surveys, however, the online survey may provide limited detail as respondents might not want to spend time typing in a longer response. In addition, without follow-up, there is potential for ambiguity or conflicting results, as with the mail survey.

   **Note:** Pre/post-tests, telephone surveys, mail/e-mail/fax surveys, and online surveys are exempt from the Paperwork Reduction Act (PRA) if administered under a grant agreement. However, the PRA is applicable if administered as part of a cooperative agreement with EPA.

5. **On-site Revisit:** Onsite revisits involve returning to facilities that previously received an assistance visit. Revisiting facilities can provide excellent data since you can use direct observation to make assessments and because facilities are likely to spend the necessary time to answer questions while you are on site. In addition, the revisit itself might spur additional compliance assistance or pollution prevention activities.

6. **Self-Reported Data:** Facilities may provide self-reported data that shed light on their environmental performance. This could include in-house data such as energy and water bills, material and waste management receipts, permits, and Toxic Release Inventory (TRI) forms. Facilities may also supply source reduction information as part of a voluntary environmental program, such as an annual pollution prevention awards program, an ongoing environmental recognition program, or other voluntary partnerships.

**B. Further Explanation of P2 Outcome Categories:**

1. **P2 Efforts [column (a)]:** list the source reduction activities that are expected to yield P2 outcome results. For grants/cooperative agreements with multiple projects, at least one project must be included. In the example above, the "Green Hotels Project" resulted in 4 activities that exhibited expected outcome measures.

2. **Pounds of Hazardous Materials Reduced:** The four categories that comprise "Hazardous Materials Reduced" are described below. Column (f) sums the total pounds of pollutants prevented. Reductions are achieved through source reduction efforts, including in-process recycling. Measurements are expressed in pounds/year.

   - Hazardous Inputs and Wastes **[columns (b & c)]:** The measure for hazardous inputs and waste refers to state and/or federally-listed hazardous wastes or toxic wastes meeting the criteria for ignitability, toxicity, corrosiveness or reactivity. This could include hazardous materials used as process inputs (chemical ingredients, paints, and solvents), hazardous products applied to land (such as pesticides and nutrients not applied, etc) and hazardous wastes. Excluded: non-hazardous waste (solid waste, construction debris, packaging, paper, glass and aluminum cans).

   - **Air Pollutants [column (d)]:** The measure for air pollutants is considered to include the release of any of the following: toxic air emissions (this includes Clean Air Act Section 112b hazardous air pollutants (HAPs), Toxic Release Inventory (TRI), and others), nitrogen oxides (NOx), sulfur oxides (SOx), particulate matter (PM) and Volatile Organic Compounds (VOCs). This criterion takes in account pollutants to air, including NOx and SOx from boilers, but excludes NOx or SOx from utilities (due to cap and trade limitations).

   - **Waste Water [column (e)]:** "Waste Water" refers to biochemical oxygen demand (BOD), chemical oxygen demand (COD), toxics, nutrients, non-filterable total suspended solids (TSS), contaminants in storm water and pathogens discharged to sewer systems, septic systems, injection wells, and

- ground water. Pounds of waste water are calculated by estimating the quantity of contaminant rather than the quantity of water.

- **Total pounds [column f]:** The number of total pounds accumulated from the P2 efforts noted in the table refers to water conservation, green cleaning, organic lawn care and efficient lighting.

3. **Resources Conserved and Dollars Saved:** The four categories that comprise "Resources Conserved and Dollars Saved" are described below.

- **Solid Waste [column g]:** Solid waste refers to non-liquid, non-soluble materials including industrial wastes, sewage sludge, agricultural refuse, demolition wastes, packaging, and mining residues.

- **$MTCO_2e$ [column (h)]:** This column refers to Metric Tons of Carbon Dioxide Equivalent reduced.

  **Note:** Grantees will be asked to report to the Region in $MTCO_2e$ to reflect the true capacity that the grantee can document and track results. However, on a programmatic level, the P2 program and the Agency, document and track greenhouse gas results using the measures $MMTCO_2Eq$ and MMTCE respectively. These measures are used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions, please go to: http://www.epa.gov/OMS/climate/420f05002.htm.

- **Gallons [column (i)]:** This column lists the reduction in gallons of incoming raw water from outside sources through the implementation of P2 activity. Reductions can occur for operations, facility use and grounds maintenance.

  **Note:** If you expect reductions in pounds of hazardous materials from practices that reduce wastewater, gallons of wastewater reduced can equal gallons of water saved.

- **Dollars [column (j)]:** This column lists the financial savings in dollars derived from the outcome of implementing a P2 activity (including materials, labor, energy, machinery, administrative, waste management, or other process costs).

  **Note:** EPA is developing a P2 cost calculator that grantees can use to calculate these benefits.

## C. Background on Documenting P2 Outcomes:

The following descriptions are provided to help document P2 outcomes.

1. **Establish a Baseline:** Baseline performance information represents the current status of the target audience or sector and provides a frame of reference for measuring the success of the intended pollution prevention project. Baseline information can be expressed in terms of the amount of pollution generated over a period of time (e.g., pounds of pollution per year); the amount of material, products, water, and/or energy used over a given time (e.g., kW hours consumed per year); and amount of dollars spent over a given time (e.g., dollars spent per year). Baseline information can be established by: 1) using relevant databases, records, reports, and studies; 2) surveying the facility or target audience; and, 3) using pre-existing baseline information.

   Here are some examples:

   - A manufacturer generates about 4,000 gallons/month of oily wastewater from washing operations used to clean machined, metal parts for a cost of $0.40/gallon; and
   - On average, hospitals use between 250 and 400 gallons of water per day per bed.

2. **Determine the Efficiency of the P2 Effort:** Identify the expected source reduction benefit of the P2 practice, product or technology. This benefit should be expressed in terms of pollution reduced, energy saved, water conserved, and costs avoided. This efficiency factor should come from reliable sources or sound analysis.

   Here are some examples:

   - High-solid auto body paints reduce VOC emissions by up to 75 percent;
   - Manufacturing one ton of office paper with 100 percent recycled content can save nearly 3,000 kilowatt hours when compared to the manufacture of virgin paper;
   - ENERGY STAR qualified transformer can save $100-300 each year at an electricity rate of $0.075 cents per kWh;
   - Ergonomic high volume, low pressure (HVLP) guns result in paint savings of up to 50 percent over conventional air spray guns, and savings of 35 percent over conventional HVLP guns; and
   - Ultrafiltration (UF) membrane technology can reduce the volume of oily wastewater by at least 80 percent by separating out clean water from the oily solution.

3. **Estimate the Degree of Impact:** Estimate the degree to which the P2 objectives will be implemented by the target audience. First, gauge the percentage of expected participation. Second, determine the degree to which participants will adopt P2 suggestions.

Here are some examples:

- If representatives from 30 marinas attend a workshop, 10 marinas are expected to implement suggested P2 practices within a two-year period. Of these, half are expected to install a high-efficiency spray gun for painting operations; and
- Six of the ten facilities participating in an environmental management system (EMS) user-group are expected to complete their EMS by the end of the year.

**Note:** By identifying the target audience's performance baseline, the expected efficiency of the P2 effort, and the degree of impact, you will have all the elements to document P2 outcomes.

# APPENDIX D

## Project Timeline Samples

The following samples of timelines offer different approaches for documenting a schedule of major project activities and milestones. Please note that timelines will also need to account for measurement tasks, including: measurement planning, data collection efforts, and data analysis and reporting (**refer to Section I.B.9**).

**Sample 1**

| **Timeline for Multiple Projects** | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Project** | **Oct** | **Nov** | **Dec** | **Jan** | **Feb** | **Mar** | **Apr** | **May** | **Jun** | **Jul** | **Aug** | **Sep** |
| Greening the Government | X | X | X | X | X | X | X | X | X | X | X | X |
| Partnership Activities | X | | | X | | | X | | | X | | |
| Mercury Collection | | | X | | | X | | | X | | | X |
| Pollution Reduction Measurement | | X | | X | | X | | X | | X | | X |
| Prepare Reports | | | | | | X | | | | | | X |
| Measurement | X | X | | | | | X | | | X | X | X |

**Sample 2**

| **Milestone Table** | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Task by Objective | | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep |
| Objective 1 Task 1 Livestock Industry Assistance | Design management plans | → | ↔ | ↔ | ↔ | ↔ | ↔ | ↔ | ← | | | | |
| Objective 2 Task 1 | Initiate P2 measurement strategy | → | ← | | | | | | | | | | |
| Objective 2 Task 2 | Collect data from participants | | | | | | | → | ↔ | ← | | | |
| Objective 2 Task 3 | Analyze data | | | | | | | | | | → | ↔ | |
| Objective 3 Task 1 | Present findings at national conference | | | | | | | | | | | | ↔ |
| Objective 4 Task 1 | Prepare interim and final reports | | | | | | ↔ | | | | | | ↔ |

**Sample 3**

**Activity Timeline**

| Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Pre-workshop testing | | Workshop | Post-workshop testing | | Analyze data | | | | | | |
| | | | On-site technical assistance | | | Collect and analyze data | | | | | |
| | Piloting to old companies | | | | | Piloting to new companies | | | | | |
| Measurement Planning | | | | | | | | Data collection and analysis | | | |
| | | | | Prepare progress report | | | | | | Prepare Final Report | |

**Sample 4**

| **Interim Report<br>Summary of Deliverables and Activities** | | |
|---|---|---|
| **Task** | **Timeline** | **Status** |
| **General** | | |
| a. Advisory Committee Conference Calls | Monthly | Ongoing |
| b. Progress Reports | Quarterly | Ongoing |
| **Task 1: Education and Outreach** | | |
| a. Develop Outreach Strategy | October – November 2010 | Completed |
| b. Develop & Disseminate Outreach Materials | November 2010 – June 2011 | Ongoing |
| c. Develop & Pilot Industry Mentoring Program | November 2010 – December 2011 | Ongoing |
| **Task 2: On-Site Outreach** | | |
| a. Conduct 10 onsite visits | June 2011 – June 2012 | Ongoing |
| b. Mail P2 suggestions | July 2011 – August 2011 | Ongoing |
| c. Conduct follow-up calls | October 2011 – April 2012 | Pending |
| d. Compile survey data and metrics | October 2011 – August 2012 | Pending |
| **Task 3: Measurement and Reporting** | | |
| a. Plan measurement strategy | October 2010 | Completed |
| b. Mid-year report | March 15, 2011 | Pending |
| c. Analyze Output and Outcome Measures | September 2011 – November 2012 | Pending |
| d. Prepare Final Report | November 2012 – December 2012 | Pending |

# APPENDIX E

## Itemized Budget Detail Guidance and Sample

Applicants must provide a detailed cost justification for the estimated budget amounts. The budget detail allows the EPA project officer to determine if the costs are reasonable and necessary. To comply with cost sharing and matching requirements, the itemized budget must indicate the project costs paid by the applicant, EPA, and/or other partners. A description of object class categories and a sample budget is provided below.

### Description of Object Class Categories

**Personnel:** Indicate salaries and wages, by job title, of all individuals who will be supplemented with the grant funds.

**Fringe Benefits:** Indicate all mandated and voluntary benefits to be supplemented with the grant funds.

**Travel:** Indicate the number of individuals traveling, destination of travel, number of trips, and reason for travel.

**Equipment:** EPA regulation and policy define equipment as tangible, non-expendable personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit (40 CFR 31.3). The figure of $5,000 would represent the total cost of the equipment purchase or of the lease. Note that not all funding programs allow for the purchase of equipment and some programs encourage leasing rather than purchasing equipment. If your project requires the purchase of equipment, you are encouraged to check with the Regional Pollution Prevention contact prior to submitting your proposal to ensure that the equipment purchases are allowable.

**Supplies:** Indicate any items, other than equipment, that will be purchased to support the project.

**Contractual:** Indicate any proposed contractual items that are reasonable and necessary to carry out the project's objectives.

**Other:** Indicate general (miscellaneous) expenses necessary to carry out the objectives stated in the work plan.

**Total Direct Charges:** Summary of all costs associated with each line item category.

**Indirect Costs:** Organization must provide documentation of a federally approved indirect cost rate (percentage) reflective of proposed project/grant period. Applicant should indicate if organization is in negotiations with appropriate federal agency to obtain a new rate.

**Total amount of funds requested from EPA and total match:** Add direct and indirect costs.

**Total cost of project:** Add the total amount requested from EPA and the total amount of funds provided as a match for an overall project cost.

**Measurement:** The category of "measurement" is not an Object Class Category; nonetheless, grant conditions require the inclusion of a short description of applicable measurement costs to complete the budget detail. A sample description has been included at the bottom of the sample itemized budget.

## Sample Itemized Budget

| Line Item | Detailed Description | EPA Funds | Match Funds | Total |
|---|---|---|---|---|
| **Personnel** | Project Manager @ $15/hr x 40hrs/wk x12 weeks<br><br>Project Assistant @ $10/hr x 20hrs/wk x 12 weeks. | $7,200<br><br>$2,400<br>$9,600 | $0<br><br>$0<br>$0 | **$9,600** |
| **Fringe Benefits** | Health Insurance-<br>1 FTE @ $35/month x 12/months<br>Dental - 1 FTE @ $40/mo x 12/months | $420<br>$480<br>$900 | $0<br>$0<br>$0 | **$900** |
| **Travel** | Site Visit to XYZ Watershed<br>Local Travel Mileage - 1000 miles x $0.36<br><br>Meeting with project partners<br>Air Fare for 1 person to Denver<br><br>Per diem for 2 days @$40/day for 1 person<br><br>Hotel for 1 night for 1 person | $0<br><br>$250<br><br>$80<br><br>$75<br>$405 | $360<br><br>$0<br><br>$0<br><br>$0<br>$360 | **$765** |
| **Equipment** | | $0 | $0 | **$0** |
| **Supplies** | 100 pamphlets for community members @ $2 each<br><br>Computer equipment | $200<br><br>$0<br>$200 | $0<br><br>$1000<br>$1,000 | **$1,200** |
| **Contractual** | Training for 50 people @ $100 each<br><br>Water sample testing - 20 samples @ $75 each | $5,000<br><br>$0<br>$5,000 | $0<br><br>$1,500<br>$1,500 | **$6,500** |
| **Other** | Office needs (postage, phone, fax, etc.) | $150 | $150 | **$300** |
| **Total Direct Charges** | | $16,255 | $3,010 | **$19,265** |
| **Indirect Charges** | 10% of Personnel salary | $960 | $0 | **$960** |
| **Grand Total** | | $17,215 | $3,010 | **$20,225** |

**Measurement:** Expenditures to measure P2 outcomes include personnel costs of $500 to write and administer a survey and compile survey results. This includes time for the Project Manager ($15/hr x 20 hrs = $300) and the Project Assistant ($10/hr x 20hrs = $200).