

US EPA ARCHIVE DOCUMENT

**AGENCY: ENVIRONMENTAL PROTECTION AGENCY (EPA)**  
**Office of Prevention, Pesticides and Toxic Substances**

**Funding Opportunity Title: FY 2011 Request for Proposals for the Pollution Prevention Information Network (PPIN) Grants Program**

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

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) No.: 66.708**

**FUNDING OPPORTUNITY No.: EPA-HQ-OPPT-2011-02**

**SUBMISSION DATE:** Proposals may be submitted in hard copy or by electronic format. All hard copies of proposal **packages must be postmarked by May 9, 2011** in order to be considered for funding. For applicants submitting hard copy applications via express delivery (such as UPS, FedEx, etc), the date on the waybill will serve as the postmark. **Electronic submissions must be submitted via <http://www.grants.gov> by May 9, 2011, 11:59 pm., ET. U.S.** Applications received electronically or postmarked after the closing date and time will not be considered for funding. For additional information on submitting an application please refer to Section IV of this announcement.

**SUMMARY:** The Pollution Prevention Information Network (PPIN) grant program funds regional centers that serve both unique regional pollution prevention (P2) information needs and national audience needs for quality information on source reduction and related P2 practices. The grantees provide assistance to businesses whose lack of information may be an impediment to implementing source reduction, preventing pollution or adopting sustainable practices. Proposals should describe activities that serve regional and national P2 needs, strategic P2 priorities, and promote national network communication.

**FUNDING/AWARDS:** Approximately \$800,000 will be available in FY 2011, under the authority of the Pollution Prevention Act of 1990, to support grants to eligible entities including eligible States, Tribes, and Intertribal Consortia. Funding is subject to the availability of funds, the quality of the proposals received, and other applicable considerations. EPA anticipates awarding up to eight assistance agreements under this announcement. The project period for these awards may be for up to two years (24 months).

**ELIGIBILITY INFORMATION:** Eligible applicants include the 50 States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, any agency or instrumentality of a State, including State colleges and universities, and Federally-recognized Indian Tribes that meet the requirements for treatment in a manner similar to a State as described in 40 CFR 35.663, and Intertribal Consortia that meet the requirements in 40 CFR 35.504.

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## **I. FUNDING OPPORTUNITY DESCRIPTION**

### **A. Program History.**

Pollution Prevention Information Network (PPIN) grants support Technical Assistance Programs (TAPs) which assist businesses and industries in identifying better environmental strategies for reducing or eliminating waste and conserving natural resources. This grant program seeks to improve coordination, development and promotion of P2 information. Through this grant program, regional P2 information centers are funded. Grantees have created a national network called the Pollution Prevention Resource Exchange (P2Rx).

This grant program is distinct from the P2 grant program (<http://www.epa.gov/p2/pubs/grants/index.htm#p2grant>) because these funds support regional P2 information centers that work beyond states' boundaries to collaborate and coordinate on regional and national P2 information, education and training activities. Grants to the Regional centers promote national network communication among regional and national listserves, websites and conferences. In some cases P2 information developed by one grantee responding to local geographic or regulatory needs is successfully used by other States or EPA Regions. Sharing information resources and databases decreases duplication of effort and promotes innovation. Other activities under this program include: supporting P2 measurement through the P2 Results system (<http://www.p2rx.org/services/measurement.cfm>), collection of case studies, and developing and disseminating quality, peer-reviewed P2 content to promote the adoption of P2 practices by state and local governments, institutions and businesses.

An evaluation of this grant program was conducted in 2008 and reached several conclusions. The evaluation found that: the existence of a national network makes it possible for the centers to deliver more and better information to their customers; "the centers appear to be providing some of the right products, services and content to businesses to promote P2"; and the fact that the centers were a neutral, non-regulatory entity encouraged businesses to seek them out. The complete evaluation is posted at: <http://www.epa.gov/evaluate/pdf/PPIN-EvalReport.pdf>

### **B. Program goals for FY 2011.**

**1. The overarching goals for the PPIN program** are to support regional P2 information centers that serve unique regional P2 information needs and provide quality information on source reduction and P2 practices to a national audience.

Nationally, the regional centers provide assistance to businesses for which lack of information may be an impediment to implementing source reduction, preventing pollution, or adopting sustainable practices. Each center specializes in specific topics and expertise that is shared nationally utilizing web-based tools, such as websites, webinars, RSS (Really Simple Syndication) feed and blogs, as well as conferences and training for specific audiences.

Proposals should address how the proposed activities were determined to be relevant to the regional or broader audience. Regional activities should promote communication among programs in the region and bring in activities and innovations from other regions that may be useful. The national network communication function among the regional centers should allow for sharing expertise and program experiences relevant to other regions.

Currently some centers collect case study information that is made available nationally. Some centers offer training and provide follow-up services to the facilities allowing the center to report P2 environmental outcomes, such as reduced carbon emissions, reduced energy or water consumption or adoption of P2 practices that save money and reduce the use of toxics.

Centers should facilitate outreach and training on the use of the National P2 Results system (<http://www.p2rx.org/services/measurement.cfm>). This national system is just one example of an innovation that was originally developed by one regional center and later modified and shared as a national resource. State and local government programs can use this system to document their progress in achieving environmental outcomes resulting from adoption of P2 practices.

**2. Support the USEPA Pollution Prevention Program Strategic Plan.** Pollution prevention is a cornerstone of the sustainability movement. The broad mission of EPA's Pollution Prevention (P2) Program is to prevent pollution at the source, promote the use of greener substances and processes and conserve natural resources. These are critical steps towards achieving a sustainable society. Proposed activities should promote P2 practices in a variety of ways, such as convening discussions on P2 information needs with businesses and/or state technical assistance providers, providing training in specific P2 practices, assisting facilities in implementing P2 practices or sponsoring webinars.

The PPIN grant program is adopting the goals described in the "U.S. Environmental Protection Agency 2010-2014 Pollution Prevention Program Strategic Plan" (posted at <http://www.epa.gov/opptintr/p2home/pubs/docs/P2StrategicPlan2010-14.pdf>). Proposals should describe activities that address one or more of the following goals:

- a) reduce the generation of greenhouse gas (GHG) emissions to mitigate climate change;
- b) reduce the manufacture and use of hazardous materials to improve human and ecological health;
- c) reduce the use of water and conserve other natural resources to protect ecosystems;
- d) create business efficiencies that derive economic benefits and improve environmental performance; and/or
- e) institutionalize and integrate pollution prevention practices through government services, policies, and initiatives.

Collaborative efforts may result in: new P2 information products, improved communication and coordination among state and regional programs, increased adoption of P2 practices or documentation of the effectiveness of P2 practices.

**3. Determine the Effectiveness of Activities and Outputs by Measuring Outcomes.** Proposals need to describe outputs for all activities, projected outcomes, and how progress towards achieving the expected outputs and outcomes will be measured. An example of how to establish a causal link between P2 information activities and short-term outcomes can be found in the evaluation report cited in Section I.A (See Figure 1-1 in the report) and in Appendix C.

The audience for the P2 information services should be characterized as either **end users** (who gather and use the P2 information) or **intermediate users** (who pass on the information to other clients) because the type of information or services useful to these two audiences may be different. Examples of outcome measurement approaches are customer surveys, general solicitations for opinions or comments, and pre- and post-testing during training sessions. Case studies can also be used to demonstrate causality between PPIN grant activities and environmental outcomes. Given the number of decisions that must be made between learning about a P2 practice and implementing a P2 practice, a direct causal relationship between information and long-term environmental outcomes can be hard to establish.

National network communication activities promoting P2 information exchange can be measured by the number of individuals included on a listserve, the number of messages sent to listserves, number of user sessions on a website, attendance at a webinar, measuring click through rate, etc.

Proposals should include measurement activities that are consistent among all of the applicants. The Pollution Prevention Resource Exchange (P2Rx) has established measurement standards (<http://p2rx.org/admininfo/toc.cfm>) and the Pollution Prevention Program Strategy reflects Agency measurement standards for pollution prevention (<http://www.epa.gov/p2/pubs/docs/P2StrategicPlan2010-14.pdf>).

Surveys of 10 or more people (and using the same questions) conducted using grant funds are subject to the Paperwork Reduction Act (5 CFR 1320). Any surveys conducted under PPIN grants, or where EPA appears to be conducting or sponsoring the collection of information, are subject to the Paperwork Reduction Act. Grantees may carry out their own survey or documentation without EPA grant funding.

## C. EPA Grant Requirements

**1. Statutory Authority in the Pollution Prevention Act of 1990 (PPA).** Authority for this grant program is provided by Congress under Section 6605 of the Pollution Prevention Act of 1990 (<http://www.epa.gov/p2/pubs/p2policy/act1990.htm>). The Act directs the EPA administrator to consider whether grant outcomes would accomplish the following:

- “Make specific technical assistance available to businesses seeking information about source reduction opportunities, including funding for experts to provide on-site technical advice to businesses seeking assistance and to assist in the development of source reduction plans.
- Target assistance to businesses for whom lack of information is an impediment to source reduction.
- Provide training in source reduction techniques.”

**Supplemental Information.** The statute authorizes the award of grants to States, State entities (i.e. State universities), Federally-recognized Tribes and Intertribal Consortia for projects that promote

the use of pollution prevention/source reduction techniques by businesses. Recipients of P2 Grants are subject to 40 CFR Parts 31 (Uniform Administrative Requirements for Assistance Agreements to State, local and Federally-recognized Tribal Governments), 34 (Restrictions on Lobbying) and 35 (Environmental Program Grants for States and Tribes), as applicable. For further information about these Federal Regulations go to this web page: <http://www.epa.gov/lawsregs/search/40cfr.html>.

**2. What is Pollution Prevention (P2)?** Pollution prevention is often used in place of the term source reduction. Source reduction is defined in the PPA as meaning any practice which:

- “Reduces the amount of any hazardous substance, pollutant or contaminant entering any waste stream or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment or disposal; and
- Reduces the hazards to public health and the environment associated with the release of such substances, pollutants or contaminants.
- The term includes equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, and improvements in housekeeping, maintenance, training or inventory control.”

The term pollution prevention has been further described in EPA policy (<http://www.epa.gov/opptintr/p2home/pubs/p2policy/policy.htm>) as also including the protection of natural resources through conservation or increased efficiency in the use of energy, water, or other materials.

**3. Link proposed work plan and outcomes to EPA Strategic Plan.** It is EPA policy to link proposed assistance agreements to the Agency’s Strategic plan and ensure that outputs and outcomes are appropriately addressed in proposed work plans and performance reports. EPA requires that grant applicants and recipients adequately describe environmental outputs and environmental outcomes to be achieved under assistance agreements (see EPA Order 5700.7, Environmental Results Under Assistance Agreements (<http://www.epa.gov/ogd/grants/award/5700.7.pdf>)). Discussion of how to establish a causal link between P2 information activities and outcomes is included in section I.B.3 above and Appendix C.

**a) Proposals must support the Agency’s strategic plan** which identifies measurable environmental and human health outcomes the public can expect over the next five years. EPA’s 2006-2011 Strategic Plan’s Goal 5 includes Pollution Prevention under Objective 5.2: Improve Environmental Performance through Pollution Prevention and Other Stewardship Practices. (For more information, go to: <http://www.epa.gov/ocfo/plan/plan.htm>.) The specific environmental outcomes for this sub-objective include: reductions in pounds of hazardous materials; reduction, conservation or offset of British Thermal Units (BTUs); reductions in gallons of water used; and dollars saved through pollution prevention improvements in businesses. Some of the strategic measures in the Agency Plan are included as measures in the Pollution Prevention Program Strategic Plan mentioned in Section I.B. 2.

**b) Anticipated Outcomes and Outputs are Required in all Proposals.** Applicants should identify the relevant environmental outputs and outcomes for each task in their proposal and describe a plan for measuring their progress towards achieving the expected outputs and outcomes. Logic models can be used to show the relationship between the center’s

activities, the audience targeted and the expected short-term, intermediate and long-term outcomes.

**i) Environmental Outputs.** The term "output" means an activity, effort and/or associated work products 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 an assistance agreement-funding period. Some examples of environmental outputs from PPIN grants include, but are not limited to: creation and maintenance of websites, workshops or training, marketing materials promoting the adoption or awareness of P2 practices, etc.

**Measurement of Outputs.** Outputs that can be quantified should be measured and proposals should describe how those measurements will be made. For websites, user sessions, page hits, and number of revisions to update pages are all measures of website outputs. Workshops or conferences can be measured by number of attendees. Where possible, proposals should describe the intended audience targeted by an activity and how audience reach will be documented. Possible means of documenting audience reach are: keeping a record of who contacts the center (via email, phone, or training), cookies on websites, or attendance at conferences.

**ii) Environmental Outcomes.** The term "outcome" means the result, effect, or consequence that will occur from carrying out an activity that is related to an environmental or programmatic goal or objective. Outcomes may be knowledge or attitude-based, behavioral, health-related, or environmental in nature, and ultimately reflect improvements in environmental or environmentally-based health-risk conditions. Examples of outcomes include, but are not limited to: changes in environmental conditions or reductions in pollutant releases. Outcomes may not necessarily be fully achievable within an assistance agreement funding period, but they should be quantifiable.

**Measurement of Outcomes.** Short-term Outcomes reflect changes in learning, knowledge, attitude, skills, or understanding. Examples of PPIN grant short-term outcomes are: increased access to P2 information, increased awareness of P2 practices, or increased knowledge of how to implement P2 options. Some of these short-term outcomes should be reported during the project period. Approaches to documenting outcomes include: pre/post tests in training, follow-up calls or emails, or self-reported data. More information on measurement of outcomes is included in Appendix C.

**c) Utilize a Quality Assurance Protocol in Collection of Measurements.** EPA currently requires all recipients of assistance agreements which involve measurement, or include information obtained from other sources, such as databases or website logs, to submit a Quality Management Plan (QMP) prepared in accordance with the specifications provided in EPA requirements (see <http://www.epa.gov/ogd/grants/assurance.htm>) or documentation determined by EPA to be equivalent. Applicants should allow sufficient time and resources for this process in their proposed projects. If your organization does not have a Quality Management System in place, one must be developed. Applicants for the FY 2011 Pollution Prevention Information Network Grant Program are not required to submit a Quality Assurance Project Plan (QAPP) as part of the proposal package; however, each grant award

will contain a condition establishing a deadline for the grantee to submit acceptable quality assurance documentation to EPA.

Grants awarded under this program will require the recipient to submit Quality Assurance Project Plans (QAPPs) to EPA for review and approval by the EPA Project Officer and EPA Quality Assurance Manager **before** undertaking any work involving environmental measurements or data generation. QAPPs shall be prepared using EPA Requirements for Quality Assurance Project Plans (QA/R-5) (EPA 2001)  
<http://www.epa.gov/quality1/qatools.html>

## **II. AWARD INFORMATION**

### **A. What Is the Amount of Funding Available?**

The total estimated Federal funding expected to be available for awards under this competitive opportunity is approximately \$800,000. This amount is dependent on the Congressional appropriations for this program, the quality of proposals received, and other applicable considerations.

### **B. Partial Funding.**

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

To be considered for partial funding, the applicant's work plan must have clearly delineated tasks that include separate budget estimates for each task or phase of the project. The completed proposal package must include a budget that estimates the costs for labor (by labor category), fringe benefits, travel, equipment, supplies, contractors, and for other direct costs and indirect costs. The budget must itemize these costs under each task identified in the work plan as well as for the entire proposed project, and must identify the activities (and corresponding estimated costs) covered by the match of 50 percent or more of the total allowable project cost.

### **C. How Many Agreements Will EPA Award in this Competition?**

EPA anticipates awarding up to eight assistance agreements under this announcement ranging in value from approximately \$80,000 to \$115,000 in Federal funds per year, subject to the availability of funds, the quality of the proposals submitted, and other applicable considerations.

EPA reserves the right to make additional awards under this announcement, consistent with Agency policy, 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 original selection date.

### **D. What Is the Project Period for Awards Resulting from this Solicitation?**

**The project period for awards resulting from this solicitation will be up to two years (24 months).** The estimated date for awards resulting from this solicitation will be in October 2011.

## **E. Funding Type.**

The funding for selected projects will be in the form of a cooperative agreement. Cooperative agreements permit substantial involvement between the EPA Project Officer and the selected applicants in the performance of the work supported. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial Federal involvement for this project will be: close monitoring of the successful applicant's performance to verify the results proposed by the applicant; collaborating during performance of the scope of work; in accordance with 40 C.F.R. 31.36(g), approving qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient); and reviewing and commenting on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient).

## **III. ELIGIBILITY INFORMATION**

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

Eligible applicants include the 50 States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, any agency or instrumentality of a State, including State colleges and universities, and Federally-recognized Indian Tribes that meet the requirements for treatment in a manner similar to a State as described in 40 CFR 35.663 and Intertribal Consortia that meet the requirements in 40 CFR 35.504.

**Note: Local governments, private universities, for-profit organizations, nonprofit organizations, private businesses, and individuals are not eligible to apply for funding.**

### **B. Funding Restrictions.**

Proposals must not ask for more than \$115,000 in Federal funds per year. Grant funds may only be used for the purposes set forth in the assistance agreement and must be consistent with the statutory authority in Section 6605 of the Pollution Prevention Act of 1990. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal 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. EPA will subtract proposed ineligible costs from the final approved budget if a grant is awarded. For further information on these circulars refer to this web page:  
[http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default).

### **C. Cost Sharing and Matching Requirements.**

Recipients of assistance agreements under Section 6605 of the Pollution Prevention Act of 1990 must provide at least 50 percent of the total allowable project cost. For example, a project costing \$230,000 could be funded by a grant for up to \$115,000 in Federal funds. The recipient is responsible for funding the other half (\$115,000) of the project cost. Recipient contributions may include dollars, in-kind goods and services, and/or third party contributions consistent with 40 CFR 31.24 or 40 CFR 30.23, as applicable.

**The proposal must contain a detailed budget showing how 50% of the cost will be matched with non-Federal dollars or in-kind goods and services. Proposals that do not show how the Federal dollars will be matched will not be considered.**

The match requirement may be applied at the time of award or at mutually agreed upon 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 will monitor the grant recipient's compliance. EPA may consider the recipient's failure to comply with the match requirement to be a material violation of the terms of the agreement and take appropriate enforcement action, including termination of the agreement and disallowance of the Federal share of costs, under 40 CFR 30.61 and 40 CFR 30.62 or 40 CFR 31.43, as applicable.

#### **D. Threshold Eligibility Criteria.**

**Proposals must meet the following requirements by the time of submission or they will be eliminated from consideration for funding. Applicants deemed ineligible for funding based on these threshold eligibility criteria will be notified within 15 calendar days.**

1. Proposals must be from an eligible applicant as defined in Section III.A.
2. Proposals must indicate how 50% of the total project cost will be provided in non-Federal dollars as described in Section III.C.
3. Proposals must not ask for more than \$115,000 in Federal funds per year. Proposals that ask for more will be rejected.
4. Proposals must relate grant activities to the purposes listed under Section 6605 of the Pollution Prevention Act of 1990 and described in Section I.C.1.
5. Proposed activities must meet EPA's definition of pollution prevention in Section I.C.2.
6. Proposals must be for no more than 2 years, Section II.D.
7. Threshold Submission Requirements

**a) Proposals must substantially comply with the proposal submission instructions.**

Proposals must substantially comply with the proposal submission instructions and requirements set forth in [Section IV](#) of this announcement or they will be rejected. However, where a page limit is expressed in Section IV with respect to the proposal, pages in excess of the page limitation will not be reviewed.

**b) Submission of proposals.** Proposals must be postmarked or received via <http://www.grants.gov>, as specified in Section IV of this announcement, on or before the proposal submission deadline published in Section IV of this announcement.

Proposals postmarked or received by <http://www.grants.gov> after the submission deadline will be considered late and returned to the sender without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical problems associated with [www.grants.gov](http://www.grants.gov). Applicants should confirm receipt of

their proposal with the contact indicated in Section VII as soon as possible after the submission deadline, failure to do so may result in your proposal not being reviewed.

#### **IV. PROPOSAL SUBMISSION INFORMATION**

The grant proposal process involves: the determination of the eligible proposals, the evaluation of the eligible proposals; preliminary selection of successful proposals to recommend for funding; and a request for additional forms to complete the application. Only a complete grant application, with all of the required EPA forms and information, can be submitted to the Office of Grants and Debarment.

Applicants must submit proposal packages as described below. A full application **should not** be submitted at this time. The following section describes how to submit a grant proposal, including submission dates, proposal submission methods, and proposal content. Applicants are advised to carefully read through these instructions.

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

Applicants may download individual grant proposal forms from EPA's Office of Grants and Debarment website at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). To obtain a hard copy of materials, please send an email or written request to the Agency contact listed in Section VII of this announcement.

##### **B. Submission Dates and Times.**

**All hard copies of proposal packages must be postmarked by May 9, 2011**, in order to be considered for funding. For applicants submitting hard copy applications via express delivery (such as UPS, FedEx, etc), the date on the waybill will serve as the postmark. Electronic submissions must be received via <http://www.grants.gov>, **by 11:59 pm ET on May 9, 2011**. Proposals postmarked or received electronically after the closing date and time will not be considered for funding.

##### **C. How to Submit Proposals.**

Applicants have the option to submit their proposals in *one of two ways*: 1) Hard copy by an express delivery service or the US postal service, or 2) electronically through <http://www.grants.gov>. All proposals must be prepared, and include the information as described in Section D below, regardless of mode of transmission.

**1. Hard Copy Submission.** Because of the unique situation involving U.S. mail screening, **EPA highly recommends that applicants use an express mail option to submit their proposal packages**. If submitting a hardcopy proposal through an express delivery service, the package must show it was submitted for delivery on or before **May 9, 2011**, as shown on the waybill. Please provide one original of the proposal package (including signed and completed SF 424 and SF 424A forms) and one copy (preferably double-sided)--**no binders or spiral binding--to:**

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

U.S. Environmental Protection Agency  
1201 Constitution Ave. NW

EPA-East, Room 5213  
ATTN: Beth Anderson (Mail Code 7409M)  
Washington, DC 20004.  
Phone: (202) 546-8833 or (202) 564-8800

If submitting a hardcopy proposal using the US postal service, it must be postmarked by **May 9, 2011** and an email alerting EPA to expect the proposal should be sent to: [anderson.beth@epa.gov](mailto:anderson.beth@epa.gov). Please provide one original of the proposal package (including signed and completed SF 424 and SF 424A forms) and one copy (preferably double-sided) to:

**Hardcopy proposals sent by regular US Postal Service should be addressed to:**

Beth Anderson  
Pollution Prevention Division (MC-7409M)  
USEPA Office of Pollution Prevention and Toxics  
1200 Pennsylvania Ave. NW, Washington, DC 20460-0001.

**2. Electronic Submission.** 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 submit a proposal through grants.gov, please refer to the instructions provided in Appendix A. If you experience technical difficulties while applying electronically, please call 1-800-518-4726 or email [support@grants.gov](mailto:support@grants.gov) or contact the Agency contact listed in Section VII.

After the registration process is complete, your institution may begin the application process to submit a proposal. Proposal materials submitted through Grants.gov will be time/date stamped electronically.

**Proposal Submission Deadline:** Your organization's AOR must submit your complete proposal package electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **11:59 pm ET on May 9, 2011.**

**D. Proposal Length and Format.**

The Proposal Narrative, as described below, must not be longer than 20 single spaced pages and formatted for 8 1/2" x 11" paper. The font used in the proposal should be easily readable. Include page numbers on the proposal to facilitate evaluation and discussion. Federal forms, the cover page, and appendices, such as resumes, letters of support, and indirect cost agreement, will not count toward the 20 page limit. Electronic files must be readable in Adobe Acrobat PDF, MS Word or Word Perfect versions: 6, 7, or 8 for Windows in English. Full application packages should not be submitted at this time. Applicants who submit proposals that merit further consideration for funding based on the evaluation criteria provided in Section V will be contacted and instructed to submit a complete application package.

## E. Proposal Package Content.

Regardless of mode of submission, **the following forms (found at <http://www.epa.gov/ogd/forms/forms.htm>) and documents are required under this announcement:**

1. Application for Federal Assistance (SF-424)
2. Budget Information for Non-Construction Programs (SF-424A)
3. EPA Key Contacts (Form 5700-54)
4. Cover page (not part of page limit)- see Appendix B
5. Proposal Narrative, includes both the project narrative and the project work plan (20 page limit)
6. Other attachments, such as: Letters of Support, Resumes, and Negotiated Indirect Cost Rate Agreement. These attachments do not count towards the 20 page limit cited in Section IV.D above.

**1. Standard Form SF-424, Proposal for Federal Assistance.** Complete the form. There are no attachments. Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711 or visit the website at <http://dnb.com>. Instructions for obtaining a DUNS number may also be found at the following website: <http://www.Grants.Gov/GetStarted>.

**2. Standard Form SF-424A, Budget Information for Non-Construction Programs.** Complete the form. There are no attachments. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22. If indirect costs are requested, a copy of the Negotiated Indirect Cost Rate Agreement must be submitted as part of the proposal package.

**3. EPA Key Contacts Form 5700-54.** Complete the form. There are no attachments.

**4. Cover Page:** The cover page contains the following information:

- Grant program title;
- Funding opportunity number of the announcement;
- Title of proposal;
- Date submitted;
- Short description of the proposal;
- Total funding amount of the project and requested funding amount of the project;
- Applicant's contact information (i.e., name of applicant, name of organization, mailing address, phone number, fax number, and e-mail address); and
- Central Contractor Registration date (**refer to Section VI.E**).
- DUNS Number

Appendix B provides a sample cover page.

**5. The Proposal Narrative:** The proposal narrative **contains two parts, a and b** as noted below. The proposal narrative is subject to the 20 page limit described in Section IV.D above.

**a) Project Narrative:** In order to address the Section III threshold requirements and some of the Section V evaluation criteria, the project narrative must address the following three areas:

**i) Threshold Program Requirements:** Describe how the proposed tasks meet the applicable threshold program requirements described in Section III.

**ii) Programmatic Capability:** Provide information on your organizational experience and plan for timely and successful achievement of the proposed project's objectives, and your staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.

**iii) Past Performance.** Submit a list of Federally-funded or non-Federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope and relevance to the proposed project that your organization performed within the last three years (no more than 5 agreements, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage those agreements and (ii) your history of meeting the reporting requirements under those agreements including whether you adequately and in a timely manner reported on your progress towards achieving the expected outputs and outcomes of those agreements (and if not, explain why not) and whether you submitted acceptable final technical reports under these agreements. In evaluating applicants under these factors in Section V, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current/prior grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available past performance or past reporting information, please indicate this in the proposal and you will receive a neutral score for these factors (a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.

**b) Project Work Plan:** The project work plan must clearly describe the following areas in order to address Section I requirements and Section V evaluation criteria:

**i) Regional Activities and the Related Partnerships.** Tasks that could reflect regional priorities which include: developing relationships with other technical assistance provider communities, roundtables, advisory groups, workshops, training or webinars.

**ii) National Network Communication.** Tasks that support the communication of P2 information activities nationally, across EPA regions and promote information exchange to benefit a national audience. Examples of national network communication include: promotion of webinars or providing tools, such as a wiki or website to promote information exchange nationally and the collection, validation and reporting of P2 metrics.

Some services may target a specific audience or area of P2 information that supports a nationwide network. Examples of a national network service include: creation of a

website to serve a specific sector of businesses and promotion of P2 practices such as water conservation or reduced energy consumption.

Work plans that describe collaboration or partnerships must be specific about the role of each partner in the proposed activities. In order to document partnerships or collaboration, letters of support should be submitted as part of the proposal package. These letters will not count toward the page limit requirement.

A letter of support should clearly state the intent of the partner, who will be engaged in the project by lending cash or in-kind services to the project. A letter of recommendation is a document offering approval of the proposed activity.

**iii) Measurement of Outcomes:** The project work plan must clearly describe a plan for measuring progress towards achieving the expected project outputs and outcomes of proposed activities including those identified in Section I.

**a) Outputs for Each Task.** Descriptions of proposed activities must include the resulting outputs and how these will be measured. Creation of websites or conducting workshops or training are examples of activity outputs. Such outputs may be measured by number of clients who contact the center (via email or phone), attendance at a workshop or conference, use of cookies on websites, or the number of workshops provided.

**b) Outcomes for Each Task.** Descriptions of proposed tasks must also include expected outcomes. Logic models can be used to show the relationship between a center's activities, the target audience and expected short-term, intermediate and long-term outcomes. Some short-term outcomes can be measured through client feedback demonstrating increased awareness of P2 practices, surveys after training, or case studies.

**iv) Project Timeline.** The project work plan must indicate a timeline of no longer than two years that reflects key steps, outputs and deliverables for tasks.

**v) Budget Narrative.** The project work plan must include a detailed budget with costs for at least these categories: personnel, fringe benefits, travel, equipment, supplies, contract, other expenses, total direct charges, indirect costs, total amount of funds requested from EPA, total match, total project cost and estimated income. The budget should show separate columns for EPA funds and non-Federal matching funds. If the proposal is for two years, then the budget must include a Year 1 budget, a Year 2 budget and the total budget.

The narrative shall provide an approximation of the percentage or dollar amount and full time equivalent (FTE) designated for each work plan task. Travel should indicate the number of individuals traveling, destination of travel, number of trips and the reason for travel. The budget narrative should justify equipment for the project and describe how contractual or sub-grant funds will be used.

**a) Management Fees.** When formulating budgets for proposals, applicants must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicant's audit agency, or at the rate provided for by the terms of the agreement negotiated with

EPA. The term "management fees or similar charges" refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA assistance agreements. Management fees or similar charges may not be used to improve or expand the project funded under this agreement, except to the extent authorized as a direct cost of carrying out the scope of work.

**b) Compensation for Consultants.** The use of EPA financial assistance compensation for consultants is limited to the daily equivalent of the rate paid to Federal employees at the ES-IV level (see 40 CFR Part 30.27(b) or 31.36(j), as applicable).

**Note:** Applicants must ensure that the Proposal Narrative addresses all of the criteria in Section V.

**6. Other Attachments.** The following information should be included with the proposal package as appendices and will not count against the 20 page limit for the project narrative.

**a) Letters of Support.** When the work plan describes partnerships, funding, or in-kind services, a letter of support must be included in the proposal. Letters of support clearly state the intent of the partner and their contribution, cash or in-kind services to the project. The applicant will submit the letters as part of their grant proposal package and these letters will not count toward the page limit requirement.

**b) Indirect Cost Rate Agreement,** if applicable. You must submit a copy of your organization's Indirect Cost Rate Agreement as part of the proposal package if your proposed budget includes indirect costs.

## **F. Intergovernmental Review.**

This program may be eligible for coverage under Executive Order 12372, "Intergovernmental Review of Federal Programs" and 40 CFR Part 29. 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 State has not selected the program for review or the State does not have a single point of contact, applicants must coordinate directly with affected State, area-wide, regional, and local entities. 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 refer to the State Single Point of Contact website at [http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc)  
*Federally-recognized Tribal governments are not required to comply with this procedure.*

## **G. Amending This Solicitation.**

EPA reserves the right to amend this solicitation as necessary. Amendments could be administrative (such as changes in dates), technical (such as a change in requirements), or fiscal. If this need occurs, EPA will post the amended solicitation at the same location as this announcement (<http://www.epa.gov/opptintr/p2home/pubs/grants/index.htm>) and the amendment will also be posted on <http://www.grants.gov>.

## H. Other Information.

**1. Pre-proposal/Proposal Communications and Assistance.** In accordance with EPA's Competition Policy of January 11, 2005 (EPA Order 5700.5A1; [http://www.epa.gov/ogd/competition/5700\\_5A1.pdf](http://www.epa.gov/ogd/competition/5700_5A1.pdf) ), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their proposals. EPA will respond to questions received by email from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement. Please email questions to: [anderson.beth@epa.gov](mailto:anderson.beth@epa.gov) and type "PPIN question" in the subject line.

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

**3. Using Funds for Subawards, Contract Services or Partnerships.** EPA awards funds to one eligible applicant as the recipient even if other eligible applicants are named as partners or co-applicants or members of a coalition or consortium. The recipient is accountable to EPA for the proper expenditure of funds and reporting progress and results under the assistance agreement. Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those stated 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. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the proposal EPA selects for funding does not relieve the applicant of its obligations to comply with subaward/subgrant and/or competitive procurement requirements as appropriate. Please note that applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal.

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

**4. Consideration of Proposed Subawardees/Subgrantees and Contractors During the Evaluation Process Described in Section V of this Announcement.** Section V of the announcement describes the evaluation criteria and evaluation process that will be used by EPA to make selections under this announcement. During this evaluation, except for those criteria that relate to the applicant's own qualifications, past performance, and reporting history, the review panel will consider, if appropriate and relevant, the qualifications, expertise, and experience of:

**a) An Applicant's Named Subawardees/Subgrantees** identified in the proposal if the applicant demonstrates in the proposal that if it receives an award 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.

**b) An Applicant's Named Contractor(s)**, including consultants, identified in the proposal if the applicant demonstrates in its proposal that the contractor(s) was selected in compliance with the competitive Procurement Standards in 40 CFR Part 30 or 40 CFR 31.36 as appropriate. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

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

## **V. PROPOSAL REVIEW INFORMATION**

### **A. Evaluation Criteria.**

Only proposals meeting the threshold criteria in Section III will be evaluated against the criteria presented in this section. Proposals will be evaluated based on the criteria below. Applicants should directly and explicitly address these criteria as part of their proposal submittal. Proposals can receive a maximum score of 100.

Applicants should review the Appendix C discussion of activities, outputs and outcomes before addressing the evaluation factors under the Project Work Plan. Appendix C includes a logic model diagram that shows the relationship between activities, outputs and outcomes.

#### **1. Programmatic Capability and Past Performance Criteria. (12 points)**

**a) Programmatic Capability (6 points):** Proposals will be evaluated based on the applicant's ability to successfully complete and manage the proposed project. This evaluation will take into account the applicant's: (i) organizational experience and plan for timely and successful achievement of the proposed objectives of the project (3 points), and

(ii) staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project (3 points).

**b) Past Performance (6 points):** Proposals will be evaluated based on the applicant's ability to successfully complete and manage the proposed project. This evaluation will take into account the applicant's (i) past performance in successfully completing and managing the assistance agreements described in Section IV.E. of the announcement (3 points) and (ii) history of meeting the reporting requirements under the assistance agreements described in Section IV.E of the announcement including whether the applicant submitted acceptable final technical reports under those agreements and the extent to which the applicant adequately and timely reported on their progress towards achieving the expected outputs and outcomes under those agreements and if such progress was not being made whether the applicant adequately reported why not (3 points).

Note: In evaluating applicants under this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). If you do not have any relevant or available past performance or past reporting information, please indicate this in the proposal and you will receive a neutral score of 1.5 points for each of these sub-factors (items i and ii above). If you do not provide any response for these items, you may receive a score of 0 for these factors.

**2. Project Work Plan (88 points)** Under this criterion, the Agency will evaluate the following factors:

**a) Regional Activities (10 points):** How well does the proposal describe the regional activities and the environmental priorities that will be addressed?

**b) National Network Communication (20 points):**

- i) How well does the proposal describe national activities and the environmental priorities that will be addressed? (10 points)
- ii) How well does the proposal describe national communication activities to promote sharing P2 information nationwide? (10 points)

**c) Collaboration (15 points):** How well does the proposal describe the applicant's plans for: working/collaborating with partners within the regions or other regional centers to build shared P2 information resources and using the required match contributions (as defined in Section III.B) to effectively perform the project? (10 points)

How well are match contributions, collaboration or partnerships documented with letters of recommendation or support? (5 points)

**d) Activity and Output Measurement (20 points)** How well does the proposal describe the proposed activities and expected project outputs (including those identified in Section I) and how these will be measured or documented? (10 points)

How well does the proposal describe how customer input and feedback on proposed activities and outputs will be assessed? (10 points)

**e) Environmental Outcome Measurement (10 points):** How well does the proposal describe the expected project **outcomes** and a plan to track and measure progress towards achieving them?

**f) Project timeline (3 points)** How well the proposal articulates a timeline showing: tasks, timeframes for each task, outputs and outcome reporting?

**g) Detailed Budget and Narrative (10 points)** Under this criterion, the Agency will evaluate:

**i) (5 points)** the extent to which the detailed budget presents: estimated costs for each budget object class (personnel, fringe benefits, travel, equipment, supplies, contracts, other expenses, income, total direct costs, total indirect costs) with Federal and non-Federal matching funds in separate columns and the extent to which costs are reasonable and necessary costs to accomplish the proposed tasks.

**ii) (5 points)** the extent to which the detailed budget includes estimates of the cost of each major task including match and personnel time allocated.

## **B. Review and Selection Process.**

Each eligible proposal, based on the threshold eligibility review, will be given a numerical score and will be rank-ordered according to the numerical score. Preliminary funding recommendations will be provided by the evaluation panel to the Approving Official based on this ranking.

Final funding decisions will be made by the Approving Official based on the rankings and preliminary recommendation of the evaluation team. In making the final funding decisions, the Approving Official may also consider programmatic priorities, availability of funds, geographic diversity, and/or duplication of effort with other ongoing projects. Once final decisions have been made, a funding recommendation will be developed and forwarded to the EPA Grants Award Official. Those proposals recommended for funding will be forwarded to the applicable Regional P2 program office. The Regional Office will contact applicants to request additional forms needed to complete the application. Only those applicants who are asked to submit additional EPA forms and information will be considered for an award.

## **VI. AWARD ADMINISTRATION INFORMATION**

### **A. Award Notices.**

Following evaluation of proposals, all applicants will be notified regarding their status. The assistance agreements awarded under this competition will be managed by the EPA Regions. Final applications will be requested from those eligible entities whose proposed project has been successfully evaluated and preliminarily recommended for award. Those entities will be provided with instructions and a due date for submittal of the final application package.

**1. EPA Anticipates Notification to the *Successful Applicant*** will be made, via telephone, electronic or postal mail within 90 days from the date proposals are due. The notification will advise the applicant that its proposed project has been successfully evaluated and recommended for

award. The notification will be sent to the original signer of the Standard Form (SF) 424, Proposal for Federal Assistance.

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

**2. EPA Anticipates Notification to *Unsuccessful Applicant(s)*** will be made via electronic or postal mail within 90 days from the date proposals are due. The notification will be sent to the original signer of the SF 424, Proposal for Federal Assistance.

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

**1. EPA Regulations.** A listing and description of general EPA regulations applicable to the award of assistance agreements may be viewed at:

[http://www.epa.gov/ogd/AppKit/applicable\\_epa\\_regulations\\_and\\_description.htm](http://www.epa.gov/ogd/AppKit/applicable_epa_regulations_and_description.htm).

**2. Reimbursement Limitation.** If the recipient expends more than the amount of funding in its EPA approved budget in anticipation of receiving additional funds from EPA, it does so at its own risk. EPA is not legally obligated to reimburse the recipient for costs incurred in excess of the EPA approved budget.

## **C. Reporting Requirement.**

**1. Grant Reports.** Funding recipients must complete six month and annual reports and provide a final report at the end of the grant period. Progress reports (six month and annual) must address the status of all objectives and activities in the proposal (including measures), and a statement of impacts and expenses. The final report shall be completed within 90 calendar days of the completion of the period of performance. The final report should encompass a complete overview/summary of all of the activities conducted within the grant project period. Specific financial, technical and other reporting requirements to measure the grant recipient's progress will be identified in the EPA grant award agreement. Reporting must be consistent with the requirements of 40 CFR 35.107, 35.115, and 35.515.

**2. Use of Grant Funds.** An applicant that receives an award under this announcement is 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. The assistance agreement will include terms/conditions implementing this requirement.

**3. Data Access and Information Release.** The Office of Management and Budget (OMB) Circular A-110 has been revised to provide public access to research data through the Freedom of Information Act (FOIA) under some circumstances. Data that are (1) first produced in a project that is supported in whole or in part with Federal funds and (2) cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (i.e., a regulation) may be accessed through FOIA. If such data are requested by the public, the EPA must ask for it, and the grantee must submit it, in accordance with A-110 and EPA regulations at 40 C.F.R. 30.36.

#### **D. Subaward and Executive Compensation Reporting.**

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

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

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

1. Be registered in the CCR prior to submitting an application or proposal under this announcement. CCR information can be found at <https://www.bpn.gov/ccr/>
2. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by an agency, and
3. Provide its DUNS number in each application or proposal it submits to the agency. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com>.

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

#### **F. Disputes.**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which is located on the web at: <http://www.epa.gov/ogd/competition/resolution.htm>.

### **VII. AGENCY CONTACT**

All questions or comments must be communicated in writing via postal mail, facsimile, or electronic mail. For further information contact: Beth Anderson, Pollution Prevention Division (MC-7409M), USEPA Office of Pollution Prevention and Toxics, 1200 Pennsylvania Ave. NW, Washington, DC 20460-0001, telephone number: (202) 564-8833; fax number: (202) 564-8901 e-mail address: [Anderson.Beth@epa.gov](mailto:Anderson.Beth@epa.gov).

### **VIII. OTHER INFORMATION**

**A. Information about the Current P2 Information Network** grant program may be viewed at: <http://www.epa.gov/opptintr/p2home/pubs/grants/index.htm>. Information about the current P2Rx centers may be viewed at: <http://www.epa.gov/opptintr/p2home/pubs/p2rx.html>.

## **B. Exchange Network.**

EPA, States, and local governments 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. The National Pollution Prevention Roundtable and several previous PPIN grantees have developed the "National P2 Results Data System". More information on this system is available at: [http://www.p2rx.org/measurement/info/FINAL\\_meas\\_background.pdf](http://www.p2rx.org/measurement/info/FINAL_meas_background.pdf) EXIT Disclaimer. More information on the Exchange Network is available at <http://www.exchangenetwork.net>.

EXIT Disclaimer

## Appendix A

### Instructions for Applying through Grants.gov.

The electronic submission of your application must be made by an Authorized Organization Representative (AOR) 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 AOR and ask that individual to begin the registration process as soon as possible.

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

Once you have downloaded the viewer, you may retrieve the application package by entering the **Funding Opportunity Number: EPA-HQ-OPPT-2011-02 or the CFDA number that applies to the announcement, CFDA 66.708**, in the appropriate field. You may also be able to access the proposal package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

#### **A. Proposal Submission Deadline.**

Your organization’s AOR must submit your complete proposal electronically to EPA through Grants.gov (<http://www.grants.gov>) **no later than May 9, 2011**. Please submit all of the proposal materials described below.

#### **B. Proposal Materials.**

The following forms and documents are required to be submitted under this announcement as **specified in Section IV.E** and are listed below.

1. Application for Federal Assistance Form (SF-424)
2. Budget Information for Non-Construction Programs Form (SF-424A)
3. EPA Key Contacts Form 5700-54
4. Cover page- see Appendix B and Section IV.E.
5. Proposal Narrative includes both the project narrative and the project work plan.  
See Section IV.E.
6. Other attachments.

### **1. Standard Form (SF) 424, Application for Federal Assistance.**

Complete the form. There are no attachments. Please be sure to include organization fax number and email address in Block 5 of the Standard Form SF 424.

Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.

### **2. Standard Form SF 424A – Budget Information.**

Complete the form. There are no attachments. The total amount of Federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

### **3. EPA Form 5700-54, Key Contacts Form.**

Complete the form. There are no attachments.

**4. Cover Page:** See Section IV.E and Appendix B, which provides a sample cover page.

**5. The Proposal Narrative:** The proposal narrative contains two parts, a and b. For a more detailed description of these two parts please refer to Section IV.E in this RFP.

**6. Other Attachments.** Letters of support, the indirect cost rate agreement, resumes, or other supplemental information will not count against the 20 page limit for the project narrative.

### **C. Proposal Preparation and Submission Instructions.**

The Documents in Section B listed under **Proposal Materials** should appear in the “Mandatory Documents” box on the Grants.gov Grant Application Package page. For documents **1, 2 and 3** above, 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 **4, 5 and 6**, you will need to attach electronic files. Prepare your cover page and proposal narrative (documents 4 and 5) as described above and save them to your computer as an MS Word, PDF or WordPerfect file. When you are ready to attach the proposal narrative to the application package, click on “Project Narrative Attachment Form,” and open the form. Click “Add Mandatory Project Narrative File,” and then attach the proposal narrative (previously saved to your computer) using the browser 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. If there other attachments that you need to submit to accompany your proposal narrative, such as the cover page, you may click “Add Optional Project Narrative File” and proceed as before.

For other attachments that you would like to submit (i.e. Budget narrative or Letters of Support) you need to use the Other Attachments form in the optional box.

#### **D. Saving Your Work.**

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 – FY11 – Assoc Prog Supp – 1<sup>st</sup> 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 2<sup>nd</sup> submission should be changed to “Applicant Name – FY11 Assoc Prog Supp – 2<sup>nd</sup> Submission.”

Once your proposal package has been completed and saved, send it to your AOR for submission to U.S. 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 fiscal year (e.g., FY11), and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726 or email [support@grants.gov](mailto:support@grants.gov) or contact the person listed in Section VII of this announcement.

Proposal packages submitted through Grants.gov will be time/date stamped electronically.

If you have not received a confirmation of receipt from EPA (*not from grants.gov*) within 30 days of the application deadline, please contact the person listed in Section VII. Failure to do so may result in your application not being reviewed.

## Appendix B

### Sample Cover Page

*[Grant Program Title]* **FY 11 Pollution Prevention Information Network Grant Program**  
*[Funding Opportunity Number]* **EPA-HQ-OPPT-2011-02**

*[Proposal Title]* **Pollution Prevention Program**  
*[Date submitted]* **July 4, 2011**

*[Short Project Description – fewer than 300 characters]*

The proposed project will provide up-to-date pollution prevention (P2) information through peer-reviewed website information. On-site training in P2 practices will be provided to POTW and facilities, using email and telephone follow-up to support and measure changes in operations. Webinars will provide outreach and information on current P2 topics. An annual conference will provide networking opportunities for States, local governments and technical assistance providers in the region.

*[Project funding and Project Period]*

**Total Project Funding:** \$460,000

**Requested Funding:** \$230,000

**Project Start date:** October 1, 2011

**Project End Date:** September 30, 2013

*[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]*

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*[Central Contractor Registration]*

**Central Contractor Registration Date:** 1/08/2011

**DUNS Number**

## Appendix C

### Guidance for Submitting Output and Outcome Information for Pollution Prevention Information Network Grants

**I. Introduction:** As noted in **Section I.D.3** of the RFP, applicants must describe outputs and outcomes for their proposed activities and describe how these will be measured.

Applicants should identify the relevant environmental outputs and outcomes for each activity in their proposal and describe a plan for measuring these. Given the number of decisions that must be made between learning about a P2 practice and implementing a P2 practice, a direct causal relationship between information and long-term environmental outcomes can be hard to establish. Logic models can be used to show the relationship between the center's activities, the target audience, outputs and the expected short-term, intermediate or long-term outcomes. An example of how P2 information might lead to changes in environmental outcomes is included at the end of this appendix. This logic model was developed as part of the evaluation of the PPIN grant program conducted in 2008 and can be viewed here: <http://www.epa.gov/evaluate/pdf/PPIN-EvalReport.pdf>

**II. Relating Proposal Activities, Outputs and Outcomes:** Proposals may include a table to demonstrate the relationship between the proposed activities and the outputs and outcomes that will be measured during the project period. Additional outcomes that may not be fully achieved during the project period can be included and should be quantifiable.

**The term "output" means an activity or work products** related to an environmental objective that will be provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement-funding period. Some examples of environmental outputs from PPIN grants include, but are not limited to: creation and maintenance of websites, workshops or training, marketing materials promoting the adoption or awareness of P2 practices, P2 information products (electronic or hardcopy), P2 case studies and assistance provided to individual clients via telephone, email, or on-site visits.

#### Sample Table Relating Proposal Activities to Outputs and Outcomes:

Activity	Output	Outcome
Respond to requests for information on P2 practices	Send out email responses or post information on website	Increased awareness of P2 practices
Use wiki to post current information for specific sector or audience	Updated information posted at least every two weeks. Improved information content.	Increased awareness of current practices in specific industry
Follow-up with customer to see if information provided was useful	Report on customer feedback	Change in behavior. Action taken to implement P2 practice.

The term "outcome" means the result, effect, or consequence that will occur from carrying out an activity that is related to an environmental or programmatic goal or objective. **Outcomes may be knowledge or attitude-based, behavioral, health-related, or environmental in nature,** and ultimately reflect improvements in environmental or environmentally-based health-risk conditions. Examples of outcomes include, but are not limited to: changes in environmental conditions or reductions in pollutant releases. Outcomes may not necessarily be fully achievable within an assistance agreement funding period, but they should be quantifiable.

**a) Short-term Outcomes** reflect changes in learning, knowledge, attitude, skills, or understanding. Examples of PPIN grant short-term outcomes for technical assistance providers are increased access to P2 information and improvements in delivery of P2 information to clients. Examples of PPIN grant short-term outcomes for end users would be increased awareness of P2 options and increased understanding of how to implement P2 options. These short-term outcomes should be reported during the project period.

**b) Intermediate Outcomes** reflect changes in behavior, practices, or decisions, which are the foundations of pollution prevention and environmental stewardship. Intermediate outcomes are expected to lead to beneficial long-term outcomes. An intermediate outcome for technical assistance providers could be increased capacity to provide P2 resources and services to end users. An intermediate outcome for end users could be implementation of P2 plans and practices. Some of these intermediate outcomes may be reported during the project period and some may occur after the end of the project period.

**c) Long-term Outcomes** reflect changes in environmental conditions. These long-term outcomes are the desired end or ultimate results of a project or program. They represent results that lead to environmental or public health improvement. A long-term outcome of the P2 information network activities could be a reduction in hazardous waste or conservation of water resources. These long-term outcomes will most likely result from program activities outside of a given project period.

**III. Measurement of Outputs.** Proposals should describe measurements of outputs. Where possible, proposals should describe the intended audience targeted by an activity and how audience reach will be documented. Workshops or conferences can be measured by number of attendees and type of audience. Possible means of documenting audience reach are: keeping a record of who contacts the center (via email, phone, or training), cookies on websites, or attendance at conferences or training.

For websites: user sessions, page hits, or number of new pages posted are all measures of website outputs. Frequency of website maintenance activities can be related to higher quality information and could be consider a qualitative output.

### Sample Table of Output Measures

Activity Measures	Quantity
Technical Assistance, Referrals and Contacts	
Type of Organization (Tech Assist. Requests)	
Government	636
Business/Industry	503
Consultant	97
Educational Institution	225
Non-Profit	108
Individual	213
Other	119
List Serve Activity	
Number of e-mails	16,380
Number of subscribers	4,295
Number of list serves	47
P2 Workshops	
Number of Trainings	52
Number of Attendees	971

**IV. Measurement of Outcomes.** As described above, outcomes can be distinguished as short-term, intermediate or long-term outcomes. The P2 information dissemination logic model indicates some possible short-term outcomes that can be measured during the project period, such as increased awareness or knowledge. Intermediate outcomes, such as changing behavior, in an individual or an organization, may occur within or beyond a given project period. Long-term environmental outcomes result from behavior change such as: adoption of P2 practice, changing procedures or purchase of new equipment. Such long-term outcomes may result in the P2 measures described in the EPA and Pollution Prevention program strategic plans: reductions in the use of hazardous materials, water use and metric tons of carbon dioxide equivalent emitted, or increased money saved by businesses, institutions or governments. For more information and examples about these P2 measurements refer to this website: <http://www.epa.gov/p2/pubs/resources/measurement.html>

Measurement of outcomes should be described in the proposal. Although long-term environmental outcomes may not occur during the project period, proposals should describe a measurement approach that could be implemented over consecutive project periods.

#### Possible Approaches to Measuring Outcomes:

**a) Pre/Post-Test:** Before conducting a training, webinar, or workshop, test attendee knowledge of the subject being covered. At the end of the activity, retest participants to determine changes in understanding of the materials presented. Pre/post-tests can also help improve training materials by revealing areas where key messages did not come across.

**b) Telephone Survey:** A telephone survey can be used to follow-up with customers or facilities that have received training or services. General feedback can be used to document the

impact of assistance activities. This follow-up can be used alone or in combination with mail or online surveys.

**c) Email or Online Survey:** These surveys depend on the voluntary response of website users or customers using center services and have the potential to reach a large number of respondents. Using surveys on websites allows the center to reach users beyond the known listserve audience. Questions can be posted on-line with a link featured on the homepage or sent out on a listserve. In addition web-based survey tools, such as “Survey Monkey”, can be used to collect responses to a standard set of questions. Simple surveys can be used to ask whether the information provided was useful, easy to understand or promoted changes in customer behavior.

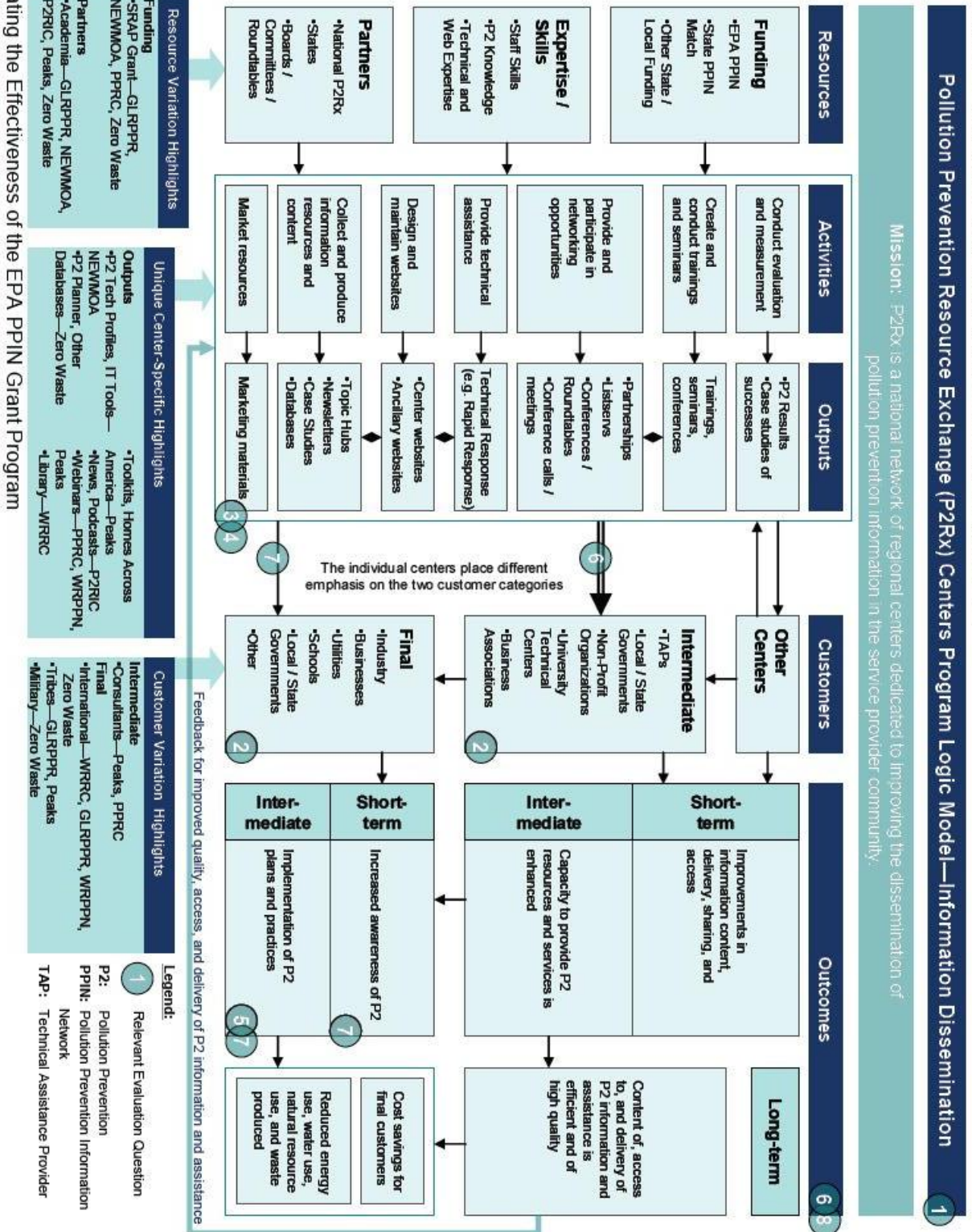
**d) Self-Reported Data:** Individuals or facilities may provide self-reported data on changes in behavior, P2 practices adopted or plans to implement new P2 practices. Additional information may be provided such as changes in energy or water bills or waste disposal costs. Information may also be submitted as part of a pollution prevention awards or environmental recognition program.

**Quality Assurance Protocol in Collection of Measurements.** The RFP notes EPA requirements for all grantees whose projects involve measurement to submit a Quality Management Plan (QMP). Collection of outcome measures should be addressed in a Quality Assurance Project Plan which describes how measurements will be made and the oversight of collection and reporting of these measures.

**Use of Grant Funds for Surveys.** Surveys of 10 or more people (and using the same questions) conducted using grant funds are subject to the Paperwork Reduction Act (5 CFR 1320). Any surveys conducted under PPIN grants, or where EPA appears to be conducting or sponsoring the collection of information, are subject to the Paperwork Reduction Act. Grantees may carry out their own survey or documentation without EPA grant funding.

**Grantees can collect:** facts or opinions submitted in response to general solicitations of comments, provided that no person is required to supply specific information pertaining to the commenter, other than that necessary for self-identification; examinations designed to test aptitude, abilities or knowledge; and information necessary to identify a respondent, such as website registration (See 5 CFR 1320.3(h)).

Figure 1-1: Generic P2Rx Information Dissemination Logic Model



## Appendix D

### Project Timeline Samples

The following samples of timelines offer an approach for documenting the plan for carrying out project activities and associated milestones. Timelines may reflect major tasks or include details reflecting significant steps in project execution.

#### Sample 1

Timeline for Multiple Projects												
Project	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Greening University campus Partnership Activities	X	X	X	X	X	X	X	X	X	X	X	X
Best P2 Practices for Printing sector-webinars		X		X		X		X		X		X
Prepare Reports						X						X
Measurement	X	X	X	X	X	X	X	X	X	X	X	X

#### Sample 2

Milestone Table													
Task	Steps within the task	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Objective 1 P2 Library Task 1	Collect documents	x	x	x									
Objective 1 P2 Library Task 2	Review documents				x	x	x	x	x				
Objective 1 P2 library Task 3	Select best documents and write summary						x	x	x	x	x		
Objective 2 Provide P2 information Task 1	Respond to questions	x	x	x	x	x	x	x	x	x	x	x	x
Objective 2 Provide P2 information Task 2	Follow-up with customer				x	x	x	x	x	x	x	x	x

## Appendix E

### Itemized Budget Guidance and Sample Breakdown of Cost per Task

Applicants must provide a detailed cost justification for the estimated budget amounts reflected in Section B of the SF-424A application form. The Budget Detail allows the EPA grant 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 and Details Provided in the Budget Narrative:

**Personnel:** Indicate salaries, wages, and job title, of all individuals involved in the project, details may be included in the budget narrative.

**Fringe Benefits:** Indicate all mandated and voluntary benefits.

**Travel:** The budget narrative must describe: 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.

**Supplies:** Indicate any tangible personal property, 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. The budget narrative must describe the tasks to be funded under contract or sub-grant.

**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:** The organization must provide documentation of a Federally approved indirect cost rate (percentage) reflective of the proposed project/grant period. The applicant should indicate if the organization is in negotiations with an 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.

**For Multi-year Grants:** The proposed budget must show a complete budget for each year of funding in addition to the total project cost. Each year must also include the proposed match for the Federal funding.

### Sample Detailed Budget

Object Class	Detailed Description	YEAR 1			YEAR 2			TOTAL
		EPA	Match Funds	Total	EPA	Match Funds	Total	
Personnel	Project Manager	36,733	39,171	75,904	36,733	39,171	75,904	
	Project Assistant	21,200	0	21,200	21,200		21,200	
	Office Assistant	16,372	0	16,372	16,372		16,372	
Salaries & wages		74,305	39,171	113,476	74,305	39,171	113,476	226,952
Benefits		14,001	9,401	23,402	14,001	9,401	23,402	46,804
Travel	Year 1: Air fare, per diem and hotel for 1 person to Denver Year 2: Travel to San Francisco	1,587		1,587	2,790		2,790	4,377
Equipment								
Supplies		1,107		1,107	1,500		1,500	2,607
Contract								
Other	Conference call and webinar expenses	2,500		2,500	2,800		2,800	5,300
Total Direct Charges		93,500	48,572	142,072	95,396	48,572	143,968	286,040
Indirect Charges		6,500	51,428	57,928	4,604	51,428	56,032	113,960
Total		100,000	100,000	200,000	100,000	100,000	200,000	400,000
Program Income		0	0		0	0		

Use the **Budget Narrative** to provide details not included in the table such as: names of individuals and job title, reason for travel, description of other expenses, description of work to be contracted, type of supplies to be purchased, etc.

Provide a breakdown of the cost and full time-equivalent (FTE) effort allocated to each proposed task.

**Sample chart showing work year (FTE) and cost per task:**

Task	Description	FTE	Match FTE	% Budget
1	P2 library	.60	.15	59%
2	Respond to P2 Queries	.20	.05	30%
3	Training	.10	.10	11%
Total		.90	.30	100%