

**AGENCY:** Environmental Protection Agency (EPA)

**TITLE:** FY 2014 Pollution Prevention Grant Program – Request for Proposals

**ACTION:** Request for Proposals (RFP) - Amendment No. 1

**RFP NO.:** EPA-HQ-OPPT-2014-002

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

**DATE:** February 5, 2014

**SUMMARY:** This notice is issued to add an additional regional priority under Region 9.

Accordingly,

1. Page number 10 is amended to read as follows:

**Region 9 (AZ, CA, HI, NV, AS, GU)**

Promote projects that support:

- o Providing P2 technical assistance to businesses to address state environmental priorities, leading to measurable environmental outcomes.
- o One or more of Region 9's priority sectors, under the following P2 topics:
  - Electronics design for the environment;
  - Source reduction for food waste, with a focus on food service operations;
  - Sports and associated businesses (e.g. teams, leagues, sporting venues and partners) to promote multimedia source reduction; and
  - Source reduction for shipping or product packaging at the wholesale or retail level, through changes in design or materials.
- o Environmentally preferable purchasing or public access to information on chemicals in products, in order to influence regional or national markets.
- o Integrating green chemistry principles and concepts into product or process redesign, manufacturing, policy or procurement. Focus should be on practical approaches (tools, training, technical assistance, etc.) that help the public and private sectors apply the concepts of green chemistry in making operational and strategic decisions. Projects should consider how to reduce use of or exposure to EPA's Toxic Substances Control Act (TSCA) work plan chemicals (<http://www.epa.gov/oppt/existingchemicals/pubs/workplans.html>).

2. All other text remains unchanged.

**FEDERAL AGENCY:** U.S. Environmental Protection Agency (EPA), Office of Chemical Safety and Pollution Prevention, Office of Pollution Prevention and Toxics, Regional Pollution Prevention Program Offices

**FUNDING OPPORTUNITY TITLE:** Fiscal Year 2014 Pollution Prevention Grant Program

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

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** 66.708

**FUNDING OPPORTUNITY NUMBER:** EPA-HQ-OPPT-2014-002

**SUBMISSION DATE:** Proposals are due **Thursday, March 20, 2014, 11:59 pm, (EDT)**. Applicants may submit proposals by mail or electronically through Grants.gov. Proposals received after the submission date or those that are emailed or faxed will not be reviewed. For additional information, please refer to **Section IV**.

### **SUMMARY OF ANNOUNCEMENT**

EPA releases Pollution Prevention (P2) grant funds to states and tribal government entities to deliver technical assistance and training to businesses. The intent of this effort is to assist state and tribal governments to encourage businesses to adopt environmental strategies and solutions that significantly reduce or eliminate waste from the source. EPA anticipates it will award approximately \$4.1 million in program funding during Fiscal Year (FY) 2014 to states and tribes.<sup>1</sup> P2 awards will be funded in the form of grants and/or cooperative agreements. All awards will be issued and managed by EPA's Regional Pollution Prevention Program Offices (herein referred to as the Regions). The amount of grant funding available is dependent upon Congressional appropriation and the quality of proposals received.

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

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<sup>1</sup> FY 2014 is the period from October 1, 2013 – September 30, 2014. Regions 1 and 4 will limit individual awards to a range between \$60,000 and \$80,000. Region 7 will limit individual award amounts to a maximum of \$100,000 per year and will cap individual award totals to \$150,000.

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## FULL TEXT OF ANNOUNCEMENT

**I. Funding Opportunity Description:** Under this announcement, the Regions are announcing the opportunity for states (i.e., state agencies, state colleges or universities), federally-recognized tribes, and intertribal consortia to submit proposals under the P2 grant program. Projects that will be funded are those that clearly demonstrate how using P2 concepts, tools or techniques can significantly reduce or eliminate pollution across environmental media (air, water or land).<sup>2</sup> Under the authority of the Pollution Prevention Act of 1990 (PPA), the Regions anticipate that approximately \$4.1 million will be available in FY 2014. Awards will be issued in the form of grants and/or cooperative agreements. **Applicants are encouraged to read this announcement carefully as it provides important information on the goals of the program, grant policies and program requirements, and information on the evaluation and selection processes.**

**A. Purpose of P2 Grants:** P2 grants are issued to provide technical assistance and training to businesses on P2/source reduction techniques. Acceptable grant activities will emphasize a coordinated and comprehensive approach for promoting and implementing P2/source reduction assistance. Such assistance may be delivered in the form of technical advice, on-site technical assistance and instruction, or certification or training on preventing pollution at the source. Grant proposals should highlight: 1) the recipient of the assistance activity; 2) the type of assistance being provided; 3) how, when and where the assistance will be provided; and 4) how the assistance will be tracked in order to measure performance. Real life examples of acceptable P2/source reduction assistance activities include, but are not limited to: providing on-site P2 training for small to mid-sized businesses to large manufacturers on Lean and Green concepts; helping businesses set up environmental management system protocols; providing educational workshops on P2 to businesses; offering P2 technical advice to state agencies or university staff who in turn use this knowledge to train businesses on best management practices; providing certification seminars to businesses; supporting recognition programs that honor businesses for promoting or implementing P2/source reduction techniques, etc.

**B. National Focus Areas for FY 14 P2 Grants:** The following focus areas were shaped by the goals of EPA's 2010-2014 P2 Program Strategic Plan. The Plan, drafted by Headquarters and the Regions, provides a workable framework for addressing climate change, sustainability, business efficiency and P2 integration activities over a five-year period.<sup>3</sup> The Plan's five goals are:

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<sup>2</sup> Assistance agreements under this announcement are awarded under the authority of Section 6605 of the PPA of 1990, Public Law 101-508, 42 U.S.C. 13104, 40 CFR 35.340 and 35.660. See <http://epw.senate.gov/PPA90.pdf> for more information.

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

1. Reduce the generation of greenhouse gas (GHG) emissions to mitigate climate change;
2. Reduce the manufacture and use of hazardous materials to improve human and ecological health;
3. Reduce the use of water and conserve other natural resources to protect ecosystems;
4. Create business efficiencies that derive economic benefits and improve environmental performance while addressing goals 1, 2, or 3; and,
5. Institutionalize and integrate pollution prevention practices by way of technical assistance, policies, and/or initiatives while addressing goals 1, 2, or 3.

To align with the goals of the Plan, the P2 Program has prioritized five national focus areas for P2 grant assistance: 1) greenhouse gas reduction; 2) toxic and hazardous materials reduction; 3) resource conservation; 4) business efficiency; and 5) P2 integration. Each focus area is described in more detail below. Along with other program requirements, grant proposals must address at least one national focus area in order to be considered for funding.

1. **Greenhouse Gas Reduction:** The proposal must describe how grant activities will reduce GHGs through P2 practices. GHGs include the following:
  - a. **Carbon Dioxide (CO<sub>2</sub>):** Carbon dioxide enters the atmosphere through the burning of fossil fuels (oil, natural gas, and coal), solid waste, trees and wood products, and is also emitted as a result of other chemical reactions (e.g., the manufacture of cement).
  - b. **Methane (CH<sub>4</sub>):** Methane is emitted during the production and transport of coal, natural gas, and oil. Methane emissions also result from livestock and other agricultural practices and by the decay of organic waste in municipal solid waste landfills.
  - c. **Nitrous Oxide (N<sub>2</sub>O):** Nitrous oxide is emitted during agricultural and industrial activities, as well as during combustion of fossil fuels and solid waste.
  - d. **Fluorinated Gases:** Hydrofluorocarbons (HFCs), perfluorocarbons (PFCs), and sulfur hexafluoride (SF<sub>6</sub>) are synthetic chemical compounds with high global warming potential (much higher than CO<sub>2</sub>, CH<sub>4</sub>, and N<sub>2</sub>O) that are used and released in a wide variety of commercial products and industrial processes (such as refrigerants, solvents, aerosol propellants, insulating foams, fire suppression agents, and heat transfer agents).

2. **Toxic and Hazardous Materials Reduction:** The proposal must describe how grant activities will reduce or eliminate toxic and/or hazardous materials resulting in reduced risk to public health and the environment.

For purposes of this announcement, EPA considers toxic and hazardous materials reduction as the reduction or elimination of in-process generation of toxic and/or hazardous materials, including process inputs, process by-products, and process wastes, releases and discharges.

3. **Resource Conservation:** The proposal must describe how grant activities will reduce the use of raw materials; energy, water or other resources. Resource conservation efforts should be linked to GHG reductions with appropriate calculations.

For purposes of this announcement, EPA considers resource conservation as P2 practices that can reduce the use of raw materials, energy, water or other resources and/or protects natural resources through conservation.

4. **Promote Business Efficiency:** The proposal must describe how grant activities will produce economic benefits and improve environmental performance while addressing focus areas 1, 2 or 3 as noted above.

5. **Promote P2 Integration:** The proposal must describe how grant activities will help to institutionalize and/or integrate P2 practices by way of technical assistance, policies, and initiatives that will aid the business community while addressing focus areas 1, 2, or 3 as noted above.

**C. EPA Regional P2 Priorities:** To complement the national focus areas described above, each Region has a set of priorities that highlight specific environmental issues, projects, and/or programs of significant interest to the Region. Along with other requirements, applicants must address at least one regional priority. The proposed activity must take place in one Region. Proposed work in multiple Regions will not be considered.<sup>4</sup>

#### **Region 1 (CT, ME, MA, NH, RI, VT)**

Promote projects that support:

- o Solutions to an environmental media problem concerning air (indoor or outdoor air), water (storm water, waste water or drinking water) or land use/waste or multi-media activity.
- o Technical assistance to businesses that are state or Regional priorities to reduce hazards or toxics through P2; this includes assistance to businesses in priority communities that will lead to long-term sustainable results and will emphasize how the community will be positively affected by the project.

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<sup>4</sup> Applicants residing in one Region may propose work in another Region. In this circumstance, proposals must be sent to the Region where the work will take place.

- o Technical assistance to businesses that are typically significant energy users or are significant water users in an effort to conserve water and energy. Sectors including groceries, healthcare and lodging are examples of state and regional priority sectors. Regional approaches (*covering more than one state within Region 1*) for outreach to priority sectors are preferable.
- o [Economy, Energy, Environment \(E3\)](#) projects for any New England manufacturing sector.
- o Projects focused on testing or piloting low toxicity, or nonhazardous materials or chemicals as substitutes for toxic or hazardous materials used in business and industry. *This priority is limited to award funding totaling no more than \$60,000.*

## **Region 2 (NJ, NY, PR, VI)**

Promote projects that:

- o Achieve significant measurable P2 results by assisting businesses in reducing greenhouse gas emissions (e.g., energy efficiency), reducing the generation and use of hazardous materials (e.g., toxics in products and processes), conserving water, or saving money.
- o Address the above criteria and focus on toxics reductions (e.g., green chemistry, engineering and design) related to manufacturing and commercial operations that impact local communities, especially those that bear a disproportionate share of the adverse environmental consequences (e.g., urban neighborhoods subject to flooding).

## **Region 3 (DE, DC, MD, PA, VA, WV)**

Promote projects that support:

- o P2 technical assistance programs with the goal of achieving measurable P2 results from businesses.
- o P2 projects that assist businesses to [Lean and Green](#) their operations with the goal of achieving measurable P2 results. Of particular interest are collaborative projects to implement the [Economy, Energy and Environment \(E3\)](#) initiative, or to pilot a by-product synergy network that addresses hazardous materials.

#### **Region 4 (AL, FL, GA, KY, MS, NC, SC, TN)**

Promote projects that:

- o Encourage industries, utilities, municipalities and other institutions to reduce pounds of pollution, conserve water and/or energy, reduce greenhouse gases, and save money through [Economy, Energy and Environment \(E3\)](#) by using [Lean and Green](#) initiatives. Of particular interest are proposals that provide P2 and Lean assessments that result in recommendations leading to measureable reductions in hazardous waste, greenhouse gas emissions, water use and energy consumption while saving money.
- o Examine connections among green building, neighborhood connectivity, and/or construction sectors. Projects should focus on achieving cost savings, reducing greenhouse gas emissions, energy efficiency and reducing air emissions associated with transportation and water conservation. *Projects that will not be considered under this topic area include those that seek to use funds for equipment and supplies that will be used to retrofit buildings (e.g., changing out lighting, windows etc.) or building systems upgrades.*

*The Region will limit individual awards to a range between \$60,000 and \$80,000.*

#### **Region 5 (IL, IN, MI, MN, OH, WI)**

Promote projects that:

- o Develop sustainable P2 practices and achieve measurable results through hazardous substance reductions in processes and products, chemical usage, and/or extension of product life. Such projects would also result in greenhouse gas (GHG) reductions and costs savings. For example, the reduced use of hydrofluorocarbons and other high Global Warming Potential chemical solvents could result in dramatic GHG emission reductions, as well as hazardous substance reductions.
- o Provide businesses with technical assistance in making their operations Lean and Green through initiatives like [Economy, Energy, and Environment \(E3\)](#), by-product synergy with a focus on hazardous substances, greening the supply chain, and/or other collaborative efforts. Projects should result in reduced energy, water and hazardous substance usage, reduced GHG emissions and reduced costs.

## **Region 6 (AR, LA, NM, OK, TX)**

Promote projects that support:

- o Technical assistance projects to businesses in vulnerable communities using outreach material and/or training on how to live greener, healthier lives, while living within their means.
- o Community based initiatives such as [Energy, Economy and Environment \(E3\)](#) using lean and green techniques or promote projects that support P2/source reduction workshops for businesses and business consumers to encourage strategic thinking and planning. Activities will realize tangible benefits by reducing pollution, hazardous waste and water usage, saving money and/or conserving energy.
- o P2 results in high impact sectors/fields such as entertainment (sports, hospitality, parks), petrochemicals, resource extraction, state and local government installations, agriculture and consumer purchasing.
- o P2 projects that work with businesses to develop, improve or implement measurement methods that exceed national standards.
- o Education and training to help businesses manage hazardous and other waste materials in a more sustainable way including an emphasis on measurable source reduction.

## **Region 7 (IA, KS, MO, NE)**

Promote projects that reduce Climate Change:

The Region seeks high impact projects that must provide measurable, implemented results for reduced greenhouse gases; water; hazardous or toxic materials usage; and costs associated with these aforementioned environmental outcomes.

Projects that include assistance from external partners must show Letters of Support. Only Letters of Support will be considered in evaluative ranking process.

Acceptable project focus areas are:

- o Support P2 projects in one or more of Region 7's priority sectors:
  - Agriculture
  - Food processing
  - Healthcare
- o Greening the supply chain

- o Provide technical assistance, education and project management under the [Economy, Energy and Environment \(E3\)](#) initiative for Iowa or Missouri businesses.
- o Explore motivational factors in Region 7 (e.g., financial , social, other) for implementing and reoccurrence of benefits from implemented P2 recommendations which include:
  - Practices and procedures (e.g., preventative maintenance)
  - Training and policy
  - Off-site recycling
  - Purchasing & inventory
  - Energy & efficiency
  - Modification
  - Equipment
  - Process
  - Material substitution
  - In-process recycling

Region 7 acknowledges that there are some specific regulatory barriers or P2 opportunities that would benefit from P2 focus related to the above priorities. Notably these may include green chemistry or green engineering elements. Region 7 will conduct a webinar to answer questions and provide examples of projects that would greatly benefit from P2 efforts. Please contact the Region 7 representative listed in **Section VII** or visit [www.facebook.com/eparegion7](http://www.facebook.com/eparegion7) for information about the webinar within ten (10) calendar days of this announcement.

*The Region will limit individual award amounts to a maximum of \$100,000 per year and will cap total multi-year award amounts at \$150,000.*

## **Region 8 (CO, MT, ND, SD, UT, WY)**

Promote projects that support:

- o P2 techniques and strategies for businesses (e.g., energy efficiency, Lean and Green techniques, green chemistry) and achieve measurable results by reducing greenhouse gases and hazardous waste, limiting water use, saving money and/or conserving energy.
- o P2 techniques and strategies in high impact sectors/fields such as entertainment, sports, hospitality, parks, petrochemicals, resource extraction, government and military installations, agriculture, and consumer consumption that result in achievable measures by preventing and reducing air, water, waste, and greenhouse gas emissions at the source, and/or saving money.
- o Implement partnerships and technical assistance efforts to support EPA's [Economy, Energy and Environment \(E3\)](#) initiative by testing the approach in businesses and/or agriculture. Assessment and training opportunities will emphasize energy efficiency, hazardous materials reduction, carbon emissions

reduction, and sustainable practices and growth. Projects will also result in short and near-term environmental outcomes (reduction in greenhouse gases, reduction in hazardous materials, water conservation, and/or saving money). These environmental outcomes will result from action taken at all tiers within the business or agricultural structure.

### **Region 9 (AZ, CA, HI, NV, AS, GU)**

Promote projects that support:

- o Providing P2 technical assistance to businesses to address state environmental priorities, leading to measurable environmental outcomes.
- o One or more of Region 9's priority sectors, under the following P2 topics:
  - Electronics design for the environment;
  - Source reduction for food waste, with a focus on food service operations;
  - Sports and associated businesses (e.g. teams, leagues, sporting venues and partners) to promote multimedia source reduction; and
  - Source reduction for shipping or product packaging at the wholesale or retail level, through changes in design or materials.
- o Environmentally preferable purchasing or public access to information on chemicals in products, in order to influence regional or national markets.
- o Integrating green chemistry principles and concepts into product or process redesign, manufacturing, policy or procurement. Focus should be on practical approaches (tools, training, technical assistance, etc.) that help the public and private sectors apply the concepts of green chemistry in making operational and strategic decisions. Projects should consider how to reduce use of or exposure to EPA's Toxic Substances Control Act (TSCA) work plan chemicals (<http://www.epa.gov/oppt/existingchemicals/pubs/workplans.html>).

### **Region 10 (AK, ID, OR, WA)**

Promote projects that:

- o Prevent the production and/or emission of greenhouse gases by integrating energy efficiency and/or greenhouse gas measurement support into P2 technical assistance;
- o Support state priorities of safer chemical alternatives, [Lean and the Environment](#), P2 planning, and toxics initiatives to assist businesses;
- o Provide technical assistance to businesses involving cross regional and national P2 initiatives, including [Economy, Energy and the Environment \(E3\)](#).

#### **D. Grant Program Requirements:**

1. **Eligible Applicants:** Section 6605 of the PPA and applicable parts of 40 CFR Part 35, Subparts A and B (40 CFR 35.340 et seq. and 35.660 et seq.) authorizes EPA to award grants and cooperative agreements to the fifty states, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the U.S. (40 CFR 35.345), any agency or instrumentality of a state, including state colleges/universities, federally-recognized tribes that meet the requirements for treatment in a manner similar to a state (40 CFR 35.663) and intertribal consortia (40 CFR 35.504).<sup>5</sup>
2. **Definition of P2:** For purposes of this announcement, P2 does not include any practice which alters the physical, chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which itself is not integral to and necessary for the production of a product or the providing of a service (refer to PPA Section 6603 and 40 CFR 35.343 and 35.662). Recycling of discarded materials cannot serve as a basis for P2 grant funding and is more suited to grants awarded by EPA's Office of Resource Conservation and Recovery. For more information on recycling and related programs, go to: <http://www.epa.gov/epawaste/conserve/>.
3. **Examples of P2:** The P2 Program discourages a focus on reducing non-hazardous pounds of pollution and materials (e.g., providing technical assistance on source reduction to manufacturers or small businesses). P2 can be accomplished through offering training on equipment or technology modifications; technical assistance on modifying processes or procedures and extending the life of non-discarded hazardous materials; training on redesigning products that use fewer materials; or training on the substitution of raw materials to support a more environmentally preferable method. For additional information on allowable P2 grant activities, please find summaries of P2 grant awards at: <http://www.epa.gov/p2/pubs/grants/index.htm#p2summ>.
4. **Statutory Criteria:** As mandated in PPA 6605(b) and EPA's P2 regulations at 40 CFR 35.342 and 35.661, a P2 grant proposal must address and will be evaluated on whether it:
  - a. Makes specific technical assistance available to businesses seeking information about source reduction opportunities, including funding for experts to provide on-site technical advice to businesses and to assist in the development of source reduction plans;

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<sup>5</sup> Colleges or universities that are agencies or instrumentalities of a state government are eligible. Colleges or universities that are not chartered as a part of state government are not eligible. Colleges and universities must include documentation demonstrating that they are chartered as a part of a state government. Documentation may include: a state constitution reference, college/university charter, W-7 tax form or case law that has confirmed the college or university to serve as an instrumentality of a state.

- b. Targets assistance to businesses for whom lack of information is an impediment to source reduction; and
  - c. Provides training in source reduction techniques. Such training may be provided through local engineering schools or other appropriate means.
- 5. **Cost Sharing and Matching Requirements:** P2 grant recipients, as required under Section 6605(b) of the PPA, must provide at least a 50 percent match of the total allowable project cost. Refer to **Section III.A.**
- 6. **Project and Funding Period:** Proposals may be written for a funding period of one to three years.
- 7. **Alignment with EPA’s Statutory Measurement Provisions and Environmental Results Policy:** To comply with the provisions of the PPA and EPA’s Environmental Results Policy, grant applicants and recipients are required to estimate and report on the results of their project activities. As authorized under the PPA, (Section 6605 of the PPA, Public Law 101-508, 42 U.S.C. 13104) the Agency “shall establish appropriate means for measuring the effectiveness of the P2 grant program by promoting the use of source reduction techniques by businesses.” In addition, EPA’s Environmental Results Policy (EPA Policy Order No. 5700.7) requires the applicant to provide qualitative and quantitative estimates of expected outcomes and outputs on project activities and develop a plan for measuring and tracking their progress towards achieving the expected outcomes and outputs.<sup>6</sup>
  - a. **P2 Outcome Measures:** The term “outcome,” as defined by the Agency, refers to the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. For EPA’s P2 Program, higher-level outcomes are environmental, or health-related in nature, and lower-level outcomes are behavioral in nature or economic and must be quantified.

Examples of outcome measures anticipated from P2 grants include, but are not limited to:

    - o Pounds of hazardous materials reduced;
    - o Metric tons of carbon dioxide equivalent reduced (MTCO<sub>2</sub>Eq)<sup>7</sup>;

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<sup>6</sup> EPA Order 5700.7, Environmental Results Under Assistance Agreements - [http://www.epa.gov/ogd/epa\\_order\\_5700\\_7a1.pdf](http://www.epa.gov/ogd/epa_order_5700_7a1.pdf).

<sup>7</sup> P2 grantees will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO<sub>2</sub>e) reduced to reflect the true capacity that the grantee can document and track results. However, at the programmatic level, the P2 program and the Agency documents and tracks greenhouse gas results using the measure MMTCO<sub>2</sub>Eq. This measurement is used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions,

- o Gallons of water saved; and
- o Dollars saved through P2 efforts.

- b. P2 Output Measures:** The term “output,” as defined by the Agency, refers to an environmental activity or effort and associated work product related to an environmental goal or objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative, and must be measurable during the assistance agreement funding period.

Examples of output measures anticipated from P2 grants include, but are not limited to:

- o Number of stakeholder groups involved in the process;
- o Number of technical assistance visits;
- o Number of workshops, trainings and courses conducted; and
- o Number of fact sheets developed or distributed.

- 8. Proposal Measurement Elements:** Applicants are asked to submit proposals that explain how they plan to: 1) make disaggregated implementation activities and their associated results transparent to EPA by the end of the grant period; and 2) collect and measure implemented results. Proposals that include multiple projects will need to provide measurement information for each project. For general questions on why environmental measurement is important and what types of data to gather, please refer to the Pre-Proposal Assistance on Environmental Measurement (**Section IV.J**). Applicants are also encouraged to reference the Guidance for Submitting Environmental Measures (**Appendix C**) for more specific assistance on gathering and documenting environmental results.

- 9. Alignment with EPA’s Strategic Plan:** Proposals are required to commit to working towards the five long-term P2 targets provided in the Agency’s FY 2011-2015 Strategic Plan. The P2 Program’s targets are located under Goal 4: Ensuring Safety of Chemicals and Preventing Pollution, Objective 4.2: Promote Pollution Prevention.

Strategic targets:

- a.** By 2015, reduce 15 billion pounds of hazardous materials cumulatively through P2.
- b.** By 2015, reduce 9 million metric tons of carbon dioxide equivalent (MMTCO<sub>2</sub>Eq) cumulatively through P2.<sup>8</sup>

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please go to: <http://epa.gov/climatechange/emissions/index.html#method>.

<sup>8</sup> P2 grantees will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO<sub>2</sub>e) reduced to reflect the true capacity that the grantee can document and track results.

- c. By 2015, reduce water use by an additional 24 billion gallons cumulatively through P2.
- d. By 2015, save \$1.2 billion through P2 improvements in business, institutional, and government costs cumulatively.
- e. Through 2015, increase the use of safer chemicals cumulatively by 40 percent.

To view the Agency's FY 2011- FY 2015 Strategic Plan, go to: <http://www.epa.gov/planandbudget/strategicplan.html> and click on FY 2011- 2015 Strategic Plan. Information on P2 program strategic planning begins on page 57.

10. **Engaging Partners in P2 Grant Work:** Applicants who develop strong relationships with other environmental or business assistance providers can greatly enhance their opportunity for securing state and federal resources in the future.
  - a. **Types of Partnerships:** Partnerships may include university-based technical assistance and cooperative extension programs, and other environmental assistance programs offered within the state or tribe. Partnerships are also encouraged among trade organizations, federal programs and with regional and national programs such as with the Pollution Prevention Resource Exchange (P2Rx) Centers, EPA's Office of Enforcement and Compliance Assurance (OECA) Compliance Assistance Centers, EPA's Small Business Environmental Assistance Programs (SBEAPs), the Department of Commerce's National Institute of Standards and Technology (NIST) Manufacturing Extension Partnership Programs, the Department of Energy's (DOE) Industrial Assessment Centers, etc.<sup>9</sup> By developing such partnerships applicants can leverage outside expertise.
  - b. **Making Use of P2Rx Centers:** EPA is authorized to annually allocate a portion of its state and tribal assistance grant funding to maintain the development and dissemination of peer-reviewed P2 content to promote P2 practices by state and local governments as well as institutions and businesses through P2Rx Centers. The Centers promote networking through regional and national listservs, websites, webinars and

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However, at the programmatic level, the P2 program and the Agency documents and tracks greenhouse gas results using the measure MMTCO<sub>2</sub>Eq. This measurement is used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions, please go to: <http://epa.gov/climatechange/emissions/index.html#method>.

<sup>9</sup> If a partnership is formed with another federal program, the cash or in-kind contribution may not be used by the applicant to supplement the match requirement provided under this announcement. For more information on Cost Sharing and Matching Requirements, please refer to Section III.A.

conferences. The Centers also support P2 measurement work through the National P2 Results database system. To prevent duplication of P2 grant efforts, the Regions strongly encourage applicants to explore opportunities for collaboration with their regional P2Rx Center. Applicants should contact their Center to find out what kind of information or services may be available to assist in their proposed work. For more details on P2Rx, please visit <http://www.p2rx.org>.

**II. Award Information:** The Regions anticipate approximately \$4.1 million will be available in FY 2014 to issue P2 grants and cooperative agreements to eligible applicants (**refer to Section III**). As in previous years, individual grant awards are expected to be in the range of \$20,000-\$180,000. The amount of grant funding depends upon Congressional appropriation and the quality of proposals received. Collectively the Regions anticipate receiving approximately 60 grant proposals and issuing approximately 40 awards. Each Region reserves the right to reject all proposals and issue no awards, or issue fewer awards than anticipated. All awards must be consistent with the applicable EPA regulations and grant policies. In addition, each Region reserves the right to make additional awards under this announcement, if additional funding becomes available after the Region makes original selections. Any additional selections for awards will be made no later than six months from the date of the original selections.

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

**Note:** Partial funding allows for greater flexibility in awarding grant funds. Applicants are strongly encouraged to draft budgets that have clearly delineated activities or phases with separate budget estimates for each activity/phase of a project. The proposals should include budgets that estimate costs for each category (e.g., labor, fringe benefits, travel, equipment, supplies, contractors, and other direct costs or indirect costs). The budgets should itemize these costs under each project and should identify activities (and corresponding estimated costs) covered by the 50 percent match. Refer to **Section III.A** for additional information on the match requirement.

**B. Incremental Funding:** Award funding may also be issued as a multi-year award divided into: yearlong increments. For example, an applicant may request \$90,000 in total funding to be evenly divided in increments of \$30,000 each year over a three-year period. To receive P2 funding in this manner, the applicant must provide a three-year budget detailing how funds will be used for each year. The Region will have the discretion to fund or not fund any or all of the three years. If incremental funding is offered, it is not guaranteed but is contingent upon a range of factors, including federal funding availability in subsequent years, programmatic and performance history of grantees, programmatic priorities of the Region and other evaluation factors.

**C. Funding Restrictions:** Applicants must clearly demonstrate how P2 grant funded work will promote source reduction techniques by businesses.<sup>10</sup> Funding may only be used for the purposes set

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<sup>10</sup> Applicants will need to note a connection to aiding businesses in their proposals. Applicants may refer to the EPA P2 Grant Program Frequently Asked Questions page for more information –

forth in the grant agreement and must be consistent with the statutory authority (PPA Section 6605) of the P2 grant program and EPA's regulations for implementing the P2 grant program (40 CFR 35.340 or 35.660, as applicable). Award funds cannot support non-federal Electronic Product Environmental Assessment Tool (EPEAT) purchasing activity. 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 (2 CFR 225), A-122 (2 CFR 230), and A-21 (2 CFR 220), as appropriate. If necessary, the Region will subtract the proposed ineligible costs from the final approved budget.

**D. Types of Assistance Agreements:** P2 grant funds will be issued in the form of grants and/or cooperative agreements under the authority of PPA, Section 6605. The Region will award cooperative agreements for those projects in which the Region expects to have substantial technical interaction with the grant recipient during the assistance agreement. For such projects, the Region may: review and approve project phases, proposed work of subgrantees and contractors who collaborate with the grant recipient; review and approve proposed procurements in accordance with 40 CFR 31.36(g) and 40 CFR 30.43(e); scope of work agreements, monitor the operation of the projects; approve qualifications of key personnel; closely monitor the grant recipient's performance; approve any proposed changes to the work plan and/or budget; and review and comment on tasks or deliverables and reports or publications prepared under the assistance agreement (the final decision on content of reports will rest with the recipient.) The Region will not be substantially involved in the performance of grants.

**III. Eligibility:** Eligible applicants include the fifty states, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the U.S. (40 CFR 35.345), any agency or instrumentality of a state, including state colleges/universities, federally-recognized tribes that meet the requirements for treatment in a manner similar to a state (40 CFR 35.663) and intertribal consortia (40 CFR 35.504).<sup>11</sup>

**A. Cost Sharing and Matching Requirements:** P2 grant recipients, as required under Section 6605(c) of the PPA, must provide at least a 50 percent match of the total allowable project cost. For example, the federal government will provide half of the total allowable cost of the project and the recipient will provide the other half. Cost sharing and matching contributions may include dollars, in-kind goods and services (such as volunteered time, photocopying and printing services, etc.) and/or third party contributions consistent with 40 CFR 31.24 or 40 CFR 30.23. In the detailed budget, the use of the matching funds must be documented. *The match requirement may be applied at the time of award or at specified intervals during the project period.* The grant applicant must document in the itemized budget plan the type of match to be applied and how it will be used. The grant project officer in the Region will monitor the grant recipient's compliance. If the match requirement is not met or is

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<http://epa.gov/p2/pubs/grants/ppis/FAQP2RFP.pdf>.

<sup>11</sup> Colleges or universities that are agencies or instrumentalities of a state government are eligible. Colleges or universities that are not chartered as a part of state government are not eligible. Colleges and universities must include documentation demonstrating that they are chartered as a part of state government in their proposals. Documentation may include such things as: state constitution, university charter, or case law that has confirmed the college or university as a state agency or instrumentality of a state.

not applied at specified intervals during the project period, federal funding will cease and the recipient may be subject to an enforcement action whereby EPA would, for example, disallow costs.<sup>12</sup>

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

**B. Threshold Program and Submission Requirements:** Proposals must meet the Threshold Program and Submission Requirements provided below at the time of submission in order to be considered for funding. The Region will evaluate proposals based on these preliminary requirements. If applicants are found ineligible, emails/letters will be sent within 15 calendar days after the Region reaches its decision.

**C. Threshold Program Requirements:** This section addresses what to include in the proposal.

1. Proposals must address at least one national focus area (**Section I.B**);
2. Proposals must address at least one priority of the applicable Region. (**Section I.C**);
3. Proposals must substantially comply with the grant program requirements. (**Section I.D**);
4. If a proposal includes any ineligible tasks or activities that portion of the proposal will be ineligible for funding and may, depending on the extent to which it affects the proposal, render the entire proposal ineligible for funding.

**D. Threshold Submission Requirements:** This section addresses how applicants should prepare their proposal packages.

1. The proposal package must substantially comply with the submission instructions and requirements set forth in **Section IV** of this RFP or the proposal will be rejected. Applicants are expected to adhere to the page limit requirement of **10 pages or less (Section IV.C)**. The page limit applies to the proposal narrative (i.e., the project narrative, plus the work plan). Pages in excess of the 10 pages will not be reviewed.
2. Proposals must be received by the Region on or before the proposal submission deadline provided in **Section IV.A**. Applicants are responsible for ensuring that their proposal reaches the Region listed in **Section VII** by the submission deadline.

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<sup>12</sup> For additional information on items that may be used to satisfy the match requirement, states and federally-recognized tribes should refer to OMB Circular A-87, Attachment B by visiting [http://www.whitehouse.gov/omb/circulars\\_a087\\_2004/%23attb#attb](http://www.whitehouse.gov/omb/circulars_a087_2004/%23attb#attb). Colleges and universities should refer to OMB Circular A-21 by visiting [http://www.whitehouse.gov/omb/circulars\\_a021\\_2004/](http://www.whitehouse.gov/omb/circulars_a021_2004/).

3. Proposals received after the submission deadline will be considered late and returned to the applicant without further consideration, unless the applicant can clearly demonstrate that the package was late due to EPA mishandling.
4. Applicants choosing to send proposals electronically through Grants.gov must follow the instructions provided in Appendix A.

**E. Special Requirements for States, Tribes, Intertribal Consortia and Insular Area**

**Applicants Using Performance Partnership Grant Agreements:** Due to their special status, applicants from states, federally-recognized tribes and insular areas that intend to include P2 grant funds in a performance partnership grant (PPG) will need to address the following:

1. **PPG Requirement for States:** State agencies that choose to include funds from a competitive P2 grant into a PPG must describe the commitments of P2 grant activities as part of the overall PPG agreement. Refer to 40 CFR 35.138.
2. **PPG Requirement for Tribes:** Tribes that choose to include funds from competitive P2 grants into PPGs must describe the grant commitments as part of any PPG agreement. If Tribes successfully incorporate P2 work into PPGs, the match requirement for the P2 portion of the work will be reduced from 50 to 5 percent. The reduction in the match applies to the first two years of the PPG agreement. If PPG commitments significantly differ from P2 grant commitments, then Tribes will need to consult with their EPA Regional Administrator (RA), who must in turn consult with EPA's Office of Pollution Prevention and Toxics, Pollution Prevention Division for approval (refer to 40 CFR 35.535(b)).

After the first two years of the PPG agreement, the RA must determine through objective assessment whether Tribes meet the socioeconomic indicators to provide a cost share greater than 5 percent. If the RA determines that Tribes meet such indicators, then the cost share requirements shall increase up to a maximum of 10 percent of the total allowable cost of project work. However, the RA may waive cost sharing if socioeconomic indicators indicate that increasing cost sharing would impose undue hardship on the Tribes (refer to 40 CFR 35.536(d)).

**IV. Proposal Submission Information:** The application process is a two-step process involving a **proposal** package, followed by an **application** package. The applicant first submits a proposal to the Region or through Grants.gov. **Section IV.D** below provides instructions for preparing these items. Applicants that submit eligible proposals that merit further consideration based on the evaluation criteria in **Section V.A** will be contacted by the Region and asked to submit an application package. Only those applicants who are asked to submit an application will be considered for a P2 grant or cooperative agreement. Application materials include additional federal forms and supporting documentation. An application **should not** be submitted at this time.

**A. Submission Deadline:** Proposals are due **Thursday, March 20, 2014, 11:59 pm (EDT)**. Applicants may submit a proposal by mail or electronically through Grants.gov. Emailed and faxed submissions will not be reviewed. If mailing a proposal, it must be received by the EPA Region listed

in **Section VII** on or before the submission deadline. If sending a proposal through Grants.gov, the proposal must be date and time stamped by the deadline. Proposals received after the submission deadline will be considered late and will not be reviewed. For additional information on submitting a proposal please refer to **Section IV**. The Regions anticipate that final grant selections will be made 180 days after this announcement is posted.

**B. Proposal Submission Methods:** Applicants may choose to submit proposals in *one of two ways – hard copy or electronically*. If submitting by hard copy, please follow the instructions under “Hard Copy Submission” (**refer to Section IV.E**). If submitting electronically, the applicant must do so through Grants.gov. Please follow the instructions under “Electronic Submission” (**refer to Section IV.F**) for more information.

**C. Proposal Length and Format:** The proposal narrative as described in **Section IV.D.4** below must be no longer than 10 single-spaced pages (i.e., a page equals one side). Proposals longer than 10 pages will only be reviewed up to the page limit. Proposals must be in PDF or MS Word for Windows.

**D. Proposal Materials:** With exception to letters of support, the following materials are required.

**1. Proposal Cover Page:**

- a. Grant program title;
- b. Funding opportunity number of this announcement;
- c. Title of proposal;
- d. Short description of proposal;
- e. Total funding of project and requested funding of project;
- f. Applicant’s contact information (i.e., name of applicant, name of organization, mailing address, phone number, fax number, and email address); and
- g. System for Award Management Registration Date (**refer to Section VI.C**).

**2. Application for Federal Assistance Form (SF-424):** To download the form, go to: <http://www.epa.gov/ogd/AppKit/form/SF424.pdf>. When filling out the form applicants must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. Applicants can receive a DUNS number, at no cost, by calling the toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website: <http://fedgov.dnb.com/webform>.

**3. Key Contacts Form (5700-54):** To download the form, go to: [http://www.epa.gov/ogd/forms/adobe/5700-54\\_sec.pdf](http://www.epa.gov/ogd/forms/adobe/5700-54_sec.pdf). Please identify key personnel who will file and manage the paperwork, fund activities and direct the proposal.

**4. Proposal Narrative:** The proposal narrative includes parts – **a and b** which will be evaluated along with other evaluation criteria. Please refer to **Section V.A**. The

proposal narrative is subject to a 10-page limit (**Section IV.C**).

- a. **Applicant Narrative:** Applicants are asked to address their programmatic capability and past performance under previous grant agreements.
  - b. **Strategy:** The project strategy should lay out a realistic and thoughtful plan for promoting and implementing P2. The Region will evaluate the project's strategy based upon the evaluation criteria in **Section V.A**.
5. **Letters of Support:** *Including Letters of Support as part of the grant proposal is optional.* The Regions will consider Letters of Support that describe the service the grant partner(s) will provide to help carry out the work.<sup>13</sup>

**E. Hard Copy Submission:** Applicants choosing to submit their proposal package by hard copy **must** send **two** complete copies to the Region listed in **Section VII**. EPA strongly recommends that applicants use overnight delivery service or courier service as regular mail may be subject to unforeseeable delays. Proposals received after the submission deadline as noted in **Section IV.A** will not be considered for funding. Proposals must be prepared in accordance with **Sections IV.C and D**. Applicants are encouraged to send an email to the Region listed in **Section VII** to serve as a notification that a hard copy proposal was submitted.

**F. Electronic Submission:** Applicants who choose to apply electronically must submit the entire proposal through Grants.gov (<http://www.grants.gov>). Please follow the instructions in **Appendix A**. Applicants should not email or fax any portion of the proposal to the Region, as it will not be reviewed.

**G. Submission Requirements:**

1. **Confidential Business Information:** In accordance with 40 CFR 2.203, applicants may claim all or a portion of their proposal/application as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark proposals/applications or portions thereof 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, the agency considers competitive proposals/applications confidential and protected from disclosure prior to the completion of the competitive selection process.
2. **Federal Requirements:** If an applicant's proposal is preliminarily selected for potential federal funding during the initial review process, the applicant will be contacted by the Region and instructed to submit required application forms. All application forms **must** be filled out in their entirety, prior to being considered for an award (refer to 40 CFR 30.12 and 31.10). In addition, successful applicants will be required to certify that they have not been debarred or suspended from participation in federal assistance awards in accordance with 2 CFR Part 108.

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<sup>13</sup> Region 7 shall require applicants that receive assistance from grant partner(s) to include Letters of Support in proposal packages.

3. **Intergovernmental Review:** The P2 grant program is eligible for coverage under E.O. 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 information on what the state requires when applying for federal grant assistance. Each state makes the determination as to whether the federal grant program has been selected for state review. If the state has not selected the program for review or the state does not have a single point of contact, applicants must still coordinate directly with the affected state, 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 [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.*

**H. Additional Submission Provisions:** A list of additional provisions that apply to this announcement and/or awards made under this announcement, include provisions related to: Confidential Business Information, Contracts and Subawards under Grants, and Management Fees can be found at [http://www.epa.gov/ogd/competition/solicitation\\_provisions.htm](http://www.epa.gov/ogd/competition/solicitation_provisions.htm). Applicants are strongly encouraged to review these and other grant provisions when preparing proposals for this solicitation. If an applicant has difficulty in accessing the provisions electronically at the website above, please communicate with the appropriate EPA contact listed in this solicitation to obtain the provisions.

**I. Pre-proposal/Application Assistance and Proper Communication with Applicants:** In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1),<sup>14</sup> P2 program 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 evaluation criteria. Applicants are responsible for the contents of their proposals and applications. However, consistent with the provisions in this RFP, P2 program staff will respond to questions from applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement. In addition, if necessary, EPA may clarify threshold eligibility issues with applicants prior to making determinations on eligibility.

**J. Pre-proposal Assistance on Environmental Measurement:** A frequently-asked-questions (FAQ) page was developed to assist P2 grant applicants better understand why documenting and reporting environmental measurement data is important. The FAQ page provides general information on: what to measure, how to measure and how the work will be evaluated. Applicants are encouraged to refer to this page when preparing their proposals. For more information, please go to: [Q&As on the Requirements to Provide Estimates of Outcomes for Proposed Grant and Cooperative Agreement Projects and To Track Progress](#). The questions and answers are meant to supplement information provided in **Appendix C – Guidance for Submitting Environmental Measures**.

**K. Duplicate Funding:** Applicants are not prohibited from submitting the same or virtually the same proposal to EPA under multiple competitions, if appropriate. However, if an applicant does so, and the proposal is selected for award under another competition, the selection will affect their ability

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<sup>14</sup> EPA Order 5700.5A1 - [http://www.epa.gov/ogd/competition/5700\\_5\\_a\\_1\\_comp\\_policy\\_revised.pdf](http://www.epa.gov/ogd/competition/5700_5_a_1_comp_policy_revised.pdf).

to receive an award under this competition.

**V. Proposal Review Information:** This section describes the process and criteria for evaluating eligible proposals. The Regions will only evaluate proposals from eligible applicants that meet the threshold program requirements and threshold submission requirements (**Sections III.C and D**).

**A. Evaluation Criteria:** Eligible proposals will be evaluated on the criteria noted below. Proposals can receive a maximum score of 100 points.

**1. Programmatic Capability and Past Performance [15 points broken out below]**

- a. Programmatic Capability** – Proposals will be evaluated based on the quality and extent to which:
  - (i)** Applicants can clearly describe their organizational experience, staff qualifications, and use of funding to demonstrate sound skill in successfully completing proposed proposal activities. **[3 points]**
  - (ii)** Applicants clearly describe their approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner. **[3 points]**
- b. Past Performance** – Proposals will be evaluated based on the quality and extent to which:
  - (i)** Applicants can demonstrate they have successfully performed and managed federally-funded assistance agreements (federal grants and cooperative agreements and not contracts) of similar size, scope and relevance to the proposed project within the last three years. **[3 points]**
  - (ii)** Applicants have complied with reporting requirements under these federally-funded assistance agreements including submission of final technical reports that have been approved by an EPA grant project officer. **[3 points]**
  - (iii)** Applicants have adequately documented and reported how they have achieved expected environmental outcomes under prior grant agreements. **[3 points]**

**Note:** *In evaluating applicants past performance history, the Regions will consider no more than five assistance agreements and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). Applicants with no relevant or available past performance reporting history must indicate this in their proposal. Applicants falling into this category will receive a neutral score of [1.5 point for each subfactor].*

*Applicants that make no mention of programmatic capability and past performance will receive a score of [0 points] for these factors.*

**2. Strategy [85 points broken out below]**

**a. Technical Assistance** – In accordance with the statutory criteria for P2 grants as described in PPA 6605(b), 40 CFR 35.342 and 40 CFR 35.661, proposals will be evaluated on the quality and extent to which activities:

- (i)** 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 in the development of source reduction plans; **[12 points]**
- (ii)** Target assistance to businesses for whom lack of information is an impediment to source reduction; and **[6 points]**
- (iii)** Provide training in source reduction techniques. Such training may be provided through local engineering schools or other appropriate means. **[6 points]**

**b. Environmental and/or Human Health Concerns** – Proposals will be evaluated on the quality and extent to which:

- (i)** Applicants specify how projects will address environmental and/or human health concerns under one or more national focus areas. Refer to **Section I.B.** **[8 points]**
- (ii)** Applicants specify how projects will address environmental and/or human health concerns under a regional priority. Refer to **Section I.C.** **[14 points]**

*Note: Under this criterion, the Regions will evaluate how well proposals present a reasonable and measurable approach for completing identified tasks.*

**c. Environmental Results** – Proposals will be evaluated on the extent to which applicants credibly show they expect to achieve significant environmental results. The significance of results will vary depending on the nature of the projects and could include: reducing hazards or toxicity; the volume or breadth of results achieved during the grant period; the anticipation of continuing results beyond the grant period; maintaining an ongoing P2 program within a state; special aspects of research or training; and so forth. Factors affecting the significance of results could include whether a state economy is more industrial or agricultural; whether the geographic distribution of results makes it important to maintain a P2 presence within a state; or whether proposed activities are research-based, facility-based or training-based. Credibility under this

evaluation factor can be established by meeting the requirements of **I.D.8**.  
**[20 points]**

- d. **Transferability** – Proposals will be evaluated on the quality and extent to which the applicants demonstrate that:
  - (i) P2 tools or activities will be utilized by a business, facility, academic institution or community after the grant period. **[3 points]**
  - (ii) Lessons learned from the project will be utilized by social media, workshop certifications, trainings, or in educational curriculum for the purpose of increasing awareness after the grant period. **[3 points]**
- e. **Partnerships** – Proposals will be evaluated based on the extent to which applicants use partnerships to address environmental and/or human health concerns. **[4 points]**
- f. **Budget Detail (Section I.D.9.d)** – Proposals will be evaluated on the quality and extent to which applicants present estimated costs for each budget object class, broken down by project and funding source. Regions will also evaluate whether budget costs are reasonable and necessary. Budget details must comply with the cost share requirements (**Section III.A**) and show set aside costs for environmental measurement activities. In some cases these activities may require a 10-20 percent share of the proposed budget. **[6 points]**  
  
*Note: The Regions may provide discrete levels of partial funding when selecting proposals. Applicants are strongly encouraged to provide budget details for delineated projects to allow for partial funding (**Section II.A**). This practice will give selected applicants a greater chance of being considered for partial funding. For applicants that submit multi-year proposals, multi-year budgets also need to be submitted in order to be eligible for incremental funding. (**Section II.B**).*
- g. **Timeline** – Proposals will be evaluated on the quality and extent to which applicants present reasonable and achievable milestones. A project timeline of no more than three years (**Section I.D.6**) should reflect project tasks and deliverables as well as data collection activities capturing environmental results (**Sections I.D.7 and 8**). Also, refer to **Appendix D**. **[3 points]**

**B. Review and Selection Process:**

- 1. **Review Process:** Eligible proposals will be reviewed by the Region’s review panel. The review panel will be composed of P2 program staff and may include staff from other regional program offices. Evaluations will be based on the evaluation criteria and point scoring noted in **Section V.A**.
- 2. **Selection Process:** Each Region will rank proposals and submit a list of proposed selections along with a selection rationale document to their Regional Division Director

(RDD). Following the evaluation, applicants will be notified by the Region of their status.

3. **Final Funding Decisions:** The RDD will make final decisions based on evaluation rankings and preliminary recommendations of the EPA review panel. In making final funding decisions, the RDD may also consider programmatic priorities and geographic diversity. Final concurrence is required from the Pollution Prevention Division Director or Deputy Director in EPA Headquarters to initiate the funding recommendation process. Once final decisions have been made, funding recommendations will be forwarded to the EPA Award Official. The Regions *anticipate* that final funding decisions will be made by August 2014.

## **VI. Award Administration Information:**

**A. Award Announcements:** After proposal packages have been reviewed and evaluated, the Regions will notify applicants of their status, usually 60 – 90 days from the date of original submission. Notifications will be delivered by phone, email or post to the original signer of the Standard Form (SF) 424, Proposal for Federal Assistance. Notifications of recommend funding are only recommendations, and should not be regarded as official documentation to begin project work. Official documentation will come by mail and will be signed by an EPA grants officer of the Office of Grants and Debarment.

**B. Dispute Resolution Process:** Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://www.epa.gov/ogd/competition/resolution.htm>. Copies of these procedures may be requested by contacting the appropriate Region listed in **Section VII**.

## **C. Administrative Requirements:**

1. **Award Management:** Awards issued in FY 2014 will be managed by the appropriate Region.
2. **Quality Assurance and Quality Control (QA/QC):** Certain quality assurance and/or quality control (QA/QC) and peer review requirements are applicable to the collection of environmental data. Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data also include information collected directly from measurements, produced from models, and obtained from other sources such as databases or published literature. Regulations pertaining to QA/QC requirements can be found in 40 CFR 30.54 and 31.45. Additional guidance can be found at [http://www.epa.gov/quality/qa\\_docs.html#noeparqt](http://www.epa.gov/quality/qa_docs.html#noeparqt).

If environmental data are to be collected there are three major steps involved in satisfying the QA/QC process: 1) Sufficient time and resources will be needed to set up a Quality Management System (QMS) for proposed projects. If there is not an QMS in place, one must be developed. An QMS would be the mechanism or process for

managing the quality of environmental data collection, generation and use; 2) For an QMS to be utilized, a Quality Management Plan (QMP) needs to be written. An QMP is the document that describes an applicant's organization or program in terms of organizational structure, policy and procedures, functional responsibilities of management and staff, lines of authority, and required interfaces for those planning, implementing, documenting, and assessing all activities conducted under the assistance agreement; and 3) The third component to QA/QC planning is writing a project-specific Quality Assurance Project Plan (QAPP) or functional equivalent. The QAPP is the document that describes project-specific information on quality assurance, quality control, and other technical activities that must be implemented to ensure that the results of the work performed will satisfy the stated performance criteria. The QAPP must be submitted and approved by the Region.

**Note:** Applicants applying for FY 2014 P2 grant funding are not required to verify an QMS is in place, or provide QMP or QAPP documentation as part of their proposals or application packages. However, verification of the QMS and documentation of the QMP and QAPP will be required from the grant recipient at the time of award, if environmental data is being collected. The P2 grant award letter will include a deadline for when the grant recipient should submit this information to the Region.

3. **Audits:** Periodic audits should be made as part of the recipient's system of financial management and internal control to meet the terms and conditions of grants and other assistance agreements. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-profit Organizations," and non-federal entities that receive financial assistance of \$500,000 or more within the State's FY period shall have an audit made for that year. State agencies that receive less than \$500,000 within the State's fiscal year shall have an audit made in accordance with federal laws and regulations governing the programs in which they participate.
4. **Records:** Financial records, including all documents to support entries on accounting records to substantiate charges of each assistance agreement, must be kept available to personnel authorized to examine EPA assistance agreement accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions remain, such as those posed as a result of an audit, related records should be retained until the matter is completely resolved.

**D. Additional Administrative Provisions:** A list of additional provisions that apply to this announcement and/or awards made under this announcement, include provisions related to: obtaining a required Data Universal Numbering Systems (DUNS) code, registering under the System for Award Management (SAM), adhering to nonprofit administrative capability (if applicable), copyrights, disputes, and administrative capability, can be found at [http://www.epa.gov/ogd/competition/solicitation\\_provisions.htm](http://www.epa.gov/ogd/competition/solicitation_provisions.htm). Applicants are strongly encouraged to review these and other grant provisions when preparing proposals for this solicitation. If an applicant has difficulty in accessing the provisions electronically at the website above, please communicate with the appropriate EPA contact listed in this solicitation to obtain the provisions.

## **VII. Agency Contacts: EPA Regional P2 Coordinators**

|                                           |                                                                                                                                                         |
|-------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|
| EPA Region 1<br>CT, MA, ME, NH,<br>RI, VT | Lee Fiske<br>U.S. EPA Region 1<br>5 Post Office Square, Suite 100 (OES04-1)<br>Boston, MA 02109-3912<br>Phone: 617-918-1847<br>Email: fiske.lee@epa.gov |
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| EPA Region 2<br>NJ, NY, PR, VI | Alex Peck<br>U.S. EPA Region 2<br>290 Broadway, 25th Floor (PSPMMB)<br>New York, NY 10007-1866<br>Phone: 212-637-3758<br>Email address: peck.alex@epa.gov |
|--------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                           |                                                                                                                                                      |
|-------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| EPA Region 3<br>DC, DE, MD, PA,<br>VA, WV | Mindy Lemoine<br>U.S. EPA Region 3<br>1650 Arch Street (3LC40)<br>Philadelphia, PA 19103-2029<br>Phone: 215-814-2736<br>Email: lemoine.mindy@epa.gov |
|-------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                                   |                                                                                                                                          |
|---------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| EPA Region 4<br>AL, FL, GA, KY,<br>MS, NC, SC, TN | Pamela Swingle<br>U.S. EPA Region 4<br>61 Forsyth Street SW<br>Atlanta, GA 30303<br>Phone: 404-562-8482<br>Email: swingle.pamela@epa.gov |
|---------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|

|                                           |                                                                                                                                                                     |
|-------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| EPA Region 5<br>IL, IN, OH, MI,<br>MN, WI | Christine Anderson<br>U.S. EPA Region 5<br>77 West Jackson Boulevard (LM-8J)<br>Chicago, IL 60604-3590<br>Phone: 312-886-9749<br>Email: anderson.christinea@epa.gov |
|-------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                       |                                                                                                                                                  |
|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|
| EPA Region 6<br>AR, LA, NM, OK,<br>TX | David Bond<br>U.S. EPA Region 6<br>1445 Ross Avenue, Suite 1200 (6EN-XP)<br>Dallas, TX 75202<br>Phone: 214-665-6431<br>Email: bond.david@epa.gov |
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UT, WY

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Email: [gangmark.carolyn@epa.gov](mailto:gangmark.carolyn@epa.gov)

## Appendix A

### Grants.gov Instructions

**I. Introduction:** The electronic submission of your proposal must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information, go to <http://www.grants.gov> and click on “Applicants” on the top of the page and then go to the “Get Registered” link on the page. 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. **Please note that the registration process also requires that your organization has a DUNS number and a current registration with the System for Award Management (SAM). The process for obtaining both could take a month or more.** Applicants must ensure that all registration requirements are met in order to apply for this opportunity through Grants.gov and should ensure that all such requirements have been met well in advance of the submission deadline. **Registration on Grants.gov, SAM.gov, and obtaining a DUNS number assignment are FREE.**

To begin the application process under this grant announcement, go to <http://www.grants.gov> and click on “Applicants” on the top of the page and then “Apply for Grants” from the drop down menu and then follow the instructions accordingly. Please note: To apply through grants.gov you must use Adobe Reader software and download the compatible Adobe Reader version. For more information about Adobe Reader, to verify compatibility, or to download the free software, please visit <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html>.

You may also be able to access the proposal package for this announcement by searching for the opportunity on <http://www.grants.gov>. Go to <http://www.grants.gov> and then click on “Search Grants” at the top of the page and enter the Funding Opportunity Number, EPA- HQ-OPPT- 2014- 002, or the CFDA number that applies to the announcement (CFDA 66.708), in the appropriate field and click the Search button. Alternatively, you may be able to access the application package by clicking on the Application Package button at the top right of the synopsis page for the announcement on <http://www.grants.gov>. To find the synopsis page, go to <http://www.grants.gov> and click “Browse Agencies” in the middle of the page and then go to “Environmental Protection Agency” to find the EPA funding opportunities.

**II. 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 **Thursday, March 20, 2014, 11:59 pm EDT.**

Please submit *all* proposal materials described below using the grants.gov application package that you downloaded using the instructions above. For additional instructions on completing and submitting the electronic package, click on the “Show Instructions” tab.

**II. Proposal Materials:** The forms and documents noted below are **required** to be submitted under this announcement. **Please download and fill out the forms using the instructions provided on Grants.gov.**

- 1. Proposal Cover Page**
- 2. Application for Federal Assistance Standard Form (SF- 424)**
- 3. Key Contacts Form EPA Form (5700-54)**
- 4. Proposal Narrative**
- 5. Letters of Support**

Proposals packages submitted through Grants.gov will be time and date stamped electronically.

If you have not received a confirmation of receipt from EPA (*not from Grants.gov*) within 30 days of the proposal deadline, please contact the appropriate Region. Failure to do so may result in your proposal not being reviewed.

## Appendix B

### Sample Cover Page

*[Grant Program Title]* **FY 2014 Pollution Prevention Grant Program**  
*[Funding Opportunity Number]* **EPA-HQ-OPPT-2014-002**

*[Proposal Title]* **NH DES Pollution Prevention Program**

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

The proposed project will provide on-site technical assistance to the marina sector, manage an Environmental Leadership Program for small businesses, and develop tools and workshops to assist manufacturers “green” their supply chain.

*[Project funding]*

**Total Project Funding:** \$160,000  
**Requested Funding:** \$80,000

*[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]*

Jane Doe  
NH DES Grants Office  
New Hampshire DES  
29 Hazen Drive, P.O. Box 123  
Concord, NH 03302  
Tel: 222-222-2222  
Fax: 222-222-2222  
Email: mary.doe@state.nh.us

John Doe  
Pollution Prevention Program  
New Hampshire DES  
29 Hazen Drive, P.O. Box 95  
Concord, NH 03302  
Tel: 222-222-2222  
Fax: 222-222-2222  
Email: john.doe@state.nh.us

*[System for Award Management Registration]*  
**System for Award Management Registration Date:** 2/04/2014

## Appendix C

### Guidance for Submitting Environmental Measures

**I. Introduction.** As noted in **Section V.A. 2.c**, applicants will be evaluated on the significance of the environmental results they expect to achieve. Applicants must also provide a concise discussion and quantification of expected outputs and outcomes, and a planned format for clearly relating implementation activities to outcomes achieved, at the disaggregate level, as noted in **Sections I. D. 7 and 8**. This guidance is provided to assist applicants in being responsive to the above mentioned sections. **To accommodate the increased importance that EPA is placing on the transparency of outcomes, EPA is simplifying the expectations for submitting estimated results.**

**II. Presenting Discussions.** Applicants are encouraged to present their expected outputs, outcomes, and measurement approaches with both numbers and descriptive narrative. Applicants should also highlight significant results and note their planned format for relating implementation activities to outcomes achieved, at the disaggregate level. The following is a suggested approach for describing and presenting measurement data.

**A. Presenting the Numbers and Narrative on Projects Yielding Environmental Outcomes.**

1. Name the project and give a brief description of what it is.
2. Quantify one year's worth of expected environmental outcomes from the project. Applicants should use the annual outcome measures of the P2 Program i.e., (1) pounds of hazardous inputs and hazardous emissions reduced (to air, land, and water), (2) greenhouse gas reductions (GHG) measured in metric tons of carbon dioxide equivalent (MTCO<sub>2</sub>Eq) reduced, (3) gallons of water savings, and (4) dollars of economic savings associated with hazardous pounds, GHG, and water reductions. Refer to Table 1.

*Separate out any quantification of expected nonhazardous pollutant/material pounds reduced. Pounds of nonhazardous inputs and waste reduced can be reported as ancillary results, but cannot serve as a primary outcome of grant activities and are not reportable results under EPA's P2 Program. EPA's P2 Program may convert ancillary non-hazardous pound reductions into reportable GHG reductions (using EPA's Waste Reduction Model (WARM) – refer to <http://epa.gov/epawaste/conserve/tools/warm/index.html>), and applicants may do the same in their estimation of expected GHG reductions. Applicants should not convert expected ancillary nonhazardous pound reductions into estimated cost savings, since EPA's P2 Program does not report cost savings from nonhazardous pound reductions.*

**Table 1 – Estimated Annual Environmental Outcomes (refer to Section C of this Appendix for definitions)**

| (a)<br>P2<br>Activity | (b)<br>Haz.<br>Inputs<br>Reduced | (c) Haz.<br>Waste<br>Reduced | (d) Air<br>Poll.<br>Reduced | (e)<br>Water<br>Effluent<br>Reduced | (f) Total<br>Haz.<br>Lbs.<br>Reduced | (g)<br>MTCO <sub>2</sub> e<br>Reduced | (h)<br>Water<br>Gallons<br>Reduced | (i) Dollars saved<br>from (a) – (h) |
|-----------------------|----------------------------------|------------------------------|-----------------------------|-------------------------------------|--------------------------------------|---------------------------------------|------------------------------------|-------------------------------------|
| 1.                    |                                  |                              |                             |                                     |                                      |                                       |                                    |                                     |
| 2.                    |                                  |                              |                             |                                     |                                      |                                       |                                    |                                     |
| 3.                    |                                  |                              |                             |                                     |                                      |                                       |                                    |                                     |
| 4.                    |                                  |                              |                             |                                     |                                      |                                       |                                    |                                     |
| Total:                |                                  |                              |                             |                                     |                                      |                                       |                                    |                                     |

3. If appropriate, highlight the quantity of the results. Applicants that believe their volume of expected environmental outcomes will be significantly high, or believe a subset of new outcomes will continue beyond the end of the grant are encouraged to draw EPA's attention to these aspects of significant outcomes.
4. Briefly explain how you arrived at your quantified estimates. If an educated guess is made based on prior experience from P2 projects, please note it. If estimates will be informed by statistics, studies, models or anything else of that nature, please note it. Estimates based on an educated guess and estimates based on studies and things of that nature are equally adequate.
5. Briefly explain how actual results will be collected (onsite revisit, self-reported data, etc.) A sentence or two on each project area will be adequate.
6. Briefly explain how actual results will be measured (metered data, managerial estimates, product performance data, EPA P2 Program measurement tools on website, other measurement tools, etc.). A sentence or two on each project area will be adequate.
7. Briefly explain how actual outcome results will be formatted to relate them to implementation activities at the disaggregate level. Refer to **Section D** of this Appendix for further guidance. A paragraph on each project area will be adequate.
8. Describe the qualitative significance of expected environmental outcomes. Significance will vary according to regional economies and the nature of proposals. Whether a state economy is more industrial or agricultural will affect significance, and the geographic distribution of results (e.g., the relative importance of maintaining a P2 presence within a state) may affect significance. Whether a proposal is research-based, facility-based implementation, or training-based (just for examples) will also affect the nature of significance. Potential pay-off in reducing hazard or toxicity, or the volume or breadth of results achieved during the grant period, or the anticipation of continuing results beyond the grant period are just some examples of what might be significant depending on your proposal. If references to expected participants, partners, activities, and behaviors will add value to the discussion, please add them.

**B. Presenting Information on Projects Yielding Environmental Outputs.**

1. Name the project and briefly describe it.
2. Quantify the environmental outputs (including behavior changes) expected from the project.

| P2 Activity | Outputs | Behavior Changes |
|-------------|---------|------------------|
|             |         |                  |
|             |         |                  |

Explain the assumptions and calculations used to produce the expected numbers, such as degree of participation, P2-practice-adoption rate of workshop participants.

3. Explain how actual outputs and behavior change data will be collected. Please note that voluntary tests and voluntary surveys can be used and are exempt from the Paperwork Reduction Act (PRA) if administered under a grant agreement, but not exempt if administered under a cooperative agreement with EPA. Data collection approaches include testing participants before and after for changes in knowledge and behavior and surveys by phone, mail, email, or online. Describe any particular significance of expected outputs and behavior changes. If the sheer volume of expected outputs and/or behavior changes is of significance, this can be highlighted here.

**C. References for P2 Outcome Categories (refer to Table 1).**

1. **P2 Activity [column a]:** List the source reduction activities expected to yield P2 outcome results.
2. **Pounds of Hazardous Inputs and Wastes Reduced [columns b-c]:** Materials used as process inputs (such as chemical ingredients, paints, and solvents), products applied to land (such as pesticides) and hazardous wastes. Nonhazardous wastes are excluded from this category (like packaging, paper, glass and aluminum cans).
3. **Pounds of Air Pollutants [column d]:** Toxic air emissions include: Clean Air Act Section 112b hazardous air pollutants (HAPs), Toxic Release Inventory (TRI), and others), nitrogen oxides (NO<sub>x</sub>), sulfur oxides (SO<sub>x</sub>), particulate matter (PM) and Volatile Organic Compounds (VOCs). Air pollutants also include NO<sub>x</sub> and SO<sub>x</sub> from boilers, but exclude NO<sub>x</sub> or SO<sub>x</sub> from utilities (due to cap and trade limitations).  
  
**Pounds of Pollutants in Wastewater [column e]:** This refers to biochemical oxygen demand (BOD), chemical oxygen demand (COD), toxics, nutrients, total suspended solids (TSS), contaminants in storm water and pathogens discharged to sewer systems, septic systems, injection wells, and ground water. Pounds of pollutants in wastewater are calculated by estimating the quantity of contaminant rather than the quantity of water; EPA assumes this equals 1/100,000 of the weight of the water.
4. **Total Pounds of Hazardous Materials (includes Pollutants) [column f]:** Total of

subcomponents from hazardous inputs and wastes, air releases, and water pollutants.

5. **MTCO<sub>2</sub>Eq [column g]:** Metric Tons of Carbon Dioxide Equivalent reduced.
6. **Gallons of Water Reduced [column h]:** This column lists the reduction in gallons of incoming raw water from outside sources through the implementation of P2 activity.
7. **Dollars Saved [column i]:** This refers to cost savings associated with reducing hazardous pounds, MTCO<sub>2</sub>Eq, and water usage.

**The following section is guidance on answering II.A.7 above. II A. 7 asked applicants to briefly explain how actual outcome results will be formatted to relate them to implementation activities at the disaggregate level.**

**D. Formatting Actual Outcome Results and Implementation Activities at the Disaggregate Level.**

1. In addition to other requirements noted in the terms and conditions of the SRA assistance agreement, grantees will be expected to provide transparent semi-annual (*if applicable*), annual and final reports about implemented activities at the disaggregate level and the corresponding actual outcomes. Applicants should briefly describe in their proposals their planned format for clearly linking implementation activities to the resultant outcomes at the disaggregate level in grant reports, or state what impediment they would face in doing so. EPA is using the term “disaggregate” to mean facility by facility, if applicable or, for a sector initiative with standard elements, the number of participating facilities plus average sector-facility results.
2. Please note the following:
  - a. The examples that follow relate to reporting outcome results and not output results because past reporting on grant output results has been adequate and EPA is not placing increased importance on grant output reporting.
  - b. EPA’s P2 Program will protect the identity of any named entity and will not identify entity to any other EPA office or any other party unless it receives permission from the grantee to request the direct permission of the entity. If applicants have remaining concerns, please state them. It will be adequate to address **Section II. A. 7** of this Appendix in a manner that protects the concerns raised.
  - c. If applicants face a particular burden in addressing II. A. 7 they should state that burden. It will be adequate to address II. A. 7 in a manner that does not impose an undue burden. Example: A proposed project involves a state leadership program where recurring (multiple years’) results are embedded in participant self-reporting and it would be burdensome to isolate annual results from implementation activities in current reporting year. The applicant makes EPA

- d. aware of this situation. EPA could later make an appropriate adjustment in its own reporting of grant outcome results reported.

**E. Examples for Formatting Actual Outcomes Results and Implementation Activities at the Disaggregate Level.** The following list of examples provides some planning approaches for how actual outcomes could be linked to implementation activities at the disaggregate level:

1. **Technical Assistance or Assessment.** In the sample format (refer to **Table 2** below), each entity is listed, with a brief description of the implementation activities and the outcomes achieved. Applicants could briefly describe a similar format in narrative, submit an illustrative row or two, or give a link to prior similar reporting to illustrate their intent. Applicants are also encouraged to indicate they can plan to identify outcomes as annualized or not and, if known, to indicate whether they will be identifying entities by company name, by sector (e.g., company, farm, manufacturer, etc.) or more generically (e.g., mid-sized manufacturer, large company, municipality, facility A, facility B, etc.).

**Table 2: Sample format for an adequately transparent report.**

| (a) Example<br>SOURCE    | (b) Example<br>P2 ACTIVITY                                                                                                   | (c)Example<br>HAZ LBS<br>REDUCED | (d)<br>Example<br>GALLONS<br>WATER<br>SAVED | (e)<br>Example<br>MTCO <sub>2</sub> e<br>REDUCED | (f) Example<br>\$ SAVED from<br>(c) – (e) |
|--------------------------|------------------------------------------------------------------------------------------------------------------------------|----------------------------------|---------------------------------------------|--------------------------------------------------|-------------------------------------------|
| Company X                | HVAC/lighting retrofits; using fewer haz products; GHG reductions from more plastics recycling; \$\$ savings from (c) – (e). | 100,000 lb.                      | 0                                           | 19,000                                           | \$40,000                                  |
| Farm                     | Substituted farm-derived methane for grid electricity; irrigation efficiency                                                 |                                  | 100 M gallons                               | 15,000                                           | \$28,000                                  |
| Adhesive manufacturer    | Once-used solvent sold to vendor to be remanufactured                                                                        | 110,000 lbs                      |                                             |                                                  | \$45,000                                  |
| Medium-size manufacturer | Product reformulated (green chemistry)                                                                                       | 80,000 lbs.                      |                                             |                                                  |                                           |

2. **State Environmental Leadership or Similar Voluntary Stewardship Programs with Self-Reporting Members or State Planning Law Programs.** Refer to Table 3 below for an example. Applicants could briefly describe a similar format in narrative, submit an illustrative row or two, or give a link to prior similar reporting to illustrate their intent. Applicants are also encouraged to indicate they can plan to identify outcomes as annualized or not, whether they will be identifying entities by company name, by sector

or more generically (e.g., mid-sized manufacturer, large company, municipality, facility A, facility B, etc.), and how non-hazardous reductions and related cost savings will either not be reported to EPA or will be clearly identified.

3. **Table 3. Sample State Environmental Leadership Program results with adequate transparency.**

| Facility Name | Indicator         | Specific Indicator                                                      | Baseline (if normalizing, add extra column) | Quantity (if normalizing, add extra column) | Cost savings | Cost savings explanation                             |
|---------------|-------------------|-------------------------------------------------------------------------|---------------------------------------------|---------------------------------------------|--------------|------------------------------------------------------|
| Company X     | Haz air emissions | Reduced VOC by reducing VOC products used, better spray gun             | 100 tons                                    | Now 64 tons; 36 ton reduction               | \$50,000     | Reduced material purchasing costs by completing XYZ. |
| Company Y     | Grid electricity  | Set up common lunch break; shuts off named process system during break. | 6500 kWh                                    | 5900 kWh; 1000 kWh reduction                | \$500        | Conserved energy by performing XYZ.                  |
| Company Z     | Non-haz waste *   | Scrap metal recycling                                                   |                                             |                                             | \$5,000      | *Dealer buys scrap metal to accomplish XYZ.          |

\* For State reporters who themselves count these results: EPA wants to see non-hazardous pound reductions and associated cost savings itemized separately as a means to allow EPA's P2 Program to subtract these items when reporting its performance on reducing hazardous releases/inputs and saving costs (only from lower hazardous pounds, GHG, and water use).

4. **P2 Intern Programs.** Many P2 intern programs produce reports that address the elements that EPA is looking for (clearly linked and disaggregated implementation activities and outcomes, and the outcomes stated as annualized or otherwise). If the applicant lists a P2 intern program that produces a similar report, it will be adequate to simply state that and provide a link to a prior report. Otherwise, consider following the example noted for technical assistance provided under item 1 above. Examples of P2 intern reporting that are sufficiently transparent:

- a. [www.iowap2interns.com/](http://www.iowap2interns.com/)
- b. <http://www.iowadnr.gov/Environment/LandStewardship/WasteManagement/PollutionPreventionP2/P2InternProgram.aspx#dltop>

5. **Sector Initiatives.** If an applicant has a project that covers a hospitality certification program or similar program with standard elements that participating entities adopt and apply, it will be adequate to indicate that the following can be provided: the number of facilities engaged in implementation and a formula to that averages sector-facility performance.
6. **Pilots in Chemical Product Formulation/Best Practices Formulation.** Three approaches are provided:
- a. Pilot-scale formulation. An applicant with this type of project can simply indicate that it will report only pilot-test scale results.
  - b. Implementation of piloted approach at sector level. For an applicant with this type of project, the approach outlined for sector initiatives above is applicable.
  - c. Company-specific application. For an applicant with this type of project, the approach outlined for technical assistance above is applicable.
7. **Environmental Management Systems Training and Other Training Workshops/Roundtables.** If no surveys or other follow-up was conducted to assess actual implementation and outcomes, then note training or workshop results as outputs, not outcomes. If actual implementation and outcomes are assessed, the approach outlined for technical assistance above is applicable.

## APPENDIX D

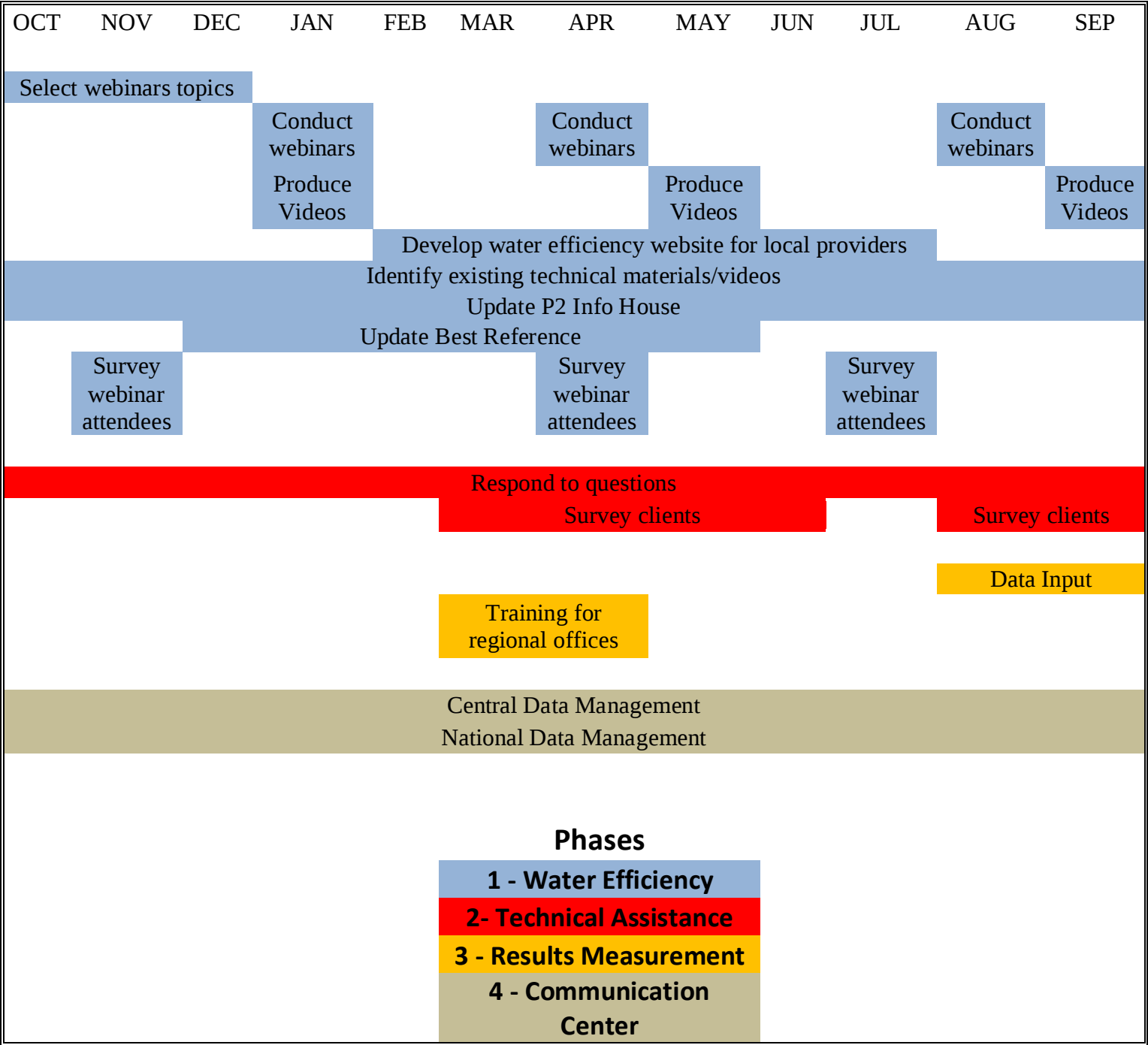
### Project Timeline Samples

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

Timeline Sample 1: Timeline for “Conserving Water in Food Process Operations” Project by State University

| Phase & Key Milestones                               | OCT | NOV | DEC | JAN | FEB | MAR | APR | MAY | JUN | JUL | AUG | SEP |
|------------------------------------------------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| <b>1 Water Efficiency</b>                            |     |     |     |     |     |     |     |     |     |     |     |     |
| Select webinars topics                               | X   | X   | X   |     |     |     |     |     |     |     |     |     |
| Conduct webinars                                     |     |     |     | X   |     |     | X   |     |     |     | X   |     |
| Produce Videos                                       |     |     |     | X   |     |     |     | X   |     |     |     | X   |
| Develop water efficiency website for local providers |     |     |     |     | X   | X   | X   | X   | X   | X   |     |     |
| Identify existing technical materials/videos         | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   |
| Update Info House                                    | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   |
| Update Best Reference                                |     |     | X   | X   | X   | X   | X   | X   |     |     |     |     |
| Survey webinar attendees                             |     | X   |     |     |     |     | X   |     |     | X   |     |     |
| <b>2 Technical Assistance</b>                        |     |     |     |     |     |     |     |     |     |     |     |     |
| Respond to questions                                 | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   |
| Survey clients                                       |     |     |     |     |     | X   | X   | X   | X   |     | X   | X   |
| <b>3 Results Measurement</b>                         |     |     |     |     |     |     |     |     |     |     |     |     |
| Data Input                                           |     |     |     |     |     |     |     |     |     |     | X   | X   |
| Training for regional offices                        |     |     |     |     |     | X   | X   |     |     |     |     |     |
| <b>4 Communication Center</b>                        |     |     |     |     |     |     |     |     |     |     |     |     |
| Central Data Management                              | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   |
| National Data Management                             | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   | X   |

Timeline Sample 2: Timeline for “Conserving Water in Food Process Operations” Project by State University



## APPENDIX E

### Itemized Budget Detail Guidance and Sample

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

#### Description of Object Class Categories

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

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

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

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

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

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

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

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

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

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

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

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

Sample Table 1: Budget for “Conserving Water in Food Process Operations” Project by State University

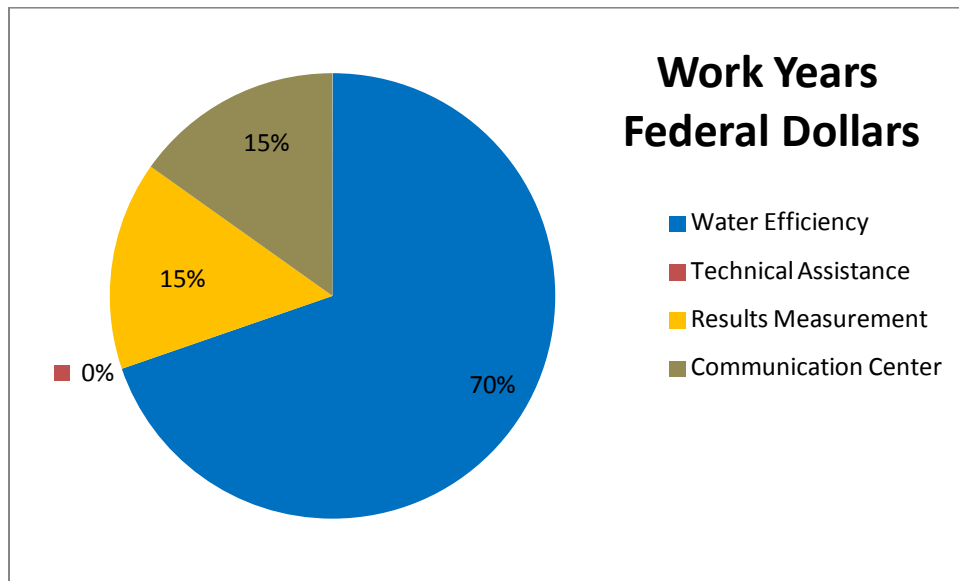
| <b>PERSONNEL</b>                   |                      |             |                 |                       |                      |             |                 | <b>TOTAL</b>     |
|------------------------------------|----------------------|-------------|-----------------|-----------------------|----------------------|-------------|-----------------|------------------|
|                                    | <b>Annual Salary</b> | <b>FTE</b>  | <b>Wages</b>    |                       | <b>Annual Salary</b> | <b>FTE</b>  | <b>Wages</b>    |                  |
| Info & Cmx Specialist              | \$42,632             | 0.50        | \$21,316        | Info & Cmx Specialist | \$42,632             | 0.15        | \$6,395         |                  |
| Env. Sr. Specialist                | \$44,362             | 0.67        | \$29,723        | Env. Sr. Specialist   | \$44,362             | 0.15        | \$6,654         |                  |
| 1 Computer Consultant III          | \$50,378             | 0.10        | \$5,038         |                       |                      |             |                 |                  |
| 1 Env. Prgm. Supv. II              | \$66,702             | 0.05        | \$3,335         |                       |                      |             |                 |                  |
|                                    |                      |             |                 | 2 Env. Eng.           | \$56,726             | 1.00        | \$56,726        |                  |
|                                    |                      |             |                 | Env Program Manager   | \$60,646             | 0.20        | \$12,129        |                  |
|                                    |                      |             |                 | Env. Prgm. Supv. III  | \$69,052             | 0.15        | \$10,358        |                  |
| <b>TOTAL</b>                       |                      | <b>1.32</b> | <b>\$59,412</b> |                       |                      | <b>1.65</b> | <b>\$92,262</b> | <b>\$151,674</b> |
| <b>FRINGE BENEFITS<sup>i</sup></b> |                      |             |                 |                       |                      |             |                 |                  |
|                                    | 25.48%               |             | <b>\$15,138</b> |                       | 25.48%               |             | <b>\$23,508</b> | <b>\$38,646</b>  |
| <b>TRAVEL</b>                      |                      |             |                 |                       |                      |             |                 |                  |
| National meeting                   | \$1,500              | 1.00        | \$1,500         |                       |                      |             |                 |                  |
| Regional sessions                  | \$200                | 9.00        | \$1,800         |                       |                      |             |                 |                  |
| Reimburse mileage                  | \$0.51               | 392         | \$200           |                       |                      |             |                 |                  |
| <b>TOTAL</b>                       |                      |             | <b>\$3,500</b>  |                       |                      |             | <b>\$0</b>      | <b>\$3,500</b>   |
| <b>SUPPLIES</b>                    |                      |             |                 |                       |                      |             |                 |                  |
| Laptop & webinar software          | \$2,500              | 1.00        | <b>\$2,500</b>  |                       | <b>\$0</b>           |             | <b>\$0</b>      | <b>\$2,500</b>   |

|                                           |         |       |                  |                  |                |                  |
|-------------------------------------------|---------|-------|------------------|------------------|----------------|------------------|
| <b>CONTRACTUAL</b>                        |         |       |                  |                  |                |                  |
| Management support <sup>ii</sup>          | \$25    | 780   | \$19,500         | \$0              | \$0            |                  |
| Graphic/ technical support <sup>iii</sup> | \$10    | 495   | \$4,950          | \$0              | \$0            |                  |
|                                           |         |       | <b>\$24,450</b>  |                  | <b>\$0</b>     | <b>\$24,450</b>  |
| <b>OTHER</b>                              |         |       |                  |                  |                |                  |
| Webinar conference calls                  | \$2,000 |       | <b>\$2,000</b>   | <b>\$0</b>       | <b>\$0</b>     | <b>\$2,000</b>   |
| <b>INDIRECT<sup>iv</sup></b>              |         |       |                  |                  |                |                  |
|                                           |         | 8.60% | <b>\$5,109</b>   | 8.60%            | <b>\$7,935</b> | <b>\$13,044</b>  |
| <b>INCOME<sup>v</sup></b>                 |         |       |                  |                  |                |                  |
|                                           | \$0     |       | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>     | <b>\$0</b>       |
| <b>TOTAL</b>                              |         |       |                  |                  |                |                  |
| <b>GRAND TOTAL</b>                        |         |       | <b>\$112,109</b> | <b>\$123,705</b> |                | <b>\$235,814</b> |

Sample Table 2: Budget Allocation by Phase for “Conserving Water in Food Process Operations” Project by State University

| Phase                  | Work Years |       |       | Total Project Funding |                  |                  |
|------------------------|------------|-------|-------|-----------------------|------------------|------------------|
|                        | Federal    | Match | Total | Federal               | Match            | Total            |
| 1 Water Efficiency     | 0.92       | 1.40  | 2.32  | \$80,000              | \$99,942         | <b>\$179,942</b> |
| 2 Technical Assistance | 0.00       | 0.10  | 0.10  | \$4,109               | \$11,124         | <b>\$15,233</b>  |
| 3 Results Measurement  | 0.20       | 0.00  | 0.20  | \$14,000              | \$0              | <b>\$14,000</b>  |
| 4 Communication Center | 0.20       | 0.15  | 0.35  | \$14,000              | \$12,639         | <b>\$26,639</b>  |
| <b>Totals</b>          | 1.32       | 1.65  | 2.97  | <b>\$112,109</b>      | <b>\$123,705</b> | <b>\$235,814</b> |

Sample Chart: Budget Allocation by Phase for “Conserving Water in Food Process Operations” Project by State University



<sup>i</sup> Fringe benefit costs are those costs for personnel employment other than the employees' direct income (i.e., employer's portion of FICA insurance, retirement, sick leave, holiday pay, and vacation costs) that will be paid by the recipient. The cumulative value of these equates to 25.48% of salary.

<sup>ii</sup> Contract is for project management support 15 hours per week (780 hours total) for one year.

<sup>iii</sup> Contract is for technical/graphic support by work-study student at 16.5 hours per week for two semesters (495 hours over 30 weeks).

<sup>iv</sup> We have chosen not to use the authorized research rate of 62.07%, as we are not engaging in either laboratory or field research. We are using an indirect rate of 8.6% of salary.

<sup>v</sup> At this time, we do not anticipate having income. If it becomes necessary to charge for webinars, we propose that income be regarded as “addition” and may also be used to meet match, per 40 CFR §31.25(g).