

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

FUNDING OPPORTUNITY TITLE: Fiscal Year 2014 Source Reduction Assistance Grant Program

ANNOUNCEMENT TYPE: Request for Proposals (RFP)

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 66.717

FUNDING OPPORTUNITY NUMBER: EPA-HQ-OPPT-2014-001

SUBMISSION DATE: Proposals are due on **Tuesday, March 11, 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

Source Reduction Assistance (SRA) awards are issued annually, subject to Congressional appropriation and the quality of proposals received. This Request for Proposals announces that EPA's Regional Pollution Prevention (P2) Program Offices (herein referred to as the Regions) anticipate having up to \$147,000 *per region* or up to \$1,029,000 in total award funding to issue SRA awards in Fiscal Year (FY) 2014 to reduce or eliminate pollution at the source.¹ SRA awards will be issued in the form of grants and/or cooperative agreements. Award selection, funding and grant oversight will be managed by the Regions.

Collectively, the Regions are interested in funding projects that support five strategic goals of EPA's P2 program – 1) reduce greenhouse gases (GHGs), 2) reduce hazardous materials, 3) increase resource conservation, 4) promote efficient business practices and 5) encourage P2 integration. Proposals will need to demonstrate P2/source reduction through surveys, studies, research, investigation, experimentation, education, training and/or innovative practices. Proposals that principally support recycling, clean-up, treatment, disposal and/or energy recovery efforts (e.g., incinerating solid waste to generate electricity) will not be considered for funding.

Eligible applicants include: the fifty states, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, non-profit organizations (other than institutions of higher education), private institutions of higher education, community-based grassroots organizations, and federally-recognized tribes and intertribal consortia. *Individuals, private business/entrepreneurs, and nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible for funding under this announcement.*

¹ All estimates are subject to Congressional appropriation. FY 2014 is the period from October 1, 2013 – September 30, 2014. Region 3 will limit individual award amounts to \$75,000 or less. Region 4 will limit individual award amounts to a range between \$30,000 and \$40,000.

Note, Regions 1, 7 and 9 representing the U.S. states and territories of Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont, Iowa, Kansas, Missouri, Nebraska, Arizona, California, Hawaii, Nevada, American Samoa and Guam will not participate in this announcement and will not accept proposals under this competition. Projects proposed in these Regions will not be reviewed. However, applicants working or residing in Regions 1, 7 or 9 are free to propose grant work in a participating Region. Proposals should be sent to the appropriate Region where work will take place.

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FULL TEXT OF ANNOUNCEMENT

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

I. Funding Opportunity Description: The Regions are announcing the availability of SRA grants and/or cooperative agreements to fund projects supporting pollution prevention/source reduction and resource conservation. It is anticipated that up to \$147,000 will be available from *each* Region or up to \$1,029,000 collectively to issue grants or cooperative agreements in FY 2014.²

A. Introduction: In 2010, EPA's P2 program (Headquarters and the Regions) finalized a 2010-2014 Pollution Prevention Program Strategic Plan to provide a workable framework for addressing climate change, sustainability, business efficiency and P2 integration activities over a five-year period.³

² All estimates are subject to Congressional appropriation. FY 2014 represents the period from October 1, 2013 – September 30, 2014.

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

For purposes of this announcement, the plan's five goals are:

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

Each Region has developed Region-specific priorities for the FY 2014 SRA grant competition that align with one or more of the plan's five goals. The Region-specific priorities are one component of the evaluation factors that applicants are required to address in their proposals.

B. Region-Specific Priorities: The priorities highlight environmental issues of interest to each Region. Applicants are required to address at least one priority using any one of the following project methods: research, investigation, experimentation, education, training, surveying, studies, or demonstrations of innovative P2 techniques. *Proposals may only involve one Region. Proposals that involve more than one Region will not be reviewed.*

Region 2 (NJ, NY, PR, VI)

Promote projects that:

- Effectively achieve significant quantities of actual measurable results, by 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.
- Address the above criteria and focus on toxics reductions (e.g., green chemistry, engineering and design) through training or technical assistance, especially in communities 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:

- Sustainable manufacturing through collaborative efforts with partners such as communities, manufacturers, utility companies, federal agencies, and states. Of particular interest are proposals to implement the [Economy, Energy and Environment \(E3\)](#) initiative by combining [Lean and Green](#) reviews and greenhouse gas evaluations.

- Development of local or regional byproduct synergy networks that include manufacturers as partners and emphasize management of hazardous materials as products.

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

Promote projects that:

- 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.
- 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.*
- Focus on the collegiate sports sector promoting sustainability within athletics and recreational programs/facilities leading to measureable cost savings, energy efficiency and reduction in hazardous waste and/or water consumption. *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.), building systems upgrades or setting up recycling programs.*

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

Promote projects that support:

- Hazardous substance reduction through the use of environmentally sustainable tools, processes, practices and/or programs. Applicants are strongly encouraged to submit proposals that demonstrate new, innovative practices that promote measurable P2/source reduction efforts.
- Geographically-based initiatives and sustainable manufacturing through the use of P2. These projects must make use of initiatives such as [Economy, Energy, and Environment \(E3\)](#) partnerships or other local collaborations to provide technical assistance to the sector.
- Promote tribal college/university-based technical assistance programs that assist tribal facilities in preventing pollution through the use of tools that promote environmentally-sustainable processes, practices and/or programs.

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

Promote projects that support:

- Environmental justice communities with information and/or training on how to live greener, healthier lives, while living within their means.
- Community-based initiatives such as [Economy, Energy and Environment \(E3\)](#) using [Lean and Green](#) techniques; or develop P2/source reduction workshops for businesses, local government entities or consumers that encourage strategic thinking and planning. Activities will realize tangible benefits by taking steps to reduce pollution, hazardous waste and water usage, save money and/or conserve energy.
- P2 results in high impact sectors/fields such as entertainment (sports, hospitality, parks), petrochemicals, resource extraction, government and military installations, agriculture and consumer consumption.
- Development and implementation of measurement methods that exceed national standards.
- P2 integration in emerging environmental challenges, e.g., drought, weather variability, peak demand, etc.
- Scalable demonstration projects that help states, tribes, local governments and businesses manage materials in a more sustainable way with an emphasis on source reduction.

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

Promote projects that support:

- P2/source reduction techniques and strategies for businesses, government and consumers (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.
- 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.
- Partnerships and technical assistance efforts to support [Economy, Energy and Environment \(E3\)](#) initiatives 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 10 (AK, ID, OR, WA)

Promote projects that support:

- Technical assistance provider programs/networks in Alaska, Idaho, Oregon and Washington that assist businesses in preventing and reducing air, water, waste, and greenhouse gas emissions at the source.
- P2, [Lean and the Environment](#) and/or [Economy, Energy and Environment \(E3\)](#) assessments in Alaska, Idaho, Oregon and Washington, to achieve P2 outcomes.

C. Grant Program Requirements: This section lists grant policies and requirements.

- 1. Eligible Applicants:** Eligible applicants include the fifty states, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, non-profit organizations (other than institutions of higher education), private institutions of higher education, community-based grassroots organizations, and federally-recognized tribes and intertribal consortia.
- 2. Terminology for P2/Source Reduction:** Under this announcement, the term P2 also means “source reduction.” The Pollution Prevention Act defines "source reduction" to mean any practice which: (i) reduces the amount of any hazardous substance, pollutant, or contaminant entering any waste stream or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal; and (ii) reduces the hazards to public health and the environment associated with the release of such substances, pollutants, or contaminants. P2 also may refer to any practice which reduces or eliminates the creation of pollutants through: increased efficiency in the use of raw materials, energy and water; protection of natural resources by conservation activities; or actions that prevent pollution by reducing the use of toxic chemicals.

Examples of acceptable P2/source reduction activities include, but are not limited to: providing technical assistance to manufacturers or small businesses, equipment or technology modifications, trainings or studies of process or procedural modifications, redesigning products, encouraging environmentally preferable methods, extending the life of non-discarded hazardous materials, etc.

Note: When the reuse and/or remanufacturing of material product is integral and necessary for the production of product, the reuse or remanufacturing of a material product before discard is considered source reduction, whether the reuse or remanufacturing occurs in the same facility or a different facility. However “out-of-process recycling” of materials that have been discarded (e.g., used water bottles)

cannot be counted as P2, and will constitute traditional recycling for energy and resource conservation. Recycling of discarded material cannot serve as a basis for SRA funding. Rather this type of activity is best suited for funding through EPA's Office of Resource Conservation and Recovery. For more on recycling, composting and related activities, please visit <http://www.epa.gov/epawaste/conserve/>.

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

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

4. **Cost Sharing and Matching Requirements:** Applicants are required to provide a 5 percent match, as part of the total allowable project cost.⁴ Refer to **Section III.A.**
5. **Funding Period:** Applicants may submit one or two-year proposals.
6. **Alignment with EPA's Environmental Results Policy:** Applicants are required to describe outcome and output environmental measurement efforts in their proposals. The term "outcome," as defined by the Agency, refers to the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature and must be able to be quantified, and may not necessarily be achievable within an assistance agreement funding period. 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

⁴ The total allowable costs refer to project costs that are: eligible, reasonable, necessary, and allocable to the project; permitted by the appropriate federal cost principles, and approved by EPA in the assistance agreement (refer to 40 CFR Part 30).

will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative, but must be measurable during the funding period.⁵

Examples of outcome measures include, but are not limited to:

- a. Pounds of hazardous materials reduced;
- b. Metric tons of carbon dioxide equivalent (MTCO₂Eq) reduced⁶;
- c. Gallons of water saved; and
- d. Dollars saved through P2 efforts.

Examples of output measures include, but are not limited to:

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

- 7. Environmental Measurement Elements for SRA Proposals:** 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.

⁵ EPA Order 5700.7, Environmental Results Under Assistance Agreements - http://www.epa.gov/ogd/epa_order_5700_7a1.pdf.

⁶ SRA grant recipients will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO₂Eq) 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 measures MMTCO₂Eq and MMTCE respectively. These measures are used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions, please go to: <http://epa.gov/climatechange/emissions/index.html#method>.

8. **Alignment with EPA's Strategic Plan:** Applicants need to note a commitment to work toward the five long-term P2 targets provided in the Agency's FY 2011 – 2015 Strategic Plan. The P2 targets are located under Goal 4: Ensuring Safety of Chemicals and Preventing Pollution, Objective 4.2: Promote Pollution Prevention. Go to: <http://www.epa.gov/planandbudget/strategicplan.html> and click on FY 2011- 2015 Strategic Plan. P2 program strategic planning begins on page 57.

Strategic targets:

- a. By 2015, reduce 15 billion pounds of hazardous materials cumulatively through P2 (Baseline is 4.8 billion pounds reduced through 2008.)
 - b. By 2015, reduce 9 million metric tons of carbon dioxide equivalent (MMTCO₂Eq) cumulatively through P2. (Baseline is 6.5 MMTCO₂Eq reduced in 2008. The data from this measure is also calculated into the Agency's overall greenhouse gas measure under Goal 1.)⁷
 - c. By 2015, reduce water use by an additional 24 billion gallons cumulatively through P2. (Baseline is 51 billion gallons reduced through 2008.)
 - d. By 2015, save \$1.2 billion through P2 improvements in business, institutional, and government costs cumulatively. (Baseline is \$3.1 billion dollars saved through 2008.)
 - e. Through 2015, increase the use of safer chemicals cumulatively by 40 percent. (Baseline: 476 million pounds of safer chemicals used in 2009 as reported to be in commerce by the Design for the Environment program.)
9. **Addressing Evaluation Criteria:** Eligible proposals will be evaluated on thirteen criteria using a 100 point scale. Please refer to **Section V** for details.

II. Award Information: SRA awards are issued in the form of grants and/or cooperative agreements. If a cooperative agreement is awarded, the degree of involvement will be determined by the Region. EPA anticipates having up to approximately \$147,000 available *per region* or up to \$1,029,000 in total award funding. EPA anticipates awards will be issued in the range of \$10,000 – \$147,000.⁸ Award estimates are subject to Congressional appropriation and the quality of proposals received. It is anticipated that *collectively* the Regions will receive approximately 40 grant proposals

⁷ SRA grant recipients will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO₂Eq) 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 measures MMTCO₂Eq and MMTCE respectively. These measures are used when results are provided in an aggregated format.

⁸ Region 3 will limit individual award amounts to \$75,000 or less. Region 4 will limit individual award amounts to a range between \$30,000 and \$40,000.

and issue between 12 - 18 awards. The Regions anticipate final funding decisions will be made 180 days after the post date of this announcement.

Note: Consistent with Agency policy, the Regions reserve the right to make additional awards under this announcement, if additional funding becomes available after the original selections. Any additional selections for awards will be made no later than six (6) months from the date of the original selections. *The Regions also reserve the right to reject all proposals and issue no awards under this announcement, or issue fewer awards than anticipated.*

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

Note: 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 completed 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 5 percent match. Refer to **Section III.A** for additional information on the match requirement.

B. Incremental Funding: Award funding may also be issued in two-year increments. For example, an applicant may request \$40,000 in total funding to be evenly divided in increments of \$20,000 over a two-year period. In this example, the applicant will need to provide a two-year budget detailing how funds will be used for each year. The Region will have the discretion to fund or not fund the two years. If incremental funding is offered, it is not guaranteed; rather funding will be contingent on a range of factors – e.g., federal funding availability in subsequent years, programmatic and performance history of grantees, programmatic priorities of the Region and other factors.

C. Funding Restrictions: Award funds may not support the non-federal Electronic Product Environmental Assessment Tool (EPEAT). Nor may award funds be used for matching funds for other federal assistance agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. Award funding needs to be consistent with at least one statutory authority (**Section I.C.3**) and may not be used to sue the federal government or any other government entity. All costs identified in the budget must conform to applicable federal cost principles contained in OMB Circular A-87; A-122; and A-21, as appropriate. If necessary, EPA will subtract proposed ineligible costs from the final approved budget.

D. Type of Assistance Instrument: Awards will be issued in the form of grants and/or cooperative agreements. If a cooperative agreement is selected for funding, the Region will have substantial technical interaction with the recipient. For such projects the Region may: 1) review project phases in accordance with 40 CFR 30.44(e) or 31.36(g); 2) review proposed procurements; 3) collaborate with the recipient on the scope of work and mode of operation of the project; 4) closely monitor the recipient's performance; 5) approve any proposed changes to the proposal/application or budget; 6) review qualifications of key personnel; and 7) review and comment on reports prepared

under the assistance agreement. 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 United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, non-profit organizations (other than institutions of higher education), private institutions of higher education, community-based grassroots organizations, and federally-recognized tribes and intertribal consortia.

A. Cost Sharing and Matching Requirements: EPA requires the applicant to provide a 5 percent match, as part of the total allowable project cost, in order to receive an award.⁹ For example, the federal government will provide 95 percent of the total allowable project cost and the recipient will provide the remaining 5 percent. The match may be issued in the form of cash and/or in-kind contributions, e.g., donated services, charges for real property and/or equipment or the value of other goods or services directly benefiting the EPA-funded project. **The match may be applied at the time of award or at specified intervals during the project period. Applicants must provide budget details noting the match type, quantity, and details of how match funds will be used. Failure to do so will result in the proposal not being reviewed.** If selected for an award, the grant project officer in the Region will monitor the grant recipient's compliance. If the match requirement is not met or is not applied at specified intervals, federal funding will cease and the recipient may be subject to an enforcement action whereby EPA will disallow costs.

Note: Insular area applicants in the U.S. Virgin Islands, American Samoa, Guam and the Northern Mariana Islands are advised to contact EPA Headquarters at 202-564-8857 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.

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 fifteen (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 priority of the applicable Region.
2. Proposals must substantially comply with the grant program requirements (**Section I.C**).
3. If a proposal includes any ineligible tasks or activities that portion of the proposal will

⁹ The total allowable cost refers to project costs that are: eligible, reasonable, necessary, and allocable to the project; permitted by the appropriate federal cost principles, and approved by EPA in the assistance agreement. (Refer to 40 CFR Part 30).

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 proposal packages.

1. Proposals must substantially comply with the proposal submission instructions and requirements set forth in **Section IV** or they will be rejected.
2. Proposal narratives must be ten (10) pages or less (**Section IV.C**). Pages in excess of the 10-pages will not be reviewed.
3. Proposals must be mailed to the Region where the project will take place or sent electronically through Grants.gov as specified in **Section IV.A** on or before the submission deadline. The applicant is responsible for ensuring that their proposal reaches the designated Region by the submission deadline. Proposals received after the submission deadline will be returned without further consideration unless the applicant can clearly demonstrate mail mishandling or technical malfunctions associated with Grants.gov.
4. Applicants choosing to send proposals electronically through Grants.gov must follow the instructions provided in Attachment A.

IV. Proposal Submission: The application process is a two-step process involving a **proposal package**, followed by an **application package**. The proposal package must be submitted to the Region or through Grants.gov. **Section IV.F** below provides instructions for preparing the items listed above. Applicants that submit eligible proposals that merit further consideration based on the evaluation criteria in **Section V** will be contacted by the Region and asked to submit an application package. Only those applicants asked to submit an application package will be considered for an SRA award. Application packages include additional federal forms and supporting documentation. An application package **should not** be submitted at this time.

A. Submission Date: Proposals are due on **Tuesday, March 11, 2014, 11:59 pm (EDT)**. Proposals received after the submission date and time will be considered late and will not be reviewed. For additional information on submitting a proposal, please refer to **Section IV**.

B. Proposal Submission Methods: Applicants may choose to submit proposals in one of two ways – either by mail or electronically through Grants.gov.

C. Hard Copy Submission: Applicants mailing their proposal **must** send two (2) complete copies to the appropriate Region listed in **Section VII**. EPA strongly recommends that applicants use an overnight delivery service or courier service as regular mail may be subject to unforeseeable delays. Proposals received after the submission date as noted above will not be considered for funding. Proposals must be prepared in accordance with **Section IV.F**. Applicants are strongly encouraged to send an email to the Region listed in **Section VII** to serve as notification that the proposal was mailed.

D. Electronic Submission: Applicants who choose to apply electronically must submit their entire proposal electronically through Grants.gov (<http://www.grants.gov>). *Emailed and faxed submissions will not be reviewed.* Please follow the instructions in **Appendix A** of this announcement for further instruction.

E. Proposal Length and Format: Proposal narratives as described in **Section IV.F.4** below must be no more 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 prepared in MS Word format.

F. Proposal Package Content: With the exception to letters of support, the following materials are required.

1. **Cover Page:** The cover page must include the following:
 - 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 at: <http://www.dnb.com/get-a-duns-number.html>.
3. **Key Contacts Form (5700-54):** To download the form, go to 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 factors, please refer to **Section V.A**. The proposal narrative is subject to a 10-page limit (**Section IV.C**).
 - a. **Applicant Narrative:** Applicants will need to address their programmatic capability and past performance under previous grant agreements.

b. **Strategy:** Applicants will need to describe a realistic and thoughtful approach for promoting P2/source reduction using surveys, studies, research, investigations, experiments, education, training and/or innovative techniques.

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.

G. **Submission Requirements:**

1. **Intergovernmental Review:** The SRA 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 web site at http://www.whitehouse.gov/omb/grants_spoc. *Federally-recognized Tribal governments are not required to comply with this procedure.*

2. **Federal Requirements:** Applicants selected for award funding will be contacted by the Region and instructed to submit required application forms. Forms must be filled out in their entirety prior to the award (refer to 40 CFR 30.12 and 31.10). Successful applicants will also be required to certify that they have not been debarred or suspended from participation in receiving federal funding assistance in accordance with 40 CFR Part 32.

H. **Additional Submission Provisions:** The following list of provisions that apply to this solicitation and/or awards made under this solicitation, include but are not limited to: Confidential Business Information, Contracts and Subawards under Grants, Management Fees can be found at 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 there is 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),¹⁰ P2 program staff may not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. However, consistent with the provisions in the announcement, P2 program staff can respond to

¹⁰ EPA Order 5700.5A1 - http://www.epa.gov/ogd/competition/5700_5_a_1_comp_policy_revised.pdf.

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 a determination on eligibility.

J. Pre-proposal Assistance on Environmental Measurement: A frequently-asked-questions (FAQ) page was developed to assist applicants better understand why documenting and reporting environmental measurement data is important. The FAQ page provides 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 to Track Progress](#). Please note this page supplements 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 may affect their ability to receive an award under this competition for that proposal.

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

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 under parts a and b]

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 agreements including submission of final technical reports that have been approved by the EPA grant project officer. [3 points]
- (iii) Applicants have adequately documented and reported how they have achieved expected 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]** Applicants will need to describe a realistic and thoughtful approach for promoting and implementing P2/source reduction using, surveys, studies, research, investigations, experiments, education, training and/or innovative techniques. The Region will evaluate the strategy based on the following criteria:

- a. **Environmental and/or Human Health Concerns** – Proposed activities will be evaluated on the quality and extent to which:
 - (i) Activities effectively use P2 tools and/or methods to deliver, surveys, studies, research, investigation, experiments, education, training and/or innovative techniques. [20 points]
 - (ii) Activities provide an achievable and measurable approach for implementing one or more of the regional priorities. [17 points]
- b. **Environmental Results (Section I.C.6 and 7)** – Activities will be evaluated on the extent to which applicants credibly show they expect environmental results of significance. The significance of results will vary depending on the nature of the projects and could include, but is not limited to: reducing hazard or toxicity; the volume or breadth of results achieved during the grant period; the anticipation of continuing results beyond the grant period; maintaining a 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.C.6 and I. C.7. [24 points]**

- c. **Transferability** – Proposed activities will be evaluated on the quality and extent to which applicants can demonstrate that:
 - (i) P2 tools or activities will be used by a business, facility, academic institution or community after the grant period. **[5 points]**
 - (ii) Lessons learned from the project will be utilized by social media, workshops, trainings, or in educational material for the purpose of increasing awareness after the grant period. **[5 points]**
- d. **Partnerships** – Proposed activities will be evaluated based on the extent to which applicants use partnerships to address the environmental and/or human health concerns affecting the community where the project will take place. **[5 points]**
- e. **Budget Detail** – Proposed activities 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. **[5 points]**

*Note: The Regions may provide discrete levels of partial funding when selecting eligible proposals. Applicants are strongly encouraged to provide budget details for delineated projects to allow for partial funding (**Section II.A**). Eligible applicants that perform this function may have 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**).*
- f. **Timeline** – Proposed activities will be evaluated on the quality and extent to which applicants present reasonable and achievable milestones. A project timeline of no more than two (2) years (**Section I.C.5**) should reflect project tasks and deliverables as well as data collection activities capturing environmental results (**Section I.C. 7 and 8**). Refer to **Appendix D. [4 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 media 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 and 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 Decision:** 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 process. Once final decisions have been made, funding recommendations will be forwarded to the EPA Award Official. The Regions *anticipate* final funding decisions will be made in May 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 that recommend funding are only recommendations, and should not be regarded as official documentation to begin project work. Official documentation may only come by post and is signed by an EPA grants officer of the Office of Grants and Debarment.

B. 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.

If environmental data are to be collected there are three major steps involved in satisfying the QA/QC process: 1) Sufficient time and resources are 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 SRA awards are not required to verify activity for a QMS, or provide QMP or QAPP documentation as part of their proposals or application packages. However, when grant activities involve environmental data, a note of verification of the QMS and documentation of the QMP and QAPP will be required from the grant recipient at the time of award. The SRA 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.
5. **Disputes:** Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://www.epa.gov/ogd/competition/resolution.htm>. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement.

C. Additional Administrative Provisions: The following list of provisions that apply to this solicitation and/or awards made under this solicitation, include but not limited to those 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. Applicants are strongly encouraged to review these and other grant provisions when preparing proposals for this solicitation. If there is 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 Program Coordinators.

Region 2 NJ, NY, PR, VI	Alex Peck U.S. EPA Region 2 290 Broadway, 25th Floor (PSPMMB) New York, NY 10007-1866 Phone: 212-637-3758 Email: peck.alex@epa.gov
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Region 3 DC, DE,MD, PA, VA, WV	Mindy Lemoine U.S. EPA Region 3 1650 Arch Street (3LC40) Philadelphia, PA 19103-2029 Phone: 215-814-2736 Email: lemoine.mindy@epa.gov
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Region 4 AL, FL, GA, KY, MS, NC, SC, TN	Pamela Swingle U.S. EPA Region 4 61 Forsyth Street SW Atlanta, GA 30303 Phone: 404-562-8482 Email: swingle.pamela@epa.gov
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Region 5 IL, IN, MI, MN, OH, WI	Christine Anderson U.S. EPA Region 5 77 West Jackson Boulevard (LM-8J) Chicago, IL 60604-3590 Phone: 312-886-9749 Email: anderson.christinea@epa.gov
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Region 6 AR, LA, NM, OK, TX	Annette Smith U.S. EPA Region 6 1445 Ross Ave, Suite 1200 Dallas, TX 75202 Phone: 214-665-2127 Email: smith.annette@epa.gov
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Region 8
CO, MT, ND
ND, SD, UT,
WY

Linda Walters
U.S. EPA Region 8
1595 Wynkoop Street (8P-P3T)
Denver, CO 80202
Phone: 303-312-6385
Email: walters.linda@epa.gov

Region 10
AK, ID, OR,
WA

Carolyn Gangmark
U.S. EPA Region 10
1200 Sixth Avenue, Suite 900 (AWT-128)
Seattle, WA 98101
Phone: 206-553-4072
Email: 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- 2014-001, or the CFDA number that applies to the announcement (CFDA 66.717), 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 **Tuesday, March 11, 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.

III. 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. 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**

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

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

Appendix B

Sample Cover Page

[Grant Program Title] **FY 2014 Source Reduction Assistance Grant Program**
[Funding Opportunity Number] **EPA-HQ-OPPT-2014-001**

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

[Short Description - no more than 300 characters]

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

[Project funding]

Total Project Funding: \$46,804

Requested Funding: \$39,804

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

Name: Jane Doe

Address: 1200 Pennsylvania Ave, N.W.

Washington, D.C. 20460

Tel: (222) 222-2222

Fax: (222) 222-2222

Email: doe.jane@aol.com

[System for Award Management Registration]

System for Award Management Registration Date: 1/10/2014

Appendix C

Guidance for Submitting Environmental Measures

I. Introduction. As noted in **Section V.A. 2.b**, 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 Section I. C. 6 and 7. 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 (MTCO₂Eq) 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) P2 Activity	(b) Haz. Inputs Reduced	(c) Haz. Waste Reduced	(d) Air Poll. Reduced	(e) Water Effluent Reduced	(f) Total Haz. Lbs. Reduced	(g) MTCO ₂ e Reduced	(h) Water Gallons Reduced	(i) Dollars saved 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

3. Explain the assumptions and calculations used to produce the expected numbers, such as degree of participation, P2-practice-adoption rate of workshop participants.
4. 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 (e.g., 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 (NOx), sulfur oxides (SOx), particulate matter (PM) and Volatile Organic Compounds (VOCs). Air pollutants also include NOx and SOx from boilers, but exclude NOx or SOx from utilities (due to cap and trade limitations).
4. **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.

5. **Total Pounds of Hazardous Materials (includes Pollutants) [column f]:** Total of subcomponents from hazardous inputs and wastes, air releases, and water pollutants.
6. **MTCO₂Eq [column g]:** Metric Tons of Carbon Dioxide Equivalent reduced.
7. **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.
8. **Dollars Saved [column i]:** This refers to cost savings associated with reducing hazardous pounds, MTCO₂Eq, 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 a current reporting year. The applicant makes EPA 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 SOURCE	(b) Example P2 ACTIVITY	(c) Example HAZ LBS REDUCED	(d) Example GALLONS WATER SAVED	(e) Example MTCO ₂ e REDUCED	(f) Example \$ SAVED from (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.

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).

3. 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/
- b. <http://www.iowadnr.gov/Environment/LandStewardship/WasteManagement/PollutionPreventionP2/P2InternProgram.aspx#dltop>
<http://www.iowadnr.gov/Portals/idnr/uploads/waste/Intern%20Case%20Summaries/p2cs2012.pdf>

4. **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.
5. **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.
6. **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
1 Water Efficiency												
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		
2 Technical Assistance												
Respond to questions	X	X	X	X	X	X	X	X	X	X	X	X
Survey clients						X	X	X	X		X	X
3 Results Measurement												
Data Input											X	X
Training for regional offices						X	X					
4 Communication Center												
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

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 proposal.

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

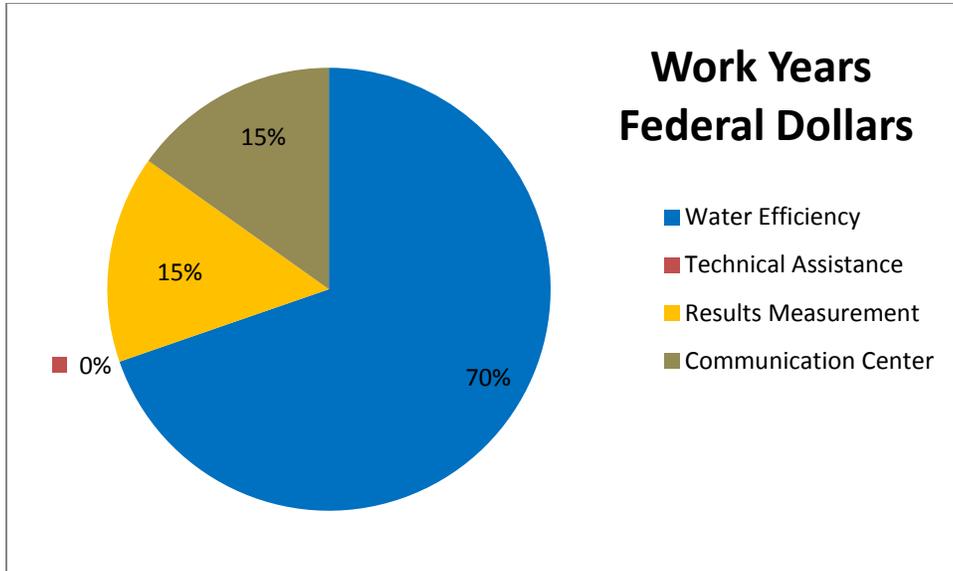
PERSONNEL								TOTAL
	Annual Salary	FTE	Wages		Annual Salary	FTE	Wages	
Info & Cmx Specialist	\$42,632	0.50	\$21,316	Info & Cmx Specialist	\$42,632	0.15	\$6,395	\$151,674
Env. Sr. Specialist	\$44,362	0.67	\$29,723	Env. Sr. Specialist	\$44,362	0.15	\$6,654	
1 Computer Consultant III	\$50,378	0.10	\$5,038					
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	
TOTAL		1.32	\$59,412			1.65	\$92,262	
FRINGE BENEFITSⁱ								
	25.48%		\$15,138		25.48%		\$23,508	
TRAVEL								\$3,500
National meeting	\$1,500	1.00	\$1,500					
Regional sessions	\$200	9.00	\$1,800					
Reimburse mileage	\$0.51	392	\$200					
TOTAL			\$3,500				\$0	
SUPPLIES								

Laptop & webinar software	\$2,500	1.00	\$2,500	\$0	\$0	\$2,500
CONTRACTUAL						
Management support ⁱⁱ	\$25	780	\$19,500	\$0	\$0	
Graphic/ technical support ⁱⁱⁱ	\$10	495	\$4,950	\$0	\$0	
			\$24,450		\$0	\$24,450
OTHER						
Webinar conference calls	\$2,000		\$2,000	\$0	\$0	\$2,000
INDIRECT^{iv}						
		8.60%	\$5,109	8.60%	\$7,935	\$13,044
INCOME^v						
	\$0		\$0	\$0	\$0	\$0
TOTAL						
GRAND TOTAL			\$112,109		\$123,705	\$235,814

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	\$179,942
2 Technical Assistance	0.00	0.10	0.10	\$4,109	\$11,124	\$15,233
3 Results Measurement	0.20	0.00	0.20	\$14,000	\$0	\$14,000
4 Communication Center	0.20	0.15	0.35	\$14,000	\$12,639	\$26,639
Totals	1.32	1.65	2.97	\$112,109	\$123,705	\$235,814

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



ⁱ 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.

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

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

^{iv} 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.

^v 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 requirement.