

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

FUNDING OPPORTUNITY TITLE: Source Reduction Assistance Grant Program

ANNOUNCEMENT TYPE: Request for Proposals (RFP)

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 66.717

FUNDING OPPORTUNITY NUMBER: EPA-HQ-OPPT-2013-002

SUBMISSION DATE: Proposals are due on **Tuesday, February 05, 2013, 11:59 pm EST.** Applicants may submit proposals by mail or electronically through Grants.gov. Please note that emailed and faxed submissions will not be reviewed. Proposals received after the submission date and time will be considered late and will not be reviewed. For additional information, please refer to **Section IV**.

SUMMARY OF ANNOUNCEMENT

This Request for Proposals announces that EPA's Regional Pollution Prevention Program Offices (herein referred to as the Regions) anticipate having up to \$147,000 *per region* or up to \$1,089,000 in total award funding to issue Source Reduction Assistance (SRA) awards in Fiscal Year (FY) 2013. Funding will support pollution prevention (P2)/source reduction projects that begin in FY 2014.¹ The Regions will issue awards in the form of grants and/or cooperative agreements.² Award selection, funding and grant oversight will be managed by the Regions.

SRA awards are issued annually by the Regions, subject to Congressional appropriation and the quality of proposals received. The awards help fund environmental projects that reduce or eliminate pollution at the source. Collectively, the Regions are interested in funding projects that support the 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) support P2 integration. Also, each Region has independently developed a set of P2 priorities (**refer to Section I.B**) that have strategic interest to each Region. Grant projects may demonstrate P2 techniques through innovative practices, surveys or studies, research, investigation, experimentation, or education and training. Proposals that principally support recycling, clean-up, treatment, disposal and/or energy recovery efforts will not be considered for funding. Proposals that involve more than one Region will not be considered for funding.

EPA Regions 5 and 9, representing the states and U.S. territories of Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin, Arizona, California, Hawaii, Nevada, American Samoa and Guam, will not participate in this announcement and will not accept proposals under this competition.

¹ All estimates are subject to the availability of Congressional appropriation. FY 2013 represents the period from October 1, 2012 – September 30, 2013. FY 2014 represents the period from October 1, 2013 – September 30, 2014.

² Region 1 will limit SRA awards to proposals requesting between **\$10,000 and \$35,000** in funding. Region 2 anticipates only having **\$60,000** in total award funding.

Projects proposed in EPA Regions 5 and 9 will not be reviewed. However, applicants in Region 5 or 9 may propose grant work in one of the other eight EPA Regions. Proposals should be sent to the appropriate Region where the work will take place.

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.

Note: Individuals, for-profit businesses and non-profit 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 grant competition.

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FULL TEXT OF ANNOUNCEMENT

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

I. Funding Opportunity Description: EPA is announcing the funding availability of SRA grants and/or cooperative agreements. EPA anticipates having up to \$147,000 available *per region* or up to \$1,089,000 in total award funding to award grants or cooperative agreements in FY 2013. Funding will support P2/source reduction projects that will begin in FY 2014.³

³ All estimates are subject to the availability of Congressional appropriation. FY 2013 represents the period from October 1, 2012 – September 30, 2013. FY 2014 represents the period from October 1, 2013 – September 30, 2014.

A. Introduction: In 2010, the P2 program (Headquarters and the Regions) finalized a strategic plan. The plan, titled the 2010-2014 Pollution Prevention Program Strategic Plan, describes the activities the P2 program will participate in to identify and leverage P2 opportunities within and outside of the Agency over a five-year period.⁴ The motivation for drafting the plan was to provide a workable framework for addressing climate change, sustainability, business efficiency and P2 integration activities. 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; and
5. Institutionalize and integrate pollution prevention practices through government services, policies, and initiatives.

As representatives of the P2 program, each Region has developed Region-specific priorities for the FY 2013 SRA grant competition that align with one or more of the plan's five goals. The Region-specific priorities are one component of evaluation factors applicants will need to address in their work plans.

B. Region-Specific Priorities: The priorities are provided to highlight specific environmental issues/projects/programs of interest to each Region. At least one of the priorities must be addressed in the applicant's work plan. When the applicant determines which priority to address the applicant will need to apply a method for executing the work. This may be accomplished by using research, investigation, experimentation, education, training, surveys, studies, or demonstrations of innovative P2 techniques. *Work plans may only involve one Region. Workplans that involve more than one Region will not be considered for funding.*

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

- Sector-based P2 efforts (e.g., grocers, freight transport, water infrastructure, universities, venues, hospitality, health care) that will lead to long-term, measureable and sustainable environmental results.
- Projects that promote sustainable P2 practices (including green chemistry) and achieve measureable results in reducing greenhouse gases, hazardous materials, conserving water or saving money.

4 2010-2014 P2 Program Strategic Plan - <http://www.epa.gov/p2/pubs/docs/P2StrategicPlan2010-14.pdf>.

- Projects that develop or strengthen collaborations among assistance providers or between assistance providers and regulators and include projected environmental outcomes in pounds of hazardous materials reduced, CO₂ reduced, gallons of water saved or dollars saved.
- Projects that help states, tribes, local governments and/or businesses manage stormwater through the implementation of green infrastructure practices and/or lead to the reduction or elimination of sources of stormwater pollution (e.g., pesticides, excessive nutrients, pet waste).
- Community-based P2 efforts focused on helping businesses, institutions, and local government in priority geographic areas of concern (e.g., low-income urban and rural areas, environmental justice areas, areas disproportionately affected by high levels of criteria air pollutants or air toxics emissions, areas where water bodies have been adversely affected by combined sewer overflows or stormwater runoff) that will lead to long-term sustainable environmental results and emphasize how the community will be positively impacted by the project.

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.
- Promote projects that 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 negative environmental consequences.

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

- Promote 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/green reviews and greenhouse gas evaluations.
- Support development of local or regional byproduct synergy networks that include manufacturers as partners. An emphasis on hazardous materials is recommended, with particular interest in methanol.

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

- Promote P2 using lean and green (refer to <http://www.epa.gov/lean>) initiatives by encouraging industries, utilities, municipalities and other institutions to reduce

pounds of pollution, conserve water and/or energy, reduce greenhouse gases, and save money. Provide technical assistance and P2 expertise to Economy, Energy and Environment (E3) projects to enable businesses to lean and green their operations.

- Implement P2 projects focusing on the hospitality sector (e.g., green lodging, green venues).
- Implement P2 projects that examine the connections between green building, neighborhood connectivity, and/or construction sectors focusing on cost savings, reduction of greenhouse gas emissions, energy efficiency, reduction of 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.*

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

- Promote projects in environmental justice communities with information and/or training on how to live greener, healthier lives, while living within their means.
- Promote projects that use P2/source reduction techniques and strategies for businesses, government and consumers (e.g., energy efficiency, lean and green techniques) and achieve measurable results by reducing pollution and hazardous waste, limiting water use, saving money and/or conserving energy, e.g., through telework, commuter solutions, etc.
- Promote P2 results in high impact sectors/fields such as entertainment (sports, hospitality, parks), petrochemicals, resource extraction, government and military installations, agriculture and consumer consumption.
- Promote development and implementation of measurement methods that exceed national standards.
- Promote P2 integration in emerging environmental challenges, e.g., drought, weather variability, peak demand, etc.
- Promote 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 7 (IA, KS, MO, NE)

Iowa

- Promote E3 projects that provide organizational support to identify, assemble and integrate necessary planning and implementation partners from government and

non-governmental organizations. The proposer will facilitate the selection of a sector (geographic or industrial) to target for the E3 initiative and will subsequently direct the development of a target group of businesses to participate in further E3 planning and implementation. The overall goal of this planning effort will be to obtain significant environmental outcomes (**refer to Section I.C.8**) and achieve E3 metrics.

Missouri

- Promote Economy, Energy and Environment (E3) projects that provide organizational support to identify and integrate necessary planning and implementation partners from government, non-governmental organizations and businesses. The successful proposal will also provide for the integrated development and implementation of appropriate, targeted and specific business support that will result in short-and near-term environmental outcomes (refer to **Section I.C.8**). These environmental outcomes will result from actions taken by the supply tiers to the original equipment manufacturers.

Kansas and Nebraska

- Promote projects supporting:
 - Agricultural production and/or food processing sectors through efforts that advance water conservation and/or energy efficiency or energy conservation;
 - Green infrastructure to communities to help reduce their water (both supply and waste) and energy demands;
 - Follow-up or re-assessments with businesses that have had previous source reduction assistance recommendations to determine level of implementation and significant factors that drove implementation; and/or
 - Study/investigation to better understand how businesses make decisions for source reduction/P2 investments.

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

- Promote projects that improve and increase the use of sustainable practices with a focus on energy conservation, renewable energy deployment, water conservation, fuel reduction, waste reduction, or environmental preferable purchasing that will achieve measurable results in reducing greenhouse gases, hazardous materials, conserving water or saving money.
- Promote partnerships and technical assistance efforts to support EPA's Economy, Energy and Environment (E3) initiative by testing the approach in manufacturing and agriculture. Assessments and training opportunities will emphasize the following:
 - Energy efficiency,
 - Hazardous materials reduction,

- Carbon emissions reduction, and
- Sustainable practices and growth.

Region 10 (AK, ID, OR, WA)

- o Promote 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.
- o Promote lean and the environment and/or Economy, Energy and Environment (E3) programs in Alaska, Idaho, Oregon and Washington, to achieve P2 outcomes.

C. Grant Program Requirements: This section summarizes the grant policies and requirements, many of which are further discussed in other sections of this announcement including **Sections III, IV and V**. It also describes information that an applicant must include in their work plan.

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.

Note: Individuals, for-profit businesses and non-profit 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 grant competition.

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 refers to any practice which reduces or eliminates the creation of pollutants through: increased efficiency in the use of raw materials, energy and water; protection of natural resources by conservation activities; or actions that prevent pollution by reducing the use of toxic chemicals.

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, training or studies of process or procedure modifications, redesigning products to use fewer materials, substitution

of raw materials to support a more environmentally preferable method, extending the life of non-discarded hazardous materials, or offering training/certification assistance.

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 award funding. Rather this type of activity is better suited for funding opportunities through EPA’s Office of Resource Conservation and Recovery. For more information on recycling and related programs, please visit <http://www.epa.gov/epawaste/consERVE/rrr/recycle.htm>

3. **EPA Statutory Authorities for SRA Awards:** SRA grants and cooperative agreements may be awarded under the following EPA statutory authorities: Clean Air Act, Section 103(b), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and Toxic Substances Control Act, Section 10, as amended. *All activities in the applicant’s proposal must be 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 for the following activities: 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 unsuitable projects that EPA will not fund under this announcement are: recycling, treatment, clean-up, disposal and/or energy recovery projects.

4. **Programmatic Capability:** Applicants are required to describe their ability to successfully complete and achieve the goals of the proposed project(s). To do so, the applicant must address the following:
 - a. **Experience Achieving Project Objectives:** Describe how the applicant’s organizational experience and resources support the successful completion of the proposed project; and
 - b. **Staff Qualifications:** Describe how the applicant’s staff has the

qualifications and knowledge to successfully accomplish the proposed project.

5. **Past Performance and Reporting History:** Applicants are required to describe their past performance regarding grant management/performance and compliance with reporting requirements. To do so, the applicant must submit a list of federally-funded agreements (assistance agreements include federal grants and cooperative agreements, but not federal contracts) similar in size, scope and relevance to the proposed project that they performed within the last three years (no more than five agreements), and address the three items listed below for each agreement.
 - a. **Experience Managing Grants:** Describe the applicant's past performance in managing and completing the agreement (e.g., capability of addressing project goals and objectives, overseeing the budget, managing staff, addressing milestones, etc);
 - b. **Experience Meeting Reporting Requirements:** Describe the applicant's history of meeting reporting requirements under the agreement including submission of final technical reports; and
 - c. **Experience Reporting Expected Results:** Describe whether the applicant adequately documented and/or reported on achieving the expected results (e.g., outcomes and outputs) under the agreement. If such progress was not made, please explain why the applicant does not have experience reporting expected results.

Note: Applicants with no relevant or available past performance or reporting history must indicate this in their proposal. Applicants in this category will receive a **neutral score** for these factors in accordance with the proposal evaluation process noted in **Section V**.
6. **Cost Sharing and Matching Requirements:** Applicants are required to provide a minimum 5 percent match, as part of the total allowable project cost.⁵ For example, the federal government will provide 95 percent of the total allowable cost of the project and the recipient will provide the remaining 5 percent. The match may be issued in the form of cash and/or in-kind contributions, e.g., donated services, charges for real property and equipment or the value of goods and services directly benefiting the EPA-funded project. **The match requirement may be applied at the time of award or at specified intervals during the project period. The applicant must document in their itemized budget the type of match to be used and describe in their work plan how the full 5**

⁵ 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. (40 CFR Part 30).

percent match will be applied. 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 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.⁶

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.

7. **Funding Period:** The Region will fund grant activities for no more than two (2) years.
8. **Alignment with EPA's Environmental Results Policy:** Applicants are required to describe outcome and output environmental measurement efforts in their proposals. The term "outcome," as defined by the Agency, refers to the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature and must be able to be quantified, 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 will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative, but must be measurable during the assistance agreement funding period.⁷

Examples of outcome measures anticipated from SRA awards include, but are not limited to:

- a. Pounds of hazardous materials reduced;
- b. Metric tons of carbon dioxide equivalent (MTCO₂Eq) reduced⁸;

⁶ 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. Universities and colleges should refer to OMB Circular A-21 by visiting http://www.whitehouse.gov/omb/circulars_a021_2004/.

⁷ EPA Order 5700.7, Environmental Results Under Assistance Agreements - <http://www.epa.gov/ogd/grants/award/5700.7.pdf>.

⁸ SRA grant recipients will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO₂e) 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 document and track greenhouse gas results using the measures MMTCO₂Eq

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

Examples of output measures anticipated from SRA awards include, but are not limited to:

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

9. Work Plan Measurement Elements: To ensure that an environmental measurement strategy is incorporated into the proposal, applicants will need to submit a work plan that includes the following elements **(for a complete description of the work plan requirements, refer to Section IV.F.4.b):**

- a. Numeric estimates of expected outputs and outcomes per project;
- b. A description of the relevant data collection methods (e.g., surveys, pre/post tests, participant reporting arrangements);
- c. A description of the equations, factors and assumptions used to calculate the estimated outcome results;
- d. An itemized budget of each project for each year of the work plan. This description should also reflect the resources needed to pay for measurement and reporting activities. In some cases this may require 10-20 percent of the proposed budget;⁹ and
- e. A project timeline that includes data collection and evaluation activities of expected output and outcome measures.

10. Alignment with EPA's Strategic Plan: SRA proposals must note a commitment to work towards the five long-term P2 targets provided in the Agency's FY 2011 – 2015 Strategic Plan. The P2 Program's targets are located under Goal 4:

and MMTCE respectively. These measures are used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions, please go to: <http://www.epa.gov/OMS/climate/420f05002.htm>.

⁹ Appendix E provides a sample of an itemized budget.

Ensuring Safety of Chemicals and Preventing Pollution, Objective 4.2: Promote Pollution Prevention.

Strategic targets:

- a. By 2015, reduce 15 billion pounds of hazardous materials cumulatively through P2 (Baseline is 4.8 billion pounds reduced through 2008.)
- b. By 2015, reduce 9 million metric tons of carbon dioxide equivalent (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.)¹⁰
- 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.)

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 strategic planning begins on page 57.

II. Award Information: The Regions will issue SRA awards in the form of grants and/or cooperative agreements. If a cooperative agreement is awarded, the degree of involvement will be determined by the Region. EPA anticipates having up to approximately \$147,000 available *per region* or up to \$1,089,000 in total award funding to fund P2/source reduction projects in FY 2013 to support activities that will take place in FY 2014. All estimates are subject to the availability of Congressional appropriations. EPA anticipates awards will be issued in the range of \$10,000 – \$147,000. It is anticipated that *collectively* the Regions will receive approximately 40 grant proposals and issue between 12 - 18 awards in total. The Regions anticipate that final funding decisions will be made 180 days after the post date of this announcement.¹¹

¹⁰ SRA grant recipients will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO₂e) 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 document and track greenhouse gas results using the measures MMTCO₂Eq and MMTCE respectively. These measures are used when results are provided in an aggregated format.

¹¹ Region 1 will limit SRA awards to proposals requesting between **\$10,000 and \$35,000** in funding. Region 2 anticipates only having **\$60,000** in total award funding.

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: In order to be considered for partial funding, work plans must have clearly delineated activities or phases with separate budget estimates for each activity/phase of a project. The completed work plan must include a budget that estimates the costs for labor (by labor category), fringe benefits, travel, equipment, supplies, contractors, and other direct costs and indirect costs. The budget must itemize these costs under each task of the **entire** work plan and must identify the activities (and corresponding estimated costs) covered by the 5 percent match. Please refer to **Section III.A** for information on how the 5 percent match requirement should be applied.

B. Incremental Funding: Award funding may also be issued in increments over the life of the work plan. For example, an applicant may request \$40,000 in incremental funding to support a project period of two years. If the project is selected for an award, the Region may decide to fund the project in increments of \$20,000 per year. This decision is solely made by the Region, which reserves the right to decide which work plans merit incremental funding. Incremental funding is not guaranteed rather it is contingent on a range of factors – i.e., funding availability in subsequent years, the applicant’s performance history and programmatic priorities defined by the Region. To be considered for incremental funding, applicants must provide budget plans that detail the activities to be performed during each project period.

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

D. Type of Assistance Instrument: Each Region will fund selected proposals in the form of grants and/or cooperative agreements. If a cooperative agreement is selected for funding, the Region will have substantial technical interaction with the recipient. For such projects (e.g., surveys, on-site visits, etc), the Region may review project phases; in accordance with 40 CFR 30.44(e) or 31.36(g), as appropriate, review of proposed procurements; collaborate with the

recipient on the scope of work and mode of operation of the project; closely monitor the recipient's performance; approve any proposed changes to the work plan and/or budget; review qualifications of key personnel; and review and comment on reports prepared under the assistance agreement. The Region will not be substantially involved in the performance of grants.

III. Eligibility: 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.

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

A. Cost Sharing and Matching Requirements: EPA requires the applicant to provide a minimum 5 percent match, as part of the total allowable project cost, in order to receive an award.¹² For example, the federal government will provide 95 percent of the total allowable cost of the project and the recipient will provide the remaining 5 percent. The match may be issued in the form of cash and/or in-kind contributions, e.g., donated services, charges for real property and equipment or the value of goods and services directly benefiting the EPA-funded project. **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 their itemized budget the type of match to be used and describe in their work plan how the entire 5 percent match will be applied. 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 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.

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 (as well as the cost match requirements described above) in order to be considered for funding. The Region will evaluate proposals based on these preliminary requirements. If an applicant is found

¹² 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. (40 CFR Part 30).

to be ineligible, the Region will notify the applicant within 15 calendar days after the Region reaches its decision.

C. Threshold Program Requirements:

1. Projects must apply the terminology and concepts used to describe P2/source reduction methods (**Section I.C.2**).
2. Projects must be for no more than two (2) years (**Section I.C.7**).
3. Projects must align with EPA's Strategic Plan (**Section I.C.10**).
4. Projects must address one or more of the Region-specific priorities that apply to the Region where the applicant will perform the project (**Section I.B**).
5. Projects must involve only one (1) Region (**Section I.B**). Workplans involving more than one Region will not be considered.

D. Threshold Submission Requirements:

1. Proposals must substantially comply with the proposal submission instructions and requirements set forth in **Section IV** or they will be rejected.
2. The proposal narrative must be 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** of this announcement 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 to the applicant without further consideration unless the applicant can clearly demonstrate that their proposal was late due to EPA mishandling or because of technical problems associated with Grants.gov.
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 and must include the following items:

- Cover Page;
- Application for Federal Assistance Form (SF 424);
- Key Contact Form; and
- Proposal Narrative

Section IV.D 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 who are asked to submit an application package will be considered for an SRA award. Application packages include additional federal forms and supporting documentation. An application package **should not** be submitted at this time.

A. Submission Date: Proposals are due on **Tuesday, February 05, 2013, 11:59 pm (EST)**. 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 choosing to mail their proposal package **must** send two (2) complete copies to the appropriate Region listed in **Section VII**. EPA strongly recommends that applicants use an overnight delivery service or courier service as regular mail may be subject to unforeseeable delays. Proposals received after the submission date as noted in **Section IV.A** will not be considered for funding. Proposals must be prepared in accordance with **Sections IV.C and D**. 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 saved in MS Word or PDF format.

F. Proposal Package Content: The proposal package must include a cover page, federal assistance form (SF-424), key contact information and the proposal narrative. Applicants may include Letters of Support.

- 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;

- c. Provide numeric estimates of expected environmental measures per project;
- d. Provide a description of equations, factors and assumptions used to calculate the estimated environmental measures;
- e. Provide a plan for tracking the applicant's progress towards achieving the expected project outcomes and outputs (**Section I.C.8**); and
- f. Provide discussion on forecasting environmental outcomes.

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

(iii) **Budget Detail:** The work plan must include an itemized budget noting how funding will be used for each project. The budget must comply with the 5 percent cost sharing and matching requirements (**Sections I.C.6 and III.A**). The budget must also reflect the resources needed to pay for measurement and reporting activities. In some cases this may require 10-20 percent of the proposed budget. If an applicant wishes to be considered for partial or incremental funding they must comply with the instructions provided in **Sections II.A and B** respectively. An example of an itemized budget is provided in **Appendix E**.

- a. **Management Fees:** When formulating a budget, applicants may not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by their audit agency, or at the rate provided for in the terms of the assistance agreement negotiated with EPA. The term "management fees or similar charges" refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA grants or cooperative agreements. Management fees or similar charges may not be used to improve or expand the project funded under the grant or cooperative agreement, except to the extent authorized as a direct cost of carrying out the work plan.
- b. **Compensation for Consultants:** The use of EPA assistance agreement compensation for consultants is

limited to the daily equivalent of the rate paid to federal employees at the ES-IV level (refer to 40 CFR Sections 30.27 (b) and 31.36 (j)).

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

- 5. **Letters of Support:** Including Letters of Support as part of the grant proposal is optional and is not required. The Regions will only consider Letters of Support that describe the service the grant partner(s) will provide to help carry out the work plan.

G. Other Submission Requirements:

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

In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal package as confidential business information. The Region will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions thereof that they claim as confidential. If no claim of confidentiality is made, the Region is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure. The Agency protects competitive proposals/applications from disclosure under applicable provisions of the Freedom of Information Act prior to the completion of the competitive selection process.

- 2. **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.

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

H. Pre-proposal/Application Assistance and Proper Communication with Applicants:

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1),¹³ 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 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.

I. Pre-proposal Assistance on Environmental Measurement: A frequently-asked-questions (FAQ) page was developed to assist SRA 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 strongly 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 P2 Measurement Information.

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

1. **An applicant's named subawardees/subgrantees** identified in the proposal/application if the applicant demonstrates in the proposal/application that if it receives an award that the subaward/subgrant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use subawards/subgrants to obtain commercial services or products from for-profit firms or individual consultants; and

¹³ EPA Order 5700.5A1 - http://www.epa.gov/ogd/competition/5700_5A1.pdf.

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

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

K. Proper Use of SRA Award Funds Under Subgrants/Contracts: To ensure the proper use of award funds, the following requirements must be followed: The Region may only award funds to one eligible applicant as the recipient even if other eligible applicants are named as partners or co-applicants or members of a coalition or consortium. The recipient is accountable to the Region for the proper expenditure of funds. Funding may be used to provide subgrants or subawards of financial assistance, which include using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those contained in 40 CFR Parts 30 or 31, as appropriate. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 40 CFR Parts 30 or 31, as appropriate. The regulations also contain limitations on consultant compensation. Applicants are not required to identify subawardees/subgrantees and/or contractors (including consultants) in their proposal/application. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the proposal/application selected for funding does not relieve the applicant of its obligations to comply with subaward/subgrant and/or competitive procurement requirements, as appropriate.

Note: Applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal/application. Successful applicants cannot use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subawardee or subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance under Subpart B Section .210 of OMB Circular A-133, and the definitions of subaward at 40 CFR 30.2(ff) or subgrant at 40 CFR 31.3, as applicable. The Region will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 40 CFR Part 30 or 40 CFR Part 31.36 and cannot use a subaward/subgrant as the funding mechanism.

V. Proposal Review Information: This section describes the criteria for evaluating eligible proposals (**Section III**). The Regions will only evaluate proposals from eligible applicants that meet the threshold program requirements and threshold submission requirements (**Sections III.B, 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 [12 points]

a. Programmatic Capability (Section I.C.4) [6 points]: Proposals will be evaluated based on the quality and extent to which:

- (i)** The applicant clearly describes their organizational experience and resources to perform and support the successful completion of the proposed project(s). This includes experience achieving project objectives (**Section I.C.4.a**) and staff qualifications (**Section I.C.4.b.**). **[3 points]**
- (ii)** The applicant clearly describes 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 (Section I.C.5) [6 points]: Proposals will be evaluated based on the factors described in **Section I.C.5** including the quality and extent to which:

- (i)** The applicant demonstrates it has successfully performed and managed federally-funded assistance agreements (federal grants and cooperative agreements and not contracts) of similar size, scope and relevance to the proposed project within the last three years. **[3 points]**
- (ii)** The applicant has complied with reporting requirements under these agreements including submission of acceptable final technical reports. **[3 points]**

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

If the applicant makes no mention of programmatic capability and

past performance, their proposal will receive a score of **[0 points]** for these factors.

2. Work Plan [88 points]

- a. **Project Strategy (Section IV.D.4.b):** The project strategy should lay out a realistic and thoughtful plan for promoting P2 using innovative techniques, surveys, or studies that use research, investigations, experiments, education and/or training. The Region will evaluate the strategy based on the following criteria: **[46 Points are broken out below under i, ii, and iii]**

(i) **Environmental and/or Human Health Concerns [20 points]**

How well does the applicant define a significant environmental and/or human health concern that will be addressed by the project? **[4 points]**

How well does the project strategy relate to at least one of the regional priorities? **[8 points]**

How well does the project strategy illustrate that it has the capacity to significantly reduce environmental and/or human health concerns by applying P2 tools or methods using innovative techniques, surveys, studies, research, investigations, experiments, education and/or trainings? **[8 points]**

- (ii) **Partnership [6 points]** Proposals will be evaluated based on the quality and extent to which the applicant uses partnerships to address the environmental and/or human health concerns affecting the community where the project is taking place?

(iii) **Transferability [20 points]**

Will tools from the project(s) be used by a business, facility, academic institution or community to carry on P2 work after the project has ended? **[10 points]**

Will lessons learned from the project(s) be used in workshops, trainings, educational materials, or posted on-line for the purpose of increasing awareness after grant/cooperative agreement has ended? **[10 points]**

- b. **Environmental Measures (Section I.C.8 and 9) [26 points]:** Proposals will be evaluated based on the quality and extent to which the applicant presents a methodology for tracking and measuring their progress toward achieving expected environmental outcomes and outputs by offering

reasonable and accurate numeric estimates of expected outputs and outcomes. The applicant will do this by explaining how they intend to collect, calculate, track and report P2 measures for each project.

- c. **Environmental Outcome Performance Measures [8 points]:** Proposals will be evaluated based on the quality and extent to which the applicant has adequately documented and reported how they have achieved expected outcomes under prior grant agreements.
- d. **Budget Detail (Section I.C.9.d) [8 points]:** The Region will evaluate the quality and extent to which the budget presents estimated costs for each budget object class, broken down by project and funding source. Reviewers will also evaluate the applicant's budget based on the extent to which the costs are reasonable and necessary. Note that the budget detail must comply with cost share requirements (**Section I.C.6**) and must indicate the cost of environmental measurement activities (**Section I.C.8**). Applicants that choose to be considered for partial funding (**Section II.A**) must provide budget details for each project activity. Applicants that choose to be considered for incremental funding (**Section II.B**) must provide budget details for each funding period.

B. Review and Selection Process:

- 1. **Review Process:** Eligible proposals will be reviewed by the Region's review panel. The review panel will be composed of P2 program staff in the Region and may include staff from other Regional program offices. The evaluations will be based on the evaluation criteria and point scoring found in **Section V**.
- 2. **Selection Process:** Following the Region's evaluation, applicants will be notified by the Region of their status. Selected proposals will then be *recommended* for funding. A memorandum listing the selected proposals and explaining the selection process will be forwarded to the regional Selection Official.
- 3. **Final Funding Decision:** Final funding decisions will be made by the regional Selection Official based on the rankings and preliminary recommendations of the evaluation team. In making the final funding decisions, the regional Selection Official may also consider programmatic priorities and geographic diversity when allocating funding. Final concurrence is required from the EPA Headquarters Pollution Prevention Division Director or Deputy Director in order for selected grants or cooperative agreements to be processed for funding. Once final decisions have been made, a funding recommendation will be forwarded to the EPA Award Official. The Regions *anticipate* final funding decisions will be made in July 2013.

VI. Award Administration Information:

A. Award Announcements: After proposal packages have been reviewed and evaluated, applicants will be notified regarding their status by the Region, usually 60 – 90 days from the date of submission. EPA anticipates notification to the *successful* applicant will be made via telephone, email or postal mail. The notification will advise the applicant that its proposed project has been successfully evaluated and recommended for award. The notification will be sent to the original signer of the Standard Form (SF) 424, Proposal for Federal Assistance. This notification, which advises that the applicant's proposed project has been recommended for award is **not** an authorization to begin performance. The award notice signed by the EPA grants officer is the authorizing document and will be provided through postal mail. At a minimum, this process can take up to 90 days from the date of recommendation.

EPA anticipates notification to *unsuccessful* applicant(s) will be made via email or postal mail. The notification will be sent to the original signer of the Standard Form (SF) 424, Proposal for Federal Assistance.

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

C. Administrative Requirements:

1. **Subaward and Executive Compensation Reporting:** Applicants must ensure that they have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements established under OMB guidance at [2 CFR Part 170](#), unless they qualify for an exception from the requirements.
2. **Central Contractor Registration (CCR)/System for Award Management (SAM) and Data Universal Numbering System (DUNS) Requirements:** Unless exempt from these requirements under OMB guidance at [2 CFR Part 25](#) (e.g., individuals), applicants must:
 - a. Be registered in the CCR prior to submitting an application or proposal under this announcement. CCR/SAM information can be found at <https://www.sam.gov/portal/public/SAM/>.
 - b. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by an agency. **Please note applicant's CCR status may be provided on the Cover Page. Appendix B provides a sample format.**

- c. Provide its DUNS number in each application or proposal it submits to the agency. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com/get-a-duns-number.html>. Failure to comply with these requirements will affect the applicant's ability to receive funding if the applicant is selected for an award.
3. **Effective Management of Funding and Project Activities:** Applicants that receive funding under this announcement are expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the project activities described in the work plan in a timely manner. All assistance agreements will include terms/conditions implementing this requirement.
4. **Award Management:** Awards issued in FY 2013 will be managed by the appropriate Region.
5. **Non-profit Administrative Capability:** Non-profit applicants that are recommended for funding are subject to pre-award administrative capability reviews consistent with Section 8b, 8c and 9d of EPA Order 5700.8 – Policy on Assessing Capabilities of Non-profit Applicants for Managing Assistance Awards (http://www.epa.gov/ogd/grants/award/5700_8.pdf). In addition, non-profit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to the Grants Management Office the Administrative Capabilities Form, with supporting documents, contained in Appendix B of EPA Order 5700.8.
6. **Unpaid Federal Tax Liabilities and Felony Convictions for Non-Profit and For-Profit Organizations:** EPA anticipates that awards made under this announcement will be subject to the provisions contained in the Department of Interior, Environment, and Related Agencies Appropriations Act, 2012, HR 2055, Division E. Sections 433 and 434 regarding unpaid federal tax liabilities and federal felony convictions. These provisions prohibit EPA from awarding funds made available by the Act to any for-profit or non-profit organization: (1) subject to any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; or (2) that was convicted (or had an officer or agent of such corporation acting on its behalf convicted) of a felony criminal conviction under any Federal law within 24 months preceding the award, unless EPA has considered suspension or debarment of the corporation, or such officer or agent, based on these tax liabilities or convictions, and determined that such action is not necessary to protect the Government's interests. Subject to the language in the FY 13 Appropriation Act (or Continuing Resolution), EPA anticipates that non-profit or for-profit organizations that are covered by these prohibitions will be ineligible to receive an award under this announcement.

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

Applicants should allow sufficient time and resources to set up a Quality Management System for their proposed project(s). If there is no Quality Management System in place, one must be developed. A Quality Management System would be the mechanism for managing the quality of environmental data collection, generation and use. To build a Quality Management System, the applicant needs to develop a Quality Management Plan (QMP). A QMP is a document that describes the applicant's overall organization or program in terms of its organizational structure, policy and procedures, functional responsibilities of management and staff, lines of authority, and required interfaces for those planning, implementing, documenting, and assessing all activities conducted.

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

An applicant applying for FY 2013 SRA awards is not required to submit a QAPP as part of their proposal or application package, but may be required to at the time of award. However, each SRA award letter will include a deadline on when the grantee should submit quality assurance/quality control documentation to the Region.

8. **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.

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

D. References to Non-Federal Websites: Any non-federal websites or website links included in this announcement are provided for proposal preparation and/or informational purposes only. U.S. EPA does not endorse any of these entities or their services. In addition, EPA does not guarantee that any linked, external websites referenced in this solicitation comply with Section 508 (Accessibility Requirements) of the Rehabilitation Act.

E. Unfair Competitive Advantage: EPA personnel will take appropriate actions in situations where it is determined that an applicant may have an unfair competitive advantage, or the appearance of such, in competing for awards under this announcement. Affected applicants will be provided an opportunity to respond before any final action is taken.

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

| Region | EPA REGIONAL P2 PROGRAM COORDINATOR |
|--------------------------------------|--|
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APPENDIX A

Grants.gov Instructions

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

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

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number: EPA-HQ-OPPT-2013-002 or the CFDA number: 66.717 in the appropriate field. You may also access the proposal package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

II. Submission Deadline: Your organization’s AOR must submit your complete proposal package electronically to EPA through Grants.gov (<http://www.grants.gov>) **Tuesday, February 05, 2013, 11:59 pm (EST)**.

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

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

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

Please note that applicants are limited to using the following characters in all attachment file names. Valid file names may only include the following UTF-8 characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period. If applicants use any other characters when naming their attachment files their applications will be rejected by Grants.gov.

Once you have finished filling out all of the forms/attachments and they appear in one of the “Completed Documents for Submission” boxes, click the “Save” button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: “Applicant Name – FY 13 – Assoc Prog Supp – 1st Submission” or “Applicant Name – FY 13 Assoc Prog Supp – Back-up Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2nd submission should be changed to “Applicant Name – FY 13 Assoc Prog Supp – 2nd Submission.”

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

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the FY period and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that appears at the top of the page.

The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the proposal package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726 or email at <http://www.grants.gov/help/help.jsp> or you may contact the appropriate Region in **Section VII**.

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

Appendix B

Sample Cover Page

[Grant Program Title] **FY 2013 Source Reduction Assistance Grant Program**
[Funding Opportunity Number] **EPA-HQ-OPPT-2013-XXX**

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

[Short Description - no more than 300 characters]

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

[Project funding]

Total Project Funding: \$46,804

Requested Funding: \$39,804

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

Name: Jane Doe

Address: 1200 Pennsylvania Ave, N.W.
Washington, D.C. 20460

Tel: (222) 222-2222

Fax: (222) 222-2222

Email: doe.jane@aol.com

[Central Contractor Registration]

Central Contractor Registration Date: 1/10/2013

Appendix C

Guidance for Submitting P2 Measurement Information

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

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

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

1. **Project Overview:** A list of the project’s characteristics:
 - Project title;
 - Outputs;
 - Behavioral Measures;
 - Partners; and
 - Target Sector
2. **Data Collection:** A description of the relevant data collection methods, e.g., surveys, pre/post tests, the participant reporting arrangements, etc.
3. **Estimating P2 Outcomes:** Numeric estimates of environmental outcomes per project.
4. **Calculation of P2 Outcome Results:** A description of the equations and methodologies used to calculate the estimated environmental outcomes.

B. Documenting the Information

1. **Project Overview:** This section provides a “snap shot” of the proposed project by providing brief responses to the five project characteristics:
 - Project title;
 - Outcomes;
 - Behavioral measures;
 - Partners; and

- Target sector

A sample description is provided below:

- Project title: Green Hotels Project;
- Outcomes: The project as referenced in Table 1 will be organized around four P2 efforts water conservation, green cleaning, organic lawn care, and efficient lighting;
- Behavioral measures: Number of workshop attendees that join the Green Hotels Project;
- Partners: State hotel and motel association, state visitors and tourist bureau; and
- Sectors: Hotel and hospitality businesses

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

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

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

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

Note: Refer to **Section IV.B** of this appendix for criteria of the outcome categories, including pounds of pollution prevented, metric tons of carbon equivalent reduced (MTCO_{2e}), gallons of water conserved, and dollars saved.

Table 1

Estimated P2 Outcomes for the Green Hotels Project

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

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

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

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

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

IV. Background Information on Gathering, Understanding and Documenting P2

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

A. Possible Data Collection Methods:

- 1. Pre/Post-Test:** Before conducting the pollution prevention assistance activity (e.g., workshops, training sessions), consider testing attendee knowledge of the subject you plan to cover. At the end of the assistance activity, retest the participants to determine changes in understanding of the materials presented. Similarly, you can assess behavioral practices at the facility before a workshop and practices reported in a follow-up survey to identify changes made. Pre/post-tests can also help you improve your pollution prevention assistance materials by revealing areas where key messages did not come across.
- 2. Telephone Survey:** These surveys used alone or in combination with mail or online surveys allow you to ask follow-up or clarifying questions, potentially resulting in better data than a mailed survey. Telephone surveys work best if the list of potential respondents is a manageable number (e.g., less than 50 respondents). To reduce costs, some Regions have hired college students to make the call-backs.
- 3. Mail/Email/Fax Survey:** A mail, email, or fax survey is a set of questions sent to potential respondents with a request that they voluntarily respond. These surveys enable you to reach a large number of potential respondents, and may be the best option where there are more than 50 recipients. However, mail/email/fax surveys can provide ambiguous results, since it is not easy to immediately follow up and clarify unclear, conflicting, or unexpected responses. Similarly, a limited level of detail is obtained, as respondents will generally not spend the time to write long answers to open-ended questions.
- 4. Online Survey:** An online survey is a set of questions posted on a website or list serve. These surveys have the potential to reach a large number of respondents. For surveys on websites, you can reach users that might otherwise be unknown to you. Many respondents like online surveys because they can respond at their convenience and they do not need to worry about losing a survey or mailing it back. As with mail surveys, however, the online survey may provide limited detail as respondents might not want to spend time typing in a longer response. In addition, without follow-up, there is potential for ambiguity or conflicting results, as with the mail survey.

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

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

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

B. Further Explanation of P2 Outcome Categories (as referenced in Table 1):

1. **P2 Efforts [column (a)]:** List the source reduction activities expected to yield P2 outcome results. For grants/cooperative agreements with multiple projects, at least one project must be included. In the example above, the “Green Hotels Project” resulted in 4 activities with expected outcome measures.
2. **Pounds of Hazardous Materials Reduced:** The four categories that comprise “Pounds of Hazardous Materials Reduced” are identified in Table 1. Further explanation is provided below.
 - **Hazardous Inputs and Wastes [columns (b & c)]:** The measure for hazardous inputs and waste refers to state and/or federally-listed hazardous wastes or toxic wastes meeting the criteria for ignitability, toxicity, corrosiveness or reactivity. This could include hazardous materials used as process inputs (chemical ingredients, paints, and solvents), hazardous products applied to land (such as pesticides) and hazardous wastes. Excluded: non-hazardous waste (solid waste, construction debris, packaging, paper, glass and aluminum cans).
 - **Air Pollutants [column (d)]:** The measure for air pollutants is considered to include the release of any of the following: toxic air emissions (this includes Clean Air Act Section 112b hazardous air pollutants (HAPs), Toxic Release Inventory (TRI), and others), nitrogen oxides (NO_x), sulfur oxides (SO_x), particulate matter (PM) and Volatile Organic Compounds (VOCs). This criterion is comprised of air pollutants that include NO_x and SO_x from boilers, but excludes NO_x or SO_x from utilities (due to cap and trade limitations).
 - **Wastewater [column (e)]:** “Waste Water” refers to biochemical oxygen demand (BOD), chemical oxygen demand (COD), toxics, nutrients, non-filterable total suspended solids (TSS), contaminants in storm water and pathogens discharged to sewer systems, septic systems, injection wells, and ground water. Pounds of waste water are calculated by estimating the quantity of contaminant rather than the quantity of water.
 - **Total pounds [column f]:** The number of total pounds accumulated from the P2 efforts noted in the table refers to water conservation, green cleaning, organic lawn care and efficient lighting (which represents the total pounds of pollutants prevented). These reductions are achieved through source reduction efforts that

- include in-process recycling. Measurements are being expressed in pounds/year.

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

- **Solid Waste [column g]:** Solid waste refers to non-liquid, non-soluble materials including industrial wastes, sewage sludge, agricultural refuse, demolition wastes, packaging, and mining residues.
- **MTCO₂e [column (h)]:** This column refers to Metric Tons of Carbon Dioxide Equivalent reduced.

Note: Grant applicants will be asked to report to the Region in MTCO₂e to reflect the true capacity that the grantee can document and track results. However, at the programmatic level, the P2 program and the Agency, document and track greenhouse gas results using the measures MMTCO₂Eq and MMTCE respectively. These measures are used when results are provided in an aggregated format.

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

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

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

Note: EPA has developed a suite of P2 measurement tools that grant applicants are strongly encouraged to use to calculate resources conserved and dollars saved. Please go to: <http://www.p2.org/general-resources/p2-data-calculators/>.

C. Background on Documenting P2 Outcomes:

The following descriptions are provided to help document P2 outcomes.

- 1. Establish a Baseline:** Baseline performance information represents the current status of the target audience or sector and provides a frame of reference for measuring the success of the intended pollution prevention project. Baseline information can be expressed in terms of the amount of pollution

generated over a period of time (e.g., pounds of pollution per year); the amount of material, products, water, and/or energy used over a given time (e.g., kW hours consumed per year); and amount of dollars spent over a given time (e.g., dollars spent per year). Baseline information can be established by: 1) using relevant databases, records, reports, and studies; 2) surveying the facility or target audience; and, 3) using pre-existing baseline information.

Here are some examples:

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

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

Here are some examples:

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

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

Here are some examples:

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

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

APPENDIX D

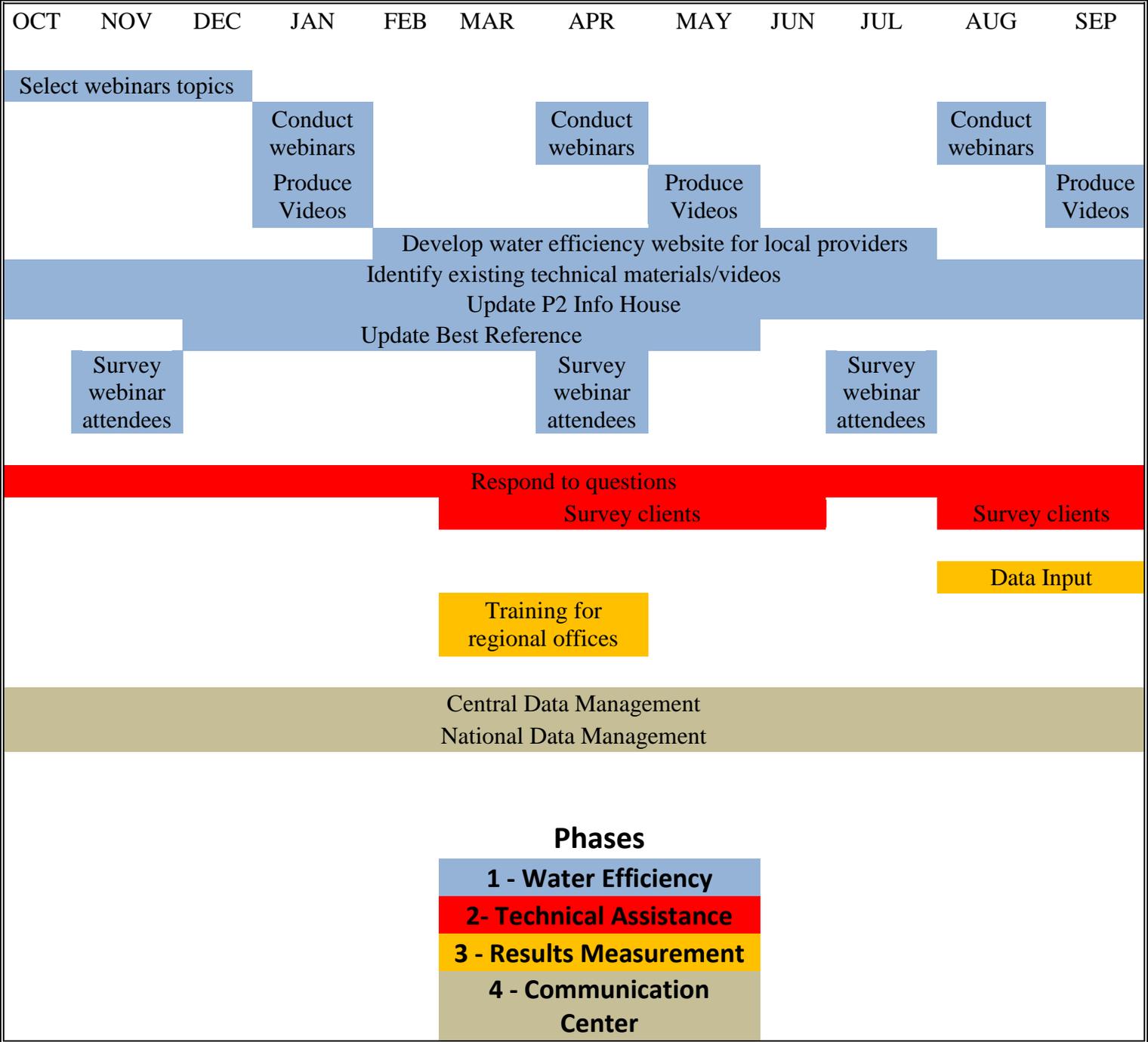
Project Timeline Samples

The following samples 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 (**refer to Section I.C.9** of the RFP).

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 |

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.

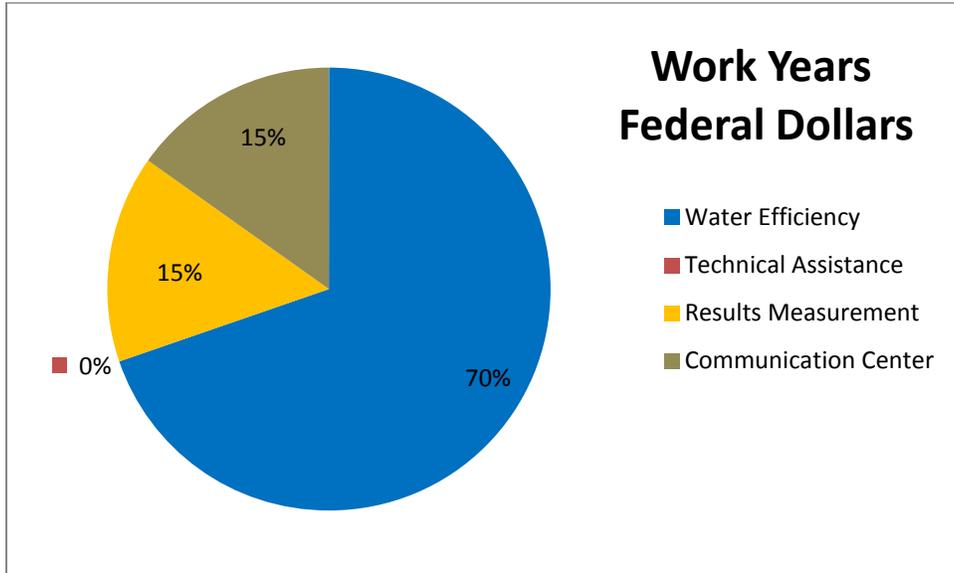
Sample Table 1: Budget for “Conserving Water in Food Process Operations” Project by State University

| 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 | | |
| 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 | | | | | | | | | \$38,646 |
| | 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 |

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 |



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.