

**FEDERAL AGENCY:** U.S. Environmental Protection Agency (EPA), Region 10, Office of Air and Waste, Pollution Prevention Program

**FUNDING OPPORTUNITY TITLE:** FY 2017 Source Reduction Assistance Grant Program for Region 10

**STATUTORY AUTHORITIES:** Clean Air Act, Section 103(b)(3), 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.

<b>ANNOUNCEMENT TYPE:</b>	<b>Request for Proposals (RFP)</b>
<b>CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:</b>	<b>66.717</b>
<b>FUNDING OPPORTUNITY NUMBER:</b>	<b>EPA-Region10-P2-2017-001</b>

**SUBMISSION DATE:** Proposals are due no later than ***Wednesday July 26, 2017, 11:59 PM Eastern Daylight Time.*** Proposals will be date and time stamped. EPA will receive proposals electronically through Grants.gov. Refer to Section IV for full information on the submission process. Proposals must be submitted on time in-order to be considered for funding.

#### **SUMMARY OF ANNOUNCEMENT**

The EPA Region 10 Pollution Prevention Program is announcing a grant competition for Source Reduction Assistance (SRA) awards. EPA Region 10 anticipates awarding approximately \$95,000 in federal grant funding to support SRA agreements. These will be offered as grants and/or cooperative agreements.<sup>1</sup> The Region is interested in receiving proposals that offer practical pollution prevention (P2)/source reduction tools, approaches or actions to measurably improve the environmental footprints of businesses, municipal governments, and/or local communities. Proposals that principally support recycling, clean-up, treatment, disposal, and/or energy recovery efforts (e.g., incinerating solid waste to generate electricity) will not be considered for funding. As authorized under the statutory authorities for this grant program, proposals must carry out project activities using one or more of the following methods – surveys, studies, research, investigation, experimentation, education, training, and/or demonstrations. Projects must provide P2 benefits and services in Alaska, Idaho, Oregon, Washington, and/or on Tribal Lands in these four states. Projects must address at least one of the emphasis areas: 1) Energy Efficiency and Water Conservation, 2) Food Manufacturing and Processing and/or 3) State or Community Approaches to Hazardous Materials Source Reduction (see Section I.B of this announcement for details).

Eligible applicants include any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any agency or instrumentally thereof exclusive of local governments (includes public institutions of higher education and hospitals), 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.

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<sup>1</sup> All funding estimates are subject to Congressional appropriation.

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## FULL TEXT OF ANNOUNCEMENT

### Section I. Funding Opportunity Description

**Programmatic Description:** The EPA Region 10 Pollution Prevention Program is announcing a grant competition for Source Reduction Assistance (SRA) awards. Region 10 anticipates awarding approximately \$95,000 in Federal grant funding to support SRA awards. Awards will be offered as grants and/or cooperative agreements. We anticipate that projects will take no more than 2 years to complete. Region 10 looks forward to reviewing substantive proposals that adopt new, or expand existing, environmental strategies or solutions that will reduce or eliminate pollution from air, water, and/or land.

#### A. Program Elements:

**1. EPA Statutory Authorities for SRA Awards:** SRA grants and cooperative agreements are awarded under the following EPA statutory authorities: Clean Air Act, Section 103(b)(3), 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 proposal activities must be applicable under at least one of these statutory authorities.*

**Note:** SRA assistance agreements must carry out activities within the terms of EPA's statutory authorities. The statutes authorize the agency to award grants or cooperative agreements using methods of: research, investigations, experiments, education, training, surveys, studies and/or demonstration of innovative techniques. SRA assistance agreement activities must relate to gathering or transferring information or advancing awareness. Proposals must emphasize this "learning" concept, as opposed to "fixing" an environmental problem using a well-established method. Examples of unacceptable grant proposals involve: recycling, treatment, clean-up, disposal and/or energy recovery projects. In addition, demonstrations of P2 practices must involve new or experimental technologies, methods, or approaches, where the results of the project will be disseminated so that others can benefit from the knowledge gained in the demonstration project. A project that is accomplished through the performance of routine, traditional, or established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not a demonstration. Section III.B. sets forth the RFP requirements for proposed demonstration projects.

**2. How is Pollution Prevention and Source Reduction Defined?** Pollution prevention (P2) means "source reduction," as defined under the Pollution Prevention Act and refers to practices that reduce or eliminate the creation of pollutants through increased efficiency in the use of raw materials, energy, water, or other resources; or protection of natural resources using conservation methods. Reducing the amount of pollution produced means less waste to control, treat, or dispose. Less pollution means less hazards posed to public health and the environment. For purposes of this announcement, P2 does not include any practice which alters the physical, chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which itself is not integral to and necessary to produce a product or the providing of a service. Recycling of discarded materials

cannot serve as a basis for SRA grant funding and is more suited to grants awarded by [EPA's Office of Resource Conservation and Recovery](#).

**3. Examples of P2:** General methods for carrying out P2 activities include, but are not limited to: 1) motivating businesses to reconsider their manufacturing, supply-chain, or sale operations and adopt environment-friendly P2 approaches or tools, 2) growing or enhancing state or community-based P2 projects or programs to help area businesses decrease their environmental footprints, 3) providing robust P2 training or partnerships that produce significant P2 outcomes.

**4. Expected Environmental Outcomes and Outputs:** As directed under EPA's Environmental Results Policy Order, 5700.7A1, applicants are required to provide qualitative and quantitative estimates of expected outcomes and outputs of SRA grant project activities and provide a plan for tracking and measuring progress towards achieving these results. Proposals must include a plan to document expected outcomes and results at the facility or entity level. Guidance for Addressing Environmental Results and Measurement is offered in **Appendix B**.

Example output measures may include number of: technical assistance visits/assessments; workshops, training and courses conducted; stakeholder groups involved in a process; fact sheets developed and/or distributed; and/or the degree of behavior change among participants.

Outcomes should include the four EPA P2 program measures:

- Reductions in pounds of hazardous material inputs and of hazardous pollutants released to air, water, and land;
- Reductions in greenhouse gas releases (measured in metric tons of carbon dioxide equivalent (MTCO<sub>2</sub>e));
- Reductions in gallons of water used; and
- Dollars of cost savings associated with reducing hazardous pounds, MTCO<sub>2</sub>e and water usage.

**5. Linkage to EPA's Strategic Plan:** Applicants are required to commit to working towards the five long-term P2 targets provided in the Agency's FY 2014-2018 Strategic Plan. The P2 Program's targets are located under Goal 4: Ensuring the Safety of Chemicals and Preventing Pollution, Objective 4.2: Promote Pollution Prevention.

Strategic measures:

- By 2018, reduce 600 million pounds of hazardous materials cumulatively through P2.
- By 2018, reduce 7 million metric tons of carbon dioxide equivalent (MMTCO<sub>2</sub>Eq.) cumulatively through P2.
- By 2018, reduce 6.9 billion gallons of water use cumulatively through P2.
- By 2018, save \$1.3 billion in business, institutional, and government costs cumulatively through P2 improvements.
- By 2018, increase the number of safer chemicals and safer chemical products cumulatively by 1,900.<sup>2</sup>

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<sup>2</sup> This strategic goal is recognized by EPA's Safer Choice Program.

To view the Plan, click here: [EPA's FY 2014-2018 Strategic Plan](#). Refer to pp. 35-36 and p.72 for information related to P2.

**B. Scope of Work and Project Emphasis Areas**

Region 10 is interested in receiving proposals that offer practical P2/source reduction tools, approaches, and actions that lead to measurable improvements in the environmental footprints of businesses, municipal governments, and/or local communities. Projects must provide P2 benefits and services in Alaska, Idaho, Oregon, Washington, and/or on Tribal Lands in these four states. We seek proposals for projects that address at least one of these areas:

- **Energy Efficiency and Water Conservation:** Projects that are designed to achieve significant reductions in energy use and /or water consumption through technical assistance to businesses.
- **Food Manufacturing and Processing:** Projects that support P2 practices in food manufacturing and processing and achieve significant reductions in greenhouse gas emissions, water usage, and/or hazardous materials generation and use.
- **State or Community Approaches to Hazardous Materials Source Reduction:** P2 projects which support state or community-based approaches to hazardous materials source reduction activities that result in reduced generation and use of hazardous materials.<sup>3</sup>

Projects may support existing P2 technical assistance programs, provide direct P2 source reduction assistance, and/or support specific P2 technical assistance programs such as Lean/Green projects, E3 projects, and/or Green Chemistry/Alternatives Assessments. Projects that support the replication of successful P2 projects and efforts are encouraged. Projects which provide broad geographic coverage of Region 10 states and Tribal lands are encouraged and preferred.

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<sup>3</sup> The term community defined under this emphasis area draws from the Agency's cross-agency strategy action plan on communities. For more information, click on: <http://www.epa.gov/sites/production/files/2015-12/documents/fy16-communities-action-plan.pdf>.

## Section II. Award Information

**A. Number of Expected Awards and Funding Amounts:** SRA awards will be issued in the form of grants and/or cooperative agreements. If a cooperative agreement is awarded, the degree of involvement will be determined by the Region. Region 10 will have approximately \$95,000 in total award funding. It is anticipated that awards will be issued in the range of approximately \$25,000 to \$95,000. It is anticipated that the Region will issue between one and two awards. Region 10 anticipates final funding decisions will be made 60 days after the post date of this announcement. Consistent with Agency policy, Region 10 reserves 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. Region 10 also reserves the right to reject all proposals and issue no awards under this announcement, or issue fewer awards than anticipated.

**B. Funding Types:** SRA grants will be issued in the form of grants and/or cooperative agreements under the statutory authorities noted in Section I.B.1.

**Grants:** An award of financial assistance by the federal government to an eligible recipient in the form of money, property or in-kind assistance (in lieu of money) by the federal government to an eligible recipient. The term does not include: technical assistance from federal employees or contractors or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Also, the term does not include assistance, such as a fellowship or another lump sum award, which the recipient is not required to account for. The Region will not be substantially involved in the performance of grants.

**Cooperative agreements:** These types of agreements permit substantial involvement between the EPA Regional Project Officer and the selected applicants in the performance of the work supported. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process. If a cooperative agreement is awarded EPA will have substantial technical interaction with the grant recipient. EPA will:

- Review and approve project phases;
- Review proposed work of sub-grantees and contractors collaborating with the recipient;
- Review and approve proposed procurements in accordance with 2 CFR 200.317 and 2 CFR 200.318;
- Monitor the operation of the projects;
- Approve qualifications of key personnel; (EPA will not select employees or contractors employed by the award recipient);
- Closely monitor the recipient's performance;
- Approve any proposed changes to the work plan and/or budget; and
- Review and comment on tasks or deliverables and reports or publications prepared under the cooperative agreement. (The final decision on the content of reports rests with the recipient).

**C. Partial Funding:** In appropriate circumstances, Region 10 may partially fund proposals by funding discrete activities, portions, or phases of a proposal. Partially funded proposals will be done in a manner that will not prejudice any applicant or affect the basis upon which a proposal or a portion thereof will be evaluated or selected for an award and therefore maintain the integrity of the competition, evaluation and selection process.

### Section III. Eligibility

**A. Eligible Applicants.** Eligible applicants include any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any agency or instrumentally thereof exclusive of local governments (includes public institutions of higher education and hospitals), city or township governments, independent school district governments, state controlled institutions of higher education, non-profit organizations (other than institutions of higher education), private institutions of higher education, community-based grassroots organizations, and federally-recognized tribes and intertribal consortia. Individuals, private business/entrepreneurs, and nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible for funding under this announcement.

**B. Cost Sharing and Matching Requirements:** SRA grant recipients, as required by the P2 Program, must provide at least a 5 percent match of the total allowable project cost. For example, the federal government will provide 95 percent of the total allowable project cost and the recipient will provide the remaining 5 percent. Cost sharing and matching contributions may include dollars, in-kind goods and services (such as volunteered time, photocopying and printing services, etc.) and/or third party contributions consistent with 2 CFR 200.306. In the budget, the use of the matching funds must be documented. *Note: The match requirement may be applied at the time of award or at specified intervals during the project period.* The grant applicant must document in the budget the type of match to be applied and how it will be used. The grant project officer in the Region will monitor the grant recipient's compliance. If the match requirement is not met or is not applied at specified intervals during the project period, federal funding will cease and the recipient may be subject to an enforcement action, whereby EPA may, for example, disallow costs.<sup>4</sup>

**C. Threshold Eligibility Requirements:** Proposals must meet the threshold eligibility requirements provided below at the time of submission to be considered for funding. **Applicants deemed ineligible for funding consideration as a result of the threshold eligibility review will be notified within 15 calendar days of the ineligibility determination.**

Proposals must include the following items to be eligible for review under Section V.

1. Proposals must address one or more of the P2 Project emphasis areas (**Section I.B**);
2. Proposals must include projects that provide P2 benefits and services in one or more of the EPA Region 10 geographic areas which includes Alaska, Idaho, Oregon, Washington, and/or on Tribal Lands in these four states.
3. Proposals must be from an eligible applicant as defined in **Section III.A** and the funding period must be as specified in **Section II.A**;

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<sup>4</sup> For additional information on cost share and matching requirements, refer to 2 CFR 200.306

4. SRA assistance agreements must carry out activities within the terms of EPA's statutory authorities. The statutes authorize the agency to award grants or cooperative agreements using methods of: research, investigations, experiments, education, training, surveys, studies **and/or** demonstration of innovative techniques. SRA assistance agreement activities must relate to gathering or transferring information or advancing awareness. Proposals must emphasize this "learning" concept, as opposed to "fixing" an environmental problem using a well-established method.
5. For projects that will support demonstration activity, the project must involve new or experimental technologies, methods, or approaches, where the results of the project will be disseminated so that others can benefit from the knowledge gained in the demonstration project. A project that is accomplished through the performance of routine, traditional, or established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not a demonstration. The applicant must clearly explain in the proposal how the P2 technologies, methods, or approaches used are new or experimental and how the project otherwise meets the requirements of a demonstration as described in this RFP. If your project uses technologies, methods or approaches that have been used previously in other geographic areas and/or business sectors, then your proposal must include an explanation as to how your demonstration project is different from such prior projects and is a true demonstration. The applicant must also explain what will be learned in the industry from the demonstration project. If your project is truly a demonstration and complies with other eligibility factors, then it will be considered for funding.
6. Proposals that principally support recycling, clean-up, treatment, disposal and/or energy recovery efforts (e.g., incinerating solid waste to generate electricity) will not be considered for funding.
7. Proposal packages must substantially comply with the submission instructions and requirements set forth in **Section IV** of this announcement to be considered for funding or else they will be rejected. However, pages in excess of the page limit in Section IV.C.3 will not be reviewed.
8. In addition, initial proposals must be submitted through [Grants.gov](https://www.grants.gov) as stated in Section IV of this announcement (except in the limited circumstances where another mode of submission is specifically allowed for as explained in Section IV) on or before the proposal submission deadline published in Section IV of this announcement. Applicants are responsible for following the submission instructions in Section IV of this announcement to ensure that their proposal is timely submitted.
9. Proposals submitted after the submission deadline will be considered late and deemed ineligible without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical problems associated with [Grants.gov](https://www.grants.gov) or relevant [SAM.gov](https://www.sam.gov) system issues. An applicant's failure to timely submit their proposal through [Grants.gov](https://www.grants.gov) because they did not timely or properly register in [SAM.gov](https://www.sam.gov) or [Grants.gov](https://www.grants.gov) will not be considered an acceptable reason to consider a late submission. Applicants should inform Robert Drake ([drake.robert@epa.gov](mailto:drake.robert@epa.gov), 206.553.4803) as soon as possible after grants.gov confirms the receipt of their proposal. This courtesy notice will help ensure that the proposal was properly submitted in the system.



- 10.** If a proposal is submitted that includes any ineligible tasks or activities, that portion of the proposal will be ineligible for funding and may, depending on the extent to which it affects the proposal, render the entire proposal ineligible for funding.
  
- 11.** All proposed activities must be applicable under at least one of these Statutory authorities: Clean Air Act, Section 103(b)(3), 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.

**Section IV. Proposal and Submission Information**

**A. Submission Deadline: Proposals are due** no later than ***Wednesday July 26, 2017, 11:59 PM Eastern Daylight Time (EDT)***. Proposals will be date and time stamped. EPA will receive proposals electronically through Grants.gov. Refer to Section IV for full information on the submission process. Proposals must be submitted on time in-order to be considered for funding.

**B. Requirement to Submit Proposals through Grants.gov and Limited Exception Procedures:** Applicants, except as noted below, must apply for SRA grant funding electronically through Grants.gov based on the Grants.gov instructions in this announcement. If an applicant does not have the technical capability to apply electronically through Grants.gov because of: 1) limited or 2) no Internet access which prevents them from being able to upload the required application materials to Grants.gov, the applicant must send an email to OGDWaivers@epa.gov or send a letter to the address offered below **at least 15 calendar days prior to the submission deadline under this announcement** to request approval to submit their application materials through an alternate method.

<b>Mailing Address:</b> OGD Waivers c/o Barbara Perkins USEPA Headquarters William Jefferson Clinton Building 1200 Pennsylvania Ave., N.W. Mail Code: 3903R Washington, DC 20004	<b>Courier Address:</b> OGD Waivers c/o Barbara Perkins Ronald Reagan Building 1300 Pennsylvania Ave., N.W. Rm # 51267 Washington, DC 20460
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In the request, the applicant must include the following information:

- Funding Opportunity Number (FON) – EPA-Region10-P2-2017-001;
- Organization’s Name and DUNS Number;
- Organization’s Contact Information (email address and phone number); and
- Explanation of why the applicant lacks the technical capability to apply electronically through Grants.gov because of: 1) limited Internet access or 2) no Internet access, which prevents them from being able to upload the required application materials through Grants.gov.

EPA will respond and only consider an alternate submission exception request based on the two reasons stated. All other requests will be denied. If an alternate submission method is approved, the applicant will receive documentation of the approval and further instructions on how to apply under this announcement. The applicant will be required to submit the documentation of approval with any initial application submitted under the alternative method. In addition, any submittal through an alternative method must comply with all applicable requirements and deadlines under this announcement including the submission deadline and requirements regarding proposal content and page limits (note: the documentation of approval of an alternate submission method will not count toward page limits).

If an alternate submission exception is granted, it is valid for submissions to EPA for the remainder of the entire calendar year in which the exception was approved and can be used to justify alternative submission methods

for application submissions made through December 31 of the calendar year in which the exception was approved (e.g., if the exception was approved on March 1, 2016, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2016). Applicants need only request an exception once in a calendar year and all exceptions will expire on December 31 of that calendar year. Applicants must request a new exception from required electronic submission through Grants.gov for submissions for any succeeding calendar year. For example, if there is a competitive opportunity issued on December 1, 2016 with a submission deadline of January 15, 2017, the applicant would need a new exception to submit through alternative methods beginning January 1, 2017.

*Note: The process described in this section is only for requesting alternate submission methods. All other inquiries about this announcement must be directed to the Regional contact listed in Section VII. Queries or requests submitted to the email address identified above for reasons other than to request an alternate submission method will not be acknowledged or answered.*

**C. Grants.gov Submission Instructions:** The electronic submission of your application 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 on the registration requirements that must be completed to apply through grants.gov, go to <http://www.grants.gov> and click on “Applicants” on the top of the page and then go to the “Get Registered” link on the page. If your organization is not currently registered with Grants.gov, please encourage your office to designate an Authorized Organization Representative (AOR) and ask that individual to begin the registration process as soon as possible. Please note that the registration process also requires that your organization have a DUNS number and a current registration with the System for Award Management (SAM) and the process of obtaining both could take a month or more. Applicants must ensure that all registration requirements are met to apply for this opportunity through grants.gov and should ensure that all such requirements have been met well in advance of the submission deadline. Registration on grants.gov, SAM.gov, and DUNS number assignment is FREE.

Applicants need to ensure that the AOR who submits the application through Grants.gov and whose DUNS number is listed on the application is an AOR for the applicant listed on the application. Additionally, the DUNS number listed on the application must be registered to the applicant organization’s SAM account. If not, the application may be deemed ineligible.

To begin the application process, go to Grants.gov and click on “Applicants” on the top of the page and then “Apply for Grants” from the drop-down menu and then follow the instructions.

*Note: To apply through Grants.gov you must use Adobe Reader software and download the compatible Adobe Reader version. For more information about Adobe Reader, to verify compatibility, or to download the free software, please visit [Adobe Software Compatibility](#).*

You may also be able to access the SRA grant proposal package by searching for the funding opportunity on Grants.gov. Go to Grants.gov and then click on “Search Grants” at the top of the page and enter the Funding Opportunity Number – **EPA-Region10-P2-2017-001**, or the CFDA number – **CFDA 66.717**, in the appropriate field and click the Search button.

Application Submission Deadline: Your organization's AOR must submit your complete application package electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **Wednesday July 26, 2017, 11:59 PM Eastern Daylight Time (EDT)**. Please allow enough time to successfully submit your application. Early submittal is encouraged to allow for unexpected errors that may require you to resubmit.

Applicants are to submit *all* proposal materials described below using the Grants.gov application package download and using the instructions above. For additional instructions on completing and submitting the package, click on the "Show Instructions" tab. The materials numbered 1 – 4 below are to be submitted with the proposal to receive funding consideration.

**Note: Only the Proposal (item #3) will count toward the 11 single-sided page limit (Section IV.C.4). Please load materials using the instructions provided on Grants.gov.**

- 1. Application for Federal Assistance Form (Standard Form (SF)-424):** When filling out this form, applicants must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. Applicants can receive a DUNS number, at no cost, by calling the toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website: <http://fedgov.dnb.com/webform>.
- 2. Key Contacts Form (5700-54):** Please identify key personnel who will file and manage the paperwork, fund activities and direct the proposal.
- 3. Proposal. Submit using the project narrative attachment form in grants.gov.:** The proposal must include a cover page and address all the evaluation criteria in Section V (see Section V for details and the items listed below) and relevant eligibility criteria in Section III. The proposal must also address the requirements in Section I.B. **The proposal is subject to a 11-page limit-excess pages will not be reviewed.**

**Cover Page** will include:

- a. Grant Name and Funding Opportunity Number;
- b. Title of proposal;
- c. Short description of proposal;
- d. Total funding of project and Requested funding of project;
- e. Contact information (i.e., name of applicant, name of organization, mailing address, phone number, fax number, and email address); and
- f. System for Award Management Registration Date (refer to Section IV.F).
- g. Applicant's DUNS number (see point 2 below for more information).

**Evaluation criteria** (see Section V for more information)

- a. **Programmatic Capability and Past Performance-** Submit a list of federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope and relevance to the proposed project that your organization performed within the last three years (no more than 5 agreements, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage

those agreements and (ii) your history of meeting the reporting requirements under those agreements including whether you adequately and timely reported on your progress towards achieving the expected outputs and outcomes of those agreements (and if not, explain why not) and whether you submitted acceptable final technical reports under the agreements. In evaluating applicants under these factors in Section V, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current/prior grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available past performance or past reporting information, please indicate this in the proposal and you will receive a neutral score for these factors (a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.

In addition, provide information on your organizational experience and plan for timely and successfully achieving the objectives of the proposed project, and your staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.

- b. **Project Strategy and Technical Assistance / Training Approaches.**
- c. **Environmental and Human Health Concerns.**
- d. **Environmental Results and Measurements.**
- e. **Partnerships**
- f. **Transferability**
- g. **Timeline**
- h. **Budget**

**4. Letters of Support:** Letters of Support are to describe the service(s) the grant partner(s) will provide to help carry out and enhance the project activity- use the other attachments form in grants.gov to submit.

**D. Technical Issues with Submission**

1. Once the application package has been completed, the “Submit” button should be enabled. If the “Submit” button is not active, please call Grants.gov for assistance at 1-800-518- 4726. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a Grants.gov representative by calling 606-545-5035. Applicants should save the completed application package with two different file names before providing it to the AOR to avoid having to re-create the package should submission problems be experienced or a revised application needs to be submitted.

2. Submitting the application. The application package must be transferred to Grants.gov by an AOR (see Section 4.C for information about an AOR). The AOR should close all other software before

attempting to submit the application package. Click the “submit” button of the application package. Your Internet browser will launch and a sign-in page will appear.

**Note: Minor problems are not uncommon with transfers to Grants.gov. It is essential to allow sufficient time to ensure that your application is submitted to Grants.gov BEFORE the due date identified in Section IV of this announcement.** The Grants.gov support desk operates 24 hours a day, seven days a week, except Federal Holidays. A successful transfer will end with an onscreen acknowledgement. For documentation purposes, print or screen capture the acknowledgement. If a submission problem occurs, reboot the computer – turning the power off may be necessary – and re-attempt the submission. Note: Grants.gov issues a “case number” upon a request for assistance.

3. Transmission Difficulties. If transmission difficulties that result in a late transmission, no transmission, or rejection of the transmitted application are experienced, and following the above instructions does not resolve the problem to ensure the application is submitted to Grants.gov by the deadline date and time, follow the guidance below.

The Agency will decide concerning acceptance of each late submission on a case-by-case basis. All emails, as described below, are to be sent to Robert Drake (drake.robert@epa.gov) with the Funding Opportunity Number (FON) in the subject line. If you are unable to send an email, contact Robert Drake at 206-553-4803. Be aware that EPA will only consider applications that were unable to transmit due to Grants.gov or relevant www.Sam.gov system issues or for unforeseen exigent circumstances, such as extreme weather interfering with Internet access. Failure of an applicant to submit a proposal in a timely manner because they did not properly or timely register in SAM.gov or Grants.gov is not an acceptable reason to justify acceptance of a late submittal.

- a. If you are experiencing problems resulting in an inability to upload the application to Grants.gov, it is essential to call Grants.gov for assistance at 1-800-518-4726 before the application deadline. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a Grants.gov representative by calling 606-545-5035. Be sure to obtain a case number from Grants.gov. If the problems stem from unforeseen exigent circumstances unrelated to Grants.gov, such as extreme weather interfering with Internet access, contact Robert Drake at 206- 553-4803.
- b. Unsuccessful transfer of the application package: If a successful transfer of the application cannot be accomplished even with assistance from Grants.gov due to electronic submission system issues or unforeseen exigent circumstances, email Robert Drake (drake.robert@epa.gov) prior to the application deadline. The email message must document the problem and include the Grants.gov case number as well as the entire application in PDF format as an attachment.
- c. Grants.gov rejection of the application package: If a notification is received from Grants.gov stating that the application has been rejected for reasons other than late submittal promptly email, Robert Drake (drake.robert@epa.gov) with the FON in the subject line within 1 (one) business day of the closing date of this announcement. The email should include any materials provided by Grants.gov and attach the entire application in PDF format.

**F. Additional Solicitation Clauses Pertaining to Proposals and Submission Information** Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to confidential business information, contracts and sub awards under grants, and proposal assistance and communications, can be found at [EPA Solicitation Clauses \(https://www.epa.gov/grants/epa-solicitations-clauses\)](https://www.epa.gov/grants/epa-solicitations-clauses). These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

**Section V. Proposal Review Information**

Only eligible applicants with proposals that meet the threshold eligibility criteria in **Section III** of this announcement will be reviewed based upon the evaluation criterion provided below. Each proposal will be rated using the points-scale system offered below. The maximum number of total points possible is 100 points.

Evaluation Criteria	Description	Points
<p><b>Programmatic Capability and Past Performance*</b></p> <p><b>12 points</b></p>	<p><b>Applicants will be evaluated based on their ability to successfully complete and manage the proposed project considering the applicant's:</b></p>	
	<p><b>a) Past performance in successfully completing and managing the assistance agreements identified in response to Section IV of the announcement.</b></p>	<p>3</p>
	<p><b>b) History of meeting the reporting requirements under the assistance agreements identified in response to Section IV of the announcement including whether the applicant submitted acceptable final technical reports under those agreements and the extent to which the applicant adequately and timely reported on their progress towards achieving the expected outputs and outcomes under those agreements and if such progress was not being made whether the applicant adequately reported why not.</b></p>	<p>3</p>
	<p><b>c) Organizational experience and plan for timely and successfully achieving the objectives of the proposed project,</b></p>	<p>3</p>
	<p><b>d) Staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.</b></p>	<p>3</p>



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

<b>Project Strategy &amp; Technical Assistance/ Training Approaches</b>  <b>22 points</b>	<b>Proposals will be evaluated based on the extent and quality to which applicants:</b>	
	<b>a) Describe staff roles and responsibilities for carrying out the project strategy under one or more of the P2 project emphasis areas identified in Section I.B.</b>	<b>8</b>
	<b>b) Describe a well-conceived strategy for using P2 to conduct surveys, studies, research, investigation, experimentation, education, training and/or demonstrations involving P2 practices to achieve anticipated results associated with the project. Description should describe the geographic coverage of the project. Projects that reach a larger group or area of participation are preferred.</b>	<b>14</b>
<b>Environmental/ Human Health Concerns</b>  <b>14 points</b>	<b>Proposals will be evaluated based on the quality and extent to which applicants describe significant environmental and/or human health concerns that the project is designed to address, and identify how these relate to Region 10.</b>	
<b>Environmental Results and Measurement</b>	<b>Proposals will be evaluated based on the quality and extent to which:</b>	
	<b>a) Applicants provide qualitative and quantitative estimates of expected outcomes and outputs</b>	<b>6</b>

<p>20 points</p>	<p>b) Applicants provide a plan for tracking and measuring their progress toward achieving the expected project outputs and outcomes including those identified in section 1.A.4 of this RFP. Specifically, for expected environmental outcomes, the plan should address how the applicant will document results at the facility or entity level and tie them to the activities carried out. Refer to Appendix B.*</p>	<p>14</p>
<p>Partnerships 8 points</p>	<p>Proposals will be evaluated based on the quality and extent to which applicants describe a plan for engaging partners with respect to the design and performance of the project and obtaining support from project partners to more effectively perform the project and build long-term capacity to continue the project. Applicants that do not plan on partnering with other groups in the performance of the project will be evaluated based on the extent to which they demonstrate how they will be able to effectively perform and</p>	<p>8</p>
<p>Transferability 12 points</p>	<p>Proposals will be evaluated based on the quality and extent to which:</p>	
	<p>a) Applicants describe a plan for how project deliverables (e.g., toolkits, assessment checklists, training modules, newsletters, smart phone apps, etc.), approaches, and lessons learned (e.g., insights, challenges, successes, recommendations, etc.) will be packaged and/or promoted to <i>engage</i> other entities that <i>access</i> the material during and after the grant period. Other entities may involve States, Tribes, technical assistance providers, businesses, communities, nonprofit organizations, etc.</p>	<p>6</p>
	<p>b) Applicants explain how partners or other stakeholders, or the applicant itself if there are no partners, will deploy project results during and after the grant period.</p>	<p>6</p>
<p>Timeline 6 points</p>	<p>Proposals will be evaluated based on the quality and extent to which applicants set forth a reasonable time schedule for executing tasks associated with the project. The timeline should include a breakout of project tasks, anticipated dates (from start to completion of each task), milestone markers, and a brief explanation for achieving project goals and objectives by the end of the project. The goals should reference technical assistance and/or training and environmental data collection activities. Refer to Appendix D.</p>	<p>6</p>

<b>Budget 6 points</b>	<b>Proposals will be evaluated based on the quality and extent to which applicants describe and show a budget plan that includes: estimated costs for each project task and category (e.g., labor, fringe benefits, travel, equipment, supplies, contractors, other direct costs and indirect costs). Applicants should itemize the costs associated under each project and should identify activities (and corresponding estimated costs) covered by the match requirement. Examples are presented in Appendix D.</b>	<b>6</b>
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**B. Review and Selection Process:**

1. Eligible proposals will be reviewed by a Region 10 review panel. The review panel will be composed of P2 program staff and may include staff from other EPA programs. Evaluations will be based on the evaluation criteria and point scoring noted in **Section V and a ranking list and selection recommendations will be provided to the Region 10 selection official for the final funding decisions.**
  
2. **Final Funding Decision:** The Region 10 Selection Official (Director of the Office of Air and Waste) will make the final funding decisions based on evaluation rankings and preliminary recommendations of the review panel. In making final funding decisions, the Selection Official may also consider geographic diversity of awards. Once final decisions have been made, funding recommendations will be forwarded to EPA’s Award Official. Region 10 anticipates final funding decisions will be made before September 30, 2017.

**Additional Provisions Incorporated by Reference**

Additional provisions that apply to this solicitation and/or awards made under this solicitation including the clause on Reporting and Use of Information Concerning Recipient Integrity and Performance can be found on the [EPA Solicitation Clauses](https://www.epa.gov/grants/epa-solicitations-clauses) page (<https://www.epa.gov/grants/epa-solicitations-clauses>). These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

## Section VI. Award Administration Information

**A. Award Notification:** EPA anticipates notification to successful applicants will be made via telephone or electronic or postal mail by August 31, 2017. The notification will be sent to the original signer of the proposal or the project contact listed in the proposal. This notification, which informs the applicant that its proposal has been selected and is being recommended for award, is not an authorization to begin work. The official notification of an award will be made by September 30, 2017. Applicants are cautioned that only a grants officer is authorized to bind the Government to the expenditure of funds; selection does not guarantee an award will be made. For example, statutory authorization, funding or other issues discovered during the award process may affect the ability of EPA to make an award to an applicant. The award notice, signed by an EPA grants officer, is the authorizing document and will be provided through electronic or postal mail. The successful applicant may need to prepare and submit additional documents and forms (e.g., work plan), which must be approved by EPA, before the grant can officially be awarded. The time between notification of selection and award of a grant can take up to 90 days or longer.

**B. Submission Requirements:**

**1. Federal Requirements:** If an applicant's proposal shows merit for federal funding, 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 2 CFR Part 200, as applicable). Successful applicants will be required to certify that they have not been debarred or suspended from participation in federal assistance awards in accordance with 2 CFR Part 108.

**C. Administrative Requirements:**

**1. Award Management:** Awards will be managed by Region 10.

**2. Quality Assurance and Quality Control (QA/QC):** Certain quality assurance and/or quality control (QA/QC) and peer review requirements are applicable to the collection of environmental data. Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data also include information collected directly from measurements, produced from models, and obtained from other sources such as databases or published literature. Regulations pertaining to QA/QC requirements can be found in 2 CFR 1500.11. Additional guidance can be found at <http://www.epa.gov/quality/>.

**3.** If environmental data are to be collected and used there are three major steps involved in satisfying the QA/QC process: 1) Sufficient time and resources will be needed to set up a Quality Management System (QMS) for proposed projects. If there is not a QMS in place, one must be developed. A QMS would be the mechanism or process for managing the quality of environmental data collection and use; 2) For a QMS to be utilized, a Quality Management Plan (QMP) needs to be written. A QMP is the document that describes an applicant's organization or program in terms of organizational structure, policy and procedures, functional responsibilities of management and staff, lines of authority, and required interfaces for those planning, carrying out, documenting, and assessing all activities conducted under the assistance agreement; and 3) The third component to QA/QC planning is writing a project-specific Quality Assurance Project Plan (QAPP) or functional equivalent. The QAPP is the

document that describes project-specific information on quality assurance, quality control, and other technical activities that must be implemented to ensure that the results of the work performed will satisfy the stated performance criteria. The QAPP must be submitted and approved by the Region.

**Note:** Applicants are not required when submitting proposals under this announcement to verify that a QMS is in place, or provide a QMP or a QAPP. However, if environmental data is collected, verification of an applicant's QMS and documentation of QMP and QAPP will be required at the time of award. SRA grant award letters will include a deadline for submitting this information to the Region.

**4. Reporting Requirements:** Semi-annual progress reporting and a detailed final technical report are required. Semi-annual reports will summarize technical progress, planned activities for the next reporting cycle and include a summary of financial expenditures – explaining how federal and matching funds are being used. The final technical report shall be completed within 90 calendar days of the completion of the period of performance. The final technical report should include: summary of the project or activity, milestones and results achieved, and costs of the project or activity. In addition, the final technical report should discuss the problems, successes, and lessons learned from the project or activity that could help inform similar project activities elsewhere. A schedule for submitting the semi-annual report will be established after the award is issued.

**5. Disputes:** Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <https://www.epa.gov/grants/grant-competition-dispute-resolution-procedures>. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement.

**D. Additional Solicitation Clauses** Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to DUNS, SAM, copyrights, disputes, and administrative capability, can be found at [EPA Solicitation Clauses](#). These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

## **Section VII. Agency Contacts**

Kathleen Compton  
U.S. EPA Region 10  
1200 Sixth Avenue, Suite 900  
M/S OAW-150  
Seattle, WA 98101  
Phone: 206-553-0290  
Email: [compton.kathleen@epa.gov](mailto:compton.kathleen@epa.gov)

Robert Drake  
U.S. EPA Region 10  
1200 Sixth Avenue, Suite 900  
M/S OAW-150  
Seattle, WA 98101  
Phone: 206-553-4803  
Email: [drake.robert@epa.gov](mailto:drake.robert@epa.gov)

## **APPENDIX A: P2 Project Examples**

Below are examples of types of projects that would be responsive to the P2 Project requirement described in Section I.B. Note that these are examples only, and projects not described here could fulfill the requirement.

- Reducing fuel and electrical consumption due to transportation, processing, refrigeration, compressed air, pumping, HVAC, lighting, water usage, etc.
- Identifying and providing advice on carrying out renewable energy opportunities.
- Reducing amounts of chemicals and materials to prevent GHG emissions associated with manufacturing, transporting, disposing, harvesting, and mining of raw materials or products.
- Providing advice on the Economy, Energy and Environment (E3) framework to reduce GHG emissions, conserve water and/or reduce or prevent toxic chemical use through process efficiency and/or materials/chemical substitution.
- Offering training and providing advice to businesses and technical assistance providers on how to identify, carry out, and measure Green Chemistry solutions to reduce GHG emissions. This could include transitioning from higher Global Warming Potential (GWPs) chemicals to lower GWP chemicals (e.g., switching from solvents such as TCE and methylene chloride to water-based or safer cleaners and degreasers, and switching to more benign gases for cleaning and refrigeration) and measuring the change in greenhouse gas emissions resulting from this transition.
- Applying and measuring new and experimental water conservation techniques (e.g., use of high volume, low pressure washing systems that reuse water; carrying out alternative practices to minimize loadings to wastewater systems, focusing on managing production times to optimize cleaning and reduce water usage, possibly by extending operating times between cleanings, etc.)
- Applying and measuring new and experimental reduction of energy use and energy efficiency at a facility or in the supply/transportation chain to and from a facility.
- Applying and measuring new and experimental Green Chemistry solutions (e.g., reduce quantity and toxicity of cleaning products or food processing chemicals, developing projects that identify and find alternative chemicals or procedures for cleaning equipment and the building space, in particular, alternatives to Clean-in-Place chemicals and practices, developing environment-friendly food grade lubricants, cleaners, and materials used in equipment in contact with food, etc.)
- Applying and measuring new and experimental methods for reduced air emissions and water discharges (e.g., steps to prevent ammonia refrigeration leaks and other accidental releases, developing refrigerant alternatives that are of low toxicity and low global warming potential, etc.)

- Establishing food-manufacturing roundtables to exchange information, ideas, and technology information among food manufacturers and that incorporate follow-up measures to document P2 practices that result from the information exchanged.
- Focusing Economy, Energy and Environment (E3) assessments on source reduction of food manufacturing and processing of wastes at one facility or at multiple points in the supply chain, leading to transferable lessons that can be applied at other facilities.
- Conducting research, studies, demonstrations or training focusing on reduction of energy use and cost by concentrating on identifying opportunities for energy (particularly heat energy) conversion, transfer and/or storage.
- Investigating byproduct recovery and transformation to reduce emissions and other discharges.
- Advising businesses within a community to improve material practices that reduce the use and risk of release of hazardous chemicals during a storm, flooding or another natural disaster event. (i.e., reduce stockpiling and use of non-hazardous chemicals).
- Identifying and targeting businesses or sectors within environmental justice communities that use hazardous materials and providing P2 assessments and training.
- Using Toxic Release Inventory (TRI)-P2 reporting data to target similar businesses or operations with similar P2 opportunities in hazardous materials source reduction within local communities.
- Creating training and outreach materials to teach businesses to identify and reduce the use of hazardous chemicals in their facilities through source reduction techniques and/or practices, (e.g., participating in EPA's Safer Choice program, using Safer Choice-labeled products, or using EPA's Safer Chemical Ingredients List, etc.)
- Establishing regional manufacturing roundtables to exchange information, ideas, and technology information among the manufacturers that incorporate follow-up measures to document P2 practices that result from the information exchanged.
- Developing community-based Economy, Energy and Environment (E3) projects involving research, studies, demonstrations or training that would result in reduced generation and use of hazardous substances, pollutants, and/or contaminants and increase efficiency by manufacturers.
- Providing technical assistance to manufacturers to reduce the generation of hazardous materials through process changes included, but not limited to: Green Engineering practices, through in-process reuse of the materials, and/or through the reclamation and remanufacturing of the hazardous secondary materials to extend their useful life. This technical assistance could be targeted to assist with P2 practices at manufacturers who may use exclusions in the 2015 RCRA Definition of Solid Waste Rule (as adopted by a State).



- Assisting businesses with training or conducting studies that will help businesses adopt P2 practices that reduce their compliance burden under EPA or under state environmental regulations – e.g., carrying out air toxics standards covering motor vehicle and miscellaneous spray coaters; eliminating use of metallic hazardous air pollutants in spray painting; providing training to spray painters in appropriate spray techniques; eliminating use of halogenated solvent degreasing by electroplaters and other firms that clean metal parts; substituting perchloroethylene used by drycleaners with wet cleaning practices, especially focusing on drycleaners co-located within residential buildings.
- Carrying out and measuring new and experimental Green Chemistry solutions (e.g., reduce quantity and toxicity of industrial cleaning/personal care products, deicers, etc.)

## **APPENDIX B: Guidance for Criterion on Environmental Results and Measurement**

This guidance is to help applicants respond to the Selection Criterion on Environmental Results and Measurement.

### ***Environmental Results and Measurement Selection Criterion:***

- a. Provide qualitative and quantitative estimates of expected outcomes and outputs of P2 grant project activities.*
- b. Provide a plan for tracking and measuring their progress toward achieving expected outcomes and outputs identified in section 1.A.4 of this RFP. For expected environmental outcomes, the plan should address how the applicant will document results at the facility or entity level. In limited cases, EPA will consider awarding points for a credible explanation of why reporting outcomes at the facility or entity level would be too burdensome or raise confidentiality concerns which cannot be overcome.*

### **I. Selection Criterion on Environmental Results and Measurement: Subpart (a)**

**A. Directions for Estimating Expected Outputs:** Outputs are work products related to an environmental goal that you expect to produce and measure quantitatively or qualitatively during the grant period.

1. Estimate your expected outputs. Examples include the number of: (i) technical assistance visits/assessments; (ii) workshops, training and courses conducted; (iii) stakeholder groups involved in a process; (iv) fact sheets developed or distributed; and, (v) (the degree of) behavior change among participants.
2. Briefly explain how you are estimating. State any assumptions and calculations used, such as the degree of participation and P2-practice-adoption rates for workshop participants.

**B. Directions for Estimating Expected Outcomes:** Outcomes are results from carrying out an environmental activity that relates to an environmental or programmatic goal.

1. When estimating outcomes, address all the following four EPA P2 Program outcome measures for which you expect to get actual results from the environmental activities.
  - Reductions in pounds of hazardous material inputs and of hazardous pollutants released to air, water, and land;
  - Reductions in greenhouse gas releases (measured in metric tons of carbon dioxide equivalent (MTCO<sub>2e</sub>);
  - Reductions in gallons of water used; and,
  - Dollars of cost savings associated with reducing hazardous pounds, MTCO<sub>2e</sub> and water usage.
2. Quantification directions.

- When making quantified estimates, estimate the annual results of anticipated activities in year one, and the annual results of anticipated activities in year two, and add them together.
  - Do not estimate expected reductions in nonhazardous inputs/wastes as a line item because EPA cannot report them (such reductions cannot be a primary purpose of a P2 grant).
  - If you are converting expected ancillary nonhazardous pound reductions into expected GHG reductions, please make note of that. EPA’s Waste Reduction Model can do the conversions. See <http://epa.gov/epawaste/consERVE/tools/warm/index.html>
  - Omit cost savings from expected ancillary nonhazardous pound reductions.
  - EPA’s P2 calculator tools are available to assist you in making pound, GHG and cost estimates. See <https://www.epa.gov/p2/pollution-prevention-tools-and-calculators>
  - A table format is recommended for quantified estimates.
3. Include a brief explanation of how you are estimating expected outcomes. It is equally adequate to say that you made an educated guess or that you used calculation assumptions.

Sample Table 1 – Estimated Annual Outputs

P2 Activity	Outputs	Behavior Changes

Sample Table 2 – Estimated Annual Environmental Outcomes (see notes below)

(a) P2 Activity	(b) Hazardous Pounds Reduced	(c) MTCO <sub>2e</sub> Reduced	(d) Water Gallons Reduced	(e) Dollars saved from (b) (c) & (d)

Sample Table 2 notes:

- Hazardous pounds, covers the total of:
  - Pounds of hazardous inputs and waste reduced: Omit non-hazardous items (packaging, paper, glass, plastics, steel, construction debris, etc.)
  - Pounds of air pollutants: Omit estimated reductions in SO<sub>x</sub>/NO<sub>x</sub> from utilities, due to cap and trade rules.
  - Pounds of water pollutants: Contaminants in wastewater (chemical and biochemical oxygen demand, toxics, nutrients, total suspended solids, etc.) Convert your estimate of water discharge reduction from gallons to pounds (multiply gallons by 8.34) and then divide by 10,000 to get the estimated reductions of water pollutants.
- MTCO<sub>2e</sub> (metric tons of carbon dioxide equivalent): Estimated greenhouse gas (GHG) reductions.
- Water gallons reduced: Estimated reductions in water intake/discharge.

**II. Selection Criterion on Environmental Results and Measurement: Subpart (b)**

**A. Directions for Planning to Track Progress**

**1. Briefly state how you will collect results.**

- a. Collection approaches for outputs include voluntary surveys (by phone, mail, email or online) and testing participants voluntarily before and after for knowledge and behavior changes. Voluntary tests and surveys administered under a grant are exempt from the Paperwork Reduction Act.
- b. Collection approaches for outcomes include onsite revisits, self-reported data, etc.

2. Briefly state what kind of sources you plan to use for actual outcome data. Examples include metered data, self-reported statements, product specification data, and sector case study data.

3. If you know, briefly state which data conversion tools you plan to use. For the tools that EPA offers, see the P2 calculator/conversion tools on pounds, GHG, and cost savings at <http://www.epa.gov/p2/pollution-prevention-tools-and-calculator4>.

4. For projects with expected outcomes, the EPA will evaluate whether an applicant is making a commitment to correlate activities to actual outcomes in a facility or entity level report by the end of the grant period.

**B. For Reference: Examples of Facility and Entity Level Reports**

The EPA is providing the examples of results documented at the facility or entity level

**1. Technical assistance or assessment.**

**Table 3: Sample**

<b>(a) Entity or Facility</b>	<b>b) P2 Activity</b>	<b>(c) Hazardous Pounds Reduced</b>	<b>(d) Gallons Water Saved</b>	<b>(e) MTCO<sub>2</sub>e Reduced</b>	<b>f) \$ Saved from (c)(d) &amp; (e)</b>
<b>Mid-size manufacturing facility</b>	Training/technical assistance on resource conservation concepts (energy efficiency or water usage); plastics recycling converted to MTCO <sub>2</sub> e*	100,000	0	19,000	\$40,000
<b>Farm</b>	Offering training/technical assistance to encourage environment friendly irrigation practices or electrical efficiency measures.	0	100,000,000	15,000	28,000

<b>Adhesive manufacturer</b>	Applying training/technical assistance on once-used solvent sold to vendor to be remanufactured	110,000	0	0	45,000
<b>Company X</b>	Applying training/technical assistance on product reformulation/redesign (green chemistry/green engineering).	80,000	0	0	0

*\*Note: Shows the desired practice of noting when nonhazardous reductions are being converted to GHG emission reductions.*

**2. State Environmental Leadership or similar program with self-reporting members.**

**Table 4. Sample**

<b>Facility Name</b>	<b>Indicator</b>	<b>Specific Indicator</b>	<b>Baseline</b>	<b>Quantity</b>	<b>Cost Savings</b>	<b>Cost Savings Explanation</b>
<b>Company X</b>	Hazardous air emissions	Reduced VOC products used, better spray guns	100 tons	64 tons 36 ton reduced	\$50,000	Reduced products bought
<b>Company Y</b>	Grid electricity	Set up a timed break; shuts off process system during break.	6,500 kWh	5,900 kWh 1,000 kWh reduced	\$500	Energy conservation
<b>Company Z</b>	Non-hazardous waste *	Scrap metal recycling			\$5,000	*Dealer buys scrap metal.

*\*Note: For programs that collect nonhazardous results, EPA needs to see nonhazardous pound reductions and associated cost savings itemized separately, so EPA can subtract them for its P2 Program reporting.*

**3. Sector Initiatives.** For a sector initiative, such as a hospitality certification program or similar initiative with standard elements that participating entities adopt and apply, results would document the number of facilities engaged in the effort and the model formula for calculating average sector-facility performance.

**4. Pilot projects report pilot-test scale results.** In a facility or entity application, results would be documented similarly to technical assistance/training results.

**5. Training surveys:** If training follow-up steps identify actual activity and outcomes, whichever approach above applies would serve as the example (technical assistance/training, sector initiative, etc.).

**APPENDIX C: Project Timeline Samples**

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

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

Milestones	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT
<b>1) WATER EFFICIENCY</b>													
Select Webinar Topics	X	X	X										
Conduct Webinars				X			X				X		
Produce Videos				X				X					
Develop water efficiency website						X	X	X	X	X			
ID Existing Materials	X	X	X	X	X	X	X	X	X	X	X	X	X
Update P2 Info House	X	X	X	X	X	X	X	X	X	X	X	X	X
Update Best Reference				X	X	X	X	X					
Survey Webinar Attendees		X					X			X			
<b>2) Technical Assistance</b>													
Respond to Questions	X	X	X	X	X	X	X	X	X	X	X	X	X
Survey							X	X	X		X	X	X
<b>3) Results Measurement</b>													
Data Input												X	X
Training							X						
<b>4) Communications Center</b>													
Central Data Mgmt.	X	X	X	X	X	X	X	X	X	X	X	X	X
National Data Mgmt.	X	X	X	X	X	X	X	X	X	X	X	X	X
Milestones	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT

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

OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT
select webinar topics												
			Webinar			Webinar				Webinar		
			Produce Video				Produce Video					
			Develop Water Efficiency Website									
Identify Existing Technical Assistance Materials												
Update P2 Info House												
			Update Best Reference									
	Survey					Survey			Survey			
Respond to Questions												
						Survey				Survey		
						Training for Regional Offices				Data Input		
Central Data Management and Outreach												
National Data Management and Outreach												
OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT

Water Efficiency
Technical Assistance
Results Measurement
Communication Center

## **APPENDIX D: Itemized Budget Detail Guidance and Sample**

The budget detail allows the Region 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 supported 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 (2 CFR 200.33). 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	Salary	Federal		Match		Total	
		FTE	Wages	FTE	Wages	FTE	Wages
Information & Communications Specialist	\$42,632	0.30	\$ 12,790	0	\$0	0.30	\$ 12,790
Senior Environmental Specialist	\$44,362	0.20	\$ 8,872	0.10	\$ 4,436	0.30	\$13,309
Computer Consultant 3	\$50,378	0.10	\$ 5,038	0	\$ 0	0.10	\$ 5,038
Environmental Program Supervisor 2	\$66,702	0.10	\$ 6,670	0	\$ 0	0.10	\$ 6,670
Environmental Engineer	\$56,726	0.4	\$22,690	0	\$0	0.40	\$22,690
Environmental Program Manager	\$60,646	0.1	\$ 6,065	0	\$0	0.10	\$ 6,065
Environmental Program Supervisor 3	\$69,052	0.1	\$ 6,905	0	\$0	0.10	\$ 6,905
<b>Total</b>		<b>1.30</b>	<b>\$69,030</b>	<b>0.10</b>	<b>\$ 4,436</b>	<b>1.40</b>	<b>\$73,466</b>

Contract	Rate	Hours	Amount	Hours	Amount	Amount
Management Support <sup>1</sup>	\$25	350	\$ 8,750	-	-	\$ 8,750
Graphic/Technical Support <sup>2</sup>	\$10	550	\$ 5,500	-	-	\$ 5,500
<b>Total</b>			<b>\$14,250</b>			<b>\$14,250</b>
<b>OTHER</b>						
Webinar Calls			\$2,500	-	\$ 0	\$ 2,500
INDIRECT <sup>3</sup>	8.6%		\$ 5,937		\$ 382	\$ 6,318
INCOME <sup>4</sup>			\$0		\$0	\$0
<b>Total</b>			<b>\$ 8,437</b>		<b>\$ 382</b>	<b>\$ 8,819</b>

<b>Grand Total</b>			<b>\$91,717</b>		<b>\$ 4,818</b>	<b>\$96,535</b>
					5%	

1 Contract is for project management support 15 hours per week (900 hours total) for one year.

2 Contract is for technical/graphic support by work-study student at 18 hours per week for two semesters (550 hours over 30 weeks).

3 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.

4 At this time, we do not anticipate having income. If it becomes necessary to charge for webinars, we propose that income be regarded as “addition” and may also be used to meet match, per 2 CFR 200.307.

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

Project by State University

Phase	FTE			Funding		
	Federal	Match	Total	Federal	Match	Total
1 Water Efficiency	0.90	0.1	1.00	\$63,450	\$4,818	\$68,268
2 Technical Assistance	0.10	0	0.10	\$ 7,050	\$0	\$ 7,050
3 Results Measurement	0.10	0	0.10	\$ 7,150	\$0	\$7,150
4 Communication	0.20	0	0.20	\$14,067	\$0	\$14,067
Totals	1.30	0.10	1.40	\$91,717	\$4,818	\$96,535