

**FEDERAL AGENCY:** U.S. Environmental Protection Agency (EPA)

**FUNDING OPPORTUNITY TITLE:** FY 2018 and FY 2019 Source Reduction Assistance Grant Program

**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.

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

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** 66.717

**FUNDING OPPORTUNITY NUMBER:** EPA-HQ-OPPT-2018-002

**SUBMISSION DATE:** Proposals are due **Thursday, August 23, 11:59 pm (EDT)**. Proposals will be date and time stamped. EPA will receive proposals electronically through [Grants.gov](https://www.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**

EPA is announcing a grant competition to fund two-year Source Reduction Assistance (SRA) agreements that support source reduction approaches (also known as “pollution prevention” and herein referred to as “P2”). P2 means reducing or eliminating pollutants from entering any waste stream or otherwise released into the environment *prior to recycling, treatment, or disposal*. EPA is interested in receiving proposals that:

1. Offer practical pollution prevention (P2) tools or approaches to measurably improve the environmental footprints of state agencies, federally-recognized tribes, intertribal consortia, businesses, municipal/local governments and/or local communities while also supporting efficiency to reduce resource use, expenditures, waste and liability costs.
2. Adhere to the statutory authorities for this program by using **one or more** of these technical assistance methods: a) research, b) investigation, c) experiments, d) education, e) training, f) studies and/or g) demonstration of innovative techniques – to carry out source reduction/P2 activities.
3. Place additional emphasis on documenting and sharing P2 best practices and innovations identified and developed through these grants so that others can replicate these approaches and outcomes. Therefore, in general, grant recipients must document and report on the P2 recommendations where they are provided to a technical assistance beneficiary (e.g., state agencies, federally-recognized tribes, intertribal consortia, business, facility, municipal/local governments, and/or local communities that received the technical assistance) and, at a later date, report on P2 actions adopted by the technical assistance beneficiary (alternative

reporting provisions are available, if technical assistance is broadly provided – see **Section VI.C.3.b.**)

4. Focus project activities on **one or more** of the P2 Program’s National Emphasis Areas: Business-Based Pollution Prevention Solutions Supporting Toxic Substances Control Act (TSCA) Priorities and Chemical Safety; Food and Beverage Manufacturing and Processing; and, Hazardous Materials Source Reduction Approaches in States or Communities

The EPA plans to award a total of approximately \$2 million in federal SRA grant funding issued over a two-year funding cycle (approximately \$1 million in FY 2018 funds and approximately \$1 million in FY 2019 funds). SRA awards are expected to be performed in EPA regions and will be funded in the form of grants or cooperative agreements. Please note that notwithstanding the potential amounts stated above, these amounts are estimates only and the amount of grant funding awarded will be dependent on Congressional appropriations, funding availability, the quality of proposals received, satisfactory performance and other applicable considerations.

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), nonprofit 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.*

**Applicants are strongly encouraged to read this announcement in its entirety as it provides important new information on the goals of the program, offers updated agency grant policies and program requirements, and provides new evaluation criteria.**

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**FULL TEXT OF ANNOUNCEMENT**

**Section I. BACKGROUND**

**A. Programmatic Description:** EPA is announcing a grant competition to support two-year Source Reduction Assistance (SRA) assistance agreements.<sup>1</sup> Through this program, EPA is soliciting projects aimed at reducing or eliminating pollutants from entering any waste stream or otherwise released into the environment *prior to recycling, treatment, or disposal*. In this regard, EPA looks forward to reviewing SRA proposals that offer practical pollution prevention (P2)/source reduction information, tools or approaches to help state agencies, federally-recognized tribes, intertribal consortia, businesses, municipal/local governments, and/or local communities assess their environmental footprint and propose activities that will reduce or eliminate harmful air emissions, use of hazardous materials, reduce water and energy consumption and identify other resource efficiencies. SRA proposals must incorporate **one or more** of the following technical assistance methods to carry out P2 activities: a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques.

The EPA plans to award a total of approximately \$2 million in federal SRA grant funding issued over a

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<sup>1</sup> EPA Region 1 and 3 are not participating in this announcement. Region 1 encompasses the states of: CT, NH, MA, ME, and VT, and Region 3 encompasses the states of: DE, MD, PA, VA and WV. Applicants in those states may propose work in one of the eight participating Regions.

two-year funding cycle (approximately \$1 million in FY 2018 funds and approximately \$1 million in FY 2019 funds). SRA awards are expected to be performed in EPA regions and will be funded in the form of grants or cooperative agreements. Please note that notwithstanding the potential amounts stated above, these amounts are estimates only and the amount of grant funding awarded will be dependent on Congressional appropriations, funding availability, the quality of proposals received, satisfactory performance and other applicable considerations. EPA is not expecting to issue an RFP for these grants in FY 2019.

Under this competition, EPA is placing additional emphasis on having grant recipients document and share P2 best practices and innovations identified and developed through these grants so that others can replicate these approaches and outcomes. Therefore, in general, grant recipients must document and report on the P2 recommendations where they are provided to a technical assistance beneficiary (e.g., state agencies, federally-recognized tribes, intertribal consortia, the business, facility, municipal/local governments, and/or local communities that received the technical assistance) and at a later date, report on P2 actions adopted by the technical assistance beneficiary (alternative reporting provisions are available if information or technical assistance is broadly provided to businesses/facilities – see **Section VI.C.3.b**). If necessary, awardee budgets and workplans may allot time and/or set-aside funds from the two years of federal funding provided for an optional third-year to collect and report on the P2 approaches adopted. The amount of grant funding released each year will be dependent on Congressional appropriation and the quality of proposals received.

**B. 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 grants and cooperative agreements must carry out activities within the terms of EPA’s statutory authorities. The statutes authorize the agency to award grants or cooperative agreements for research, investigations, experiments, education, training, surveys, studies and/or demonstration of innovative techniques. SRA grants and cooperative 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.

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.

**C. How Does EPA Define P2?** Pollution prevention, also called "source reduction," is any practice which reduces the amount of any hazardous substance, pollutant, or contaminant entering any waste stream or otherwise released into the environment (including fugitive emissions) prior to recycling of discarded material, treatment, or disposal; and reduces the hazards to public health and the environment associated with the release of those substances, pollutants, or contaminants. P2 practices include equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, and improvements in housekeeping, maintenance, training, or inventory control. EPA has also interpreted P2 as including practices that increase efficient use of water, energy, raw materials, or other resources, or that may protect natural resources through conservation methods. Reducing the amount of pollution in the environment means producing less waste to control, treat, or dispose. Less pollution means fewer hazards posed to public health and the environment.

**D. What is Not P2?** For purposes of this announcement, P2 does not involve practices which alter the physical, chemical, or biological characteristics or the volume of a pollutant, hazardous substance or contaminant through a process or activity which itself is not integral to and necessary for the production of a product or the providing of a service (refer to [Pollution Prevention Act \(PPA\)](#), Section 6603 and 40 CFR 35.343 and 35.662).<sup>2</sup> Recycling of discarded materials, waste clean-up, disposal activities, and management of or processing of non-hazardous solid waste (e.g., paper/cardboard, glass, plastics, etc.) are not P2 activities and cannot serve as a basis for SRA award funding. If any of these activities represent more than a small and ancillary part of the proposed work for funding under this grant, EPA will not consider the proposal for an award. For assistance with recycling of discarded materials, waste clean-up, disposal and management or processing of non-hazardous solid waste activities, please contact the [EPA's Office of Resource Conservation and Recovery](#).

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<sup>2</sup> Section 6603 of the PPA defines source reduction as any practice that:

- 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.
- ii. Reduces the hazards to public health and the environment associated with the release of such substances, pollutants, or contaminants.
- iii. EPA further defines pollution prevention as the use of other 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, or protection of natural resources by conservation.

**E. Engaging Partners in SRA Activities:** Applicants are encouraged to develop relationships with federal agencies, state/tribal agencies, other technical assistance providers, trade associations or environmental programs to strengthen their expertise and knowledge of P2 approaches and their ability to provide technical assistance through: a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques to businesses, municipal/local governments, and/or local communities in order to leverage resources.

Partnerships may include university-based technical assistance and cooperative extension programs, and other environmental assistance programs offered within a State or Tribe, among federal programs, trade organizations, nonprofit organizations, and with regional and national programs such as with EPA's Office of Enforcement and Compliance Assurance (OECA) Compliance Assistance Centers, EPA's Small Business Environmental Assistance Programs (SBEAPs), the Department of Commerce's National Institute of Standards and Technology (NIST) Manufacturing Extension Partnership Program, the Department of Energy's (DOE) Industrial Assessment Centers, etc.<sup>3</sup>

**F. Scope of Work – P2 National Emphasis Areas:** In order to direct resources and funding to generate more impactful and measurable results, EPA's national P2 Program adopted program priorities referred to as P2 National Emphasis Areas (NEAs). The NEAs can also help facilitate sharing information from P2 technical assistance and/or training to businesses nationwide.

Applicants must choose **one or more** of the NEA topic areas described below as the focus of their SRA grant proposals. Applicants must also identify in their proposals which region the project will be performed in.

**Note: For added guidance, a list of possible SRA grant projects that may be carried out under each NEA are provided in Appendix A. The NEA project examples in Appendix A are provided for illustrative purposes only.**

- **NEA #1: Business-Based Pollution Prevention Solutions Supporting Toxic Substances Control Act (TSCA) Priorities and Chemical Safety:** Carry out P2 technical assistance through: a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques that identify, test, implement and/or disseminate business-based P2 solutions for TSCA-regulated chemicals<sup>4</sup>, with particular emphasis on chemicals identified in the TSCA 2014 Workplan for Chemical Assessments.<sup>5</sup> Projects under this NEA should facilitate, and encourage state agencies, federally-recognized tribes, intertribal consortia, businesses, municipal/local governments, and/or local communities to identify and adopt chemical and process alternatives, and promote innovative efforts on market-driven

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<sup>3</sup> If a partnership is formed with another federal government program, the cash or in-kind contribution from the federal entity may not be used by the applicant to meet the match requirement of the P2 assistance agreement. For more information on Cost Sharing and Matching Requirements, refer to **Section III.B**.

<sup>4</sup> TSCA Inventory – <https://www.epa.gov/tsca-inventory>.

<sup>5</sup> TSCA 2014 Workplan – <https://www.epa.gov/assessing-and-managing-chemicals-under-tsca/tsca-work-plan-chemical-assessments-2014-update>.

research, product design, product substitution and product applications that target source reduction, i.e., reducing the use and release of hazardous substances, pollutants or contaminants. Refer to **Appendix A** for project examples.

- **NEA #2: Food and Beverage Manufacturing and Processing:** Carry out P2 technical assistance through: a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques, to support more sustainable food and beverage manufacturing and processing entities within North American Industry Classification System (NAICS) codes [311](#) and [3121](#) resulting in reduced toxic air emissions or water discharges, water or energy usage, hazardous materials generation and use, and/or business costs.<sup>6</sup> Technical assistance projects or activities associated with entities that are not included under NAICS codes 311 or 3121, such as restaurants, grocery stores and other retail establishments do not qualify for this NEA, but may be considered under other NEAs if the scope of the project is consistent with those other NEAs. Refer to **Appendix A** for project examples.
- **NEA #3: Hazardous Materials Source Reduction Approaches in States or Communities:** Carry out P2 technical assistance through: a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques, to support state or community-based approaches to hazardous materials source reduction to reduce the generation and use of hazardous materials from business or industry sectors.<sup>7</sup> This NEA is intended to leverage governmental/ business/economic/infrastructure resources within a geographically contiguous area to address local (community) or broader (state) environmental and public health issues using P2 approaches. Note: For federally-recognized tribes, businesses may also include businesses operated by the tribe. Refer to **Appendix A** for project examples.

**Note: EPA Region 2 has elected to add Regional Focus Areas that expand upon one or more of the NEAs and reflect Regional Pollution Prevention Program needs. Applicants proposing projects for Region 2 should consider opportunities to support the Regional Focus Areas listed below. Reference markers are placed by each Focus Area to note the applicable NEA.**

Region 2 (NJ, NY, PR, and VI):

The Region encourages proposals from all eligible applicants, but is particularly interested in proposals that focus on:

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<sup>6</sup> North American Industry Classification System, or “NAICS” is the “standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy.” Refer to <https://www.census.gov/eos/www/naics/>.

<sup>7</sup> The term community as defined under this emphasis area applies to businesses, industry sectors, multi-organizational partnerships, and disadvantaged or underserved communities within geographically-defined land areas (like state, county, city, township, etc.).



- Manufacturing and other sectors in Puerto Rico and the U.S. Virgin Islands that use TSCA-regulated chemicals, especially chemicals identified as priorities under the Lautenberg Chemical Safety for the 21st Century Act. **NEA #1**
- Food and beverage manufacturing and processing sectors involving small businesses in Puerto Rico and the U.S. Virgin Islands. **NEA #2**
- Green engineering and green chemistry approaches in Puerto Rico and the U.S. Virgin Islands. **NEA #3**

**G. EPA’s Strategic Plan Linkage & Anticipated Outcomes, Outputs & Performance Measures – Applicants must address the following items in their proposals:**

- 1. Linkage to EPA’s Strategic Plan:** The activities to be funded under this announcement support EPA’s FY 2018-22 Strategic Plan (available at <http://www.epa.gov/planandbudget/strategicplan.html>). Awards made under this announcement will be funded as supporting Goal 2 of the EPA Strategic Plan, Cooperative Federalism: Rebalance the power between Washington and the states to create tangible environmental results for the American people, Objective 2.1 – Enhance Shared Accountability: Improve environmental protection through shared governance and enhanced collaboration with state, tribal, local, and federal partners using the full range of compliance assurance tools. In addition, the activities under this announcement also support Goal 2, Objective 2.2 – Increase Transparency and Public Participation; Goal 1: Core Mission – Deliver Real Results to Provide Americans with Clean Air, Land and Water, and Ensure Chemical Safety, Objective 1.1 – Improve Air Quality; Objective 1.2 – Provide for Clean and Safe Water; Objective 1.3 – Revitalize Land and Prevent Contamination: and, Objective 1.4 – Ensure Safety of Chemicals in the Marketplace. All applications must be for projects that support one or more of the goals and objectives identified above.
- 2. Performance Measurement Plan for Expected Environmental Outcomes and Outputs:** Applicants must also include a comprehensive plan for gathering and reporting on the expected outputs and outcomes of the proposed project. Definition and guidance on the terms, “output” and “outcome” are provided below. This Plan shall:
  - i.** State the types of state agencies, federally-recognized tribes, intertribal consortia, businesses, municipal/local governments, and/or local communities to be targeted for technical assistance through a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques, including NAICS code if possible.
  - ii.** Provide information on the expected environmental results of the proposed project in terms of well-defined outputs and, to the maximum extent practicable, well-defined outcomes that will demonstrate how the project will: a) meet its proposed objectives; and b) contribute to the goals and objectives described in the Agency’s Strategic Plan.
  - iii.** Describe the approach for providing the P2 technical assistance (i.e., a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques).

- iv. Describe how the information described in the reporting section of this RFP (**Section VI.C.3**) will be collected (e.g., follow-up phone calls, letters, e-mails, or on-site visits), as well as how data on outputs and outcomes from technical assistance provided will be measured. For more information, refer to **Appendix C - Guidance for Addressing Environmental Results, Measurement and Reporting**. And, refer to EPA Order 5700.7, Environmental Results under Assistance Agreements at: <https://www.epa.gov/grants/epa-order-57007a1-epas-policy-environmental-results-under-epa-assistance-agreements>.
- **Outputs.** The term “output” means an activity, effort, and/or associated work product related to an environmental goal and objective that will be produced or provided over a period of time or by a specified date. In the P2 Program, outputs are work products (related to P2) that you expect to produce. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period. Expected outputs from the project(s) to be funded under this announcement may include the following outputs, **or other output measures the awardee and EPA regional office would like to include:**
    - Number of stakeholder groups involved in the process
    - Number of technical assistance assessments or visits
    - Number of recommendations made to businesses/facilities
    - Number of recommendations implemented/adopted by businesses/facilities
    - Number of workshops, trainings and courses conducted
    - Number of businesses/facilities attending workshops, trainings and courses.
    - Number of fact sheets developed or distributed
    - Types of skills and abilities achieved by training participants
  - **Outcomes.** The term “outcome” means 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 qualitative and environmental, behavioral, health-related, or programmatic in nature, but must also be quantitative. In the P2 Program, outcomes are results (corresponding to EPA P2 measures) that you expect to report from implemented P2 activities. They may not necessarily be achievable within an assistance agreement funding period. Expected outcomes from the P2 technical assistance and project(s) to be funded under this announcement may include the following measures, if applicable, **as well as other outcomes the awardee and EPA regional office would like to include:**
    - Pounds of hazardous materials and emissions reduced
    - Gallons of water saved
    - Metric tons of carbon dioxide equivalent reduced (MTCO<sub>2</sub>e)
    - Dollars saved through P2 efforts

## Section II. AWARD INFORMATION

**A. Number of Expected Awards and Federal Funding Amounts:** The EPA plans to award a total of approximately \$2 million in federal SRA grant funding issued over a two-year funding cycle (approximately \$1 million in FY 2018 funds and approximately \$1 million in FY 2019 funds). The federal funding amounts for individual grant awards may potentially be in the range of \$20,000-\$260,000 in total issued over a two-year funding period (i.e., award estimates per year may be between \$10,000 - \$130,000). Future funding is contingent on satisfactory performance, funding availability, Congressional appropriation and/or other applicable considerations. EPA regions 2, 5 and 7 have provided lower award amounts as noted below. Awardees will be expected to provide funds to match the federal award, as described in **Section III.C.**

In their proposal, applicants should identify what region their project will be performed in. For a list of EPA regions and states within each region refer to Section VII. As noted, projects under this solicitation are not being requested for performance in Regions 1 or 3.

- Region 2 – Federal funded awards may be in the range of \$20,000 - \$100,000 for the two-year funding period (between \$10,000 - \$50,000 incrementally funded per year).
- Region 5 – Federal funded awards may be in the range of \$20,000 - \$100,000 for the two-year funding period (between \$10,000 - \$50,000 incrementally funded per year).
- Region 7 – Federal funded awards may be in the range of \$20,000 - \$200,000 for the two-year funding period (between \$10,000 - \$100,000 incrementally funded per year).

EPA anticipates receiving approximately 40 proposals and funding approximately 20 awards under this solicitation. EPA anticipates that final selections will be made 180 days after this announcement is published. EPA reserves the right to reject all proposals and issue no awards, or issue fewer awards than anticipated. All awards will be consistent with the applicable EPA regulations and grant policies. In addition, EPA reserves the right to issue additional awards under this announcement, if additional funding becomes available. Additional awards will be made no later than six (6) months from the date of the original selections.

**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.

Definition of a Grant: 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 other lump sum award, which the recipient is not required to account for. The EPA will not be substantially involved in the performance of grants.

Definition of a Cooperative Agreement: Under these types of agreements, substantial involvement between the EPA Project Officer and the selected applicants will occur in the performance of supported work. 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. As such, EPA may:

- 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, EPA reserves the right to partially fund proposals by funding discrete activities, portions, or phases of a proposal. If EPA decides to partially fund a proposal, it will do so 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 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.

**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. To further illustrate, if the total project cost is \$80,000, in order to meet the 5% cost share/match requirement, the applicant must be able to provide \$4,000 in cash or in-kind contributions in order to be eligible to receive \$76,000 in federal grant funding from EPA.

$$\begin{array}{r} \text{Federal Award: } \$76,000 \\ + \text{ Cost share/match requirement: } \$4,000 \\ \hline \text{Total Project Cost} = \$80,000 \end{array}$$

*The match requirement may be applied at the time of award or at specified intervals during the two-year project period.* Cost sharing and matching contributions may include, but are not limited to: dollars; in-kind goods and services (such as volunteered time, photocopying and printing services, etc.); third-party contributions consistent with 2 CFR 200.306; university faculty time or effort which can be offered as a cash contribution as long as the cost sharing occurs during the assistant agreement project period and while the faculty member is under a continuing contract with the university; etc. Applicants must document in their budgets the type of match applied and how it will be used. The EPA grant project officer in the region will monitor the grant recipient's compliance with their match/cost share requirement. 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 disallow costs.<sup>8</sup>

**Note:** Cost sharing and matching requirements for proposals under \$200,000 for Insular Area applicants (the U.S. Virgin Islands, American Samoa, Guam and the Commonwealth of the Northern Mariana Islands) are waived as a matter of law as authorized by the Omnibus Territories Act (OTA) of 1977, as amended, 48 U.S.C. Section 1469a. In accordance with the OTA, EPA may waive, in whole or in part, cost share/match requirements of \$200,000 or more. Insular Area applicants with proposals totaling \$200,000 or greater are advised to contact EPA to determine if cost share requirements will be waived in whole or in part.

**C. Threshold Program Requirements:** Proposals must meet the Threshold Program Requirements provided below at the time of submission in order to be considered for funding. These are requirements that if not met by the time of proposal submission will result in elimination of the proposal from consideration for funding. Only proposals from eligible entities (see above) that meet all of these criteria will be evaluated against the ranking factors in Section V of this announcement. 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.

1. Proposals must adhere to the definition of pollution prevention and to the statutory criteria of SRA grants – **Sections I.B and I.C.**
2. The preponderance of work described in proposals must support methods of gathering or transferring P2 information and technical assistance or advancing P2 awareness, such as: research, investigations, experiments, education, training, studies and/or demonstration of innovative techniques. Non-P2 focused activities may only represent a small and ancillary part of the proposed work. If proposals include ineligible tasks or activities (i.e., those not considered to support P2) then those activities may be found ineligible for funding and may, depending on the extent of the ineligible activities, render entire proposals ineligible for funding.
3. Proposals must address **one or more** of the P2 National Emphasis Areas – **Section I.F.**
4. Proposals must describe how they will further one or more of the applicable goals and objectives of the EPA Strategic Plan – **Section I.G.**

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<sup>8</sup> For additional information on cost share or matching requirements, refer to [2 CFR 200.306](#).

5. Proposals must be from eligible applicants – **Section III.A.**
6. Proposals must adhere to the 5 percent cost share/match requirement (**Section III.B**)
7. Proposal packages must substantially comply with the submission instructions and requirements set forth in **Section IV** of this announcement in order to be considered for funding or else they will be rejected.
8. Proposals must be submitted through [Grants.gov](https://www.grants.gov) as stated in **Section IV** of this announcement (except in limited circumstances where another mode of submission is specifically allowed for as explained in **Section IV**) on or before the proposal submission deadline. Applicants are responsible for following the submission instructions in **Section IV** by the submission deadline.
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 or [System for Award Management \(SAM\)/SAM.gov](https://www.sam.gov) issues. An applicant’s failure to timely submit their proposal through Grants.gov because they did not timely or properly register in SAM.gov or Grants.gov will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their proposals with their applicable EPA region noted in **Section VII** as soon as possible after the submission deadline – failure to do so may result in proposals not being reviewed.
10. Applicants must adhere to the page limit requirement for the narrative proposal (**Section IV.D**). Excess pages will not be reviewed.

## SECTION IV. APPLICATION AND SUBMISSION INFORMATION

- A. Requirement to Submit Proposals through Grants.gov and Limited Exception Procedures:** Applicants, except as noted below, must apply electronically through [Grants.gov](https://www.grants.gov) under this P2 funding opportunity 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 limited or no Internet access which prevents them from being able to upload the required application materials to Grants.gov, the applicant must contact [OGDWaivers@epa.gov](mailto:OGDWaivers@epa.gov) or the address listed below in writing (e.g., by hard copy, email) **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.

Mailing Address:  
 OGD Waivers  
 c/o Jessica Durand  
 USEPA Headquarters  
 William Jefferson Clinton Building

Courier Address:  
 OGD Waivers  
 c/o Jessica Durand  
 Ronald Reagan Building  
 1300 Pennsylvania Ave., N.W.

1200 Pennsylvania Ave., N.W.  
Mail Code: 3903R  
Washington, DC 20460

Rm # 51278  
Washington, DC 20004

In the request, the applicant must include the following information:

- Funding Opportunity Number (FON) – **EPA-HQ-OPPT-2018-002**
- Organization’s Name and Unique Entity Identifier (e.g., DUNS number)
- Organization’s Contact Information (email address and phone number)
- Explanation of how they lack the technical capability to apply electronically through [Grants.gov](https://www.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 only consider alternate submission exception requests based on the two reasons stated and will provide a timely response to the request – all other requests will be denied. If an alternate submission method is approved, the applicant will receive documentation of this approval and further instructions on how to apply under this announcement. Applicants 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 in this announcement including the submission deadline and requirements regarding proposal content and page limits (although the documentation of approval of an alternate submission method will not count toward page limits).

If an 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 January 11, 2018, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2018). 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, 2017 with a submission deadline of January 15, 2018, the applicant would need a new exception to submit through alternative methods beginning January 1, 2018.

**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 applicable EPA Regional Contact listed in **Section VII** of this announcement. 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.

**B. 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 submit an application 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 Unique Entity Identifier (e.g., 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 in order to apply for this opportunity through grants.gov and should ensure that all such requirements have been met well in advance of the submission deadline. Registration on grants.gov, SAM.gov, and DUNS number assignment is **FREE**.

Applicants need to ensure that the AOR who submits the application through Grants.gov and whose Unique Entity Identifier (e.g., 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 under this grant announcement, go to [Grants.gov](http://www.grants.gov) and click on “Applicants” on the top of the page and then “Apply for Grants” from the drop-down menu and then follow the instructions accordingly.

**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 Information on Grant.gov](#).**

You may also be able to access the P2 grant proposal package for this announcement by searching the funding opportunity on grants.gov. Go to [Grants.gov](http://www.grants.gov) and then click on “Search Grants” at the top of the page and enter the Funding Opportunity Number – **EPA-HQ-OPPT-2018-002**, or the CFDA number – **CFDA 66.717**, in the appropriate field and click the Search button.

Please note: All applications must now be submitted through Grants.gov using the “Workspace” feature. Information on the Workspace feature can be found at the [Grants.gov Workspace Overview Page](#).

Please submit *all* of the application materials described below using the Grants.gov [submission](#) instructions above.

### **Application Materials**

**The following forms and documents are required under this announcement:**



### **Mandatory Documents:**

1. Application for Federal Assistance (SF-424)
2. EPA Key Contacts Form 5700-54
3. Narrative Proposal including cover page (Project Narrative Attachment Form), prepared as described in **Section IV.D** of the announcement

### **Optional Documents:**

4. Letters of Support, resumes, other attachments-Other Attachments form

Applications 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 application deadline, please contact Michele Amhaz at 202-564-8857. Failure to do so may result in your application not being reviewed.

**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 **Thursday, August 23, 2018, 11:59 pm, (EDT)**. Please allow enough time to successfully submit your application and allow time for unexpected errors that may require you to resubmit.

### **C. 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. 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 make a decision concerning acceptance of each late submission on a case-by-case basis. All emails, as described below, are to be sent to Michele Amhaz (amhaz.michele@epa.gov) with the FON in the subject line. If you are unable to send an email, contact Michele Amhaz at 202-564-8857. 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 Michele Amhaz at 202-564-8857.
- 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 or exigent circumstances, email Michele Amhaz (amhaz.michele@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 Michele Amhaz, ([amhaz.michele@epa.gov](mailto:amhaz.michele@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.

Please note that successful submission through Grants.gov or via email (using the approved alternative submission method noted in **Section IV.A**) does not necessarily mean your application is eligible for award.

#### **D. Proposal Content and Format**

The application package *must* include all of the following materials:

- **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>.
- **Key Contacts Form (5700-54):** Please identify key personnel who will file and manage the paperwork, fund activities and direct the proposal.
- **Narrative Proposal:** The narrative proposal (items 1 and 2 below) must address the strategic approach and basis for the proposed P2 project work, which must demonstrate P2 technical assistance and/or training to businesses. The narrative proposal, including the cover page, cannot exceed a maximum of 13, single-spaced pages; excess pages will not be reviewed. Supporting materials, such as resumes and letters of support, can be submitted as attachments and are not included in the 13-page limit.

1. Cover Page (included with Narrative Proposal)

- a. Grant Name and Funding Opportunity Number
- b. Title of proposal
- c. National Emphasis Area supported; and the regional focus area, if any, addressed in the proposal.
- d. Region where project will be performed and a short description of proposal
- e. Total funding of project and requested EPA funding of project
- f. Contact information (i.e., name of applicant, name of organization, mailing address, phone number, fax number, and email address)
- g. System for Award Management Registration Date and Unique Entity Identifier (e.g., DUNS number).

**Note: Refer to Appendix B to view sample Cover Page**

2. **Narrative Proposal Workplan**– the narrative proposal workplan must explicitly describe how the proposed project meets the guidelines established in **Sections I-III** of this announcement (including the threshold eligibility criteria in **Section III.C**), and must address each of the evaluation criteria set forth in **Section V.A** and include, but is not limited to, the following information:
- a. **Project Summary/Approach:** This shall contain the following components:
    - i. Detailed project summary, describing specific P2 actions and methods to be undertaken that support technical assistance through: a) research, b) investigation, c) experiments, d) education, e) training, f) studies and/or g) demonstration of innovative techniques to state agencies, federally-recognized tribes, intertribal consortia, businesses, municipal/local governments and/or local communities and provide an estimated timeline for each task; along with the associated budget reserved for that task.
    - ii. Description of the associated work products to be developed or offered.

- iii. Explanation of project benefits to the public, stakeholders and specifically the potential audience(s) served.
- iv. Description of the roles of the applicant and partners, if any.
- v. Any other relevant information from **Section I** of the solicitation

**Note: Applicants may elect to include budget and timeline tables to aid in their description of proposed activities. These tables will not be considered part of the 13-page limit requirement.**

**b. Environmental Results – Outcomes, Outputs and Performance Measures**

Identify the expected quantitative and qualitative outcomes and outputs of the project (see **Section I.G.2**), including what performance measurements, timeline of milestones, or other means will be used to track and measure the project's progress toward achieving the expected P2 outcomes and outputs and how the results of the project will be evaluated and reported.

**c. Programmatic Capability and Past Performance**

Submit a list of federally and/or non-federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope and relevance to the proposed project that your organization performed within the last three years (no more than 5 agreements, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage those agreements and (ii) your history of meeting the reporting requirements under those agreements including whether you adequately and 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. Also, describe your plan and approach for ensuring timely expenditure of grant funds awarded.

- 3. Letters of Support and Resumes (Optional):** Letters of Support are to describe the service(s) the grant partner(s) will provide to help carry out and enhance the project activity. Resumes should reflect experience and expertise to conduct the work. These items are not subject to the page limit.

**E. Additional Provisions for Applicants Incorporated into the Solicitation:** 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 subawards under grants, and proposal assistance and communications, can be found under Section IV on the [EPA Solicitation Clauses](#) page. 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. APPLICATION REVIEW INFORMATION:**

Only eligible applicants with proposals that meet the threshold criteria in **Section III.C** of this announcement will be reviewed based upon the evaluation criterion provided below. Each proposal will be rated using the points-scale system identified below. The maximum number of total points possible is 100 points. The narrative proposal must include clear, concise, and factual responses to all evaluation criteria. Proposals must provide sufficient detail to allow for an evaluation of the merits of the proposal. If a criterion does not apply, clearly state this. **Any criterion left unanswered may result in zero points given for that criterion.** Responses to the criteria should include the criteria number and title, but need not restate the entire text of the criteria.

**A. Evaluation Criteria:**

| Criteria   | Description  | Points    |
|--|--|-----------|
| <b>1. Project Strategy &amp; Overall Approach</b>  | Proposals will be evaluated based on the quality and extent to which applicants describe an effective strategy and approach that clearly illustrates:  |           |
|  | <b>a)</b> How the proposed project activities support and align with the goals of the P2 NEA(s) that the proposal addresses. Refer to <b>Section I.F</b> and <b>Appendix A.</b>  | <b>8</b>  |
|  | <b>b)</b> The types and estimated number of technical assistance beneficiaries (e.g., businesses/facilities, municipal/local governments, and/or local communities) to be targeted for P2 technical assistance through: a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques (e.g., business types, sectors, conference attendees, NAICS code, etc.), and the environmental and/or human health concerns anticipated at those targeted technical assistance beneficiaries, and how the adoption of P2 approaches could improve or resolve them | <b>15</b> |
| <b>c)</b> How the P2 technical assistance methods of studies, research, investigation, experimentation, education, training and/or demonstrations involving innovative practices will be conducted and delivered (e.g., on-site assistance technical assistance visits to businesses to identify and develop P2 best management practices and innovations; off-site or | <b>10</b>  |           |

|  |   |           |
|--|---|-----------|
|  | remote support; referring clients to other technical assistance materials and sources; offering training to multiple businesses; planning collaborative opportunities for business sectors or communities to explore and develop P2 solutions, a mix of approaches, etc.)   |           |
|  | <b>d)</b> How the proposal leverages the resources and expertise of partners/stakeholders to provide the technical assistance (using studies, research, investigation, experimentation, education, training and/or demonstrations involving innovative practices), and/or how the proposal identifies, develops, documents or shares P2 best management practices that can be replicated by others.   | <b>9</b>  |
|  | <b>e)</b> How project deliverables (e.g., toolkits, assessment checklists, training modules, case studies, materials, etc.), innovative approaches and lessons learned (e.g., new insights, challenges, successes, recommendations, etc.) will be packaged and/or promoted so that entities may access and benefit from the material during and after the grant period. <i>Other entities may include States, Tribes, technical assistance providers, businesses, communities, trade associations, nonprofit organizations, etc.</i>  | <b>9</b>  |
| <b>2. Environmental Results, Measurement &amp; Reporting P2 Recommendations and Action Implemented</b> | Proposals will be evaluated based on the quality and extent to which applicants describe their plan to track, measure, and evaluate their progress in achieving project outcomes, outputs and project results, and report on the P2 recommendations provided from the technical assistance method used (studies, research, investigation, experimentation, education, training and/or demonstrations involving innovative practices) and later adopted by the technical assistance beneficiaries as described in <b>Section I.G.2 and VI.C.3.</b> (Refer to <b>Appendix C</b> ). Proposals will also be evaluated based on how they describe the anticipated approach for follow-up to determine what P2 recommendations were adopted by the technical assistance beneficiaries that were provided technical assistance (e.g., phone calls, letters, e-mails, on-site visits or other approaches ). | <b>15</b> |
| <b>3. Timeline</b>   | 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 must cover a grant funding period for up to two years to provide the technical assistance but may allow for an additional year if needed to determine and report on P2 actions adopted by the technical assistance beneficiaries they provided technical assistance, as described in <b>Section VI.C.3.</b> The timeline must 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.   | <b>7</b>  |
| <b>4. Budget</b>   | Proposals will be evaluated based on the quality and extent to which applicants describe a budget plan for each task describing the technical assistance provided for up to two-years to help businesses/facilities, municipal/local governments, and/or local communities adopt P2 approaches. Budgets may set aside funds from the two-year award for an optional third-year if needed, to obtain the required follow-up information  | <b>7</b>  |

|  |  |          |
|--|--|----------|
|  | to report on the adoption of P2 approaches that resulted from technical assistance provided under the grant, as described in <b>Section VI.C.3</b> . Each year should include: estimated costs for each project task and category (e.g., labor, fringe benefits, travel, equipment, supplies, contractors, and other direct costs or indirect costs) and use of the match requirement. Applicants should itemize the costs associated under each project task and should identify activities and corresponding estimated costs. Refer to <b>Appendix D</b> . |          |
| <b>5. Past Performance &amp; Programmatic Capability</b>   | Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account their:  |          |
|  | <b>a)</b> Past performance in successfully completing and managing the assistance agreements identified in response to <b>Section IV.D</b> of the announcement (see Note below).   | <b>3</b> |
|  | <b>b)</b> History of meeting the reporting requirements under the assistance agreements identified in response to <b>Section IV.D</b> 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 (see Note below).                  | <b>3</b> |
|  | <b>c)</b> Organizational experience and plan for timely and successfully achieving the objectives of the proposed project, including the procedures and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner.  | <b>8</b> |
|  | <b>d)</b> Staff expertise, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.  | <b>6</b> |
| <b>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 factors (a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.</b> |  |          |

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

- 1. Review:** Proposals meeting the Threshold Program Requirements (the threshold review is conducted in the regions) in **Section III.C** will be reviewed through a national EPA review process, which will include establishment of EPA regional review panels that will review the

proposals for projects in that region. Reviewers on each EPA regional review panel will include P2 program staff from the EPA regions and Headquarters, and may also include staff from other agency media program offices. Proposals will be evaluated and ranked based on the evaluation criteria and allocated point scale provided in **Section V.A.**

2. **Selection:** Each EPA regional review panel will recommend proposals for selection to the P2 Program Regional Division Director (RDD) in each region based on their evaluations and rankings. The RDD may also consider geographic diversity and programmatic priorities in making selection decisions. Regional selection(s) and funding decisions will be sent to the National P2 Program Director in EPA Headquarters for review and concurrence and to ensure that the project meets the objectives of the solicitation. Once final decisions have been made, funding recommendations will be forwarded to the appropriate EPA grant office in the region. Awards will be made and managed by the regional offices. EPA *anticipates* final funding decisions will be made by September 28, 2018.

**C. Additional Provisions for Applicants Incorporated into the Solicitation:** 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 under Section V on the [EPA Solicitation Clauses](#) page. 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 September 2018. 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 their 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 the appropriate grants office. 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:** If an applicant's proposal shows merit for federal funding, the applicant will be contacted by EPA 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 issued in FY 2018 and managed by the applicable EPA Regional P2 Program.
2. **Quality Assurance and Quality Control (QA/QC):** Certain quality assurance and/or quality control (QA/QC) and peer review requirements apply to the collection, monitoring and sampling of environmental data. Environmental data are measurements or information that describe environmental processes and 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/>.

If environmental data are to be collected and used only for calculating measures of the P2 grant activity, then P2 grant recipients will be required to submit a Quality Assurance Project Plan (QAPP) or equivalent to EPA at the time of award. The QAPP and grant workplan must be submitted to the EPA project officer for review and approval prior to the first required outcome(s) reported. For additional assistance on what is required, please refer to the Quality Assurance Guidance on Reporting Outcomes for P2 projects – **Appendix E**.

P2 grant activities that will involve monitoring and sampling of environmental data will require additional steps to satisfy 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, implementing, documenting, and assessing all activities conducted under the assistance agreement; and **3)** The final 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 EPA.

**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, sampled, or monitored, verification of an applicant's QA/QC's procedures will be required at the time of award. The terms and conditions of the official award document will include a deadline for submitting this information to EPA.**

3. **Reporting Requirements for SRA Grant Recipients:** Semi-annual progress reporting and a final technical report are required by this grant program. A schedule for submitting the semi-annual report will be established by the EPA region that will manage the grant once awarded.

Grant recipients will be expected to report on the outputs of the grant, such as those described in the Performance Measurement and Reporting Plan in **Section 1.G.2** of this RFP. In addition, grant recipients shall report the information described below and are encouraged to use a table and text (**refer to reporting examples offered in Appendix C**). EPA will use this information to determine if workplan requirements are being met and to build a repository of pollution prevention lessons learned that can be widely shared and replicated.

**Listed below are approaches for how SRA grant recipients will be expected to report to EPA based on the SRA grant project(s) being funded.**

- a. **If P2 Recommendations Were Provided to a Specific Technical Assistance Beneficiary** (e.g., the business, facility, state/municipal/local governments, and/or local communities that received the technical assistance), **report:**
- i. **Within the Grant Year the P2 Recommendations Were Provided:**
- Technical Assistance Beneficiary identifier information, including the name, the EPA ID number if one exists, technical assistance beneficiary contact name the city, state and region the technical assistance beneficiary is located, and the NAICS code for the technical assistance beneficiary if available. Please note, where there are confidentiality concerns by the technical assistance beneficiary or confidentiality constraints under state law, the technical assistance beneficiary name, EPA ID, contact, and the city may be redacted or masked.
  - The date the P2 recommendations were provided to the technical assistance beneficiary.
  - As permitted by the client, specific P2 innovations or best practices that have already been implemented prior to receiving direct technical assistance which may be useful to share so others could replicate those P2 approaches.
  - The specific P2 recommendations made to each technical assistance beneficiary (e.g., specific equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, etc.). For instance, if the P2 action involves chemical substitution, please describe the chemical that is recommended for substitution, the chemical substitute, and the purpose or process the chemical is used. Note: please do not report recommendations that are not considered P2 – refer to **Section I.C and I.D** for guidance on what is, and is not considered P2.
  - **As available:**
    - The specific P2 recommendations actually implemented by the technical assistance beneficiary:
    - The annualized outcomes achieved from implementation of each P2 action, expressed in pounds of reductions in hazardous material used and hazardous pollutants released, gallons of water conserved, metric tons of carbon

dioxide equivalent reduced [MTCO<sub>2e</sub>], and the dollar savings from the implemented P2 action.

ii. Within the One-Year that the Recommendations Were Provided, or by the End of the Grant, Based on Follow-Up with the technical assistance beneficiary:

- The specific P2 recommendations actually implemented by the technical assistance beneficiary.
- The gross cost of implementation for each P2 action, if this information can be obtained from the technical assistance beneficiary. Note: please do not indicate any savings at this stage.
- The annualized outcomes achieved from implementation of each P2 action, expressed in pounds of reductions in hazardous material used and hazardous pollutants released, gallons of water conserved, metric tons of carbon dioxide equivalent reduced [MTCO<sub>2e</sub>], and the dollar savings from the implemented P2 action.
- If a specific P2 recommendation is not implemented by the technical assistance beneficiary, identify the barrier to implementation or whether the technical assistance beneficiary intends to implement the recommended P2 action within the next 5 years.
- The date of the follow-up with the technical assistance beneficiary to determine the implementation status of the P2 recommendations provided.

b. **If P2 Technical Assistance is Broadly Provided (e.g., P2 training courses, outreach materials, tool development, roundtables, green certification or leadership programs), report:**

- A description of standard outputs (e.g., topic, how many businesses or other entities attended training or roundtables, products developed or distributed, etc.)
- Any information demonstrating increases of understanding/awareness of topics taught in workshops, webinars, training events. Information to measure increased awareness can be obtained by conducting polls, pre- and post-tests calls or evaluations.
- If a training event included demonstrations or hands-on computer-aided training e.g. using P2 calculation tools, environmental management systems, etc., identify types of skills and abilities achieved by participants.
- Specific P2 recommendations to a technical assistance beneficiary will not be required. However, EPA expects good faith efforts to follow-up with the technical assistance beneficiaries within one-year of when the technical assistance was provided, or by the

end of the grant period to report the following information (note: green certification and leadership programs are expected to report this information):

- Specific P2 actions implemented as a result of the technical assistance.
- The cost of implementation for each P2 action implemented, if this information can be obtained from the technical assistance beneficiary. Note: please do not indicate any savings at this stage.
- The annualized outcomes achieved from implementation of each P2 action, expressed in pounds of reductions in hazardous material used and hazardous pollutants released, gallons of water conserved, metric tons of carbon dioxide equivalent reduced [MTCO<sub>2e</sub>], and the dollar savings from the implemented P2 action.
- The date of the follow-up with the technical assistance beneficiary to determine the P2 actions implemented.

- b. At the Conclusion of the Grant:** Within 90 calendar days upon the completion of the assistance agreement, the final technical report for all projects is required to be submitted to the applicable EPA regional office. This report is a comprehensive report describing the grant project(s) and all related activity. The final technical report should include: a summary of the project task(s), milestones and results achieved from facility-or entity-level reporting (described above), the costs of the project(s); a description of successes, problems, and lessons learned from the project(s). Lessons learned should be drafted to provide guidance to help inform others on implementing similar project activities elsewhere. The final report should also describe the transferability of the project's tools and approaches after the grant period.
- 4. Disputes:** Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://www2.epa.gov/grants/dispute-resolution-procedures>. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement.
- 5. Additional Provisions for Applicants Incorporated into the Solicitation:** Additional provision 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 under Section VI on the [EPA Solicitation Clauses](#) page. These, and 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

|   |   |
|---|---|
| Primary EPA HQ<br>Contact                         | Michele Amhaz<br>U.S. EPA<br>1200 Pennsylvania Ave, NW<br>Mail code 7409M<br>Washington, DC 20460<br>202-564-8857<br>amhaz.michele@epa.gov                          |
| EPA Region 2<br>NJ, NY, PR, VI                    | Alex Peck<br>U.S. EPA Region 2<br>290 Broadway, 25th Floor (PSPMMB)<br>New York, NY 10007-1866<br>Phone: 212-637-3758<br>Email address: peck.alex@epa.gov           |
| EPA Region 4<br>AL, FL, GA, KY,<br>MS, NC, SC, TN | Daphne Wilson<br>U.S. EPA Region 4<br>61 Forsyth Street SW<br>Atlanta, GA 30303<br>Phone: 404-562-9098<br>Email: wilson.daphne@epa.gov                              |
| EPA Region 5<br>IL, IN, OH, MI,<br>MN, WI         | Christine Anderson<br>U.S. EPA Region 5<br>77 West Jackson Boulevard (LM-8J)<br>Chicago, IL 60604-3590<br>Phone: 312-886-9749<br>Email: anderson.christineA@epa.gov |
| EPA Region 6<br>AR, LA, NM, OK,<br>TX             | Annette Smith<br>U.S. EPA Region 6<br>1445 Ross Avenue, Suite 1200 (6EN-XP)<br>Dallas, TX 75202<br>Phone: 214-665-2127<br>Email: annette.smith@epa.gov              |
| EPA Region 7<br>IA, KS, MO, NE                    | Lisa Thresher<br>U.S. EPA Region 7<br>11201 Renner Blvd<br>Lenexa, KS 66219<br>Phone: 913- 551-7964<br>Email: thresher.lisa@epa.gov                                 |

EPA Region 8  
CO, MT, ND, SD,  
UT, WY

Melissa Payan  
U.S. EPA Region 8  
1595 Wynkoop Street Attn: 8P-P3T  
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Phone: 303-312-6511  
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EPA Region 9  
AZ, CA, HI, NV,  
AS, GU

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EPA Region 10  
AK, ID, OR, WA

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U.S EPA Region 10  
1200 Sixth Avenue, Suite 900 (AWT-128)  
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Email: [compton.kathleen@epa.gov](mailto:compton.kathleen@epa.gov)

## APPENDIX A

### NEA Project Examples

**Note: Proposals that include activities identical or similar to the examples provided below will not increase an applicant's chances of being considered for grant funding, The NEA project examples in Appendix A are provided for illustrative purposes only.**

1. **Business-Based Pollution Prevention Solutions Supporting Toxic Substances Control Act (TSCA) Priorities and Chemical Safety:** Carry out P2 projects using technical assistance methods of: a) studies, b) research, c) investigation, d) experimentation, e) education, f) training and/or g) demonstrations involving innovative practices that identify, test, implement and/or disseminate business-based P2 solutions for TSCA-regulated chemicals<sup>9</sup>, with particular emphasis on chemicals identified in the TSCA 2014 Workplan for Chemical Assessments.<sup>10</sup> Projects under this NEA can help facilitate, support and encourage businesses to identify and adopt chemical/chemistry and process alternatives, promote innovative efforts on market-driven research, product design, product substitution and product applications that target source reduction, i.e., reducing the use and release of hazardous substances, pollutants or contaminants. Examples of activities might include (but are not limited to):
  - Providing technical assistance support to businesses to identify and pilot economically advantageous options/alternatives for existing chemicals (governed by TSCA), including those that are TSCA priorities or for which unreasonable risks have been determined.
    - i. Focus on specific sectors (e.g., automotive, aerospace, electronics)
    - ii. Focus on chemical function (e.g., solvents).
  - Facilitate industry collaborations or projects to develop or test alternative chemicals and/or alternative chemical processes that can demonstrably reduce risks associated with TSCA priority chemicals.
  - Facilitate industry collaborations or projects to explore uses and applicability of new and/or innovative chemicals for which P2 claims are made in [EPA's New Chemicals Program](#).
  - Conduct outreach with large institutional procurement officials on procurement of environmentally preferable and Safer Choice products, including those purchased up their supply chains.<sup>11</sup>
  - Work with an industry significantly impacted by regulation changes restricting chemicals currently relying on use of TSCA priority chemicals to develop public-private

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9 TSCA Inventory – <https://www.epa.gov/tsca-inventory>.

10 TSCA 2014 Workplan – <https://www.epa.gov/assessing-and-managing-chemicals-under-tsca/tsca-work-plan-chemical-assessments-2014-update>.

11 See <https://www.epa.gov/saferchoice> and <https://www.epa.gov/greenerproducts/recommendations-specifications-standards-and-eolabels-federal-purchasing>

partnerships to reduce or eliminate use of those chemicals

**2. Food and Beverage Manufacturing and Processing:** Carry out P2 projects using technical assistance methods of: a) studies, b) research, c) investigation, d) experimentation, e) education, f) training and/or, g) demonstrations involving innovative practices to support more sustainable food and beverage manufacturing and processing entities in North American Industry Classification System (NAICS) codes 311 and 3121 resulting in reduced toxic air emissions or water discharges, water or energy usage, hazardous materials generation and use, and/or business costs.<sup>12</sup> Technical assistance projects or activities associated with entities that are not included under NAICS codes 311 or 3121, such as restaurants, grocery stores and other retail establishments do not qualify for this NEA, but may be considered under other NEAs if the scope of the project is consistent with those other NEAs. Examples of activities might include (but are not limited to):

- Water conservation techniques (e.g., use of high volume, low pressure washing systems that reuse water; implement 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.)
- Reduction of energy use and energy efficiency at a facility or in the supply/transportation chain to and from a facility.
- [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, processes (i.e., ozone cleaning) and materials used in equipment in contact with food, etc.)
- 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, 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 wastes at one facility or at multiple points in the supply chain, leading to transferable lessons that can be applied at other facilities.

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<sup>12</sup> North American Industry Classification System, or “NAICS” is the “standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy.” Refer to <https://www.census.gov/eos/www/naics/>.



- 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 air emissions and other discharges.

**3. Hazardous Materials Source Reduction Approaches in States or Communities:** Carry out P2 projects using technical assistance methods of: a) studies, b) research, c) investigation, d) experimentation, e) education, f) training and/or g) demonstrations involving innovative practices to support state or community-based approaches to hazardous materials source reduction to reduce the generation and use of hazardous materials from business or industry sectors.<sup>1</sup> This NEA is intended to leverage political/economic/infrastructure resources within a geographically contiguous area to address local (community) or broader (state) environmental and public health issues using P2 approaches. Applicants should also consider P2 technical assistance/training projects that address community-identified hazardous materials of concern or projects supporting community-identified environmental goals using P2 approaches as solutions. Note: For federally-recognized tribes, businesses may also include businesses operated by the tribe. Examples of activities might include (but are not limited to):

- Assisting businesses within a community to improve material practices that reduce the use and risk of release of hazardous chemicals during a storm, flooding or other natural disaster event. (i.e., reduce stockpiling and use of hazardous chemicals).
- Identifying and targeting businesses or sectors within environmental justice communities that use hazardous materials and providing P2 assessments focusing on hazardous materials and/or energy and water use reduction 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 other assistance methods to teach businesses to identify and reduce the use of hazardous chemicals, and/or water and energy 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 that would result in reduced generation and use of hazardous substances, pollutants, and/or contaminants and increase efficient use of resources including water and energy 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 in adopting P2 practices achieve or exceed their compliance with EPA or state environmental regulations – e.g., implementing 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; especially focusing on drycleaners co-located within residential buildings along with reducing contaminants released into water and air.
- [Green Chemistry](#) solutions (e.g., reduce quantity and toxicity of industrial cleaning/personal care products, deicers, etc.)

**APPENDIX B**

**Sample Cover Page**

*[Grant Program Title]* **FY 2018 and FY 2019 Source Reduction Assistance Grant Program**

*[Funding Opportunity Number]* **EPA-HQ-OPPT-2018-XXX**

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

*[National Emphasis Area(s) Addressed]* **NEA #1 - Business-Based Pollution Prevention Solutions Supporting Toxic Substances Control Act (TSCA) Priorities and Chemical Safety**

*[Short Project Description – fewer than 500 characters]*

Project activities will identify and pilot economically advantageous chemical alternatives to replace existing and highly toxic chemical solvents. The alternatives sought will focus on chemicals that are listed as TSCA priorities and for which unreasonable risks have been determined. Three case studies will be developed and distributed to targeted audiences.

*[Project funding]*

**Total Project Funding:** \$120,000  
**Requested Funding:** \$114,000

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

**Name:** Jane Doe  
**Address:** 1200 Pennsylvania Ave, N.W.  
Washington, D.C. 20460  
**Tel:** (222) 222-2222  
**Fax:** (222) 222-2222  
**Email:** doe.jane@aol.com

*[System for Award Management (SAM) Registration and Unique Entity Identifier (e.g., DUNS number)]*  
**System for Award Management (SAM) Registration Date:** 1/10/2017

## APPENDIX C

### Guidance for Addressing Environmental Results, Measurement and Reporting

This guidance is to help applicants respond to the evaluation criterion on Environmental Results and Measurement and Reporting for SRA Award Recipients.

#### A. Directions for Estimating Expected Outputs

1. **Estimation:** Estimate the number of your expected outputs over the timeframe of the grant. Outputs include: (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. **Explanation:** State assumptions and calculations, if any, such as the degree of participation or P2-practice-adoption rates for workshop participants.

#### B. Directions for Estimating Expected Outcomes

1. **Estimation for P2 outcome measures:** Make estimations for as many of EPA's four P2 outcome measures as you expect to get actual results for, that are due to implementing P2 activities.
  - Reductions in hazardous material inputs used and in hazardous pollutants released to air, water, and land (totaled and measured in pounds);
  - Reductions in water use (measured in gallons);
  - Reductions in metric tons of carbon dioxide equivalent [MTCO<sub>2e</sub>]; and,
  - Cost savings associated with reducing hazardous pounds, MTCO<sub>2e</sub> and water usage.
2. **Estimation Guidelines:**
  - Estimate the annual outcome results of anticipated implementation activities during the grant period.
  - EPA's P2 calculator tools can help you estimate.  
<http://www.epa.gov/p2/pollution-prevention-tools-and-calculators>
  - Omit SO<sub>x</sub> and NO<sub>x</sub> from air pollutants.
  - Multiply estimated wastewater gallons by 8.34 to get pounds and divide by 50,000 to factor out the water content.
  - Please use a table format. Here's a sample.

| (a) P2 Activity | (b) Hazardous material inputs & pollutants reduced (pounds) | (c) carbon dioxide equivalent emissions reduced (MTCO <sub>2e</sub> ) | (d) Water use reduced (gallons) | (e) Dollars saved from (b) – (d) |
|-----------------|---|---|---------------------------------|----------------------------------|
| 1.              |   |   |                                 |                                  |
| 2.              |   |   |                                 |                                  |
| 3.              |   |   |                                 |                                  |
| Total:          |   |   |                                 |                                  |

**3. Explanation:** State assumptions and calculations, if any:

- Affirmatively state whether you've converted expected *ancillary* nonhazardous pound reductions into expected carbon dioxide equivalent (MTCO<sub>2e</sub>) reductions and break out that portion of carbon dioxide equivalent (MTCO<sub>2e</sub>) estimates separately.
- Affirmatively state you are not estimating cost savings from any potential ancillary nonhazardous pound reductions.

**C. Directions for Performance Reporting**

The following matrices are provided as examples for how information described in **Section VI.C.3** may be reported for providing technical assistance to beneficiaries. Separate matrices should be used for each technical assistance beneficiary (e.g., state agencies, federally-recognized tribes, intertribal consortia, business/facility, municipal/local governments, local communities, etc), and rows for each table can be expanded or added as needed. For the convenience of the grantees, an Excel version of these examples is available from the EPA Regional P2 Program Offices and may be used for the required reporting. Information for the P2 Recommendations column is not required if the technical assistance did not provide specific P2 recommendations. Note: please do not report recommendations that are not considered P2 – refer to Section I.B. and I.C. for guidance on what is, and is not considered P2.

# SRA Award Reporting

## P2 Recommendations and Implementation for Technical Assistance Beneficiaries

### Example 1

#### Grant Information

|                      |  |                             |  |
|----------------------|--|-----------------------------|--|
| <b>Grant Number:</b> |  | <b>Grant Period (FY-FY)</b> |  |
|----------------------|--|-----------------------------|--|

#### Technical Assistance Beneficiary (TAB) Information

|  |  |  |  |
|--|--|--|--|
| <b>TAB Name (optional):</b>                              |  | <b>TAB Contact (optional):</b>   |  |
| <b>EPA Facility Identifier (optional):</b>               |  | <b>TAB City (optional):</b>  |  |
| <b>TAB NAICS Code (6 Digits):</b>                        |  | <b>TAB State:</b>  |  |
| <b>NEAs for the TAB addressed:</b>                       |  | <b>TAB Region:</b>   |  |
| <b>Date P2 recommendations were provided to the TAB:</b> |  | <b>Date(s) of follow-up to determine if P2 actions were implemented:</b> |  |

#### P2 Actions and Outcomes

| Recommended P2 Actions* | If Implemented:                   |                                    |                                |                       |                     |                       |                                      |                  | If Not Implemented:  |  |
|-------------------------|-----------------------------------|------------------------------------|--------------------------------|-----------------------|---------------------|-----------------------|--------------------------------------|------------------|----------------------|--|
|                         | \$                                |                                    | Annual Reductions              |                       |                     |                       |                                      |                  |                      |  |
|                         | One-time Cost** to Implement (\$) | Annual Savings from P2 Action (\$) | Hazardous Materials used (lbs) | Hazardous waste (lbs) | Air emissions (lbs) | Water pollution (lbs) | MTCO <sub>2</sub> e emissions (tons) | Water use (gal.) | Barrier to Implement | Plans to Implement within 5 years? (Y/N) |
|                         |                                   |                                    |                                |                       |                     |                       |                                      |                  |                      |  |
|                         |                                   |                                    |                                |                       |                     |                       |                                      |                  |                      |  |
|                         |                                   |                                    |                                |                       |                     |                       |                                      |                  |                      |  |
|                         |                                   |                                    |                                |                       |                     |                       |                                      |                  |                      |  |

\* Note: please do not report recommendations that are not considered P2 - refer to Section I.B. and I.C. for guidance on what is, and is not considered P2.

\*\* Please do not indicate savings here.

## SRA Award Reporting P2 Implementation for Technical Assistance Beneficiaries Example 2

### P2 Actions Implemented at a TAB Prior to Technical Assistance (Optional)

| P2 Actions Previously Implemented* | If Available:                     |                                    |                                |                       |                     |                       |                                      |                  |
|------------------------------------|-----------------------------------|------------------------------------|--------------------------------|-----------------------|---------------------|-----------------------|--------------------------------------|------------------|
|                                    | \$                                |                                    | Annual Reductions              |                       |                     |                       |                                      |                  |
|                                    | One-time Cost** to Implement (\$) | Annual Savings from P2 Action (\$) | Hazardous Materials used (lbs) | Hazardous waste (lbs) | Air emissions (lbs) | Water pollution (lbs) | MTCO <sub>2</sub> e emissions (tons) | Water use (gal.) |
|                                    |                                   |                                    |                                |                       |                     |                       |                                      |                  |
|                                    |                                   |                                    |                                |                       |                     |                       |                                      |                  |
|                                    |                                   |                                    |                                |                       |                     |                       |                                      |                  |
|                                    |                                   |                                    |                                |                       |                     |                       |                                      |                  |
|                                    |                                   |                                    |                                |                       |                     |                       |                                      |                  |
|                                    |                                   |                                    |                                |                       |                     |                       |                                      |                  |

\* Note: please do not report actions that are not considered P2 - refer to Section I.B. and I.C. for guidance on what is, and is not considered P2.

\*\* Please do not indicate savings here.

## SRA Award Reporting

**Where P2 Technical Assistance is Broadly Provided to Technical Assistance Beneficiaries**  
(e.g., P2 training courses, outreach materials, tool development, roundtables, green certification or leadership programs)

### Example 3

#### Grant Information

|                      |  |                             |  |
|----------------------|--|-----------------------------|--|
| <b>Grant Number:</b> |  | <b>Grant Period (FY-FY)</b> |  |
|----------------------|--|-----------------------------|--|

#### Technical Assistance Beneficiary (TAB) Information

|  |  |  |  |
|--|--|--|--|
| <b>TAB Name (optional):</b>                                      |  | <b>TAB Contact (optional):</b>   |  |
| <b>EPA TAB Identifier (optional):</b>                            |  | <b>TAB City (optional):</b>  |  |
| <b>Entity NAICS Code, if applicable (6 Digits):</b>              |  | <b>TAB State:</b>  |  |
| <b>NEAs for the Facility addressed:</b>                          |  | <b>TAB Region:</b>   |  |
| <b>Date P2 recommendations were provided to the beneficiary:</b> |  | <b>Date(s) of follow-up to determine if P2 actions were implemented:</b> |  |

#### P2 Actions and Outcomes

| P2 Actions Implemented* | If Implemented:                  |                                    |                                |                       |                     |                       |                                      |                  |
|-------------------------|----------------------------------|------------------------------------|--------------------------------|-----------------------|---------------------|-----------------------|--------------------------------------|------------------|
|                         | \$                               |                                    | Annual Reductions              |                       |                     |                       |                                      |                  |
|                         | One-time Cost* to Implement (\$) | Annual Savings from P2 Action (\$) | Hazardous Materials used (lbs) | Hazardous waste (lbs) | Air emissions (lbs) | Water pollution (lbs) | MTCO <sub>2</sub> e emissions (tons) | Water use (gal.) |
|                         |                                  |                                    |                                |                       |                     |                       |                                      |                  |
|                         |                                  |                                    |                                |                       |                     |                       |                                      |                  |
|                         |                                  |                                    |                                |                       |                     |                       |                                      |                  |
|                         |                                  |                                    |                                |                       |                     |                       |                                      |                  |

\*Specific P2 recommendations to an entity are not required where P2 technical assistance was broadly provided. However, EPA expects good faith efforts to follow-up with beneficiary receiving P2 technical assistance within one-year of when the technical assistance (i.e. research, investigation, experiments, education, training, studies and/or demonstration of innovative techniques) was provided, or by the end of the grant period to report information described above (**note: green certification and leadership programs are expected to report this information**). Note: please do not report actions that are not considered P2 - refer to Section I.B. and I.C. for guidance on what is, and is not considered P2.

\*\* Please do not indicate savings here.



## APPENDIX D

### Itemized Budget Detail Guidance and Template Example

Applicants must provide estimated budget amounts **to reflect timeframe of grant funding**. The budget detail allows the EPA 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 **to reflect timeframe of grant funding**. A description of object class categories and a sample budget is provided below.

#### Description of Object Class Categories

**2 CFR 200.430 Personnel:** Indicate costs for the salaries and job title of the recipient employees who will perform work directly on the project. **Personnel cost does not include** 1) costs for services contractors including consultants (Contractual), 2) employees of sub-recipients (Other), 3) personnel costs that are not directly in support of the proposed project which may be covered by the organization's indirect cost rate (Indirect), 4) participants supports costs such as costs for interns and fellows who are not employees of the recipient organization (Other).

**2 CFR 200.431 Fringe Benefits:** Indicate all mandated and voluntary benefits to be supplemented with the grant funds. Fringe Benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe Benefits may include 1) annual leave, 2) holiday pay, 3) health insurance, 4) retirement contributions, and 5) employer's portion of FICA Insurance.

**2 CFR 200.474 Travel:** Indicate the number of individuals traveling, destination of travel, number of trips, and reason for travel. Recipient's budget narrative should include the dollar amount of the expenses for transportation, lodging, subsistence, and related items. Travel for trainees and other program participants such as interns, fellows, and work group members who are not employees of the recipient are considered "participant support costs" and should be included in the "Other" budget category.

**2 CFR 200.33 Equipment:** Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. See also §§200.12 Capital assets, 200.20 Computing devices, 200.48 General purpose equipment, 200.58 Information technology systems, 200.89 Special purpose equipment, and 200.94 Supplies. It does not include rental or lease of equipment (this cost should be noted under the other category). Recipient's budget narrative should include 1) type of equipment, 2) cost of equipment; and 3) brief narrative on the intended use. Equipment includes accessories necessary to make equipment operational. Recipients should indicate in the budget narrative if their organization has established lower limits for equipment.

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 EPA Regional Pollution Prevention contact prior to submitting your proposal to ensure that the equipment purchases are allowable.

**2 CFR 200.94 Supplies:** Supplies are tangible personal property other than equipment. Recipients should indicate any items, other than equipment, that will be purchased to support the project. Supplies include such items such as: 1) office supplies, 2) computing devices (e.g. laptops and tablets), 3) monitoring supplies, 4) educational or field supplies, and 5) laboratory supplies.

**2 CFR 200.330 Contractual Costs:** Purchases of property or services that are necessary to the project or program and are carried out by an individual or firm. Contractual costs include 1) consultants, 2) speaker fees, 3) contracts for services such as audio visual, website development, and other services necessary for the project, 4) analytical services from laboratories. Recipients should indicate any proposed contractual items that are reasonable and necessary to carry out the project's objectives. State recipients must follow the procurement procedures found at 2 CFR 200.317.

**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.

**2 CFR 200.414 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. Examples of indirect cost includes 1) insurance, 2) publication costs, 3) occasional document reproduction at self service firms (staples), 4) communication costs, 5) rental/lease of equipment or supplies, 6) participant support costs such as stipends or travel assistance for trainees, interns or non-employee work group members, 7) subawards.

**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

**Budget Example – Data input should reflect timeframe of grant funding**

| Project Strategy/Task  | Hours/Unit<br>(Grant Request) | Hours/Unit<br>(Match/Cost Share) | Hours/Unit<br>Rate | Proposal Request | Proposal Match |
|--|-------------------------------|----------------------------------|--------------------|------------------|----------------|
| <b>Task 1 - Launch XYZ Programs</b>  |                               |                                  |                    |                  |                |
|  |                               |                                  |                    | \$               | \$             |
|  |                               |                                  |                    | \$               |                |
|  |                               |                                  |                    |                  |                |
| <b>Task 1 Subtotal</b>   |                               |                                  | \$                 | \$               |                |
| <b>Task 2 - NEA #1 and #2 Technical Assistance &amp; Training</b>            |                               |                                  |                    |                  |                |
|  |                               |                                  |                    | \$               | \$             |
|  |                               |                                  |                    |                  |                |
|  |                               |                                  |                    |                  |                |
| <b>Task 2 Subtotal</b>   |                               |                                  | \$                 | \$               |                |
| <b>Task 3 - Supplemental Research Work for Case Study Development</b>        |                               |                                  |                    |                  |                |
|  |                               |                                  |                    | \$               | \$             |
|  |                               |                                  |                    |                  |                |
|  |                               |                                  |                    |                  |                |
| <b>Task 3 Subtotal</b>   |                               |                                  | \$                 | \$               |                |
| <b>Task 4 - Business Outreach &amp; Monitoring – Recording/Tracking Data</b> |                               |                                  |                    |                  |                |
|  |                               |                                  |                    |                  |                |
|  |                               |                                  |                    |                  |                |
| <b>Task 4 Subtotal</b>   |                               |                                  | \$                 | \$               |                |
| <b>Grant Administration: Reporting, Measurement &amp; Invoicing/Travel</b>   |                               |                                  |                    |                  |                |
| Program Reporting  |                               |                                  |                    | \$               | \$             |
| Measurement Costs  |                               |                                  |                    | \$               | \$             |
| Program Administration and Invoicing   |                               |                                  |                    | \$               | \$             |
| Travel (mileage, airfare, lodging)   |                               |                                  |                    | \$               | \$             |
| <b>Program Administration</b>  |                               |                                  |                    |                  |                |
| Personnel*   |                               |                                  |                    | \$               | \$             |
| Program's Indirect Costs**   |                               |                                  |                    | \$               | \$             |
| Total Program Administration   |                               |                                  |                    | \$               | \$             |
| <b>Administration Subtotal</b>   |                               |                                  |                    | \$               | \$             |
| <b>Grand Total</b>   |                               |                                  |                    | \$               | \$             |

\*Personnel costs = salary and fringe benefits

\*\* Indirect cost rate = indirect cost rate x personnel costs and fringe benefits

## Appendix E

### Quality Assurance Guidance for Environmental Outcome Reporting for SRA Projects

*This guidance is intended solely for those SRA assistance agreement projects that calculate measures of their success as their only generation or use of environmental data. The document resulting from this guidance, in conjunction with the project workplan, may be considered equivalent to a Quality Assurance Project Plan (QAPP) for these types of projects. This document and the accompanying workplan must be submitted to the EPA Project Officer for review and approval prior to the first required outcome(s) reporting activity.*

#### **Part A: Basic Project Information and Approvals**

- Grant/Contract/IA Project Name & ID
- Organization Name
- Project Period
- QAPP Distribution List
- Name/Signature/Date of Individual Submitting Document
- Name/Signature/Date of EPA Project Officer

#### **Part B: Identification of Environmental Outcomes to Be Reported**

- Include a list and units of measure, (i.e., gallons of water saved, GHG reductions in Million Metric Tons Carbon Equivalent).
- Explain why calculation of these outcomes is appropriate for the project.

#### **Part C: Calculations Used to Estimate Outcomes**

- Fully describe the calculations you are using to estimate your project outcomes.
- Include references or descriptions for each factor used in the calculation. (Example: What does *average restaurant* mean?)
- Discuss the logic behind the selection of these factors.
- Discuss any assumptions associated with the use of the calculations and factors. (Example: We are using the statistics associated with average restaurants because we assume we will have a good mix of restaurant sizes participating in the project).

#### **Part D: Data Collection Description**

- Specify the data type, units and source(s) used in your calculations. (Example: Pounds of hazardous waste reduced per month as determined by facility self-reporting via project-specific survey.)
- Discuss any limitations of the data. (Example: Data is self-reported by participating facilities and has not been independently verified).
- Discuss why you intend to use the data despite the existing limitations. (Example: We will use the data because it is an informal industry standard and the only source available).

#### **Part E: Recordkeeping and Reporting Requirements**

- Discuss what records will be maintained for the project, by whom they will be maintained, where they will be maintained and for how long they will be maintained.
- Discuss project reporting procedures, schedules and content.