

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

FUNDING OPPORTUNITY TITLE: Fiscal Year 2015 Source Reduction Assistance Grant Program

STATUORY AUTHORITY: Clean Air Act, Section 103(b), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and Toxic Substances Control Act, Section 10, as amended.

ANNOUNCEMENT TYPE: Request for Proposals (RFP)

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 66.717

FUNDING OPPORTUNITY NUMBER: EPA-HQ-OPPT-2015-004

SUBMISSION DATE: Proposals are due **Thursday, May 28, 2015, 11:59 pm, (EDT)**. EPA will receive proposals electronically through Grants.gov. Proposals will be date and time stamped. Proposals must be submitted on time in order to be considered for funding.

SUMMARY OF ANNOUNCEMENT

Source Reduction Assistance (SRA) awards are issued annually, subject to Congressional appropriation and the quality of proposals received. This Request for Proposals announces that EPA's Regional Pollution Prevention (P2) Program Offices (herein referred to as the Regions) collectively anticipate having approximately \$1,200,000 in total grant funds in Fiscal Year 2015 to issue SRA grants.¹ SRA awards will be issued in the form of grants and/or cooperative agreements. Award selection, funding and grant oversight will be managed by the Regions.

Collectively, the Regions are interested in funding projects that support the P2 Program's National Emphasis Areas – 1) Climate Change Mitigation/Prevention of Greenhouse Gas Emissions, 2) Food Manufacturing and 3) State or Community Approaches to Hazardous Materials Source Reduction. Proposals will need to demonstrate P2/source reduction through surveys, studies, research, investigation, experimentation, education, training and/or innovative practices. Proposals that principally support recycling, clean-up, treatment, disposal and/or energy recovery efforts (e.g., incinerating solid waste to generate electricity) will not be considered for funding.

Eligible applicants include: the fifty states, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, non-profit organizations (other than institutions of higher education), private institutions of higher education, community-based grassroots organizations, and federally-recognized tribes and intertribal consortia. *Individuals, private business/entrepreneurs, and nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying*

¹ All estimates are subject to Congressional appropriation. FY 2015 represents the period from October 1, 2014 – September 30, 2015.

activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible for funding under this announcement.

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FULL TEXT OF ANNOUNCEMENT

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

I. Funding Opportunity Description: The Regions are announcing the availability of SRA grants and/or cooperative agreements to fund projects supporting pollution prevention/source reduction and resource conservation. It is anticipated that the Regions collectively will have approximately \$1,200,000 in total grant funds in Fiscal Year 2015 to issue SRA grants.²

A. National Emphasis Areas for FY 2015: EPA's national P2 Program is retooling the SRA grant program to address three topic areas suitable for leveraging and ready for amplification by eligible applicants. The three topic areas are referred to as the National Emphasis Areas. Under each topic area, examples are provided to explain the types of activities that may be considered. Applicants are to select one or more of the national emphasis areas as the focus of their SRA grant proposals.

1. Climate Change Mitigation/Prevention of Greenhouse Gas Emissions – Implement P2 projects that achieve significant and measureable reductions of greenhouse gas (GHG) emissions and/or energy efficiency through technical assistance to businesses.

² All estimates are subject to Congressional appropriation. FY 2015 represents the period from October 1, 2014 – September 30, 2015.

Examples of projects under this national emphasis area may include, but are not limited to:

- Implementing pollution prevention activities that could support energy efficiency measures for businesses that States are considering for their §111(d) plan.³
 - Implementing and measuring energy use/GHG reductions through combined heat and power projects for businesses, could involve a multi-sector approach.
 - Implementing and measuring energy use/GHG reductions through implementation of pump and generator efficiencies for businesses, could involve a multi-sector approach.
 - Involving college and university engineering departments to identify opportunities to reduce heat loss in targeted industries.
 - Focusing on [Economy, Energy and Environment \(E3\)](#) assessments concerning GHG reductions through process and materials substitution as well as chemical substitutions for hydrofluorocarbons and other highly potent GHGs.
 - Offering training and other assistance to businesses and technical assistance providers to help identify and implement substitutions for chemicals and substances with significant environmental impacts including highly potent GHG chemicals.
 - Offering technical assistance to businesses to reduce their energy consumption from industrial processes such as lighting, hot water use, compressed air, natural gas, etc.
- 2. Food Manufacturing** – Implement pollution prevention projects that support more sustainable food manufacturing resulting in reduced greenhouse gas emissions, water usage, hazardous materials generation and use, and/or business costs.

Examples of activities under this national emphasis area may include, but are not limited to:

- Implementing and measuring water conservation techniques (e.g., use of high volume, low pressure washing systems that reuse water; implement alternatives to wastewater conveyance by transferring solids and particulate matter using augers or conveyors or manually to minimize loadings to wastewater systems).
- Implementing and measuring reduction of energy use and energy efficiency.

³ Under §111 of the Clean Air Act (CAA) EPA has the broad authority to issue standards, regulations or guidelines that address greenhouse gas emissions released by new and existing electric utility power plants, including modifications to those plants. Under §111(d) of the CAA, EPA has the authority to establish air emission guidelines while the states have the authority to design and support environmental programs to carry out those guidelines in order to realize air emission reductions. SRA grants may be used to support measures to help carry out those guidelines.

- Implementing and measuring green chemistry solutions (e.g., reduce quantity and toxicity of cleaning products or food processing chemicals).
- Implementing and measuring reduced air emissions and water discharges (e.g., focus on Clean Air Act §112(r) requirements to prevent ammonia refrigeration leaks and other accidental releases – <http://www2.epa.gov/rmp>).
- Establishing food-manufacturing roundtables to exchange information, ideas, and technology information among food manufacturers.
- Focusing [Economy, Energy and Environment \(E3\)](#) assessments on source reduction of food waste at one facility or at multiple points in the supply chain through more efficient food processing and handling of products.

3. State or Community Approaches to Hazardous Materials Source Reduction – Implement state or community-based approaches to hazardous materials source reduction activities that result in reduced generation and use of hazardous materials.⁴

Examples of activities under this national emphasis area may include, but are not limited to:

- Assisting businesses to improve material practices that reduce the risk of release of hazardous chemicals during a storm or other event.
- Identifying and targeting businesses within environmental justice communities or communities at high risk of flooding or natural disasters that use hazardous materials and provide P2 assessment and training.
- Amplifying [Toxic Release Inventory \(TRI\) P2 reporting](#) and using TRI P2 data to target similar businesses or operations for similar P2 opportunities in hazardous materials source reduction.
- Creating community partnerships (between businesses and local municipalities, schools, etc.) to identify and reduce use of hazardous materials.
- Creating training and other assistance methods to teach businesses to identify and reduce the use of hazardous chemicals in their facilities through source reduction techniques and/or practices, e.g., participating in [EPA’s Safer Choice program](#), using Safer Choice-labeled products, or using [EPA’s Safer Chemical Ingredients List](#).
- Creating regional manufacturing roundtables.

⁴ The term community defined under this emphasis area draws from the Agency’s cross-agency strategy action plan on communities. For more information, click on: <http://www2.epa.gov/sites/production/files/2015-02/documents/communities-action-plan-fy15.pdf>.

- 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 efficiency by manufacturers.
- Promoting remanufacturing of certain higher-value used solvents into commercial-grade products to extend their useful life and reduce the manufacturing and use of virgin solvents, resulting in economic efficiencies, fewer hazardous releases, as well as increased energy conservation and reduced GHG emissions.

B. EPA Regional P2 Priorities: Each Region has developed a set of priorities that may expand upon the national emphasis areas noted above and/or may highlight specific environmental issues, projects, and/or programs of particular interest to the Region. Applicants are to select one or more of the Region’s priority areas as part of their proposals. Work proposed in multiple Regions will not be considered.⁵

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

Promote New England state P2 projects that assist businesses to [Lean and Green](#) their operations. Of particular interest are collaborative projects to implement [Economy, Energy and Environment](#) initiatives, with the goal of achieving measurable P2 results.

Note: Region 1 will have a maximum funding capacity of \$25,000 to issue SRA awards.

Region 2 (NJ, NY, PR, VI)

Promote projects that:

- Achieve quantifiable, measurable results in energy conservation, water conservation, reducing the generation and use of hazardous materials (e.g., toxics in products and processers), and saving money. Results need to be in one or more of the following metrics:
 - metric tons of carbon equivalents
 - gallons of water
 - pounds of hazardous materials
 - dollars
- Address the above criteria and focus on reducing hazardous materials through P2 practices (e.g., green chemistry and engineering, green procurement, etc.). The projects should focus on manufacturing and commercial operations that impact local communities, especially in communities that:
 - bear a disproportionate share of the negative environmental consequences resulting from industrial and commercial operations; and
 - are susceptible to flooding.

⁵ Applicants residing in one Region may propose work in a different Region. In this circumstance, proposals must be sent to the Region where the work will take place.

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

Promote projects that:

- Support [Economy, Energy and Environment](#) projects for any manufacturing sector to achieve measurable source reduction results.
- Support technical assistance to businesses in implementing the remanufacturing exclusion in the 2014 Definition of Solid Waste Rule to achieve measurable source reduction results.

Note: Region 3 will limit individual SRA awards to a maximum of \$75,000.

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

Promote projects that:

- Focus on implementing community-level hazardous materials source reduction activities that result in reduced generation and use of hazardous substances, pollutants, or contaminants. Priority will be granted to projects that create community, business and local government partnerships that would result in reduced generation and use of hazardous substances, pollutants, or contaminants and increased efficiency by manufacturers as well as new jobs for the community. Of particular interest are projects that identify and target businesses that use hazardous waste and are at high-risk for flooding or natural disasters to provide P2 assessments and training.
- Focus on the collegiate sports sector promoting sustainability within athletics and/or campus recreational programs/facilities that could lead to measureable cost savings, energy efficiency and reduction in hazardous waste and/or water consumption. Projects that will not be considered under this topic area include those that seek to use funds for equipment and supplies that will be used to retrofit buildings (e.g., changing out lighting, windows, etc.), building system upgrades or setting up recycling programs.
- Encourage industries, utilities, municipalities and other institutions to reduce pounds of pollution, conserve water and/or energy, reduce greenhouse gases, and save money through [Economy, Energy and Environment](#) by using [Lean and Green](#) initiatives. Of particular interest are proposals that provide P2 and Lean assessments that result in recommendations leading to measureable reductions in hazardous waste, greenhouse gas emissions, water use and energy consumption while saving money.

Note: Region 4 will limit individual SRA awards to a maximum of \$60,000.

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

Promote projects that support P2 technical assistance to businesses that achieve measureable results in reduction of hazardous substances, pollutants and contaminants; conservation of water and/or energy; reduction in greenhouse gases; and cost savings in one or more of the three P2 national emphasis areas as defined above. Applicants are strongly encouraged to submit proposals that demonstrate new,

innovative practices that promote measurable P2/source reduction efforts.

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

Promote projects that:

- Use P2/source reduction techniques and strategies for any business, as referenced in the Pollution Prevention Act (e.g., energy efficiency, [Lean and Green](#) techniques) and achieve measurable results by reducing pollution and hazardous waste, limiting water use, saving money, reducing greenhouse gases and/or conserving energy.
- Are in impacted vulnerable communities.
- Achieve P2 results in high impact sectors such as petrochemical industry, resource extraction, entertainment (sports, hospitality, parks) and agriculture.
- Integrate P2 into emerging environmental challenges (drought, weather variability, peak demand).
- Promote education and training that help states, tribes, local governments and businesses manage materials in a more sustainable way including an emphasis on measurable source reduction.

Region 7 (IA, KS, MO, NE)

Promote projects that:

- Attain powerful, demonstrable, achievable, viable P2 performance outcomes (greenhouse gases, water, toxics/pollutants, and savings).
- Support more sustainable water systems – water quality as it relates to discharges and water quantity as it relates to consumption.

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

Promote projects that:

- Provide pollution prevention technical assistance that addresses environmental priorities, reduces greenhouse gases and hazardous waste, increases energy and water efficiency, and saves money while leading to measurable environmental outcomes.
- Demonstrate new, innovative practices that promote measurable P2/source reduction efforts.
- Leverage P2 resources focused on coordinated community change (e.g., coordinating with businesses to support behavioral changes in a community).

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

Promote projects that:

- Assist state and local governments to implement climate reduction strategies through public procurement, leveraging the work of the [West Coast Climate and Materials Management Forum](#) or similar existing programs.
- Encourage multimedia pollution prevention and waste reduction in the food manufacturing and processing sector.
- Encourage the development and use of safer alternatives to hazardous chemicals, including those identified as priorities by U.S. EPA (EPA workplan chemicals), or the California Department of Toxic Substances Control Safer Consumer Products program (DTSC's Safer Consumer Products Candidate Chemical List), or other authoritative lists.

Region 10 (AK, ID, OR, WA)

Promote projects that:

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

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

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

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

Note: When the reuse and/or remanufacturing of material product is integral and necessary for the production of product, the reuse or remanufacturing of a material product before discard is considered source reduction, whether the reuse or remanufacturing occurs in the same facility or a different facility. However “out-of-process recycling” of materials that have been discarded (e.g., used water bottles) cannot be counted as P2, and will constitute traditional recycling for energy and resource conservation. Recycling of discarded material cannot serve as a basis for SRA funding. Rather this type of activity is best suited for funding through EPA’s Office of Resource Conservation and Recovery. For more on recycling, composting and related activities, please visit <http://www.epa.gov/epawaste/conserve/>.

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

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

- 4. Cost Sharing and Matching Requirements:** Applicants are required to provide a 5 percent match, as part of the total allowable project cost.⁶ Refer to **Section III.A.**
- 5. Funding Period:** Applicants may submit one or two-year proposals.
- 6. Programmatic and Agency Environmental Results Policy:**

⁶ The total allowable project costs refer to costs that are eligible, reasonable, necessary, and allocable to the project; permitted by the appropriate federal cost principles, and approved by EPA in the assistance agreement (refer to 2 CFR 200.83).

- a. To comply with programmatic requirements and the agency's Environmental Results Policy Order, 5700.7A1, applicants are required to provide qualitative and quantitative estimates of expected outcomes and outputs of SRA grant project activities, and develop a plan for tracking and measuring their progress towards achieving the expected outcomes and outputs. For specific guidance on what is required, please refer to **Appendix B**.
 - b. For expected outcomes specifically, applicants are required to provide a plan for itemizing any and all facility-level results with the corresponding facility implementation activities or state why this would be burdensome or present a confidentiality concern. Further explanatory guidance is provided in **Appendix B**.
- 7. Alignment with EPA's Strategic Plan:** Proposals are required to commit to working towards the five long-term P2 targets provided in the Agency's FY 2014-2018 Strategic Plan. The P2 Program's targets are located under Goal 4: Ensuring the Safety of Chemicals and Preventing Pollution, Objective 4.2: Promote Pollution Prevention.

Strategic measures:

- By 2018, reduce 600 million pounds of hazardous materials cumulatively through pollution prevention.
- By 2018, reduce 7 million metric tons of carbon dioxide equivalent (MMTCO₂Eq.) cumulatively through pollution prevention.
- By 2018, reduce 6.9 billion gallons of water use cumulatively through pollution prevention.
- By 2018, save \$1.3 billion in business, institutional, and government costs cumulatively through pollution prevention improvements.
- By 2018, increase the number of safer chemicals and safer chemical products cumulatively by 1,900 products as recognized by the [Design for the Environment program](#).⁷

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

- 8. Addressing Evaluation Criteria:** Eligible proposals will be evaluated on several criteria using a 100-point scale. Please refer to **Section V** for details.

II. Award Information: SRA awards are issued in the form of grants and/or cooperative agreements. If a cooperative agreement is awarded, the degree of involvement will be determined by the Region. The Regions collectively anticipate having approximately \$1,200,000 in total to issue SRA awards. It is anticipated that awards will be issued in the range of approximately \$10,000 –

⁷ In March 2015, EPA's Design for the Environment Program was renamed the [Safer Choice Program](#).

\$130,000.⁸ Award estimates are subject to Congressional appropriation and the quality of proposals received. It is anticipated that *collectively* the Regions will receive approximately 40 grant proposals and issue between 12 - 18 awards. The Regions anticipate final funding decisions will be made 180 days after the post date of this announcement.

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

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

Partial funding allows for flexibility in awarding SRA grant funds. In order to be considered for partial funding, applicants will draft budgets that have clearly delineated activities or phases with separate budget estimates for each activity/phase of a project. The proposals will include budgets that estimate costs for each category (e.g., labor, fringe benefits, travel, equipment, supplies, contractors, and other direct costs or indirect costs). The budgets will itemize these costs under each project and will identify activities (and corresponding estimated costs) covered by the 5 percent match. Refer to **Section III.A** for additional information on the match requirement.

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

C. Funding Restrictions: Award funds may not be used for matching funds for other federal assistance agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. Award funding needs to be consistent with at least one statutory authority (**Section I.C.3**) and may not be used to sue the federal government or any other government entity. All costs incurred under this program must be allowable under 2 CFR 200, Subpart E. In accordance with applicable law, regulation, and policy, any recipient of funding must agree to comply with restrictions on using assistance funds for unauthorized lobbying, fund-raising, or political activities (i.e., lobbying members of Congress or lobbying for other federal grants, cooperative agreements, or contracts). See e.g., 2

⁸ Region 1 will have a maximum funding capacity of \$25,000 to issue SRA awards. Region 3 will limit individual award amounts to a maximum of \$75,000. Region 4 will limit individual award amounts to a maximum of \$60,000.

CFR 200.450. Funds generally cannot be used to pay for travel by federal agency staff. Proposed project activities must also comply with all state and federal regulations applicable to the project area. The applicant must also review this announcement for any other programmatic funding restrictions applicable to this program. If awarded funding, the recipient must refer to the terms and conditions of its award for other funding restrictions applicable to its award. It is the responsibility of the recipient to ensure compliance with these requirements. In addition, please see 2 CFR §1500.8 for information on pre-award costs. If necessary, the Region will subtract the proposed ineligible costs from the final approved budget.

D. Type of Assistance Instrument: Awards will be issued in the form of grants and/or cooperative agreements. If a cooperative agreement is selected for funding, the Region will have substantial technical interaction with the recipient. For such projects the Region may: 1) review project phases in accordance with 2 CFR 200.317 and 2 CFR 200.318; 2) review proposed procurements; 3) collaborate with the recipient on the scope of work and mode of operation of the project; 4) closely monitor the recipient's performance; 5) approve any proposed changes to the proposal/application or budget; 6) review qualifications of key personnel; and 7) review and comment on reports prepared under the assistance agreement. The Region will not be substantially involved in the performance of grants.

III. Eligibility: Eligible applicants include the fifty states, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, non-profit organizations (other than institutions of higher education), private institutions of higher education, community-based grassroots organizations, and federally-recognized tribes and intertribal consortia.

A. Cost Sharing and Matching Requirements: SRA grant recipients, as required by the P2 Program, must provide at least a 5 percent match of the total allowable project cost. For example, the federal government will provide 95 percent of the total allowable project cost and the recipient will provide the remaining 5 percent. Cost sharing and matching contributions may include dollars, in-kind goods and services (such as volunteered time, photocopying and printing services, etc.) and/or third party contributions consistent with 2 CFR 200.306. In the budget, the use of the matching funds must be documented. *Note: The match requirement may be applied at the time of award or at specified intervals during the project period.* The grant applicant must document in the budget the type of match to be applied and how it will be used. The grant project officer in the Region will monitor the grant recipient's compliance. If the match requirement is not met or is not applied at specified intervals during the project period, federal funding will cease and the recipient may be subject to an enforcement action, whereby EPA may, for example, disallow costs.⁹

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 Northern Mariana Islands) are waived as a matter of law as authorized by the Omnibus Territories Act of 1977, as amended, 48 U.S.C. Section 1469a. Insular area applicants with proposals that require a cost share of \$200,000 or greater are advised to contact EPA to determine if cost share requirements will be waived in whole or in part. For more information, contact the applicable Region noted in **Section VIII**.

⁹ For additional information on cost share or matching requirements, refer to [2 CFR 200.306](#).

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

Proposals must include the following items in order to be eligible for review.

1. Proposals must address *one or more* of the national emphasis areas (**Section I.A**);
2. Proposals must address *one or more* of the Region's priority areas. (**Section I.B**);
3. Proposals must substantially comply with all SRA grant program requirements. These are numbered 1-8 (**Section I.C**);
4. If a proposal includes ineligible tasks or activities (i.e., those not considered to be P2/source reduction) that portion of the proposal will be ineligible for funding and may, depending on the extent to which it affects the proposal, render the entire proposal ineligible for funding.

C. Threshold Submission Requirements: This section addresses how applicants should prepare and submit proposal packages in order to be considered for funding.

1. 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.
2. 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.
3. 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.SystemforAwardManagement.gov) issues. An applicant's failure to submit their proposal through Grants.gov in a timely fashion because they did not 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 Region noted in **Section VII** as soon as possible after the submission deadline – failure to do so may result in proposals not being reviewed.
4. Applicants must adhere to the page limit requirement of **10 pages or fewer (Section IV.C.4)**.

IV. Proposal and Submission Information

A. **Submission Deadline:** Proposals are due **Thursday, May 28, 2015, 11:59 pm (EDT).**

B. Requirement to Submit Proposals through Grants.gov and Limited Exception

Procedures: Applicants, except as noted below, must apply electronically through Grants.gov under this 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 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 Barbara Perkins
USEPA Headquarters
William Jefferson Clinton Building
1200 Pennsylvania Ave., N.W.
Mail Code: 3903R
Washington, DC 20460

Courier Address:

OGD Waivers
c/o Barbara Perkins
Ronald Reagan Building
1300 Pennsylvania Ave., N.W.
Rm # 51267
Washington, DC 20004

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

- Funding Opportunity Number (FON)
- Organization Name and DUNS
- Organization's Contact Information (email address and phone number)
- Explanation of how they lack the technical capability to apply electronically through Grants.gov because of: 1) limited internet access or 2) no internet access, which prevents them from being able to upload the required application materials through Grants.gov.

EPA will only consider alternate submission exception requests based on the two reasons stated above and will respond quickly to these requests – 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 the 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 against any 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 March 1, 2015, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2015). 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, 2015 with a submission deadline of January 15, 2016, the applicant would need a new exception to submit through alternative methods beginning January 1, 2016.

Please note that the process described in this section is only for requesting alternate submission methods. All other inquiries about this announcement must be directed to the Agency Contact listed in Section VII of the announcement. Queries or requests submitted to the email address identified above for any reason other than to request an alternate submission method will not be acknowledged or answered.

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

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

You may also be able to access the proposal package for this announcement by searching for the opportunity on <http://www.grants.gov>. Go to <http://www.grants.gov> and then click on “Search

Grants” at the top of the page and enter the Funding Opportunity Number EPA-HQ-OPPT-2015-004, or the CFDA number that applies to the announcement (CFDA 66.717), in the appropriate field and click the Search button. Alternatively, you may be able to access the application package by clicking on the Application Package button at the top right of the synopsis page for the announcement on <http://www.grants.gov>. To find the synopsis page, go to <http://www.grants.gov> and click “Browse Agencies” in the middle of the page and then go to “Environmental Protection Agency” to find the EPA funding opportunities.

Please submit *all* proposal materials described below using the Grants.gov application package that you downloaded using the instructions above. For additional instructions on completing and submitting the electronic package, click on the “Show Instructions” tab. The materials numbered from 1 – 4 are **required** to be submitted with the proposal. **Please download and fill out the materials using the instructions provided on Grants.gov.**

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

Note: A sample Cover Page is provided in **Appendix A**.

2. **Application for Federal Assistance Form (SF-424):** When filling out the form applicants must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. Applicants can receive a DUNS number, at no cost, by calling the toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website: <http://fedgov.dnb.com/webform>.
3. **Key Contacts Form (5700-54):** Please identify key personnel who will file and manage the paperwork, fund activities and direct the proposal.
4. **Proposal Narrative:** The proposal narrative includes parts – *a* and *b* noted below which will be evaluated along with other evaluation criteria (**Section V.A**). The proposal narrative is subject to a 10-page limit.
 - a. **Narrative:** Applicants are asked to address their programmatic capability and past performance under previous grant agreements.
 - b. **Strategy:** The project strategy should lay out a realistic and thoughtful plan for implementing P2 technical assistance/training. The Region will evaluate the project’s strategy based upon the evaluation criteria in **Section V.A**.

5. **Letters of Support:** Including Letters of Support as part of the grant proposal is optional. The Regions will consider Letters of Support that describe the service the grant partner(s) will provide to help carry out the work.

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

D. Proposal Length and Format: Regions will review proposal narratives up to 10 single-spaced pages (i.e., a page equals one side). A page limit does apply, but only pertains to the proposal narrative. Proposals are to be submitted in Adobe PDF or MS Word.

E. Submission Requirements:

1. **Federal Requirements:** If an applicant's proposal shows merit for federal funding, the applicant will be contacted by the Region and instructed to submit required application forms. All application forms **must** be filled out in their entirety, prior to being considered for an award refer to 2 CFR Part 200, as applicable. Successful applicants will be required to certify that they have not been debarred or suspended from participation in federal assistance awards in accordance with 2 CFR Part 108.
2. **Intergovernmental Review:** The SRA grant program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs" and 40 CFR Part 29. Applicants selected for funding may be required to provide a copy of their application to their State Point of Contact (SPOC) for review, pursuant to Executive Order 12372, Intergovernmental Review of Federal Programs. This review is not required with the Initial Application and not all states require such a review. A listing of State Point of Contacts (SPOC) may be viewed at: http://www.whitehouse.gov/omb/grants_spoec. *Federally-recognized Tribal governments are not required to comply with this procedure.*

F. Additional Submission Provisions: The following list of provisions that apply to this solicitation and/or awards made under this solicitation, include but are not limited to: Confidential Business Information, Contracts and Subawards under Grants, Management Fees can be found at http://www.epa.gov/ogd/competition/solicitation_provisions.htm. Applicants are strongly encouraged to review these and other grant provisions when preparing proposals for this solicitation. If there is difficulty in accessing the provisions electronically at the website above, please communicate with the appropriate EPA contact listed in this solicitation to obtain the provisions.

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

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1),¹⁰ P2 program staff may not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to evaluation criteria.

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

However, consistent with the provisions in the announcement, P2 program staff can respond to questions from applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement. In addition, if necessary, EPA may clarify threshold eligibility issues with applicants prior to making a determination on eligibility.

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

I. Opportunity for Questions and Answers Regarding this Announcement: EPA's national P2 Program held an informational question and answer webinar on March 25, 2015 with potential applicants and interested stakeholders about the National Emphasis Areas featured in this announcement. Frequently Asked Questions and Answers from the webinar will be posted to [EPA's P2 Grant web site](#). For details about the types of questions, EPA can respond to, please refer to Section IV.E of this announcement.

V. Proposal Review Information: Only eligible entities whose proposals meet the threshold and submission criteria in **Section III** of this announcement will be reviewed according to the evaluation criteria set forth below. Applicants should explicitly address these criteria as part of their proposal package submittal. Each proposal will be rated under a points system, with a total of 100 points possible.

A. Evaluation Criteria:

1. Programmatic Capability & Past Performance [15 points]

a. Programmatic Capability

- (i) Applicants will describe their organizational experience, staff qualifications, and use of funding to demonstrate skill in successfully completing proposed proposal activities. **[3 points]**
- (ii) Applicants will describe their approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner. **[3 points]**

b. Past Performance

- (i) Applicants have demonstrated they have successfully performed and managed federally-funded assistance agreements (federal grants and cooperative agreements and not contracts) of similar size, scope and relevance to the proposed project within the last three years. **[3 points]**
- (ii) Applicants have complied with reporting requirements under prior federally-funded assistance agreements (including submission of final technical reports) that have been approved by an EPA grant project officer. **[3 points]**

- (iii) Applicants have adequately documented and reported how they have achieved expected environmental outcomes under prior federally-funded assistance agreements. **[3 points]**

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

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

2. Strategy [85 points broken out below]

a. Environmental and/or Human Health Concerns under National Emphasis Areas and Regional Priorities (Sections I.B and I.C)

- (i) Applicants will explain *why* their project's method of applying source reduction through technical assistance or training will help to reduce or eliminate environmental and/or human health concerns in the region, state, locality, or community by addressing *one or more* of the national emphasis areas. **[8 points]**
- (ii) Applicants will explain *how* their project will be implemented and *what environmental and/or human health* benefits are anticipated under one or more of the national emphasis areas. **[12 points]**

Note: When evaluating applicants under 2.b(i) and 2.b(ii), Regions will have discretion to make value judgments on whether applicants have the capacity and ability to produce environmentally noteworthy results and whether their proposals will implement environmental approaches or tools that demonstrate value-added P2 approaches (e.g., encouraging behavioral change) under one or more of the national emphasis areas. The Regions may also take into account applicants' prior technical assistance work or completed training that reinforces expertise in planning, carrying out proposed tasks and producing noteworthy environmental results.

- (iii) Applicants will address one or more of the regional priorities to explain *why* their project's source reduction techniques or training will help to address the Region's environmental and/or human health concerns. Applicants will also explain *how* their project will carry out the method and *what environmental and/or human health* benefits are anticipated. **[9 points]**

b. Environmental Results and Measurement (Appendix B)

- (i) Applicants will explain the *significance* of environmental results expected. Please explain how results will be achieved and what results are expected. Less focus should be placed on describing the problem at hand. Depending on the scope of proposals, significance could be: the volume or breadth of environmental outcomes anticipated during the grant period; the anticipation of continuing environmental outcomes beyond the grant period; research or training that is expected to produce environmental results of some volume or breadth after the grant period; or, the volume or breadth of outputs expected during the grant period. **[10 points]**
- (ii) Applicants will provide brief descriptions and estimated quantities of expected outcomes and outputs that support their narrative in (i) above. **[8 points]**
- (iii) Applicants will provide a plan for tracking and measuring progress towards expected results. For expected outcomes specifically, providing a plan for itemizing facility-level results with the corresponding facility implementation activities is requested or providing an explanation as to why this would be burdensome or present confidentiality concerns. **[8 points]**

c. Transferability

- (i) Applicants will explain how P2 tools or activities will be used by a business, facility, academic institution or community during and after the grant period. **[5 points]**
- (ii) Applicants will explain how lessons learned from the project will be utilized by workshop certifications, trainings, or in educational curriculum for the purpose of increasing awareness during and after the grant period. **[5 points]**

d. Partnerships

Applicants will describe how they will use a collaborative framework to make use of partnerships **(Section I.D.9)**. **[8 points]**

e. Timeline

Applicants will provide a project timeline. Projects cannot exceed 3 years. The timeline will demonstrate project tasks and deliverables as well as data collection activities **(Appendix C)**. **[6 points]**

f. Budget

Applicants will provide budget plans including estimated costs for each project task and category (e.g., labor, fringe benefits, travel, equipment, supplies, contractors, and other direct costs or indirect costs). Applicants should itemize these costs under each project

and should identify activities (and corresponding estimated costs) covered by the 5 percent match (**Appendix D**). [6 points]

B. Review and Selection Process:

- 1. Review Process:** Eligible proposals will be reviewed by the Region's review panel. The review panel will be composed of P2 program staff and may include staff from other agency media offices. Evaluations will be based on the evaluation criteria and point scoring described in **Section V.A**.
- 2. Selection Process:** Each Region will prepare a list of selected applications along with selection rationale documentation, which will be sent to their Regional Division Director (RDD) for review and approval.
- 3. Final Funding Decision:** The RDD will make final decisions based on evaluation rankings and preliminary recommendations of the review panel. In making final funding decisions, the RDD may also consider programmatic priorities and geographic diversity. Final concurrence of selected applications is required from the Chemistry, Economics and Sustainable Strategies Division Director or Deputy Director in EPA Headquarters. After final decisions have been made, funding recommendations will be forwarded to EPA's Award Official within the Office of Grants and Debarment. The Regions *anticipate* final funding decisions will be made by September 30, 2015.

VI. Award Administration Information:

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

B. Administrative Requirements:

- 1. Award Management:** Awards issued in FY 2015 will be managed by the appropriate Region.
- 2. Quality Assurance and Quality Control (QA/QC):** Certain quality assurance and/or quality control (QA/QC) and peer review requirements are applicable to the collection of environmental data. Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data also include information collected directly from measurements, produced from models, and obtained from other sources such as databases or published literature. Regulations pertaining to QA/QC requirements can be found in 2 CFR 1500.11. Additional guidance can be found at <http://www.epa.gov/quality/>

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

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

- 3. Reporting Requirements:** Progress reports and a detailed final technical report will be required. Progress reports summarizing technical progress, planned activities for the next quarter and a summary of expenditures are required. The final technical report shall be completed within 90 calendar days of the completion of the period of performance. The final technical report should include: summary of the project or activity, milestones and results achieved, and costs of the project or activity. In addition, the final technical report should discuss the problems, successes, and lessons learned from the project or activity that could help inform implementing similar project activities elsewhere. The schedule for submitting progress reports will be established by EPA, after award.
- 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://www.epa.gov/ogd/competition/resolution.htm>. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement.

C. Additional Administrative Provisions: The following list of provisions that apply to this solicitation and/or awards made under this solicitation, include but not limited to those related to: obtaining a required Data Universal Numbering Systems (DUNS) code, registering under the System for Award Management (SAM), adhering to nonprofit administrative capability (if applicable), copyrights, disputes, and administrative capability, can be found at http://www.epa.gov/ogd/competition/solicitation_provisions.htm. Applicants are strongly encouraged to review these and other grant provisions when preparing proposals for this solicitation. If there is difficulty in accessing the provisions electronically at the website above, please communicate with the

appropriate EPA contact listed in this solicitation to obtain the provisions.

VII. Agency Contacts: EPA Regional P2 Program Coordinators.

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

Lee Fiske
U.S. EPA Region 1
5 Post Office Square, Suite 100 (OES04-1)
Boston, MA 02109-3912
Phone: 617-918-1847
Email: fiske.lee@epa.gov

Region 2
NJ, NY, PR,
VI

Alex Peck
U.S. EPA Region 2
290 Broadway, 25th Floor (PSPMMB)
New York, NY 10007-1866
Phone: 212-637-3758
Email: peck.alex@epa.gov

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

Mindy Lemoine
U.S. EPA Region 3
1650 Arch Street (3LC40)
Philadelphia, PA 19103-2029
Phone: 215-814-2736
Email: lemoine.mindy@epa.gov

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

Pamela Swingle
U.S. EPA Region 4
61 Forsyth Street SW
Atlanta, GA 30303
Phone: 404-562-8482
Email: swingle.pamela@epa.gov

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

Christine Anderson
U.S. EPA Region 5
77 West Jackson Boulevard (LM-8J)
Chicago, IL 60604-3590
Phone: 312-886-9749
Email: anderson.christinea@epa.gov

Region 6
AR, LA, NM,
OK, TX

Annette Smith
U.S. EPA Region 6
1445 Ross Ave, Suite 1200
Dallas, TX 75202
Phone: 214-665-2127
Email: smith.annette@epa.gov

Region 7
IA, KS, MO,
NE

Jennifer Dawani
U.S. EPA Region 7
11201 Renner Blvd
Lenexa, KS 66219
Phone: 913- 551-7162
Email: dawani.jennifer@epa.gov

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

Kate Gregory
U.S. EPA Region 8
1595 Wynkoop Street (8P-P3T)
Denver, CO 80202
Phone: 303-312-6175
Email: greogory.kate@epa.gov

Region 9
AZ, CA, HI,
NV, AS, GU

Jessica Counts-Arnold
U.S. EPA Region 9
75 Hawthorne Street (WST-7)
San Francisco, CA 94105
Phone: 415-972-3288
Email: counts-arnold.jessica@epa.gov

Region 10
AK, ID, OR,
WA

Carolyn Gangmark
U.S. EPA Region 10
1200 Sixth Avenue, Suite 900 (AWT-128)
Seattle, WA 98101
Phone: 206-553-4072
Email: gangmark.carolyn@epa.gov

APPENDIX A

Sample Cover Page

[Grant Program Title] **FY 2015 Source Reduction Assistance Grant Program**
[Funding Opportunity Number] **EPA-HQ-OPPT-2015-004**

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

[Short Description - no more than 300 characters]

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

[Project funding]

Total Project Funding: \$46,804

Requested Funding: \$39,804

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

Name: Jane Doe

Address: 1200 Pennsylvania Ave, N.W.

Washington, D.C. 20460

Tel: (222) 222-2222

Fax: (222) 222-2222

Email: doe.jane@aol.com

[System for Award Management Registration]

System for Award Management Registration Date: 1/10/2015

Appendix B

Guidance for Addressing Environmental Results and Measurement

I. Introduction: This guidance tells applicants the steps to cover in their applications to comply with the Agency’s established means for measuring the effectiveness of grants made under the Pollution Prevention Act. This topic relates to how the Agency will evaluate eligible proposals on the criterion for Environmental Results and Measurement. EPA is emphasizing the plan for itemizing environmental outcomes. EPA has simplified requirements for estimating results in the application. The terms outcome and output are supplied for reference below.

A. Outcome: The Agency defines “outcome” as the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. For EPA’s P2 Program, outcomes must be quantified and higher-level outcomes are environmental or health-related in nature and lower-level outcomes are behavioral or economic in nature. The outcome measures of the P2 Grant Program are:

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

B. Outputs: The Agency defines “output” as an environmental activity or effort and associated work product related to an environmental goal or objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative and must be measurable during the assistance agreement funding period. Outputs include, but are not limited to:

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

II. Complying with the Agency’s Established Means for Measuring the Effectiveness of P2 Grants. Measuring the effectiveness of P2 grants begins with the applicant’s groundwork in the grant application process. The steps required of an applicant relate to the three sub-parts of Evaluation Criteria 2.c, “Environmental Results and Measurement.” This guidance addresses each sub-part in turn.

A. Significance of Results Expected: Use a brief narrative to describe the significance of the results you expect to achieve in your project. Focus on your role and your expected results. While it

is fine to mention the significance of an environmental problem your project addresses, the significance of the environmental problem is not the same as the significance of your expected results. For example, climate change is a significant environmental problem, but this does not mean that all projects seeking to reduce greenhouse gas emissions are equally significant in results.

It is desirable to relate the significance of your results to the grant context. You could do this, for example, by directing attention to the volume or breadth of environmental outcomes anticipated during the actual grant period; the expectation that environmental outcomes will continue after the grant period is over; the importance of this project to maintaining the presence of an ongoing P2 program within a State; or some special aspect of research or training that will yield significant environmental outcomes over time.

B. Descriptions and Estimated Quantities of Expected Results:

1. Quantify one year’s worth of expected environmental outcomes and outputs from the project. Use the annual outcome measures of the P2 Program (see I. A. above). A table format, such as provided below, is recommended.
 - Do not estimate nonhazardous inputs/waste reductions – they are not reportable by EPA’s P2 Program, and may not be a primary purpose of P2 grant activity.
 - You may use expected ancillary nonhazardous pound reductions when estimating GHG reductions. Use EPA’s Waste Reduction Model. <http://epa.gov/epawaste/consERVE/tools/warm/index.html>
 - Do not estimate the cost savings from anything associated with nonhazardous pounds, since this is not reportable by EPA’s P2 Program.

Table 1 – Estimated Annual Environmental Outcomes (see Section C below for definitions)

(a) P2 Activity	(b) Haz. Inputs Reduced	(c) Haz. Waste Reduced	(d) Air Poll. Reduced	(e) Water Effluent Reduced	(f) Total Haz. Lbs. Reduced	(g) MTCO2e Reduced	(h) Water Gallons Reduced	(i) Dollars saved from (a) – (h)
1.								
2.								
3.								
4.								
Total:								

Table 2 – Estimated Annual Outputs

P2 Activity	Outputs	Behavior Changes

C. Table 1 Definitions:

- P2 Activity [column a]: Activities expected to yield P2 outcome results.

- Pounds of Hazardous Inputs and Wastes Reduced [columns b-c]: Materials used as process inputs (such as chemical ingredients, paints, solvents and pesticides on land) and hazardous wastes. Do not count nonhazardous inputs/wastes (packaging, paper, glass, plastics, cans, steel, construction debris, etc.).
- Pounds of Air Pollutants [column d]: Pollutants listed in federal and state statutes. Count only boiler emissions of SO_x and NO_x; do not count NO_x or SO_x from utilities, due to cap and trade regulations. Do not include greenhouse gas reductions (GHG) here.
- Pounds of Water Effluent [column e]: This refers to biochemical oxygen demand (BOD), chemical oxygen demand (COD), toxics, nutrients, and total suspended solids (TSS) effluent discharges to water or reaching ground water. Estimate contaminants as 1/10,000 the weight of discharge water. Do not count water quantity here.
- Total Hazardous Pounds [column f]: Total of columns b through e (subcomponents from hazardous inputs and wastes, air releases, and water pollutants).
- MTCO_{2e} [column g]: Metric Tons of Carbon Dioxide Equivalent reduced. Count GHG emission reductions here.
- Gallons of Water Reduced [column h]: This refers to reduced water usage.

D. Estimating Expected Results: Briefly explain how you estimated expected results. For outcomes, it is equally adequate to make estimates based on an educated guess or on calculation assumptions. For outputs, explain the assumptions and calculations used, such as degree of participation and P2-practice-adoption rate of workshop participants.

E. Actual Results Collected: Briefly explain how actual results will be collected. For outcomes, a sentence or two is adequate and should list the method(s) used – onsite revisit, self-reported data, etc. For outputs, data collection approaches include voluntary surveys (by phone, mail, email or online) and testing participants voluntarily before and after for knowledge/behavior changes. Voluntary tests and surveys are exempt from the Paperwork Reduction Act if administered under a grant agreement.

F. Actual Outcomes Measured: Briefly explain how actual outcomes will be measured (metered data, managerial estimates, product performance data, EPA P2 Program measurement tools on website, other measurement tools, etc.). A sentence or two per project is adequate.

III. Plan for Tracking and Measuring Progress towards Expected Results: For projects with expected outcomes, applicants must provide a plan for itemizing facility-level results with the corresponding facility implementation activities (or clearly explain why this would be burdensome

or present confidentiality concerns). A paragraph per project area is fine. Past reporting on outputs has been adequate and EPA is not placing increased importance on output reporting.

A. Explanations of Confidentiality Concerns and Undue Burden:

- 1. Confidentiality.** EPA’s P2 Program will protect the identity of any named entity and will not identify entity to any other EPA office or any other party unless it receives permission from the grantee to request the direct permission of the entity. If an applicant has a remaining concern, please state the concern and explain it clearly.
- 2. Undue Burden.** If applicants face a particular burden in addressing this requirement, they should state that burden. It is adequate to address this in a manner that does not impose an undue burden. Example: A proposed project involves a state leadership program where recurring (multiple years’) results are embedded in participant self-reporting and it would be burdensome to isolate annual results from implementation activities in current reporting year. The applicant makes EPA aware of this situation. This is exactly what EPA needs to know to later make an appropriate adjustment in its own reporting of grant outcome results reported.

B. Examples of a Plan (format) for itemizing facility-level results and implementation Activities:

- 1. Technical Assistance or Assessment.** In Table 3 below, each entity is listed, with a brief description of the implementation activities and the outcomes achieved. Applicants could briefly describe a similar format in narrative, submit an illustrative row or two, or give a link to prior similar reporting to illustrate their intent. Indicate whether they will be identifying entities by company name, by sector (e.g., company, farm, manufacturer, etc.) or more generically (e.g., mid-sized manufacturer, large company, municipality, facility A, facility B, etc.).

Table 3: Sample format for itemized facility-level results with implementation activities correlated.

(a) Example SOURCE	(b) Example P2 ACTIVITY	(c) Example HAZ LBS REDUCED	(d) Example GALLONS WATER SAVED	(e) Example MTCO _{2e} REDUCED	(f) Example \$ SAVED from (c) – (e)
Company X	Training/technical assistance on resource conservation concepts (energy efficiency or water usage); \$\$ savings from (c) – (e).	100,000 lb.	0	19,000	\$40,000

Farm	Applying an innovative technique to encourage irrigation or electrical efficiency.		100 M gallons	15,000	\$28,000
Adhesive manufacturer	Applying training/technical assistance on once-used solvent sold to vendor to be remanufactured.	110,000 lbs			\$45,000
Medium-size manufacturer	Applying training /technical assistance on product reformulation/redesign (green chemistry/green engineering)	80,000 lbs.			

- 2. State Environmental Leadership or Similar Voluntary Stewardship Programs with Self-Reporting Members or State Planning Law Programs.** Refer to Table 4 below for an example. Applicants could briefly describe a similar format in narrative, submit an illustrative row or two, or give a link to prior similar reporting to illustrate their intent. It is desirable to state whether the plan is to identify entities by company name, by sector or generically (e.g., mid-sized manufacturer, large company, municipality, facility A, facility B, etc.). It is further desirable to indicate whether the plan is to include the conversion of any ancillary nonhazardous waste reductions into greenhouse gas reductions (MTCO_{2e}).

Table 4. Sample State Environmental Leadership Program itemized facility-level results.

Facility Name	Indicator	Specific Indicator	Baseline (add extra column if normalizing)	Quantity (to normalize, add column)	Cost savings	Cost savings explanation
Company X	Haz air emissions	Training/technical assistance on reducing VOCs	100 tons	Now 64 tons; 36 ton reduction	\$50,000	Reduced material purchasing costs by completing XYZ.
Company Y	Grid electricity	Training on setting up a timed break; shuts off process system during break.	6500 kWh	5900 kWh; 1000 kWh reduction	\$500	Conserved energy by performing XYZ.
Company Z	Non-haz waste *	Scrap metal in-process recycling			\$5,000	*Dealer buys scrap metal.

**Note: Applicants who count these results, EPA needs to see nonhazardous pound reductions and associated cost savings itemized separately, so EPA's P2 Program can subtract them in its own reporting.*

3. **P2 Intern Programs.** Many P2 intern programs already have reports that itemize facility-level results with associated implementation activities. In this case, it would be fine to just state this and provide a link to a prior report. Otherwise, follow the example noted for technical assistance provided under item 1 above. Examples of itemized P2 intern reporting can be found at: www.iowap2interns.com/ and <http://www.iowadnr.gov/Environment/LandStewardship/WasteManagement/PollutionPreventionP2/P2InternProgram.aspx#dltop>.
4. **Sector Initiatives.** If you have a project that covers a hospitality certification program or similar program with standard elements that participating entities adopt and apply, it will be sufficient to state that the plan is to use the number of facilities engaged in implementation and a formula for calculating average sector-facility performance.
5. **Pilots in Chemical Product Formulation/Best Practices Formulation:** Here are examples for handling pilot projects:
 - a. Pilot-scale formulation. An applicant with this type of project can simply indicate that it will report only pilot-test scale results.
 - b. Implementation of piloted approach at sector level. For an applicant with this type of project, the approach outlined for sector initiatives above is applicable.
 - c. Company-specific application. For an applicant with this type of project, the approach outlined for technical assistance above is applicable.
6. **Environmental Management Systems Training and Other Training Workshops/Roundtables:** For these types of projects, please state whether you plan to conduct surveys or other follow-up to assess actual implementation and outcomes, and then complete the general planning approach provided for technical assistance, as above. If there will be no surveys or other follow-up to determine actual implementation and outcomes, then treat training or workshop results as outputs, not outcomes.

APPENDIX C

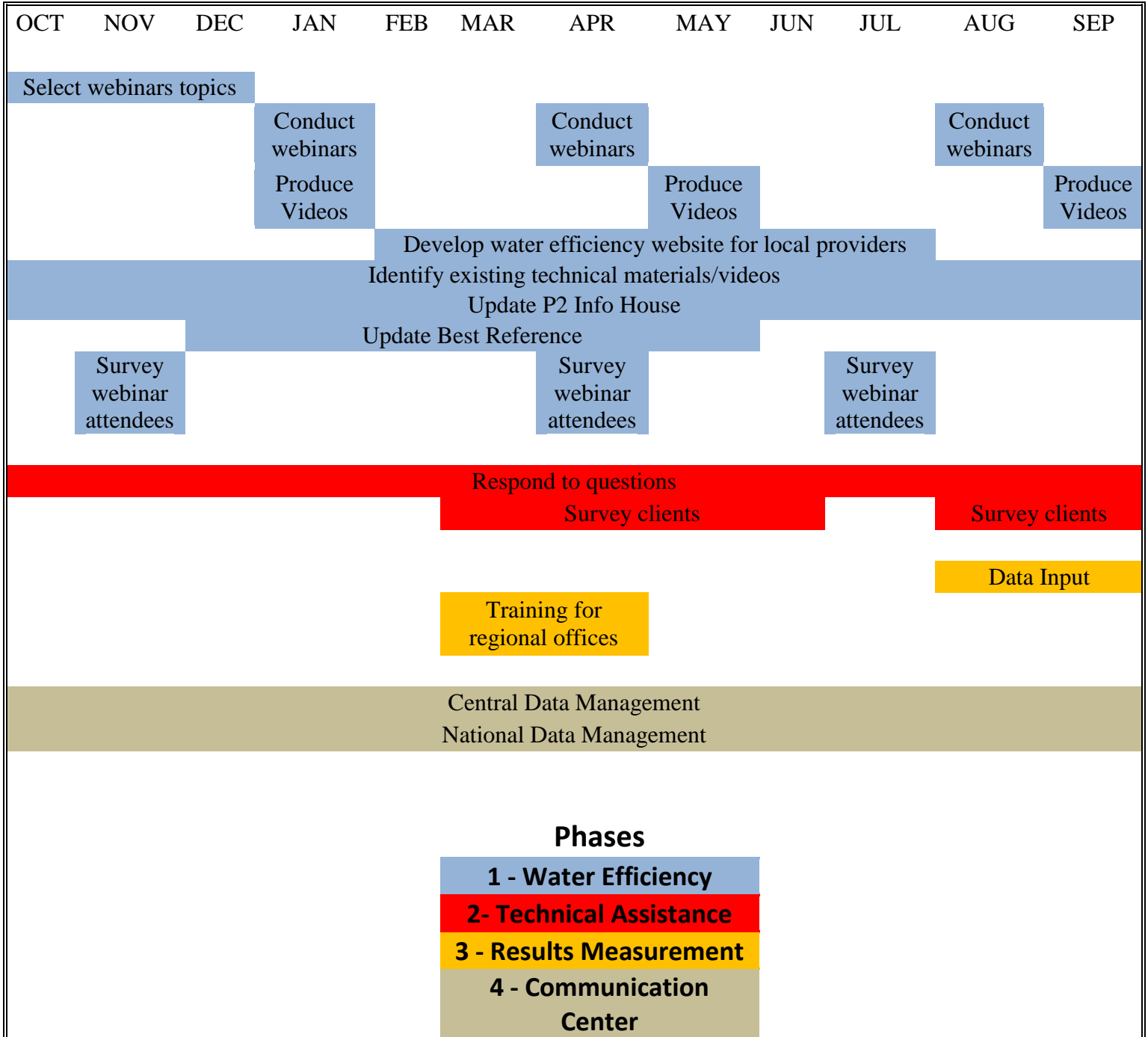
Project Timeline Samples

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

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

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

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



APPENDIX D

Itemized Budget Detail Guidance and Sample

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

Description of Object Class Categories

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

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

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

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

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

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

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

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

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

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

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

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

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

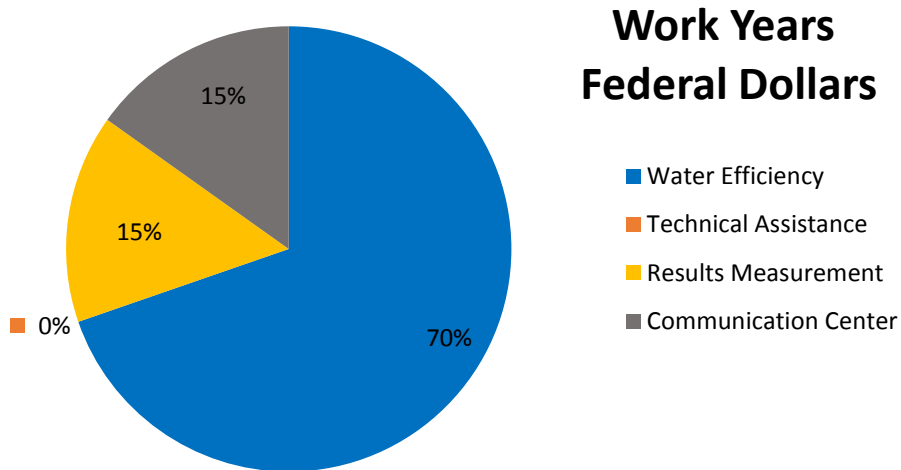
PERSONNEL								TOTAL	
	Annual Salary	FTE	Wages		Annual Salary	FTE	Wages		
Info & Cmx Specialist	\$42,632	0.50	\$21,316	Info & Cmx Specialist	\$42,632	0.15	\$6,395	\$151,674	
Env. Sr. Specialist	\$44,362	0.67	\$29,723	Env. Sr. Specialist	\$44,362	0.15	\$6,654		
1 Computer Consultant III	\$50,378	0.10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

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

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

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

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



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

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

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

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

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