

**AGENCY:** Environmental Protection Agency (EPA)

**TITLE:** FY 2020 and FY 2021 Source Reduction Assistance Grant Program

**ACTION:** Request for Applications (RFA) Amendment No. 2

**RFP NO:** EPA-HQ-OPPT-2020-002

**CFDA:** 66.717

**DATE:** May 15, 2020

**SUMMARY:** This Notice revises the grant application submission deadline and revises the anticipated funding notification date.

Accordingly,

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Important Dates section now notes:  
Applications are due May 20.  
Anticipated Funding Notification July 24.

First paragraph now notes: Applications are due by Wednesday, May 20, 2020, 11:59 pm (EDT).

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**Section IV.A – Application and Submission Instructions**

Application Submission Deadline now notes: The deadline to submit an application is Wednesday, May 20, 2020, 11:59 pm, (EDT).

**Page C-3 of Appendix C**

**Grants.Gov Instructions** paragraph now notes: Applications are due Wednesday, May 20, 2020, 11:59 pm, (EDT).

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

**FUNDING OPPORTUNITY TITLE:** FY 2020 and FY 2021 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 Applications (RFA)

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

**FUNDING OPPORTUNITY NUMBER:** EPA-HQ-OPPT-2020-002

### **IMPORTANT DATES**

March 4, 2020	RFA OPENS
May 20, 2020	RFA CLOSSES – APPLICATIONS DUE
July 24, 2020	ANTICIPATED NOTIFICATION OF FUNDING SELECTION
September 30, 2020	ANTICIPATED AWARD

Applications are due **Wednesday, May 20, 11:59 pm, (EDT)**. EPA will receive applications electronically through [Grants.gov](https://www.grants.gov). Applications will be electronically date and time stamped. Please refer to **Section IV.A.** of this announcement for full information on the submission process. Applications 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 research, investigation, study, demonstration, education and training using 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 particularly interested in receiving applications that offer hands on practical P2 tools, information and/or innovative P2 approaches to measurably improve the public health and the surrounding environment, by reducing the use of hazardous substances, reducing toxic pollutants, supporting efficiencies in reducing resource use (e.g., water and energy), and reducing business expenditures and liability costs.

Applicants must focus on at least one National Emphasis Area as noted in **Section I.F.** and must select at least one of the following technical assistance methods to address P2 activity: a) research, b) investigation, c) experiments, d) education, e) training, f) studies and/or g) demonstration of innovative techniques.

Under this competition, EPA is emphasizing the importance of grantees documenting and sharing P2 best practices identified and developed through these grants so that others can replicate these practices and outcomes. To achieve this, EPA will require grant recipients to document and report on P2 recommendations that they provide to a technical assistance beneficiary (e.g., state agencies, federally-recognized tribes, intertribal consortia, business, facility, trade association, municipal/local governments, and/or local communities that received the technical assistance) and, at a later date, report on the adopted P2 actions. Alternative reporting provisions are available if technical assistance is broadly provided to multiple technical assistance beneficiaries – see [Section VI.C.3.c](#). We are also requiring grantees to develop P2 case studies on P2 practices that are new, not widely known or adopted, or where detailed information on the P2 practices could benefit other businesses, P2 professionals (technical assistance providers), or other entities (see [Appendix F, “Guidance for Developing P2 Case Studies”](#)). Each grantee will be expected to develop at least one case study during the grant period. In addition to case studies, we are also encouraging other means to document and widely share P2 best practices and lessons learned through the technical assistance (e.g., training, tools, videos). Awardee budgets and workplans may set aside funds from the potential two years of federal funding for an optional third year to collect and report on the P2 practices adopted and to complete P2 case studies.

Eligible applicants include: Any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any agency or instrumentality thereof exclusive to local governments (includes public institutions of higher education and hospitals, city or townships 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 grass roots 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.*

EPA’s national P2 Program will host an information webinar for potential applicants and interested stakeholders on Wednesday, March 25, 2020 from 2:00 – 3:30 pm (EDT). More information on the webinar is provided in [Section IV.D](#).

**Applicants are strongly encouraged to read this announcement in its entirety because it provides important information on the goals and priorities of the program, explains statutory program requirements and offers agency grant policies and procedures.**

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## FULL TEXT OF ANNOUNCEMENT

### Section I. FUNDING OPPORTUNITY DESCRIPTION

**A. Programmatic Description:** SRA grant funding is available to any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any agency or instrumentality thereof exclusive to local governments (includes public institutions of higher education and hospitals, city or townships 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 grass roots organizations, and federally-recognized tribes and intertribal consortia. Under this solicitation, EPA is announcing a grant competition to support two-year SRA assistance agreements.<sup>1</sup> EPA is seeking grant projects that will reduce or eliminate pollutants from entering any waste stream or otherwise could be released into the environment *prior to recycling, treatment, or disposal* – which is how EPA defines pollution prevention. For this grant competition cycle, EPA looks forward to funding SRA projects that offer practical and innovative P2 tools, information or approaches to help reduce or eliminate the use of hazardous materials, reduce the use of water or energy consumption or reduce harmful air emissions. In order for prospective applicants to demonstrate that their application merits funding consideration, applicants will need to propose project activities that deliver new P2 tools, information or approaches that can measurably improve the public’s health and surrounding environment and can be shared with others. To do this: 1) applicants will need to select an industry sector area of focus by addressing at least one of the SRA grant program’s National Emphasis Areas – as described in [Section I.F.](#) and, 2) applicants must select at least one of the following technical assistance methods as the primary approach for performing the grant activity: a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques.

Additionally, under this round of grants, EPA is placing 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 provided to a technical assistance beneficiary (e.g., state agencies, federally-recognized tribes, intertribal consortia, business, facility, trade association, 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 others– see [Section VI.C.3.c](#)). 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 applications received.

EPA is requiring grantees to develop P2 case studies on P2 practices that are new or not widely known or adopted, or where the grantee believes detailed information on the P2 practices could others

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<sup>1</sup> EPA Regions 1 and 4 are not participating in this announcement. Region 1 encompasses the states of: CT, NH, MA, ME, and VT. Region 4 encompasses the states of AL, FL, GA, KY, MS, NC, SC, and TN. Applicants in those states may propose work in one of the eight participating Regions.

(see [Appendix F, “Guidance for Developing P2 Case Studies”](#)). EPA expects that each grantee will develop at least one of these case studies during the grant period. In addition, to case studies, EPA is also encouraging other means to document and widely share P2 best practices and lessons learned through the use of training, tools, or videos. SRA awardee workplans may set aside funds from the potential two years of federal funding for an optional third year to collect and report on the P2 practices adopted and to complete P2 case studies.

- B. EPA Statutory Authorities for SRA Awards:** SRA assistance 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 application activities must apply at least one of the statutory authorities listed above.

The grant authorities within each statute authorize the agency to award assistance agreements for research, investigations, experiments, education, training, surveys, studies and/or demonstration of innovative techniques. In this regard, SRA assistance agreements must relate to gathering or transferring new information or advancing awareness onto others. Applications must emphasize this “learning” concept, as opposed to “fixing” an environmental problem using a well-established method. Examples of well-established methods would involve: proposing established P2 activities that have been previously applied and used by others, recycling initiatives, treatment of contaminants, pollution control initiatives, clean-up, disposal of waste, and 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 application 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 RFA. If your project uses technologies, methods or approaches that have been used previously in other geographic areas and/or business sectors, then your application 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 that may protect natural resources through conservation methods, or in-process recycling (i.e., process improvements to reuse materials within the same business/facility in the production process). 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 to produce a product or in providing a service. See Pollution Prevention Act Section 6603 and 40 CFR 35.343 and 35.662. The following are not P2 activities and cannot serve as the basis for P2 grant funding: recycling of discarded materials, waste clean-up, disposal activities, managing or processing of non-hazardous solid waste (e.g., paper, cardboard, glass, plastics), and the implementation of Lean manufacturing activities that do not involve reductions in the use/release of hazardous substances, pollutants, contaminants, greenhouse gas releases or water use. If any of these activities represents more than a small and ancillary part of the proposed work, EPA will not consider the application 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 refer to [EPA's Reduce, Reuse, Recycle website](#).

**E. Engaging Partners in SRA Activities:** Applicants are strongly encouraged to develop partnerships with other technical assistance providers, P2 experts, trade associations or environmental programs (at the federal, state or local-level) to strengthen their ability to provide technical assistance to businesses and facilitate the development, adoption and dissemination of P2 solutions. Partnerships may include university-based technical assistance and cooperative extension programs, and other environmental assistance programs offered within a State or Tribe. Partnerships are also encouraged among trade organizations, federal programs, 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>2</sup>

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<sup>2</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 SRA assistance agreement. For more information on Cost Sharing and Matching Requirements, refer to [Section III.B](#). In addition, if partnerships will involve contracts and/or subawards, applicants are strongly advised to consult the applicable rules for using contracts and subawards in federal assistance agreements. Applicants will find a discussion of the applicable rules in *Section IV of the EPA Solicitation Clauses* website at – <https://www.epa.gov/grants/epa-solicitation-clauses>.

**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 has adopted program priorities referred to as P2 National Emphasis Areas (NEAs), which are described below. Focusing SRA grant activities (i.e., research, investigation, experiments, education, training, studies, and/or demonstration of innovative techniques) on the NEAs should also provide opportunities for synergy among SRA grantees, businesses and/or other entities within similar sectors where they collectively may be able to share information, expertise, lessons learned, training, and tools. Many of the NEAs align with the Agency’s smart sector initiative to help develop sensible approaches that better protect the environment and public health.

All applications will be evaluated on:

- Whether the project narrative identifies and supports at least one of the NEAs as the focus of their SRA grant work;
- How well the project narrative describes the grant work planned and how that work will support the NEA(s).

**Note:** Applicants may refer to [Appendix A](#) for NAICS codes covered by the NEAs, and to [Appendix B](#) for examples of possible SRA grant projects that can support an NEA. The NEA project examples in [Appendix B](#) are provided for illustrative purposes only.

**NEA #1: Food and Beverage Manufacturing and Processing:** Carry out P2 technical assistance and projects with food and beverage manufacturing and processing businesses normally associated with NAICS codes [311](#) and [3121](#) for the purpose of reducing toxic air emissions or water discharges, water or energy usage, hazardous materials generation and use. 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.

**NEA #2: Chemical Manufacturing, Processing and Formulation:** Carry out P2 technical assistance and projects with businesses normally associated with [NAICS code 325](#) and associated subsectors (4-6 digit NAICS codes under 325). Projects under this NEA should facilitate and encourage businesses within this NAICS code to identify, develop, and adopt P2 practices in the production of chemical products and formulations. Projects can also include working with businesses within this NAICS code to promote research, development, and marketing of green chemistry products and processes that reduce or eliminate the generation of hazardous substances.

**NEA #3: Automotive Manufacturing and Maintenance:** Carry out P2 technical assistance and projects with businesses in the automotive industry, normally associated with NAICS codes [3361](#), [3362](#), [3363](#), and [8111](#) and associated subsectors. Projects under this NEA should facilitate and encourage businesses within these NAICS codes to identify, develop and adopt P2 practices in manufacturing and maintenance of automobiles and automotive products.

**NEA #4: Aerospace Product and Parts Manufacturing and Maintenance:** Carry out P2 technical assistance and projects with businesses in the aerospace industry, normally associated

with NAICS codes [3364](#) and subsectors for manufacture and [488190](#) for maintenance. Projects under this NEA should facilitate and encourage businesses within these NAICS codes to identify, develop and adopt P2 practices in any aspect of aerospace product and parts manufacturing and maintenance.

**NEA #5: Metal Manufacturing and Fabrication:** Carry out P2 technical assistance and projects with businesses normally associated with NAICS codes [331](#) and [332](#), (primary metal manufacturing and/or fabricated metal manufacturing and subsectors). Primary metal manufacturing is associated with smelting and/or refining ferrous and nonferrous metals from ore, pig or scrap, using electrometallurgical and other process metallurgical techniques. Fabricated metal product manufacturing includes transforming metal into intermediate or end products, such as forging, stamping, bending, forming, and machining, used to shape individual pieces of metal; and other processes, such as electroplating, polishing, coating, welding and assembling. Projects under this NEA should facilitate and encourage businesses within these NAICS codes to identify, develop and adopt P2 practices in any aspect of primary metal manufacturing and/or fabricated metal manufacturing and subsectors.

**G. EPA’s Strategic Plan Linkage:** Pursuant to Section 6a of EPA Order 5700.7a1, “Environmental Results under EPA Assistance Agreements” ([https://www.epa.gov/sites/production/files/2015-03/documents/epa\\_order\\_5700\\_7a1.pdf](https://www.epa.gov/sites/production/files/2015-03/documents/epa_order_5700_7a1.pdf)), EPA must review the linkage of proposed assistance agreements with the Agency’s Strategic Plan. EPA will issue awards to applications that EPA judges to support the EPA’s FY 2018-22 Strategic Plan (<http://www.epa.gov/planandbudget/strategicplan.html>), under Goal 1: Core Mission – A Cleaner, Healthier Environment, Objective 1.1 – Improve Air Quality; Objective 1.2 – Provide for Clean and Safe Water; Objective 1.3 – Revitalize Land and Prevent Contamination; Objective 1.4 – Ensure Safety of Chemicals in the Marketplace; and, Goal 2: More Effective Partnerships, Objective 2.1 Enhance Shared Accountability. All applications must describe how the work proposed will support one or more of the goals and objectives identified above.

**H. Measuring and Reporting Environmental Results: Output & Outcome Performance Measures:** Pursuant to Section 6a of [EPA Order 5700.7a1](#), “[Environmental Results under EPA Assistance Agreements](#),” EPA requires that grant applicants and recipients describe environmental outputs (e.g., activities, products) and outcomes (results achieved from the outputs, e.g., reduction in pounds of hazardous material used and of hazardous substances, pollutants and contaminants released, reductions in gallons of water used) expected under the assistance agreements. Applicants must provide an estimate of expected outputs and outcomes, as well as a plan for reporting outputs and outcomes during the grant period.

**1. Requirements for Estimating Outputs and Outcomes:** Grant applicants must describe and estimate their expected outputs (e.g., number of business facility visits, number of trainings, number of businesses or other entities attending a training/demonstration) and, to the maximum extent practicable, their expected outcomes. See [Section I.H.2](#) directly below for a list of outputs and outcomes.

To estimate anticipated outcomes, applicants can refer to EPA’s P2 measurement guidance [<https://www.epa.gov/p2/collecting-and-reporting-p2-results-regional-measurement-guidance>], EPA P2 calculators [<https://www.epa.gov/p2/pollution-prevention-tools-and-calculators>]; click on Calculators to Measure Outcomes], or use another identified means of their choosing.

2. **Requirements for a Reporting Plan:** Applicants must provide a comprehensive plan for gathering and reporting on outputs and outcomes described below. Grant recipients will be expected to report on grant output and outcome measures, as described in this section and [Appendix E](#), and are encouraged to report outputs and outcomes in table form. See the reporting template examples offered in examples offered in [Appendix E](#). For the convenience of grantees, an [Excel spreadsheet template](#) may be used for the required reporting and is available from the [EPA Pollution Prevention Website](#) and EPA Regional P2 Program Offices. EPA will use this information to determine if workplan requirements are being met and to build a repository of P2 practices that can be widely shared and replicated.

Grantees will be expected to follow up with all business facilities and/or other entities assisted over the course of the grant period to determine, as feasible, what P2 practices were adopted and applied. Reporting on that follow up will vary depending on the nature of the project – see below and [Appendix E](#) for specific requirements. Therefore, applicants must include in their comprehensive reporting plan how they intend to follow up with the business facilities and/or other entities they assist to determine P2 recommendation implementation as described below.

**Listed below are the output and outcome elements that P2 grant recipients are required to report to EPA.**

**a. Output Measures:**

- Number of case studies and other P2 documentation products describing specific P2 best practices identified, developed or implemented through the grant.
- Number of amplification activities that widely share P2 practices and documentation (i.e., training/demonstration projects, webinars, roundtables, or other outreach).
- Percentage of business facilities and/or other entities that received technical assistance and that the grantee intends to follow up with (e.g., phone calls, on-site visits, letters or emails) to determine which P2 practices were implemented (should be 100%).
- Number of business facilities and/or other entities that were provided technical assistance.
- Percentage of business facilities and/or other entities that implemented at least one new P2 practice as a result of the technical assistance provided by the grantee.

In addition, applicants may report optional project outputs, such as:

- Number of stakeholder groups involved in the process.
- Number of technical assistance assessments or visits.
- Number of recommendations made to business facilities.
- Number of P2 recommendations implemented by business facilities.
- Number of innovations and/or best practices developed.

- Number of workshops, trainings/project demonstrations and courses conducted.
- Number of businesses attending workshops, trainings and courses.
- Number of outreach materials developed (e.g., fact sheets, leaflets).
- Types of skills and abilities achieved by training participants.

**b. Outcome Measures:**

- Reduction in pounds of hazardous material used and of hazardous substances, pollutants and contaminants released,
- Reductions in gallons of water used,
- Reductions in metric tons of carbon dioxide equivalent (MTCO<sub>2</sub>e) released, and
- The dollar savings associated with achieving reductions in hazardous material use, hazardous releases, water use, and energy use, including savings from reduced regulatory burden.

## **Section II. AWARD INFORMATION**

**A. Number of Expected Awards and Federal Funding Amounts:** Based on Congressional appropriation received in Fiscal Year (FY) 2020 and anticipated in 2021 for the P2 Program, EPA plans to award a total of approximately \$1.3 million in federal SRA grant funding issued over a two-year funding cycle (approximately \$658,000 in FY 2020 funds and approximately \$658,000 in FY 2021 funds). The federal funding amounts for individual grant awards are anticipated to be in the range of \$20,000-\$200,000 in total issued over a two-year funding period (i.e., award estimates per year may be between \$10,000 - \$100,000). Please refer to the list below for award funding ranges for each region. Future funding is contingent on satisfactory performance, funding availability, Congressional appropriation, and/or other applicable considerations. Applicants are required to provide funds to match the federal amount requested, as described in [Section III.B.](#)

The applicant's budget and workplan may allot time and set aside funds from the two-year award to perform work for an optional third year for the purpose of obtaining and reporting the required information on the adoption of P2 practices by businesses and others to whom they provided technical assistance under the grant, as described in [Section I.H.](#) of this RFA.

In their applications, applicants should identify the region in which their project will be performed. For a list of EPA regions and states within each region refer to [Section VII.](#) Please note that projects must be performed in Regions 2, 3, 5, 6, 7, 8, 9, and 10. Projects performed in Regions 1 and 4 will not be considered. Applicants in Regions 1 and 4 may propose work in one of the eight participating regions.

- Region 2 – Federal funded awards may be in the range of \$20,000 - \$175,000 for the two-year funding period (between \$10,000 - \$87,500 incrementally funded per year).
- Region 3 - 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).

- 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 6 – 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).
- 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).
- Region 8 - 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).
- Region 9 – Federal funded awards may be in the range of \$20,000 – 160,000 for the two-year funding period (between \$10,000 – 80,000 incrementally funded per year).
- Region 10 – Federal funded awards may be in the range of \$20,000 - \$120,000 for the two-year funding period (between \$10,000 - \$60,000 incrementally funded per year).

Based on past years' experience, EPA anticipates receiving approximately 40 applications 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 applications 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. Partial Funding:** In appropriate circumstances, EPA reserves the right to partially fund applications by funding discrete activities, portions, or phases of an application. If EPA decides to partially fund an application, it will do so in a manner that will not prejudice any applicant or affect the basis upon which the application or a portion thereof will be evaluated or selected for an award and therefore maintain the integrity of the competition, evaluation and selection process.

**C. Agreement 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 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 cooperative agreement 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).

### **Section III. ELIGIBILITY INFORMATION**

- A. Eligible Applicants:** Eligible applicants include any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any agency or instrumentality thereof exclusive to local governments (includes public institutions of higher education and hospitals, city or townships 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 grass roots organizations, and federally-recognized tribes and intertribal consortia. Note: Individuals, private business/entrepreneurs, and nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible for funding under this announcement.
- B. Cost Sharing and Matching Requirements:** SRA grant recipients, as required by the P2 Program, must provide at least a five 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 (e.g., volunteered time, photocopying and printing services); third-party contributions consistent with 2 CFR 200.306; university faculty time or effort which can be offered as a cash contribution if the cost sharing occurs during the assistant agreement period and while the faculty member is under a continuing contract with the university.

Additionally, 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, in which EPA may disallow costs.<sup>3</sup>

**Note: Cost sharing and matching requirements for applications 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, as amended, 48 U.S.C. Section 1469a. Insular area applicants with applications that will require a cost share of \$200,000 or more are advised to contact the applicable EPA contact in [Section VII](#) to determine if cost share requirements will be waived in whole or in part.**

- C. Threshold Eligibility Criteria:** Applications must meet the Threshold Eligibility Criteria 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 application submission will result in elimination of the application from consideration for funding. Only applications from eligible entities (see above) that meet all of these criteria will be evaluated against the ranking factors in [Section V.A.](#) 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. Applications must adhere to the statutory criteria of SRA grants and definition of pollution prevention – [Sections I.B. and I.C.](#) respectively.
  2. The preponderance of work described in applications must support methods of gathering or transferring P2 information and technical assistance or advancing P2 awareness using research, investigations, experiments, education, training, studies and/or demonstration of innovative techniques – [Section I.A.](#) Non-P2 focused activities may only represent a small and ancillary part of the proposed work. If applications include ineligible tasks or activities (i.e., those not considered to support P2) then those activities may be found ineligible for funding and may,

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<sup>3</sup> For additional information on cost share or matching requirements, refer to [2 CFR 200.306](#).

depending on the extent of the ineligible activities, render entire applications ineligible for funding.

3. Applications must address **at least one** of the P2 National Emphasis Areas as described in [Section I.F.](#)
4. Applications must describe how the work described in the application will link to the goals and mission of EPA's Strategic Plan and support expected outputs and outcomes described in [Section I.G.](#) and [I.H.](#)
5. Applications must be from eligible applicants as described in [Section III.A.](#)
6. The application's budget plan must adhere to the 5 percent cost share/match requirement described in [Section III.B.](#)
7. Only one application will be accepted and reviewed per applicant. If you submit more than one application for the identical project (either in error or to replace a previously submitted application), EPA will only review the most recently submitted application, unless you notify Michele Amhaz ([amhaz.michele@epa.gov](mailto:amhaz.michele@epa.gov)) and specify which application you want EPA to review.
8. Application packages must substantially comply with the submission instructions and requirements set forth in [Section IV.A.](#) of this announcement in order to be considered for funding or else they will be rejected. Applicants must adhere to the **14-page** limit requirement for the narrative application – [Section IV.B.3.e.](#) Excess pages will not be reviewed.
9. Applications must be submitted electronically through [Grants.gov](#) as stated in [Section IV.A.](#) of this RFA (except in limited circumstances where another mode of submission is specifically allowed for as explained in [Section IV.A.](#) and [Appendix C](#)) on or before the submission deadline to ensure that their application is submitted in a timely fashion.
10. Applications 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 the System for Award Management (SAM) website at <https://www.sam.gov/SAM/>. An applicant's failure to submit their application on-time through Grants.gov because they did not timely or properly register in SAM.gov and Grants.gov will not be considered an acceptable reason to consider a late submission. The applicant should confirm receipt of their application package with their applicable EPA region noted in [Section VII.](#) of this RFA as soon as possible after the submission deadline – failure to do so may result in the application not being reviewed. **Note: To access <https://www.sam.gov/SAM/>, applicants are advised to use a supported browser (e.g. Internet Explorer version of IE 11 or higher, Chrome, Firefox, Safari, etc.)**

## SECTION IV. APPLICATION AND SUBMISSION INSTRUCTIONS

- A. Application Submission Deadline:** The deadline to submit an application is **Wednesday, May 20, 2020, 11:59 pm, (EDT)**. In order to apply, the applicant's Authorized Organizational Representative (AOR) must submit a complete application package electronically to EPA through Grants.gov (<https://www.grants.gov>). Instructions for applying through Grants.gov are provided in [Appendix C](#) of this announcement.

Please allow enough time to successfully submit your application in the event unexpected errors require you to resubmit your application.

Applications submitted through Grants.gov will be time and date stamped electronically. If you have not received a confirmation of receipt from EPA (not Grants.gov) within 30 days of the application deadline, please contact, EPA representative listed [Section VII](#). Failure to do so may result in your application not being reviewed.

Prior to applying through Grants.gov, the applicant must:

- Have an active DUNS number;
- Have an active System for Award Management (SAM) account (<http://www.sam.gov>);
- Be registered in Grants.gov (<http://www.grants.gov>), and
- Designate an Authorized Organizational Representative (AOR) as the individual submitting the application through Grants.gov.

Note: The registration process for applying through Grants.gov **may take a month or more to complete. Please start the registration process early.** The electronic submission of your application must be made by the AOR of the organization who is registered with Grants.gov and is authorized to sign applications for federal funding assistance.

If you do not have the technical capability to apply electronically through [Grants.gov](#) because of limited or no Internet access which prevents you from being able to upload the required application materials to [Grants.gov](#), please refer to the procedures for an alternate submission exception request in [Appendix C](#).

- B. Content and Format of Application Package:** Please submit all of the application materials described below using the Grants.gov application package accessed using the instructions above and [Appendix C](#).

### 1. Mandatory Documents:

- a. Standard Form 424 – Application for Federal Assistance (SF-424)
- b. Standard Form 424A, Budget Information – Non-Construction Programs

- c. EPA Form 4700-4, Pre-Award Compliance Review Report for All Applicants Requesting Federal Financial Assistance
- d. EPA Key Contacts Form 5700-54
- e. Project Narrative Attachment Form – Used to attach your project narrative, prepared as described below in [Section IV.B.3.e](#). Please note this includes the Cover Page.

**Optional Attachments:** The following documentation, while not required, may benefit the application:

- f. Other Attachment Form – Used to attach your:
  - i. Letters of Support
  - ii. Staff resumes
  - iii. Graphs or tables of budgets and timelines for completing the work.

## 2. Instructions for Preparing Application Packages:

- a. **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>;
- b. **Standard Form 424A, Budget Information, Non-Construction Programs:** Prepare form as indicated to document the budget details of the grant project;
- c. **EPA Form 4700-4, Pre-Award Compliance Review Report for All Applicants Requesting Federal Financial Assistance:** Prepare form as indicated;
- d. **Key Contacts Form (5700-54):** Identify key personnel who will file and manage the paperwork, fund activities and direct funded work; and
- e. **Project Narrative Attachment Form:** Use this form to attach your Project Narrative. The Project Narrative must describe how the proposed P2 project will support the agency’s strategic goals and objectives, identify the expected P2 Program outcomes and outputs, and address all evaluation criteria that support the P2 grant program’s mission and priorities as reflected in [Section V.A](#).

The project narrative, including the cover page, cannot exceed **14** single-spaced pages, with a minimum font size of 11.5. Any pages submitted in excess of the page limit will not be reviewed.

- i. Provide a cover page to the project narrative that addresses items 1-7 below:
  - 1. Grant Name and Funding Opportunity Number;
  - 2. Title of project;
  - 3. National Emphasis Area (NEA) supported by project;

4. Region where project will be performed and a short description of project;
  5. Total funding of project and requested EPA funding of project;
  6. Contact information (i.e., name of applicant, name of organization, mailing address, phone number, fax number, and email address); and
  7. System for Award Management (SAM) registration date
- Note: Sample Cover Page provided in [Appendix D](#).**

ii. Refer to items 1-4 below on the recommended approach for organizing the Project Narrative and addressing what should be contained in it:

1. **Project Goal Statement:** EPA encourages applicants to provide an introductory goal statement (2-3 sentences) summarizing how the project addresses P2 and delivers specific P2 actions and methods to support technical assistance (e.g., providing P2 information, training, tools) to businesses.
2. **Linkage to Agency's Strategic Plan:** Identify and explain how the project is linked to the plans' mission and goals identified in [Section I.G](#).
3. **Estimate of Expected Outputs and Environmental Outcomes:** Provide an estimate of expected outputs (e.g., number of business facility visits, number of trainings, number of businesses attending a training) and, to the maximum extent practicable, expected outcomes.
4. **Linkage to the Evaluation Criteria:** Identify and explain how the project addresses *all* evaluation criteria and reference the criteria number and title. The evaluation criteria are summarized below. Please refer to [Section V.A](#) for the complete description of the evaluation criteria.
  - a. **Project Strategy and Overall Approach** – Describe the number and type of businesses or other entities to be targeted that support P2 technical assistance through: a) research, b) investigation, c) experiments, d) education, e) training, f) studies, and/or g) demonstration of innovative techniques. Describe the anticipated environmental and/or human health concerns at the targeted businesses or other entities and how the adoption of P2 approaches could help address those concerns. Identify and explain how the project aligns with and supports the NEA(s). Describe how the project is expected to be effective in encouraging businesses or others to adopt P2 practices. Describe how the project will leverage resources and partnerships. Describe how the grantee will develop case studies and other materials to document P2 practices consistent with [Section I.A](#) and [Appendix F](#). Describe how P2 information, practices and products developed under this grant will be disseminated and shared with others.

- b. Environmental Results, Measurement & Reporting P2 Recommendations and Actions Implemented** – Provide a comprehensive plan for, and a statement of commitment to reporting environmental outcomes and related outputs as described in [Section I.H.](#), such as: the P2 recommendations that are provided to a business facility or others; describe how the applicant’s plan to follow up with clientele to determine what P2 actions were implemented and the outcomes from that implementation, describe what P2 actions will be implemented within the next five years, and describe the barriers to implementing those P2 recommendations, and other reporting and measures as described in [Section I.H.](#)
- c. Timeline.** Provide project timeframes and milestones for completing project tasks, tools, roundtables/meetings, product deliverables (e.g., case studies, trainings, tools).
- d. Budget.** Explain budget tasks and applicable budget categories (e.g., staff support of project work, travel funding deemed to be integral and necessary to carry out the project, development of case studies, explanation of how federal funding match and cost share requirement will be applied).

**Note:** Explaining the project’s budget details are separate from and are a supplement to submitting **Standard Form 424A, Budget Information – Non-Construction Programs (this form is noted above under Mandatory Documents)**. Budget explanations are required in order to inform EPA how your budget plans justify funding the proposed SRA grant project. For this reason, your budget explanations must be included within the project narrative of your application.

- e. Past Performance and Programmatic Capability.** To demonstrate that you and your organization have managed and completed federal government assistance agreements, submit a list of prior 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)a Also 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.A.**, 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 (i.e., 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 application 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 successfully achieving the objectives of the proposed project in a timely fashion, and your staff's expertise/qualifications, 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.

- iii. Optional Attachments:** Please consider supplementing your application with the following documentation. These items **are not** included in the **14-page** limit for the project narrative.

**Other Attachments Form:**

- 1. Letters of Support:** To describe the service(s) the grant partner(s) will provide to help carry out and enhance the project activity.
- 2. Staff resumes:** To reflect the knowledge, experience and/or expertise to conduct the proposed work.
- 3. Illustrative graphs, charts or tables of budgets and timelines:** To provide an illustrative example of your budget or of your projected timeline to highlight milestones for completing proposed work; if you believe this information will aid your application.

Please note: If you submit more than one application for the identical project (either in error or to replace a previously submitted application), EPA will only review the most recently submitted application, unless you notify Michele Amhaz ([amhaz.michele@epa.gov](mailto:amhaz.michele@epa.gov)) and specify which application you want EPA to review.

- C. 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: confidential business information, contracts and subawards under grants, and proposal assistance and

communications, can be found under *Section IV on the EPA Solicitation Clauses website* at – <https://www.epa.gov/grants/epa-solicitation-clauses>. These and the other provisions are important, and applicants must review them when preparing applications under this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in [Section VII](#) of this solicitation to obtain the provisions.

**D. Opportunity for Questions and Answers Regarding this Announcement:** EPA’s national P2 Program will host an informational webinar for potential applicants and interested stakeholders. The webinar will be held on **Wednesday, March 25, 2020** from **2:00 – 3:00 pm EDT**. To register, please go to: <https://attendee.gotowebinar.com/register/2359303868474796043>.

This webinar will review information about the SRA Grant program and the application process to help potential applicants submit a high-quality application to EPA for consideration. Time will be provided on the webinar for questions and answers.

For the webinar, attendees are advised to connect fifteen (15) minutes prior to the scheduled time indicated to ensure proper connection and to type in questions. The webinar link works best when using the Google Chrome browser. Connection problems may result when using Internet Explorer or Microsoft Edge. For those unable to attend, a recording of the webinar will be made available and Frequently Asked Questions and Answers from the webinar will be posted to [EPA’s P2 Program Grant page](#). For details on the types of questions EPA can respond to, please refer to the grant solicitation clause on [Pre-Proposal/ Application Assistance and Communication at: https://www.epa.gov/grants/epa-solicitation-clauses](#).

**SECTION V. APPLICATION REVIEW INFORMATION:**

Only eligible applicants with applications that meet the threshold eligibility criteria in [Section III.C](#) of this announcement will be reviewed based upon the evaluation criteria provided below. Each application will be rated using the points-scale system identified below. The maximum number of total points possible is 100 points. The narrative application must include clear, concise, and factual responses to all evaluation criteria. Applications must provide sufficient detail to allow for an evaluation of the merits of the application. 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>	<p><b>a.</b> <u>Description of the Technical Assistance Beneficiaries:</u> The quality and extent to which the narrative clearly describes the types and estimated number of technical assistance beneficiaries (e.g., businesses/facilities, municipal/local governments, local communities, trade associations, nonprofit organizations) that will be</p>	<b>5</b>

	targeted for P2 technical assistance through: a) research; b) investigation; c) experiments; d) education; e) training; f) studies; g) demonstration of P2 innovative techniques; and/or h) new or experimental technologies, methods, or approaches.	
	<b>b. <u>Environmental and/or Human Health Concern:</u></b> The quality and extent to which the narrative describes the anticipated environmental and/or human health concerns of the technical assistance beneficiaries and how the adoption of P2 approaches could help improve or resolve those concerns.	<b>6</b>
	<b>c. <u>NEA Alignment:</u></b> The degree to which the targeted technical assistance offered to the beneficiaries and the overall project approach will align with the NEA(s) selected for this grant. Refer to <a href="#">Section I.F.</a> and <a href="#">Appendix A.</a>	<b>5</b>
	<b>d. <u>Description of P2 Technical Assistance:</u></b> The quality and extent to which the narrative describes how the P2 technical assistance through 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/other entities to identify and develop P2 best management practices and innovations; off-site or remote support; referring clients to other P2 technical assistance materials and sources; offering training/demonstration projects to multiple businesses/other entities; planning collaborative opportunities for business sectors or other communities to explore and develop P2 solutions, a mix of approaches, etc.)	<b>12</b>
	<b>e. <u>Effectiveness of P2 Technical Assistance Approach:</u></b> The extent to which the narrative provides a clear and logical rationale for how the proposed P2 technical assistance project(s) and approach are likely to encourage the targeted technical assistance beneficiaries to adopt P2 practices.	<b>12</b>
	<b>f. <u>Leveraging Resources, Partners, and Expertise:</u></b> The quality and extent to which the narrative describes a plan to leverage the resources and expertise of partners and stakeholders in the project. <i>Partners could include States, Tribes, businesses, local/city governments, independent school districts, communities, trade associations, nonprofit organizations, etc.</i>	<b>8</b>
	<b>g. <u>Documenting P2 Best Practices:</u></b> The quality and extent to which the narrative describes how the applicant will meet the requirements to develop case studies and other materials (e.g., training, demonstration projects, videos, P2 tools) to document adopted P2 practices, as specified in <a href="#">Section I.A.</a> , and consistent with <a href="#">Appendix F.</a>	<b>8</b>
	<b>h. <u>Amplifying P2 Best Practices:</u></b> The quality and extent to which the applicant describes a plan and commitment to widely share P2 best practices and products developed during the grant (e.g., toolkits, assessment checklists, training modules, videos, outreach materials),	<b>5</b>

	and sharing lessons learned from the grant (e.g., insights, challenges, successes, recommendations).	
<b>2. Environmental Results, Measurement &amp; Reporting P2 Recommendations and Actions Implemented</b>	<b>a.</b> The quality and extent to which the narrative describes a plan for and a commitment to reporting to EPA the outputs and outcomes described in <a href="#">Section I.H.</a> and <a href="#">Appendix E</a> , including the approach that will be used to follow up with technical assistance beneficiaries that received technical assistance to determine what P2 recommendations were carried out and the outcomes achieved. In addition, the applicant’s plan and approach for tracking and measuring their progress in achieving the expected outputs and outcomes will also be evaluated.	5
	<b>b.</b> In addition, under this criterion, the narrative will be evaluated based on the category below that applies to the grant project:  <u>For P2 technical assistance to a specific business facility/other entity:</u> describe how you intend to provide and document P2 recommendations for facilities receiving technical assistance and the actions you will take to follow-up with the facilities to determine what P2 practices have been implemented (e.g., which recommendations did the facility implement, which does it intend to perform within 5 years, or why P2 recommendation(s) will not be implemented), and the environmental and cost outcomes achieved from each P2 practice implemented.  <u>For leadership and green certification programs:</u> Describe how you will determine and report the P2 practices implemented at each business facility/other entity and the outcomes achieved from each P2 practice implemented.  <u>For P2 technical assistance which is broadly provided (designed for multiple businesses/other entities rather than provided directly to a specific business/other entity, e.g., P2 training courses, demonstration projects, outreach materials and roundtables):</u> Provide a description of the activities you plan to conduct and the audience you intend to reach (including estimated numbers, industries and businesses/other entities represented), and how you will follow up with the businesses/other entities, as feasible, to determine what P2 practices have been implemented at each business facility/other entity and the outcomes achieved.  <u>Development of P2 Tools or Products:</u> Provide a description of product you intend to develop, information on pilot testing or stakeholder input, information on documentation and amplification approaches for the products developed.	10

<b>3. Timeline</b>	Applications 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 account for two years of federal grant funding and if applicable include an optional third year for reporting. The timeline must include a breakout of: project tasks; anticipated dates (from start to completion of each task); milestone markers (including the timing and approaches used to follow up with business); development of case studies and other outreach materials; and a brief explanation for achieving project goals and objectives by the end of the project.	<b>5</b>
<b>4. Budget</b>	The extent to which the proposed costs are eligible, appropriate; reasonable and realistic to perform the project; and clearly correlate with the proposed tasks and activities. The budget must account for two years of federal grant funding and if applicable an optional third year for reporting. Each budget year should include: estimated costs for each project task and category (i.e., labor, fringe benefits, travel, equipment, supplies, contractors, and other direct costs or indirect costs); and use of the match/cost share requirement. Applicants should itemize costs associated under each project task and should identify activities and corresponding estimated costs. Refer to <a href="#">Appendix G</a> .	<b>5</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 past performance, if any (See Note below):	<b>3</b>
	<p><b>a.</b> Past performance in successfully completing and managing federal government assistance agreements that illustrates a history of effectively meeting the reporting requirements under prior assistance agreements, including;</p> <ul style="list-style-type: none"> <li>• submitting acceptable final technical reports under those agreements;</li> <li>• completing tasks on-time;</li> <li>• adequately and timely reporting their progress toward achieving the expected outputs and outcomes of the project; and</li> <li>• documenting and explaining whether or not progress was being made.</li> </ul>	
	<p><b>b.</b> Programmatic capability of the organization to have the approach, procedures and controls in place to address the progress of the projects to ensure that awarded SRA grant funds will be expended in a timely and efficient manner.</p>	
<p><b>c.</b> Programmatic capability of staff, as demonstrated by their skills, knowledge, expertise and other qualifications to successfully complete and accomplish the activities of the proposed SRA grant project.</p>	<b>8</b>	
<b>Note: In evaluating applicants under item (a) of this criterion, the Agency will consider the information provided by the applicant. EPA may also consider relevant information from other sources including</b>		

**agency files and prior/current grantors 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 your application and you will receive a neutral score for this factor (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 this factor.**

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

- 1. Review:** Applications meeting the Threshold Eligibility Criteria [Section III.C.](#) will be reviewed through a national EPA review process, which will establish eight EPA regional review panels that will review applications for projects submitted to be performed in the applicable regions. Reviewers on each regional review panel will include P2 program staff from that EPA region, P2 program staff from other EPA regions and EPA Headquarters. Some EPA regional review panels may also include staff from other agency media program offices. Applications will be evaluated and ranked based on the evaluation criteria and point allocation scale provided in [Section V.A.](#)
- 2. Selection:** Each EPA regional review panel will recommend applications for funding 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 P2 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, concurrence, and to ensure that the project(s) meet the objectives of this RFA. Once final decisions have been made, funding recommendations will be forwarded to the appropriate grant office in the region. EPA anticipates final funding decisions will be made by September 30, 2020.

- 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* website at <https://www.epa.gov/grants/epa-solicitation-clauses>. These and other provisions found on the website are important, and applicants must review them when preparing applications under this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA regional contact listed in [Section VII](#) of this solicitation to obtain the provisions.

## **SECTION VI. AWARD ADMINISTRATION INFORMATION**

- A. Award Notification:** EPA anticipates that award notifications will be made via electronic mail (email) to the successful applicants by September 30, 2020. The notifications will be sent to the original signer of the application or to the project contact listed on the Key Contact form of the application package. This notification will inform the applicant that their application has been selected and is being recommended for an award, but it is not an authorization to begin work. The official notification of an award will be made by the appropriate EPA grants office in the region. Applicants are cautioned that only an EPA grants officer is authorized to bind the Federal

Government to the expenditure of funds. Selection of an SRA grant does not guarantee an award will be made. For example, statutory authorization questions, funding issues or other discoveries found 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 amend or submit additional documents and forms 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 application 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 2020 and FY 2021 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 for calculating measures of the SRA grant activity, then SRA grant recipients will be required to submit a workplan-specific Quality Assurance Project Plan (QAPP) or equivalent to EPA at the time of award. For additional assistance on what is required, please refer to the Quality Assurance Guidance on Reporting Outcomes for P2 projects – [Appendix H](#).

SRA grant activities that will involve monitoring and/or sampling of environmental data will require additional steps to satisfy the QA/QC process. To help plan your QA/QC process, please review these three steps: **1)** Please be aware that sufficient time and resources will be needed to set up a Quality Management System (QMS) for the proposed projects. If there is not a QMS in place, one must be developed. A QMS is the mechanism or process for managing the quality of environmental data collected and used; **2)** For a QMS to be utilized, a Quality Management Plan (QMP) needs to be written. A QMP is the document that describes the applicant's organization or program in terms of its organizational structure, policy, procedures, functional responsibilities of management and staff, lines of authority, and required interfaces for those planning, performing, documenting, and assessing all activities conducted under the assistance agreement; and **3)** The final component to QA/QC planning is writing a workplan-specific Quality Assurance

Project Plan (QAPP) or functional documenting equivalent. The QAPP is the document that describes the workplan-specific information on quality assurance, quality control, and other technical activities that must be addressed to ensure that the results of the work performed will satisfy the stated performance criteria. The QAPP must be submitted and approved by EPA prior to receiving the SRA grant award.

**Note: Applicants are not required to verify that a QMS is in place or provide a QMP or QAPP when submitting applications under this RFA. However, if the applicant intends to collect, monitor or sample environmental data or requires businesses to do so, verification of the applicant's QA/QC's procedures will be required at the time of award. The terms and conditions of the official award document will provide details on monitoring the grant recipient's QAPP.**

**3. Reporting Requirements Based on the Type of Grant Work Performed:** Listed below are specific reporting requirements for grant recipients based on the type of grant work performed.

**a. Grant Work Involving P2 Recommendations Provided on P2 Technologies, Methods or Approaches to a Business or other Entity:**

- i. Report on P2 recommendations provided: Within the grant year that the grantee provided the P2 recommendations to a specific business facility or other entity, the grantee will need to report to EPA:
  - o The facility/other entity identifier information, including:
    - the business, facility or other entity's name,
    - the EPA facility ID number,
    - facility or other entity's contact information,
    - the facility/other entity location (city, state and region), and
    - the facility NAICS code.

NOTE: If a business/other entity raises confidentiality concerns or there are confidentiality constraints under state law, report a generic facility name such as Facility A and omit the EPA facility ID, contact, and the city.
  - o The date when the grantee provided P2 recommendations to the business facility/other entity.
  - o The specific P2 recommendations the grantee provided to the facility/other entity (e.g., specific equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of chemicals or raw materials in a named process). Do not report recommendations not considered P2 ([Section I.D.](#)).
- ii. Report on P2 recommendations implemented: A year after the P2 recommendations were provided to a business facility/other entity, or by the end of

the grant, grant recipients must follow up with each facility provided technical assistance and report to EPA:

- The date when the grantee followed up with the facility/other entity to determine the implementation status of the P2 recommendations previously provided.
- The specific P2 recommendations addressed by the facility/other entity and comments on the implementation details.
- The gross cost of implementation for each P2 action, if this information can be obtained from the facility/other entity. Do not indicate any savings at this stage.
- The annualized outcomes achieved from implementing each P2 action at the facility/other entity, expressed (as applicable) in:
  - reductions of pounds of hazardous material used,
  - reductions in hazardous substances, pollutants and contaminants released,
  - reductions in gallons of water used,
  - reductions in MTCO<sub>2</sub>e released, and
  - The dollar savings associated with achieving reductions in hazardous material use, hazardous releases, water use, and energy use, including savings from reduced regulatory burden. NOTE: Do not include savings from lean manufacturing activities that do not result in reductions of hazardous materials use, hazardous releases, reductions in MTCO<sub>2</sub>e or water reductions.
- For P2 recommendations not implemented by a facility/other entity, indicate whether:
  - the facility/other entity intends to implement the recommendation within the next 5 years, or
  - identify the barriers to implement the P2 recommendations.

NOTE: *If the business facility/other entity implements the P2 recommendations during the same year that the recommendations were offered, the grantees can report it that year.*

**b. Grant Work Involving Green Certification or Leadership Programs:**

- Report the specific P2 actions implemented by each business facility/other entity as a result of participation in the Green Certification or Leadership Program.
- Include the cost of implementation for each P2 action, if this information is obtainable.

- Include the annualized outcomes achieved from each implemented P2 action, expressed (as applicable) in:
  - reductions of pounds of hazardous material used,
  - reductions in hazardous substances, pollutants and contaminants released,
  - reductions in gallons of water used,
  - reductions in MTCO<sub>2</sub>e released, and
  - the dollar savings related to the preceding reduction measures.

**c. Other Grant Work Where P2 Technical Assistance is Designed for Multiple Businesses Rather Than Provided Directly to a Specific Business/other entity (e.g., P2 training courses, demonstration projects, outreach materials and roundtables):**

- Report a description of standard outputs, such as:
  - topic(s) covered in the trainings, outreach materials, roundtables,
  - number of businesses attending a training or roundtable,
  - products developed or distributed, and/or number of businesses that received those products.
- Include information showing increased participant understanding of topics taught in workshops, webinars, training events.
- Include the types of skills and abilities achieved by participants of a training event.
- EPA expects good faith efforts to follow up with businesses/other entities one year after the technical assistance was provided, or by the end of the grant period to learn report the following information and report as available:
  - Business facility identifier informations, including:
    - the business, facility or other entity's name,
    - the EPA facility ID number,
    - facility or other entity's contact information,
    - the facility/other entity location (city, state and region), and
    - the facility NAICS code.

NOTE: If the business/other entity raises confidentiality concerns or there are confidentiality constraints under state law, report a generic name such as Facility A and omit the EPA facility ID, contact, and the city.
  - The date of follow-up with the facility/other entity to determine the P2 actions implemented.
  - Specific P2 actions implemented by the facility/other entity as a result of the technical assistance.

- The total cost of for each P2 action implemented, if obtainable. Do not indicate any savings at this stage.
- The annualized outcomes achieved from implementation of each P2 action, expressed (as applicable) in:
  - reductions of pounds of hazardous material used,
  - reductions in hazardous substances, pollutants and contaminants released,
  - reductions in gallons of water used,
  - reductions in MTCO<sub>2</sub>e released, and
  - The dollar savings associated with achieving reductions in hazardous material use, hazardous releases, water use, and energy use, including savings from reduced regulatory burden. NOTE: Do not include savings from lean manufacturing activities that do not result in such hazard, MTCO<sub>2</sub>e, and water reductions.
- For P2 recommendations not implemented by a business/other entity, indicate whether the business facility/other entity intends to perform the recommendations within the next 5 years, or identify the barrier(s) for implementing the P2 action(s).

**d. Grant Work using P2 Technical Assistance to Develop P2 Tools or Products, report:**

- A description of product(s) developed.
- Any information on pilot testing or stakeholder input.
- Any information on documentation and amplification approaches for product developed.

- 4. Semi-Annual Progress Reports and Final Technical Reports:** Semi-annual progress reporting and a final technical report are required under this grant program. A schedule for submitting the semi-annual report will be established by the EPA region managing the grant. Grant recipients will be expected to report on the outputs and outcomes of the grant as described in [Section I.H.](#) of this RFA, “Measuring and Reporting Environmental Results: Output & Outcome Performance Measures.” Grant recipients are encouraged to use a table and text (see the business facility-level reporting template examples offered in [Appendix E](#)). For the convenience of grantees, an [Excel spreadsheet template](#) that may be used for the required reporting is available from the [EPA Pollution Prevention Website](#) and EPA Regional P2 Program Offices. 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.

Within 90 calendar days from 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-level reporting as described above; the costs of the project(s); and 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.

5. **Disputes:** Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://www2.epa.gov/grants/dispute-resolution-procedures>. Copies of these procedures may also be requested by contacting the regional contact listed in [Section VII](#) of the announcement.
  
6. **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 DUNS and SAM requirements, copyright issues, disputes, and administrative capability, can be found under *Section VI on the EPA Solicitation Clauses website* at <https://www.epa.gov/grants/epa-solicitation-clauses>. These and other provisions that can be found on the website are important and applicants must review them when preparing applications for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA regional contact listed in [Section VII](#) of this RFA to obtain the provisions.

## SECTION VII. AGENCY CONTACTS

Primary EPA HQ Contact	Michele Amhaz U.S. EPA 1200 Pennsylvania Ave, NW Mail code 7409M Washington, DC 20460 202-564-8857 <a href="mailto:amhaz.michele@epa.gov">amhaz.michele@epa.gov</a>
EPA 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 address: <a href="mailto:peck.alex@epa.gov">peck.alex@epa.gov</a>

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

Peter Piergiovanni  
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EPA Region 5  
IL, IN, OH, MI,  
MN, WI

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EPA Region 6  
AR, LA, NM, OK,  
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EPA Region 7  
IA, KS, MO, NE

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EPA Region 8  
CO, MT, ND, SD,  
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EPA Region 10  
AK, ID, OR, WA

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## APPENDIX A

### NEAs With Applicable NAICS<sup>4</sup> Codes

- 1. Food and Beverage Manufacturing and Processing:** Carry out P2 technical assistance and projects 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. 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.

#### NAICS Codes:

#### **311 Food Manufacturing**

#### **3111 Animal Food Manufacturing**

31111 Animal Food Manufacturing

311111 Dog and Cat Food Manufacturing

311119 Other Animal Food Manufacturing

#### **3112 Grain and Oilseed Milling**

31121 Flour Milling and Malt Manufacturing

311211 Flour Milling

311212 Rice Milling

311213 Malt Manufacturing

31122 Starch and Vegetable Fats and Oils Manufacturing

311221 Wet Corn Milling

311224 Soybean and Other Oilseed Processing

311225 Fats and Oils Refining and Blending

31123 Breakfast Cereal Manufacturing

311230 Breakfast Cereal Manufacturing

3113 Sugar and Confectionery Product Manufacturing

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<sup>4</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/>

- [31131](#) Sugar Manufacturing
- [311313](#) Beet Sugar Manufacturing
- [311314](#) Cane Sugar Manufacturing
- [31134](#) Nonchocolate Confectionery Manufacturing
- [311340](#) Nonchocolate Confectionery Manufacturing
- [31135](#) Chocolate and Confectionery Manufacturing
- [311351](#) Chocolate and Confectionery Manufacturing from Cacao Beans
- [311352](#) Confectionery Manufacturing from Purchased Chocolate
- [3114](#) Fruit and Vegetable Preserving and Specialty Food Manufacturing**
- [31141](#) Frozen Food Manufacturing
- [311411](#) Frozen Fruit, Juice, and Vegetable Manufacturing
- [311412](#) Frozen Specialty Food Manufacturing
- [31142](#) Fruit and Vegetable Canning, Pickling, and Drying
- [311421](#) Fruit and Vegetable Canning
- [311422](#) Specialty Canning
- [311423](#) Dried and Dehydrated Food Manufacturing
- [3115](#) Dairy Product Manufacturing**
- [31151](#) Dairy Product (except Frozen) Manufacturing
- [311511](#) Fluid Milk Manufacturing
- [311512](#) Creamery Butter Manufacturing
- [311513](#) Cheese Manufacturing
- [311514](#) Dry, Condensed, and Evaporated Dairy Product Manufacturing
- [31152](#) Ice Cream and Frozen Dessert Manufacturing
- [311520](#) Ice Cream and Frozen Dessert Manufacturing
- [3116](#) Animal Slaughtering and Processing**
- [31161](#) Animal Slaughtering and Processing
- [311611](#) Animal (except Poultry) Slaughtering
- [311612](#) Meat Processed from Carcasses
- [311613](#) Rendering and Meat Byproduct Processing
- [311615](#) Poultry Processing

**[3117](#) Seafood Product Preparation and Packaging**

[31171](#) Seafood Product Preparation and Packaging

[311710](#) Seafood Product Preparation and Packaging

**[3118](#) Bakeries and Tortilla Manufacturing**

[31181](#) Bread and Bakery Product Manufacturing

[311811](#) Retail Bakeries

[311812](#) Commercial Bakeries

[311813](#) Frozen Cakes, Pies, and Other Pastries Manufacturing

[31182](#) Cookie, Cracker, and Pasta Manufacturing

[311821](#) Cookie and Cracker Manufacturing

[311824](#) Dry Pasta, Dough, and Flour Mixes Manufacturing from Purchased Flour

[31183](#) Tortilla Manufacturing

[311830](#) Tortilla Manufacturing

**[3119](#) Other Food Manufacturing**

[31191](#) Snack Food Manufacturing

[311911](#) Roasted Nuts and Peanut Butter Manufacturing

[311919](#) Other Snack Food Manufacturing

[31192](#) Coffee and Tea Manufacturing

[311920](#) Coffee and Tea Manufacturing

[31193](#) Flavoring Syrup and Concentrate Manufacturing

[311930](#) Flavoring Syrup and Concentrate Manufacturing

[31194](#) Seasoning and Dressing Manufacturing

[311941](#) Mayonnaise, Dressing, and Other Prepared Sauce Manufacturing

[311942](#) Spice and Extract Manufacturing

[31199](#) All Other Food Manufacturing

[311991](#) Perishable Prepared Food Manufacturing

[31211](#) Soft Drink and Ice Manufacturing

[312112](#) Bottled Water Manufacturing

[312113](#) Ice Manufacturing

[31212](#) Breweries

[312120](#) Breweries

[31213](#) Wineries

[312130](#) Wineries

[31214](#) Distilleries

[312140](#) Distilleries

- 1. Chemical Manufacturing, Processing and Formulation:** Carry out P2 technical assistance and projects with businesses normally associated with NAICS code 325 and associated subsectors (4-6 digit NAICS codes under 325). Projects under this NEA should facilitate and encourage businesses within this NAICS code to identify, develop, and adopt P2 practices in the production of their chemical products and formulations. Projects can also include working with businesses within this NAICS code to promote research, development, and marketing of green chemistry products and processes that reduce or eliminate the generation of hazardous substances.

NAICS Codes:

**[325](#) Chemical Manufacturing**

**[3251](#) Basic Chemical Manufacturing**

[32511](#) Petrochemical Manufacturing

[325110](#) Petrochemical Manufacturing

[32512](#) Industrial Gas Manufacturing

[325120](#) Industrial Gas Manufacturing

[32513](#) Synthetic Dye and Pigment Manufacturing

[325130](#) Synthetic Dye and Pigment Manufacturing

[32518](#) Other Basic Inorganic Chemical Manufacturing

[325180](#) Other Basic Inorganic Chemical Manufacturing

[32519](#) Other Basic Organic Chemical Manufacturing

[325193](#) Ethyl Alcohol Manufacturing

[325194](#) Cyclic Crude, Intermediate, and Gum and Wood Chemical Manufacturing

[325199](#) All Other Basic Organic Chemical Manufacturing

**[3252](#) Resin, Synthetic Rubber, and Artificial and Synthetic Fibers and Filaments Manufacturing**

[32521](#) Resin and Synthetic Rubber Manufacturing

[325211](#) Plastics Material and Resin Manufacturing  
[325212](#) Synthetic Rubber Manufacturing  
[32522](#) Artificial and Synthetic Fibers and Filaments Manufacturing  
[325220](#) Artificial and Synthetic Fibers and Filaments Manufacturing  
**[3253](#) Pesticide, Fertilizer, and Other Agricultural Chemical Manufacturing**  
[32531](#) Fertilizer Manufacturing  
[325311](#) Nitrogenous Fertilizer Manufacturing  
[325312](#) Phosphatic Fertilizer Manufacturing  
[325314](#) Fertilizer (Mixing Only) Manufacturing  
[32532](#) Pesticide and Other Agricultural Chemical Manufacturing  
[325320](#) Pesticide and Other Agricultural Chemical Manufacturing  
**[3254](#) Pharmaceutical and Medicine Manufacturing**  
[32541](#) Pharmaceutical and Medicine Manufacturing  
[325411](#) Medicinal and Botanical Manufacturing  
[325412](#) Pharmaceutical Preparation Manufacturing  
[325413](#) In-Vitro Diagnostic Substance Manufacturing  
[325414](#) Biological Product (except Diagnostic) Manufacturing  
**[3255](#) Paint, Coating, and Adhesive Manufacturing**  
[32551](#) Paint and Coating Manufacturing  
[325510](#) Paint and Coating Manufacturing  
[32552](#) Adhesive Manufacturing  
[325520](#) Adhesive Manufacturing  
**[3256](#) Soap, Cleaning Compound, and Toilet Preparation Manufacturing**  
[32561](#) Soap and Cleaning Compound Manufacturing  
[325611](#) Soap and Other Detergent Manufacturing  
[325612](#) Polish and Other Sanitation Good Manufacturing  
[325613](#) Surface Active Agent Manufacturing  
[32562](#) Toilet Preparation Manufacturing  
[325620](#) Toilet Preparation Manufacturing  
**[3259](#) Other Chemical Product and Preparation Manufacturing**  
[32591](#) Printing Ink Manufacturing  
[325910](#) Printing Ink Manufacturing  
[32592](#) Explosives Manufacturing  
[325920](#) Explosives Manufacturing

- [32599](#) All Other Chemical Product and Preparation Manufacturing
- [325991](#) Custom Compounding of Purchased Resins
- [325992](#) Photographic Film, Paper, Plate, and Chemical Manufacturing
- [325998](#) All Other Miscellaneous Chemical Product and Preparation Manufacturing

2. **Automotive Manufacturing and Maintenance:** Carry out P2 technical assistance and projects with businesses in the automotive industry, normally associated with NAICS codes [3361](#), [3362](#), [3363](#), and [8111](#) and associated subsectors. Projects under this NEA should facilitate and encourage businesses within these NAICS codes to identify, develop and adopt P2 practices in manufacturing and maintenance of automobiles and automotive products.

NAICS Codes:

**[3361](#) Motor Vehicle Manufacturing**

- [33611](#) Automobile and Light Duty Motor Vehicle Manufacturing
- [336111](#) Automobile Manufacturing
- [336112](#) Light Truck and Utility Vehicle Manufacturing
- [33612](#) Heavy Duty Truck Manufacturing
- [336120](#) Heavy Duty Truck Manufacturing

**[3362](#) Motor Vehicle Body and Trailer Manufacturing**

- [33621](#) Motor Vehicle Body and Trailer Manufacturing
- [336211](#) Motor Vehicle Body Manufacturing
- [336212](#) Truck Trailer Manufacturing
- [336213](#) Motor Home Manufacturing
- [336214](#) Travel Trailer and Camper Manufacturing

**[3363](#) Motor Vehicle Parts Manufacturing**

- [33631](#) Motor Vehicle Gasoline Engine and Engine Parts Manufacturing
- [336310](#) Motor Vehicle Gasoline Engine and Engine Parts Manufacturing
- [33632](#) Motor Vehicle Electrical and Electronic Equipment Manufacturing
- [336320](#) Motor Vehicle Electrical and Electronic Equipment Manufacturing
- [33633](#) Motor Vehicle Steering and Suspension Components (except Spring) Manufacturing
- [336330](#) Motor Vehicle Steering and Suspension Components (except Spring) Manufacturing

- [33634](#) Motor Vehicle Brake System Manufacturing
- [336340](#) Motor Vehicle Brake System Manufacturing
- [33635](#) Motor Vehicle Transmission and Power Train Parts Manufacturing
- [336350](#) Motor Vehicle Transmission and Power Train Parts Manufacturing
- [33636](#) Motor Vehicle Seating and Interior Trim Manufacturing
- [336360](#) Motor Vehicle Seating and Interior Trim Manufacturing
- [33637](#) Motor Vehicle Metal Stamping
- [336370](#) Motor Vehicle Metal Stamping
- [33639](#) Other Motor Vehicle Parts Manufacturing
- [336390](#) Other Motor Vehicle Parts Manufacturing

**[8111](#) Automotive Repair and Maintenance**

- [81111](#) Automotive Mechanical and Electrical Repair and Maintenance
- [811111](#) General Automotive Repair
- [811112](#) Automotive Exhaust System Repair
- [811113](#) Automotive Transmission Repair
- [811118](#) Other Automotive Mechanical and Electrical Repair and Maintenance
- [81112](#) Automotive Body, Paint, Interior, and Glass Repair
- [811121](#) Automotive Body, Paint, and Interior Repair and Maintenance
- [811122](#) Automotive Glass Replacement Shops
- [81119](#) Other Automotive Repair and Maintenance
- [811191](#) Automotive Oil Change and Lubrication Shops
- [811192](#) Car Washes
- [811198](#) All Other Automotive Repair and Maintenance

3. **Aerospace Product and Parts Manufacturing and Maintenance:** Carry out P2 technical assistance and projects with businesses in the aerospace industry, normally associated with NAICS codes [3364](#) and subsectors for manufacture and [488190](#) for maintenance. Projects under this NEA should facilitate and encourage businesses within these NAICS codes to identify, develop and adopt P2 practices in any aspect of aerospace product and parts manufacturing and maintenance.

NAICS Codes:

**[3364](#) Aerospace Product and Parts Manufacturing**

[33641](#) Aerospace Product and Parts Manufacturing

[336411](#) Aircraft Manufacturing

[336412](#) Aircraft Engine and Engine Parts Manufacturing

[336413](#) Other Aircraft Parts and Auxiliary Equipment Manufacturing

[336414](#) Guided Missile and Space Vehicle Manufacturing

[336415](#) Guided Missile and Space Vehicle Propulsion Unit and Propulsion Unit Parts Manufacturing

[336419](#) Other Guided Missile and Space Vehicle Parts and Auxiliary Equipment Manufacturing

[488190](#) Other Support Activities for Air Transportation

4. **Metal Manufacturing and Fabrication:** Carry out P2 technical assistance and projects with businesses normally associated with NAICS codes [331](#) and [332](#), which are businesses associated with primary metal manufacturing and/or fabricated metal manufacturing and subsectors. Primary metal manufacturing is associated with smelting and/or refining ferrous and nonferrous metals from ore, pig or scrap, using electrometallurgical and other process metallurgical techniques. Fabricated metal product manufacturing includes transforming metal into intermediate or end products, such as forging, stamping, bending, forming, and machining, used to shape individual pieces of metal; and other processes, such as electroplating, polishing, coating, welding and assembling. Projects under this NEA should facilitate and encourage businesses within these NAICS codes to identify, develop and adopt P2 practices in any aspect of primary metal manufacturing and/or fabricated metal manufacturing and subsectors.

NAICS Codes:

**[331](#) Primary Metal Manufacturing**

**[3311](#) Iron and Steel Mills and Ferroalloy Manufacturing**

[33111](#) Iron and Steel Mills and Ferroalloy Manufacturing

[331110](#) Iron and Steel Mills and Ferroalloy Manufacturing

**[3312](#) Steel Product Manufacturing from Purchased Steel**

[33121](#) Iron and Steel Pipe and Tube Manufacturing from Purchased Steel

[331210](#) Iron and Steel Pipe and Tube Manufacturing from Purchased Steel

[33122](#) Rolling and Drawing of Purchased Steel

[331221](#) Rolled Steel Shape Manufacturing

[331222](#) Steel Wire Drawing

[3313](#) Alumina and Aluminum Production and Processing

[33131](#) Alumina and Aluminum Production and Processing

[331313](#) Alumina Refining and Primary Aluminum Production

[331314](#) Secondary Smelting and Alloying of Aluminum

[331315](#) Aluminum Sheet, Plate, and Foil Manufacturing

[331318](#) Other Aluminum Rolling, Drawing, and Extruding

**[3314](#) Nonferrous Metal (except Aluminum) Production and Processing**

[33141](#) Nonferrous Metal (except Aluminum) Smelting and Refining

[331410](#) Nonferrous Metal (except Aluminum) Smelting and Refining

[33142](#) Copper Rolling, Drawing, Extruding, and Alloying

[331420](#) Copper Rolling, Drawing, Extruding, and Alloying

[33149](#) Nonferrous Metal (except Copper and Aluminum) Rolling, Drawing, Extruding, and Alloying

[331491](#) Nonferrous Metal (except Copper and Aluminum) Rolling, Drawing, and Extruding

[331492](#) Secondary Smelting, Refining, and Alloying of Nonferrous Metal (except Copper and Aluminum)

**[3315](#) Foundries**

[33151](#) Ferrous Metal Foundries

[331511](#) Iron Foundries

[331512](#) Steel Investment Foundries

[331513](#) Steel Foundries (except Investment)

[33152](#) Nonferrous Metal Foundries

[331523](#) Nonferrous Metal Die-Casting Foundries

[331524](#) Aluminum Foundries (except Die-Casting)

[331529](#) Other Nonferrous Metal Foundries (except Die-Casting)

**[332](#) Fabricated Metal Product Manufacturing**

**[3321](#) Forging and Stamping**

[33211](#) Forging and Stamping

[332111](#) Iron and Steel Forging

[332112](#) Nonferrous Forging

[332114](#) Custom Roll Forming

[332117](#) Powder Metallurgy Part Manufacturing

[332119](#) Metal Crown, Closure, and Other Metal Stamping (except Automotive)

**3322 Cutlery and Handtool Manufacturing**

33221 Cutlery and Handtool Manufacturing

332215 Metal Kitchen Cookware, Utensil, Cutlery, and Flatware (except Precious) Manufacturing

332216 Saw Blade and Handtool Manufacturing

**3323 Architectural and Structural Metals Manufacturing**

33231 Plate Work and Fabricated Structural Product Manufacturing

332311 Prefabricated Metal Building and Component Manufacturing

332312 Fabricated Structural Metal Manufacturing

332313 Plate Work Manufacturing

33232 Ornamental and Architectural Metal Products Manufacturing

332321 Metal Window and Door Manufacturing

332322 Sheet Metal Work Manufacturing

332323 Ornamental and Architectural Metal Work Manufacturing

**3324 Boiler, Tank, and Shipping Container Manufacturing**

33241 Power Boiler and Heat Exchanger Manufacturing

332410 Power Boiler and Heat Exchanger Manufacturing

33242 Metal Tank (Heavy Gauge) Manufacturing

332420 Metal Tank (Heavy Gauge) Manufacturing

33243 Metal Can, Box, and Other Metal Container (Light Gauge) Manufacturing

332431 Metal Can Manufacturing

**3325 Hardware Manufacturing**

33251 Hardware Manufacturing

332510 Hardware Manufacturing

**3326 Spring and Wire Product Manufacturing**

33261 Spring and Wire Product Manufacturing

332613 Spring Manufacturing

332618 Other Fabricated Wire Product Manufacturing

**3327 Machine Shops; Turned Product; and Screw, Nut, and Bolt Manufacturing**

33271 Machine Shops

332710 Machine Shops

33272 Turned Product and Screw, Nut, and Bolt Manufacturing

332721 Precision Turned Product Manufacturing

332722 Bolt, Nut, Screw, Rivet, and Washer Manufacturing

**3328 Coating, Engraving, Heat Treating, and Allied Activities**

33281 Coating, Engraving, Heat Treating, and Allied Activities

332811 Metal Heat Treating

332812 Metal Coating, Engraving (except Jewelry and Silverware), and Allied Services to Manufacturers

332813 Electroplating, Plating, Polishing, Anodizing, and Coloring

**3329 Other Fabricated Metal Product Manufacturing**

33291 Metal Valve Manufacturing

332911 Industrial Valve Manufacturing

332912 Fluid Power Valve and Hose Fitting Manufacturing

332913 Plumbing Fixture Fitting and Trim Manufacturing

332919 Other Metal Valve and Pipe Fitting Manufacturing

33299 All Other Fabricated Metal Product Manufacturing

332991 Ball and Roller Bearing Manufacturing

332992 Small Arms Ammunition Manufacturing

332993 Ammunition (except Small Arms) Manufacturing

332994 Small Arms, Ordnance, and Ordnance Accessories Manufacturing

332996 Fabricated Pipe and Pipe Fitting Manufacturing

332999 All Other Miscellaneous Fabricated Metal Product Manufacturing

## APPENDIX B

### Examples of P2 Technical Assistance Projects

**This Appendix provides examples of P2 technical assistance projects. The project examples here are illustrative and do not represent all eligible project possibilities. Summaries of previously funded SRA grant projects can be found at <https://www.epa.gov/p2/grant-programs-pollution-prevention>.**

The following are examples of technical assistance projects and activities for the NEAs (see [Section I.F](#), and [Appendix A](#)).

- Convene industry roundtables among sector manufacturers and experts to exchange information and ideas to identify, develop and document P2 practices that may be appropriate for sector adoption. Follow up to determine if any P2 practices identified or developed from the roundtables were implemented by businesses facilities/other entities in the sector.
- Conduct P2 technical assessments at a business facility or other entity in the selected NEA sector(s) to identify and develop P2 practices, including whether supply chain inputs can reduce or eliminate the use of hazardous substances, pollutants or contaminants in facility operations. Document P2 practices performed to create transferable lessons for additional businesses other technical assistance beneficiaries (e.g., state agencies, federally-recognized tribes, intertribal consortia, business, facility, trade association, municipal/local governments, and/or local communities that received the technical assistance). Assess the combination of all hazardous material use and hazardous substances, pollutants and contaminant releases to all media whenever possible.
- Provide information on P2 opportunities to businesses or other technical assistance beneficiaries (e.g., state agencies, federally-recognized tribes, intertribal consortia, business, facility, trade association, municipal/local governments, and/or local communities that received the technical assistance) remotely (e.g., by phone, e-mail, or internet).
- In P2 technical assessments, look for opportunities to reduce air pollutant emissions (e.g., steps to prevent ammonia refrigeration leaks and other fugitive releases, substitute the use of aqueous materials for volatile materials, byproduct recovery and reuse within the business manufacturing process).
- In P2 technical assessments, look for opportunities to reduce pollutants discharged to water (e.g., reduce quantity and toxicity of cleaning products which may contaminate water; recover food, dairy, chemical, and other product materials before wet cleaning manufacturing work surfaces to reduce discharges to water; reduce other processing chemicals that contribute to wastewater contamination).

- In P2 technical assessments, look for opportunities to reduce energy use and increase energy efficiency (e.g., heat transfer systems, equipment upgrades/innovations, process changes/innovations, cleaner fuels).
- In P2 assessments, look for opportunities to conserve water (e.g., use high-volume, low-pressure washing systems that reuse water; identify practices to minimize loadings to wastewater systems, extend production line times between cleanings to minimize water use).
- In P2 assessments, look for opportunities to use lower-toxicity products (e.g., for product ingredients, refrigerants, equipment cleaning, building cleaners, food-grade lubrication and processing techniques and equipment).
- Develop alternative lower-toxicity chemicals or procedures as [Green Chemistry](#) solutions (e.g., develop alternative chemical ingredients for 3D printing, for solvents, equipment clean-in-place products, building cleaning products).
- Develop and/or implement a cohort model. In a cohort model, a group of businesses in the same sector will work on P2 steps in tandem, in an interactive and ongoing way. The cohort might begin with sharing new information and then continue with group communication on incremental steps toward demonstrating the P2 work, sharing experiences and lessons learned along the way.
- Conduct trainings/demonstration projects for a large number of businesses or other entities on P2 best practices being applied in an NEA sector or to demonstrate a technology not widely known.
- Conduct training, demonstration projects and P2 outreach to teach groups of businesses/other entities about ways to reduce the use of hazardous chemicals, water and energy (e.g., introduce to [EPA's Safer Choice program](#)/ products, how the [EPA Recommendations of Standards and Ecolabels for Federal Procurement](#) could be a useful tool, using [EPA's Safer Chemical Ingredients List](#))
- Provide P2 awards or certifications to businesses/other technical assistance beneficiaries which are recognized for the adoption of a set of P2 practices, provided these programs are driving the adoption of newly implemented P2 practices as a result of P2 technical assistance provided under this grant.
- Develop a special training, demonstration project or other outreach emphasis in a State leadership or green certification program to achieve sector-based results.
- Assist businesses/other technical assistance beneficiaries within an NEA sector to improve material practices to reduce the risk of release of hazardous chemicals during a storm, flooding or other natural disaster event. (i.e., inventory practices to reduce the amount of hazardous material stored on-site).

- Identify and target NEA businesses within environmental justice communities to provide P2 assessments focusing on hazardous materials and/or energy and water use reduction and training.
- Partner with trade associations relevant to the selected NEA to develop or provide training/demonstrations on P2 practices, or to host roundtables to develop P2 solutions.
- Develop a technical P2 analytic tool for an NEA sector.

## APPENDIX C

### Grants.gov Instructions and Limited Exception Procedures

#### 1. Requirement to Submit Applications through Grants.gov and Limited Exception

**Procedures:** Applicants, except as noted below, must apply electronically through [Grants.gov](https://www.grants.gov) under this funding opportunity based on the Grants.gov instructions provided below. 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 [OMS-ARM-OGDWaivers@epa.gov](mailto:OMS-ARM-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  
1200 Pennsylvania Ave., N.W.  
Mail Code: 3903R  
Washington, DC 20460

Courier Address:  
OGD Waivers  
c/o Jessica Durand  
Ronald Reagan Building  
1300 Pennsylvania Ave., N.W.  
Rm # 51278  
Washington, DC 20004

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

- Funding Opportunity Number (FON) – **EPA-HQ-OPPT-2020-002**
- Organization’s Name and 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 application 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 March 1, 2020, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2020). 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, 2019 with a submission deadline of February 15, 2020, the applicant would need a new exception to submit through alternative methods beginning January 1, 2020.

**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.

- 2. Grants.gov Application 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 in order 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 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 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](#) 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 SRA grant application package for this announcement by searching the funding opportunity on grants.gov. Go to [Grants.gov](#) and then click on “Search Grants” at the top of the page and enter the Funding Opportunity Number – **EPA-HQ-OPPT-**

2020-002, 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* application materials described in this Appendix and in [Section IV.B](#), to submit your application through Grants.gov. Applicants are strongly encouraged to follow the instructions for preparing the mandatory documents provided in [Section IV.B.3](#).

- a. **Mandatory Documents:** Please use “Project Narrative Attachment” form in Grants.gov to load mandatory documents.
  - i. Standard Form 424 – Application for Federal Assistance (SF-424)
  - ii. Standard Form 424A, Budget Information – Non-Construction Programs
  - iii. EPA Form 4700-4, Pre-Award Compliance Review Report for All Applicants Requesting Federal Financial Assistance
  - iv. EPA Key Contacts Form 5700-54
  - v. Cover Page of Application – an example is provided in [Appendix D](#).
  - vi. Project Narrative – prepared as described below in [Section IV.B.3.e](#).
- b. **Optional Attachments:** The following documentation, while not required, may benefit your application. Please use “Other Attachments” form in Grants.gov to load optional attachments.

The following documentation, while not required, may benefit the application:

- i. Letters of Support
  - ii. Staff resumes
  - iii. Graphs or tables of budgets and timelines for completing the work.
- c. Applications are due **Wednesday, May 20, 2020, 11:59 PM, EDT**. 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.

### 3. Technical Issues with Submission:

- a. 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 Authorized Organizational Representative (AOR) to avoid having to re-create the package should submission problems be experienced, or a revised application needs to be submitted.

- b. 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.

4. **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](https://www.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](mailto: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](https://www.grants.gov) or relevant [www.Sam.gov](https://www.sam.gov) system issues or for unforeseen exigent circumstances, such as extreme weather interfering with Internet access. Failure of an applicant to submit their application package 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](https://www.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.
- b. If the problems stem from unforeseen exigent circumstances unrelated to Grants.gov, follow these instructions:
  - i. Extreme weather interfering with Internet access, contact Michele Amhaz at 202-564-8857.
  - ii. 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](mailto: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.
  - iii. 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.

Note: 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 will be eligible for an award.

## APPENDIX D

### Sample Cover Page

[Grant Program Title] **FY 2020 and FY 2021 Source Reduction Assistance Grant Program**  
[Funding Opportunity Number] **EPA-HQ-OPPT-2020-002**  
[Application Title] **NY State Pollution Prevention Institute**  
[Region where it will be performed] **EPA Region 2**  
[National Emphasis Area(s) Addressed] **NEA #3: Automotive Manufacturing and Maintenance**

[Short Project Description – fewer than 900 characters]

The proposed project will provide two targeted training pilots and one on-site training demonstration focused on novel approaches for reducing the environmental footprint and business costs of small businesses and maintenance facilities within the automotive sector. Project activities will identify and pilot to businesses economically advantageous chemical alternatives to replace existing and highly toxic chemical solvents. In addition, the piloted trainings will deliver information on reducing energy costs and conserving water releases. Two case studies will be developed and distributed through our website and various P2 listservs to targeted audiences representing small businesses and maintenance facilities within the auto sector throughout the New York region for the purpose of disseminating P2 best practices and replicating lessons learned to others.

[Project funding]

Total Project Funding: \$80,000

Requested Funding: \$76,000

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

Jane Doe  
Pollution Prevention Program  
NY State Pollution Prevention Institute  
29 Hazen Drive, P.O. Box 123  
Rochester, NY 14623  
Tel: 222-222-2222  
Fax: 222-222-2222  
Email: jane.doe@state.nyp2si.us

John Doe  
Pollution Prevention Program  
NY State Pollution Prevention Institute  
29 Hazen Drive, P.O. Box 95  
Rochester, NY 14623  
Tel: 222-222-2222  
Fax: 222-222-2222  
Email: john.doe@state.nyp2si.us

[System for Award Management Registration]

System for Award Management Registration Date: 1/16/2020

## APPENDIX E

### Guidance for Reporting Grant Outputs and Outcomes

This guidance is to help applicants respond to the Selection Criterion on Environmental Results and Measurement and Reporting for SRA Grant Recipients.

#### A. Directions for Performance Reporting:

The following matrices show how information described in [Section I.H](#) can be reported for each technical assistance beneficiary receiving technical assistance. Separate matrices should be used for each technical assistance beneficiary, and rows for each table can be expanded or added. For the convenience of the grantees, an [Excel spreadsheet template](#) available from the [EPA Pollution Prevention Website](#) and EPA Regional P2 Program Offices may be used for the required reporting.

**Do not report recommendations that are not considered P2;** see [Section I.D](#) for what is not considered P2.

**SRA Grant Reporting**  
**P2 Recommendations and Implementation for Technical Assistance Beneficiaries**  
**Example 1**

**SRA Grant Information**

<b>Grant Number:</b>		<b>Grant Period (FY-FY)</b>		<b>Grant Project Number (1, 2, etc.):</b>	
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**Technical Assistance Beneficiary (TAB) Information**

<b>Name (optional):</b>		<b>Contact (optional):</b>	
<b>EPA Identifier (optional):</b>		<b>City (optional):</b>	
<b>NAICS Code:</b>		<b>State:</b>	
<b>NEAs addressed:</b>		<b>Region:</b>	
<b>Date P2 recommendations were provided to the facility:</b>		<b>Date(s) of follow up to check if P2 actions were performed:</b>	

**P2 Actions and Outcomes**

<b>Recommended P2 Actions*</b>	May track preliminary estimates here. Replace with verified post-implementation values when you get them.								Implementation:		If Not Implemented:		
	\$		Annual Reductions						✓	Comments			
	One-time Cost* to Implement the Action (\$)	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.)	Y if Yes	Include customized quantities and qualities of actual implementation	Barrier to Implement	Plan within 5 yrs? Y/N	
Ex. Reduce water use for cleaning (in coating dept.)							9,000,000	Y	Washer optimization completed				
Ex. Install overhead electrostatic painting eqpt. & use infrared curing					13,600				Estimated emissions are VOCs	Awaiting permit amendment	Y		
Ex. Install solar array						1,326		Y	Installed 1.2-megawatt solar array				

\* Please do not report recommendations that are not considered P2 - refer to [Sections I.C.](#) and [I.D.](#) for guidance on what is and is not considered P2.

\*\* Please do not indicate savings here.

# SRA Grant Reporting for Green Certification or Leadership Programs

## Example 2

### SRA Grant Information

<b>Grant Number:</b>		<b>Grant Period (FY-FY):</b>		<b>Grant Project Number (1, 2, etc.):</b>	
----------------------	--	------------------------------	--	---	--

### Technical Assistance Beneficiary (TAB) Information

<b>Name (optional):</b>		<b>Contact (optional):</b>	
<b>EPA Identifier (optional):</b>		<b>City (optional):</b>	
<b>NAICS Code:</b>		<b>State:</b>	
<b>NEAs addressed:</b>		<b>Region:</b>	
<b>Date P2 recommendations were provided to the facility:</b>		<b>Date(s) of follow-up to check if P2 actions were implemented:</b>	

### P2 Actions and Outcomes

P2 Actions 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.)

\* Note: please do not report actions that are not considered P2 - refer to [Sections I.C.](#) and [I.D.](#) for guidance on what is and is not considered P2.

\*\* Please do not indicate savings here.

# SRA Grant Reporting

## Where P2 Technical Assistance is Provided to Multiple Businesses (e.g., P2 training courses, outreach materials, roundtables)

### Example 3

#### SRA Grant Information

<b>Grant Number:</b>		<b>Grant Period (FY-FY)</b>		<b>Grant Project Number (1, 2, etc.):</b>	
----------------------	--	-----------------------------	--	---	--

#### Technical Assistance Beneficiary (TAB) Information

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

#### P2 Actions and Outcomes

P2 Actions 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 a business are not required where P2 technical assistance was broadly provided. However, EPA expects good faith efforts to follow up with businesses within one-year of when the technical assistance was provided, or by the end of the grant period to report information described above. Note: please do not report actions that are not considered P2 - refer to [Sections I.C.](#) and [I.D.](#) for guidance on what is and is not considered P2.

\*\* Please do not indicate savings here.

## APPENDIX F

### Guidance for Developing SRA Case Studies

**Purpose of P2 Case Studies:** To provide technical information on one or two specific P2 practices implemented by a business facility/other entity, including the costs and benefits, so that others can learn from and replicate those P2 practices. Case studies will be used to build and share a body of knowledge about P2 practices that could be implemented at similar businesses/other entities.

Case studies are not the same as success stories, which are communications targeted for a broad audience. Success stories are meant to demonstrate the value of P2, and the success of the approach taken, with only general information about the new innovations, technologies or practices that may be of interest to others.

Case studies should not describe all P2 practices implemented at a facility/location. They should only describe one or two specific P2 practices that the grantee believes are new or not widely known or adopted, or where the grantee believes other businesses/other entities would benefit from the additional technical detail that a case study would provide.

P2 case studies should provide information describing the P2 practice with enough detail that others could generally understand what was done, why it was implemented, and the costs and benefits so that others can determine if the practice is relevant to their circumstance and whether they could replicate the practice. If applicable, the case study should also provide information on the financing mechanism, model or approach used to implement the P2 practices if that information could be useful to others who may want to replicate the P2 practices described in the case study.

**Audience:** The target audience for these case studies may include: environmental professionals, such as State and Tribal P2 Technical Assistance Providers (TAPs), local/city governments, communities, businesses seeking to identify, assess and implement P2 best practices, etc.

**Elements:** Generally, within 2-5 pages.

- Name and location of the business facility/other entity (optional if confidentiality concerns).
- EPA Region.
- NAICS code and type of business.
- General description of the business facility/other entity (e.g. size of facility, annual revenues, number of employees).
- Why did the business/other entity choose to explore P2? (e.g., company goals, EMS requirement)
- What problem(s) was identified through P2 technical assistance?
- What were the major or innovative P2 actions implemented (e.g., process change, chemical substitution, green chemistry solution, equipment changes)? Please provide detail.

- Results (to the extent that the information below applies to the P2 action implemented):
  - Narrative description of the human health or environmental benefits, cost savings, or regulatory relief achieved by implementing the P2 actions.
  - Simple payback period.
  - Numerical results and associated cost savings for each P2 action and outcome;
    - Reduction in hazardous materials used (measured in lbs),
    - Reduction in hazardous substances, pollutants and contaminants released to air, water and land (lbs.)
    - Reduction in metric tons of carbon dioxide equivalent (MTCO<sub>2</sub>e).
    - Water conserved (gallons).
    - Include regulatory relief not covered in the above (e.g., waste hauling costs, reductions in permitting costs).
    - Other numerical outcomes.

## APPENDIX G

### 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. Additionally, applicants may also refer to EPA's Interim General Budget Development Guidance for Applicants and Recipients of EPA Financial Assistance at: <https://www.epa.gov/grants/rain-2019-g02>.

#### 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 application 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 their indirect cost rate (percentage) that reflects the proposed project/grant period. The applicant should indicate if their organization is in negotiations with an appropriate federal agency to obtain a new rate. Examples of indirect cost include: 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. For further information on indirect costs, please refer to EPA's Interim General Budget Development Guidance for Applicants and Recipients of EPA Financial Assistance Policy at: <https://www.epa.gov/grants/rain-2018-g02>.

**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**

<b>Project Strategy/Task</b>	<b>Hours/Unit (Grant Request)</b>	<b>Hours/Unit (Match/Cost Share)</b>	<b>Hours/Unit Rate</b>	<b>Application Request</b>	<b>Application Match</b>
<b>Task 1 - Launch XYZ Programs</b>					
				\$	\$
				\$	
<b>Task 1 Subtotal</b>				\$	\$
<b>Task 2 - NEA #1 and #2 Technical Assistance, Training or Demonstration Project</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/Other Entity 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 H

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

This guidance is intended solely for SRA grant projects that expect to generate environmental data. Prospective grant recipients may use this guidance to develop a Quality Assurance Project Plan (QAPP) to fully evaluate the success of their proposed grant work. If this guidance is used to develop a QAPP, it may be used in conjunction with the grantee's workplan to satisfy SRA grant QAPP requirements. Note: Documentation provided using this guidance and the accompanying workplan must be submitted to the EPA Project Officer for review and approval prior to the prospective grant recipient receiving an SRA grant award.

#### **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, (e.g., gallons of water saved, reductions in metric tons of carbon dioxide 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* 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 organizations (small and medium-sized) 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 business/other entity self-reporting via project-specific survey.)
- Discuss any limitations of the data. (Example: Data is self-reported by a participating business/other entity 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.