

FEDERAL AGENCY: U.S. Environmental Protection Agency (EPA), Office of Chemical Safety and Pollution Prevention, Office of Pollution Prevention and Toxics, Regional Pollution Prevention Program Offices

FUNDING OPPORTUNITY TITLE: Fiscal Year 2011 Pollution Prevention Grant Program

ANNOUNCEMENT TYPE: Request for Proposals (RFP)

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 66.708

FUNDING OPPORTUNITY NUMBER: EPA-HQ-OPPT-2011-04

SUBMISSION DATE: Applicants may submit a proposal by mail or electronically through Grants.gov by **Monday, March 28, 2011**. E-mailed and faxed submissions will not be reviewed. If sending a proposal through Grants.gov, the proposal must be submitted by **Monday, March 28, 2011, 11:59 pm EDT**. If mailing a proposal, the proposal must be received by the Region listed in Section VII on or before the submission date. Proposals received after the submission date will not be reviewed. For additional information on submitting a proposal please refer to **Section IV**.

SUMMARY OF ANNOUNCEMENT

The Pollution Prevention (P2) grant program supports state and tribal technical assistance programs to help businesses identify better environmental strategies and solutions for reducing or eliminating waste at the source. EPA anticipates it will award approximately \$4.1 million in total program funding during Fiscal Year (FY) 2011. P2 grants will be awarded in the form of grants and/or cooperative agreements. All awards will be issued and managed by EPA's Regional Pollution Prevention Program Offices (herein referred to as the Regions). The amount of grant funding available is dependent upon Congressional appropriation and the quality of proposals received.

Eligible Applicants: Eligible applicants include the fifty states, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the U.S., any agency or instrumentality of a state, state colleges or universities that are agencies or instrumentalities of the state, federally-recognized tribes that meet the requirements for treatment in a manner similar to a state as described in 40 CFR 35.663 and intertribal consortia that meet the requirements described in 40 CFR 35.504.

Note: Local governments, private universities, for-profit organizations, nonprofit organizations, private businesses, and individuals are not eligible to apply for funding.

CONTENTS BY SECTION

Section I.	<u>Funding Opportunity Description</u>
Section II.	<u>Award Information</u>
Section III.	<u>Eligibility Information</u>
Section IV.	<u>Proposal Submission Information</u>
Section V.	<u>Proposal Review Information</u>
Section VI.	<u>Award Administration Information</u>
Section VII.	<u>Agency Contacts</u>

Appendices

Appendix A	<u>Grants.gov Instructions</u>
Appendix B	<u>Sample Cover Page</u>
Appendix C	<u>Guidance for Submitting P2 Measurement Information</u>
Appendix D	<u>Project Timeline Samples</u>
Appendix E	<u>Itemized Budget Detail Guidance and Sample</u>

FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description: EPA is announcing the opportunity to submit proposals under the P2 grant program. Under the authority of the Pollution Prevention Act (PPA) of 1990, EPA anticipates that approximately \$4.1 million will be available to support P2 projects proposed by state agencies, state colleges or universities, federally-recognized tribes, and intertribal consortia during FY 2011.¹ The Regions will award P2 grants and/or cooperative agreements to support state and tribal technical assistance programs that address the reduction or elimination of pollution by businesses across all environmental media: air, water and land.²

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

A. Purpose: The goal of the P2 grant program is to assist businesses in adopting P2 practices that reduce pollution at the source, including conserving water and energy resources (**refer to criteria for P2 in Section I.D.2**). EPA is interested in supporting grant projects that emphasize a comprehensive and coordinated approach toward implementing sound P2 practices and effective best management practices. Previous grant applicants have demonstrated that businesses have ample opportunities to implement effective P2 practices and that source reduction is a cost-effective way of meeting or exceeding federal and state regulatory environmental requirements.

B. Revised National Focus Areas for P2 Grants: For several years, P2 grant recipients have helped shape the mission and objectives of the P2 grant program by incorporating three national focus areas into their grant and cooperative agreement projects, namely: 1) promoting multimedia P2 activities; 2) encouraging states and tribes to work toward their P2 program goals; and 3) encouraging applicants to engage in partnerships. Emphasizing these areas has helped address the environmental needs of state and tribal communities across the country. However, while these three focus areas remain structurally important to the P2 grant program, there are new and important drivers that have led the national P2 program (Headquarters and Regional staff) to reassess and revise the national focus areas. In 2010, the P2 program finalized its strategic plan. The plan, called the 2010-2014 Pollution Prevention Program Strategic Plan, describes the role the P2 program will play in identifying and leveraging pollution prevention opportunities within and outside of the Agency over a five-year period.³ The reason for developing the plan was to provide a workable framework to address present day issues such as climate change, sustainability, business

¹ FY 2011 refers to the period from October 1, 2010 – September 30, 2011.

² Assistance agreements under this announcement are awarded under the authority of Section 6605 of the PPA of 1990, Public Law 101-508, 42 U.S.C. 13104, 40 CFR 35.340 and 35.660. See <http://epw.senate.gov/PPA90.pdf> for more information.

³ 2010 -2014 P2 Program Strategic Plan – <http://www.epa.gov/p2/pubs/docs/P2StrategicPlan2010-14.pdf>.

efficiency and P2 integration activities. These concepts and activities are reflected in the plan's five goals:

1. Reduce the generation of greenhouse gas (GHG) emissions to mitigate climate change;
2. Reduce the manufacture and use of hazardous materials to improve human and ecological health;
3. Reduce the use of water and conserve other natural resources to protect ecosystems;
4. Create business efficiencies that derive economic benefits and improve environmental performance; and
5. Institutionalize and integrate pollution prevention practices through government services, policies, and initiatives.

To align with the goals of the strategic plan, the P2 grant program created five new national focus areas – greenhouse gas reduction, toxic and hazardous materials reduction, resource conservation, business efficiency and promoting P2 integration. **Under this year's competition, proposals must describe activities that address *one or more* of the national focus areas noted below in order to be considered for grant funding:**

1. **Greenhouse Gas Reduction:** The proposal must describe how project activities will contribute toward reducing greenhouse gases (GHGs) by promoting P2 measures and activities.

For purposes of this grant program, EPA considers GHGs such as carbon dioxide as those that occur naturally and are emitted into the atmosphere through natural processes and human activities. EPA considers GHGs such as fluorinated gases to be created and emitted solely through human activity. GHG chemicals of common concern include:

- a. **Carbon Dioxide (CO₂):** Carbon dioxide enters the atmosphere through the burning of fossil fuels (oil, natural gas, and coal), solid waste, trees and wood products, and is also emitted as a result of other chemical reactions (e.g., the manufacture of cement).
- b. **Methane (CH₄):** Methane is emitted during the production and transport of coal, natural gas, and oil. Methane emissions also result from livestock and other agricultural practices and by the decay of organic waste in municipal solid waste landfills.
- c. **Nitrous Oxide (N₂O):** Nitrous oxide is emitted during agricultural and industrial activities, as well as during combustion of fossil fuels and solid waste.
- d. **Fluorinated Gases:** Hydrofluorocarbons (HFCs), perfluorocarbons (PFCs), and sulfur hexafluoride (SF₆) are synthetic chemical compounds with high

global warming potential (much higher than CO₂, CH₄, and N₂O) that are used and released in a wide variety of commercial products and industrial processes (such as refrigerants, solvents, aerosol propellants, insulating foams, fire suppression agents, and heat transfer agents).

- 2. Toxic and Hazardous Materials Reduction:** The proposal must describe how project activities will reduce or eliminate the use of toxic and/or hazardous materials resulting in reduced risks to public health and the environment.

For purposes of this grant program, EPA considers toxic and hazardous materials reduction as the reduction or elimination of in-process generation of toxic and/or hazardous materials, including process inputs, process by-products, and process wastes, releases and discharges.

- 3. Resource Conservation:** The proposal must describe how project activities will reduce the use of raw materials; conserve energy, water or other resources. Resource conservation efforts should be linked to greenhouse gas reductions with appropriate calculations.

For purposes of this grant program, EPA considers resource conservation as P2 practices that can reduce the use of raw materials, energy, water or other resources and/or protects natural resources through conservation.

- 4. Promote Business Efficiency:** The proposal must describe how project activities will produce economic benefits and improve environmental performance.
- 5. Promote P2 Integration:** The proposal must describe how project activities will help to institutionalize and integrate P2 practices through government services, policies, and initiatives.

C. EPA Regions' P2 Priorities: To complement the five national focus areas identified above, each Region has developed a set of priorities that highlight specific environmental issues, projects, and/or programs that are of significant interest to the Region. **Applicants must address at least one or more of the priorities from Region where the project will take place in.** When evaluating proposals and making final funding decisions, the Region will consider the regional priority or priorities as well as the national focus area(s) selected by the applicant. For a list of states and/or U.S. territories represented by each Region, refer to **Section VII**.

Region 1

Conduct P2/source reduction projects with one or more of the following themes:

- **Sector-based P2/source reduction efforts** – e.g., healthcare, hospitality, autobody;
- **Environmental Justice (EJ)** – e.g., projects involving local efforts in EJ communities;

- **Green Economy/Green Jobs⁴** – e.g., developing/implementing green curricula, funding interns to conduct P2/source reduction projects;
- **P2/SR projects that align with any EPA media priorities** – e.g., municipal stormwater low impact development projects, new Clean Air Act Area Source Rules impacting varied sources;
- **Green Chemistry** – e.g., eliminating toxics by using more benign substitutes in schools, hospitals, or elsewhere;
- **Energy Efficiency projects** – e.g., set goals, develop and implement plans for energy use reduction, particularly those that prevent pollution of other media such as water or waste) or other climate emission reduction projects; and/or
- **Economy, Energy and Environment (E3) Initiative** – promote projects with a combination of Lean/Green reviews and GHG evaluations for manufacturers and work with various partners to leverage resources (possible partners include EPA's Green Suppliers Network, Department of Energy's Industrial Technologies Program, Department of Commerce's Manufacturing Extension Partnership Programs, Department of Labor's Employment and Training Administration, Small Business Development Program, municipal governments, and utility companies).

Region 2

- Promote projects that prevent pollution through the use of sustainable tools (e.g., Design for the Environment, green chemistry, green engineering, environmental management systems, life cycle analysis, environmentally preferable purchasing), and achieve measurable results in reducing greenhouse gases, hazardous materials, conserving water or saving money; or
- Promote projects that address the above criteria and focus on the hospitality sector, manufacturing sector and colleges/universities campuses; and/or in the geographical areas of Puerto Rico and the U.S. Virgin Islands.

Region 3

- Support state P2 programs with the goal of achieving measurable results;
- Promote state P2 projects that assist businesses to lean and green their operations and strengthen Economy, Energy and Environment (E3) projects utilizing state networks, the Green Suppliers Network, and other collaborative efforts with Manufacturing Extension Partnerships or Industrial Resource Centers with the goal of achieving measurable results; and/or
- Support state P2 projects that promote the EPA Region 3 Sustainability Partnership Initiative.

⁴ Region 1 defines green economy/green jobs as work that supports green workforce development.

Region 4

- Provide P2 technical assistance and achieve measurable results in reducing energy use, GHG emissions, hazardous materials, water use and costs through direct assistance or use of special programs in the following P2 program strategic plan sector focus areas: chemicals & manufacturing industries, hospitality, and municipalities & institutions (especially healthcare institutions);
- Assist businesses to improve economic and environmental operations through projects like Economy, Energy and Environment (E3) and/or Lean and Green manufacturing techniques;
- Improve the utilization of P2 assistance delivery techniques such as P2 student intern programs and retired engineer technical assistance programs; and/or
- Build partnerships to target P2 opportunities with businesses, communities, federally-recognized tribes, municipalities and other institutions that will achieve measurable results in reducing energy use, GHG emissions, hazardous materials, water use and costs through direct assistance or use of special programs.

Region 5

- Achieve measurable reductions of EPA's National Partnership for Environmental Priorities chemicals or those chemicals being considered for "action plans" through the use of sustainable practices such as replacing chemicals with greener substitutes, extending chemical or product life, or reducing chemical use. For additional information, refer to <http://www.epa.gov/oppt/existingchemicals/pubs/ecactionpln.html>;
- Provide P2 technical assistance and achieve measurable results in reducing energy use, GHG emissions, hazardous materials, water use and costs through direct assistance or use of voluntary programs in the following sector focus areas: chemicals & manufacturing industries, hospitality, and municipalities & institutions (especially healthcare institutions); and/or
- Assist businesses to Lean and Green their operations through projects like Economy, Energy and Environment (E3), by-product synergy, the Green Suppliers Network, and/or other collaborative efforts with Manufacturing Extension Partnerships and industrial resource centers.

Region 6

- Promote projects in large cities that encompass the "Green the Block" concept by providing impacted vulnerable communities with information and/or training on how to live greener, healthier lives, while living within their means.
- Promote projects that use P2/source reduction techniques and strategies (e.g., energy efficiency, Lean and Green techniques) and achieve measurable results by reducing pollution and hazardous waste, limiting water use, saving money and/or conserving

energy (e.g., through Telework, Commuter Solutions); and/or

- Promote P2 integration in matters dealing with enforcement.

Region 7

- The Region establishes a goal of integrated pollution prevention implementation as its regional priority. This new pronouncement builds upon (and does not refute) our historic efforts. Rather, it encourages the efforts of both new and existing programs to rise to higher environmental outcomes. This priority is Region-wide with anticipated significant contributions from each of the states and tribes. In addition to the technical assistance captured by the numeric goals, this priority also seeks innovation, constructive networking and leveraging of limited resources.

For FY 2011 environmental outcomes, the following technical assistance goals have been established:

- Reduce carbon dioxide equivalents by 20,000 metric tons,
- Conserve 100,000,000 gallons of water,
- Eliminate 250,000 pounds of toxics, and
- Implement savings of \$5,000,000

Demonstrated performance in achieving implemented reductions in carbon dioxide equivalents, water conservation, toxics reductions, and direct savings will be used to assess future forecasts.

Region 8

- Use concepts of P2 to advance the goal of sustainability to achieve measurable economic, environmental and/or societal solutions while protecting public health, welfare, and the environment (i.e., expanding state and local government sustainable product purchasing programs, using less and making more efficient use of material resources that are consumed, educating consumers about the economic and environmental benefits of product repair, etc.); and/or
- Promote P2 options in agriculture to achieve environmental objectives and improve environmental performance (i.e., exploring opportunities to encourage the development of Environmental Management Systems or best management practices for livestock or crop production, reducing external consequences of livestock or crop production, reducing or eliminating the use of toxic pesticides and other hazardous materials, increasing awareness or knowledge about nutrient management, using certain agricultural management practices to reduce greenhouse gas emissions, assessing impacts of livestock on the environment, working with key partners to support sustainable agricultural operation or production practices, etc).

Region 9

- Support projects under the sector focus areas in EPA's P2 Program Strategic Plan – Electronics, Chemical and Manufacturing Industries, Hospitality, Buildings and Construction (especially, residences and schools) – with the potential to scale up to statewide, regional, or national levels;
- Promote efforts targeting specific P2 opportunities for small businesses, communities, and tribes that can be scaled up to statewide, regional, or national levels; and/or
- Support programs or projects that promote product redesign, green product standards, environmentally preferable purchasing, or green chemistry with potential to influence regional or national markets.

Region 10

- Promote efforts that prevent the production and/or emission of GHGs by integrating energy efficiency and/or GHG measurement support into P2 technical assistance;
- Promote P2 efforts that support state priorities of safer chemical alternatives, Lean and the Environment, P2 planning, toxics initiatives or interstate/local government collaboration;
- Promote P2 efforts that green existing jobs and/or support markets for greener products/technologies; and/or
- Promote cross regional and national P2 initiatives, including Economy, Energy and Environment (E3).

D. Grant Program Requirements: This section summarizes EPA's grant policies and requirements, many of which are also discussed in other sections of this announcement including **Sections III, IV, and V.**

- 1. Eligible Applicants:** Section 6605 of the PPA and applicable parts of 40 CFR Part 35, Subparts A and B (40 CFR 35.340 et seq. and 35.660 et seq.) authorize EPA to award grants and cooperative agreements to states, any agency or instrumentality of a state, state universities that are agencies or instrumentalities of the State, federally-recognized tribes and intertribal consortia to support projects that promote the use of P2/source reduction techniques by businesses.

More specifically, eligible applicants include the fifty states, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the U.S., any agency or instrumentality of a state, state colleges or universities that are agencies or instrumentalities of the state, federally-recognized tribes that meet the requirements for treatment in a manner similar to a state as described in 40 CFR 35.663 and intertribal consortia that meet the requirements described in 40 CFR 35.504.

Note: Local governments, private universities, for-profit organizations, nonprofit organizations, private businesses, and individuals are not eligible to apply for funding.

- 2. Programmatic Criteria that Apply to P2 Grants:** For purposes of the grant program, P2 grant projects must address one of the following criteria in order to be considered for grant funding:
- a.** Reduce the amount of any hazardous substance, pollutant, or contaminant entering any waste stream or otherwise released into the environment (including fugitive emissions) *prior to recycling, treatment or disposal*;
 - b.** Reduce the hazards to public health and the environment associated with the release of such substances, pollutants, or contaminants; or
 - c.** Reduce or eliminate the creation of pollutants through:
 - increased efficiency in the use of raw materials, energy, water, or other resources; or
 - protection of natural resources by conservation.

P2 does not include any practice which alters the physical, chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which itself is not integral to and necessary for the production of a product or the providing of a service (refer to PPA Section 6603 and 40 CFR 35.343 and 35.662). Prevention includes what is commonly called “in-process recycling,” but not “out-of-process recycling”. While out-of-process recycling may share many of the advantages of P2 (e.g., reducing the need for end-of-pipe treatment and promoting energy and resource conservation), it is a distinct subject area that is not eligible for P2 grant funding. For more information on EPA’s recycling program managed by EPA’s Office of Resource Conservation and Recovery, visit <http://www.epa.gov/epawaste/consERVE/rrr/recycle.htm>.

Some examples of P2/source reduction projects include, but are not limited to: 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.

For additional information on allowable P2 grant projects, applicants may read summaries of past P2 grants at <http://www.epa.gov/p2/pubs/grants/ppis/ppis.htm>.

- 3. Regulatory Criteria that Apply to P2 Grants:** As mandated in the U.S. Code of Federal Regulations (40 CFR 35.342 and 35.661, as applicable), a P2 grant proposal must address, and will be evaluated on whether it:
- a.** Makes specific technical assistance available to businesses seeking information about source reduction opportunities, including funding for experts to provide on-site technical advice to businesses and to assist in the development of source reduction plans;

- b. Targets assistance to businesses for whom lack of information is an impediment to source reduction; and
- c. Provides training in source reduction techniques.

Note: In addition to the programmatic and regulatory criteria noted above, proposals will be evaluated on an additional set of criteria that have been developed by the P2 program. Please refer to **Section V.A** for complete information.

- 4. **Programmatic Capability:** Applicants are required to describe their ability to successfully complete and achieve the goals of the proposed project(s). To do so, the applicant must address these topics in their proposal narrative:
 - a. **Experience Achieving Project Objectives:** Describe how the applicant's organizational experience and resources support the successful completion of the proposed project. Also, describe if and how the applicant participates in the National Pollution Prevention Results Data System. The System collects P2 measures on a national basis and reflects the applicant's overall ability to measure and demonstrate P2 achievements. For more information go to: <http://www.p2rx.org/services/measurement.cfm>; and
 - b. **Staff Qualifications:** Describe the applicant's staff qualifications and knowledge to successfully accomplish the proposed project.
- 5. **Engaging Partners in P2 Grant Work:** For the past 14 years, EPA has required P2 grant applicants to identify major environmental/business assistance providers in their states and to work with these organizations to educate businesses on the benefits of P2. EPA believes that applicants who develop strong relationships with other environmental/business assistance providers can greatly enhance their opportunity for securing state and federal resources in the future by dedicating time to develop partnerships.
 - a. **Ways to Promote Partnerships:** The P2 program continues to seek more cooperation among applicants and environmental/business assistance providers at the state level. These partnerships may include university-based technical assistance and cooperative extension programs, and other environmental assistance programs offered within the state. Partnerships are also encouraged among businesses trade organizations, federal programs and with regional and national programs such as with the Pollution Prevention Resource Exchange (P2Rx) Centers, 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 Programs, the Department of Energy's (DOE) Industrial Assessment Centers, etc.⁵

⁵ If a partnership is formed with another federal program, the cash or in-kind contribution may not be used by the applicant to supplement the match requirement provided under this announcement. For more information on Cost Sharing and Matching Requirements, refer to Section III.A.

By developing such partnerships applicants can leverage outside expertise. Forging these kinds of partnerships can reduce the need for other environmental/business assistance providers to develop their own P2 expertise, which would otherwise result in a duplication of effort. For these reasons, applicants are **strongly** encouraged to establish partnerships with environmental/business assistance providers and/or regional and national programs to seamlessly deliver P2 technical assistance.

- b. Making Use of P2Rx Centers:** EPA has allocated a portion of its state and tribal assistance programmatic grant funding to sustain the development and dissemination of quality, peer-reviewed P2 content to promote the adoption of P2 practices by state and local governments as well as institutions and businesses through P2Rx Centers. The Centers promote networking with regional and national listservs, websites, and conferences. The Centers support P2 measurement through the National P2 Results database system and collection of case studies. To prevent duplication of EPA's P2 grant efforts, the Regions **strongly** encourage applicants to explore opportunities for collaboration with their regional Center. Grantees should contact their Center to find out what information or services may be available to assist in the proposed work. Grantees should ensure that their grant products are shared with their P2Rx Center to expedite national availability. For more details on P2Rx please visit <http://www.p2rx.org>.

Note: EPA requires applicants to document their partnership work by providing a Letter of Support that is submitted on behalf of the applicant by the environmental/business assistance provider or regional/national program. The Letter of Support documents a cash donation or an in-kind service. Under this competition, EPA will only consider Letters of Support. Letters of Recommendation will not be reviewed or evaluated. For clarification, a Letter of Recommendation is a document approving a proposed activity. A Letter of Support clearly specifies the services the grant partner will provide to help carry out work plan activities.

- 6. Cost Sharing and Matching Requirements:** P2 grant recipients, as required under Section 6605 of the PPA, must provide at least a 50 percent match of the total allowable project cost. The match requirement may be applied at the time of award or at specified intervals during the project period. The federal government will provide half of the total allowable cost of the project and the recipient will provide the other half. Cost sharing and matching contributions may include dollars, in-kind goods and services (such as volunteered time, photocopying, printing services, etc.) and/or third party contributions consistent with 40 CFR 31.24. When preparing the budget, the use of the matching funds must be documented. For more information on fulfilling the match requirement, please refer to **Section III.A.**

Note: Insular area applicants in the U.S. Virgin Islands, American Samoa, Guam and the Northern Mariana Islands are advised to contact EPA Region 2 or 9 to determine if the cost share requirement will be waived in whole or in part, as authorized by the Omnibus Territories Act of 1977, as amended, 48 U.S.C. Section 1469a. For contact information refer to **Section VII** to locate the applicable Region.

7. **Funding Period:** EPA will not consider proposals lasting more than three (3) years.

8. **Alignment with EPA’s Statutory Measurement Provisions and Environmental Results Policy:** To comply with the provisions of the PPA and EPA’s Environmental Results Policy, grant applicants and recipients are required to estimate and report on the results of their project activities. As authorized under the PPA, (Section 6605 of the PPA, Public Law 101-508, 42 U.S.C. 13104) the Agency “shall establish appropriate means for measuring the effectiveness of the P2 grant Program by promoting the use of source reduction techniques by businesses.” In addition, EPA’s Environmental Results Policy (EPA Policy Order No. 5700.7) requires the applicant to provide qualitative and quantitative estimates of expected outcomes and outputs on project activities and develop a plan for measuring and tracking their progress towards achieving the expected outcomes and outputs.⁶

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

Examples of outcome measures the P2 program expects to achieve under the P2 grant program include, but are not limited to:

- Pounds of hazardous materials reduced;
- Million metric tons of carbon dioxide equivalent reduced (MMTCO₂Eq)⁷;
- Gallons of water saved; and
- Dollars saved through P2 efforts.

b. **P2 Output Measures:** The term “output,” as defined by the Agency, refers to an environmental activity or effort and associated work product related to an environmental goal or objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative, and must be measurable during the assistance agreement funding period.

Examples of output measures the P2 program expects to achieve under the P2 grant program include, but are not limited to:

- Number of stakeholder groups involved in the process;

⁶ EPA Order 5700.7, Environmental Results Under Assistance Agreements - <http://www.epa.gov/ogd/grants/award/5700.7.pdf>.

⁷ P2 grantees will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO₂e) reduced to reflect the true capacity that the grantee can document and track results. However, on a programmatic level, the P2 program and the Agency document and track greenhouse gas results using the measures MMTCO₂Eq and MMTCE respectively. These measures are used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions, please go to: <http://www.epa.gov/OMS/climate/420f05002.htm>.

- Number of assistance visits;
- Number of workshops, trainings and courses conducted; and
- Number of fact sheets developed or distributed.

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

- Numeric estimates of expected P2 results per project;
- A description of the relevant data collection methods (e.g., surveys, pre/post tests, participant reporting arrangements);
- A description of the equations, factors and assumptions used to calculate the estimated pollution prevention results;
- An itemized budget that reflects the resources needed to pay for measurement and reporting activities. In some cases this may require 10-20 percent of the proposed budget;⁸ and
- A project timeline that includes data collection and evaluation activities supporting environmental outcome measures.

10. Alignment with EPA’s Strategic Plan: P2 grant work plans must note a commitment to work towards the five long-term P2 targets provided in the Agency’s FY 2011-2015 Strategic Plan. The P2 Program’s targets are located under Goal 4: Ensuring Safety of Chemicals and Preventing Pollution, Objective 4.2: Promote Pollution Prevention.

Strategic targets:

- By 2015, reduce 15 billion pounds of hazardous materials cumulatively through P2 (Baseline is 4.8 billion pounds reduced through 2008.)
- By 2015, reduce 9 million metric tons of carbon dioxide equivalent (MMTCO₂Eq) cumulatively through P2. (Baseline is 6.5 MMTCO₂Eq reduced in 2008. The data from this measure is also calculated into the Agency’s overall greenhouse gas measure under Goal 1.)⁹

⁸ Appendix E provides a sample itemized budget. EPA will consider partial funding in appropriate circumstances. For more information on partial funding, please refer to Section II.A.

⁹ P2 grantees will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO₂e) reduced to reflect the true capacity that the grantee can document and track results. However, on a programmatic level, the P2 program and the Agency document and track greenhouse gas results using the measures MMTCO₂Eq and MMTCE respectively. These measures are used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions, please go to: <http://www.epa.gov/OMS/climate/420f05002.htm>.

- c. By 2015, reduce water use by an additional 24 billion gallons cumulatively through P2. (Baseline is 51 billion gallons reduced through 2008.)
- d. By 2015, save \$1.2 billion through P2 improvements in business, institutional, and government costs cumulatively. (Baseline is \$3.1 billion dollars saved through 2008.)
- e. Through 2015, increase the use of safer chemicals cumulatively by 40 percent. (Baseline: 476 million pounds of safer chemicals used in 2009 as reported to be in commerce by the Design for the Environment program.)

For more information on the Agency's 2011- 2015 Strategic Plan, please go to: <http://www.epa.gov/ocfo/plan/plan.htm>, then click on the hyperlink to the Strategic Plan. To view the P2 strategic targets, please scroll to the bottom of the page and enter page number 57 in the text box.

11. Past Performance: Applicants are required to describe in their proposal their past performance regarding grant management/performance and compliance with reporting requirements. To do so, the applicant must submit a list of federally-funded agreements (assistance agreements include federal grants and cooperative agreements, but not federal contracts) similar in size, scope and relevance to the proposed project that they performed within the last three years (no more than 5 agreements, and preferably EPA agreements), and address the three items listed below for each agreement.

- a. **Experience Managing Grants:** Describe the applicant's past performance in successfully completing and managing the agreements;
- b. **Experience Meeting Reporting Requirements:** Describe the applicant's history of meeting reporting requirements under the agreements including submission of acceptable final technical reports; and
- c. **Experience Reporting Expected Results:** Describe whether the applicant adequately documented and/or reported on their progress towards achieving the expected results (i.e., outcomes and outputs) under the agreements. If such progress was not made, please indicate why not.

Note: Applicants with no relevant or available past performance or reporting history must indicate this in their proposal. Applicants falling into this category will receive a **neutral score** for these factors in accordance under the evaluation process noted in **Section V**.

II. Award Information: EPA anticipates that in FY 2011 approximately \$4.1 million will be available to issue P2 grants and cooperative agreements to eligible applicants (**refer to Section III**) for prevention activities during FY 2011 – 2012. As in previous years, individual grant awards are expected to be in the range of \$20,000-\$180,000. The amount of grant funding depends upon Congressional appropriation and the quality of proposals received. Collectively, the Regions anticipate receiving approximately 70 grant proposals and issuing approximately 50 awards. Each Region reserves the right to reject all proposals and issue no awards, or issue fewer awards than

anticipated. All awards must be consistent with the applicable EPA regulations and grant policies. In addition, each Region reserves the right to make additional awards under this announcement, consistent with Agency policy, if additional funding becomes available after making original selections. Any additional selections for awards will be made no later than six months from the date of the original selections.

A. Partial Funding: In appropriate circumstances, the Region reserves the right to partially fund proposals/applications by funding discrete portions or phases of proposed projects. If the Region decides to partially fund a proposal/application, it will do so in a manner that does not prejudice any applicant or affect the basis upon which the proposal/application or portion thereof, was evaluated and selected for award, and therefore will work to maintain the integrity of the competition and selection process.

Note: In order to be considered for partial funding, the applicant's work plan must have clearly delineated activities or phases that include separate budget estimates for each activity/phase of the project. The completed work plan must include a budget that estimates the costs for labor (by labor category), fringe benefits, travel, equipment, supplies, contractors, and other direct costs and indirect costs. The budget must itemize these costs under each task of the **entire** work plan and must identify the activities (and corresponding estimated costs) covered by the match of 50 percent or more of the total allowable project cost.

B. Funding Restrictions: P2 grant funds may only be used for the purposes set forth in the grant agreement and must be consistent with the statutory authority (Section 6605 of the PPA, Public Law 101-508, 42 U.S.C. 13104, 40 CFR 35.340; 35.660) of the P2 grant program (**refer to Section I**). Grant funds may not be used for matching funds for other federal grants, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. All costs identified in the budget must conform to applicable federal cost principles contained in OMB Circular A-87, A-122, and A-21, as appropriate. If necessary, the Region will subtract the proposed ineligible costs from the final approved budget.

C. Type of Assistance Instrument to be Awarded: P2 grant funds will be issued in the form of grants and/or cooperative agreements under the authority of PPA, Section 6605. The Region will award cooperative agreements for those projects in which the Region expects to have substantial technical interaction with the grant recipient during the assistance agreement. For such projects, the Region may review and approve project phases, review and approve proposed subgrants and contracts, collaborate with the grant recipient on the scope of work and mode of operation of the project, closely monitor the grant recipient's performance, approve any proposed changes to the work plan and/or budget, approve qualifications of key personnel, and review and comment on reports prepared under the assistance agreement. The Region will not be substantially involved in the performance of grants.

D. Award Restrictions for Federally-recognized Tribes and Intertribal Consortia: One of the primary goals of EPA's P2 Program is to fund grants and cooperative agreements that promote P2/source reduction techniques to reduce GHG emissions emitted by businesses. EPA's Climate Protection Partnerships Division/Local Climate and Energy Program also has a program that seeks to fund grants to reduce GHG emissions from businesses. Its program is called the Climate Showcase Communities (CSC) grant program. As under the P2 grant program, the CSC program

also extends eligibility to federally-recognized tribes and intertribal consortia. Being that the P2 and CSC programs are offering grant funding to tribes to perform similar tasks – i.e., reduce GHG emissions, the Agency would like to avoid a duplication of effort. As such, proposals submitted under this announcement **must** be for eligible projects that meet the requirements of the P2 grant program and the PPA (**refer to Sections I.D.2 and 3**). Any proposals that do not meet these requirements will not be reviewed. Federally-recognized tribes and intertribal consortia that wish to pursue projects that are not P2 focused should consider applying for funding under EPA's CSC grant program. If CSC funding becomes available in FY 2011, a link to the announcement will be posted on EPA's website at http://www.epa.gov/ogd/grants/funding_opportunities.htm.

III. Eligibility Information: Eligible applicants are identified in the paragraph below and must meet the threshold eligibility requirements described in **Sections III.B and C** below in order to receive funding consideration. States and tribes that intend to include P2 grant funds in Performance Partnership Grants (PPGs) should read the special eligibility requirements described in **Section III.E**.

Eligible applicants include the fifty states, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the U.S., any agency or instrumentality of a state, state colleges or universities that are agencies or instrumentalities of the state, federally-recognized tribes that meet the requirements for treatment in a manner similar to a state as described in 40 CFR 35.663 and intertribal consortia that meet the requirements described in 40 CFR 35.504.

<p>Note: Local governments, private universities, for-profit organizations, nonprofit organizations, private businesses, and individuals <u>are not</u> eligible to apply for funding.</p>

A. Cost Sharing and Matching Requirements: P2 grant recipients, as required under Section 6605 of the PPA, must provide at least a 50 percent match of the total allowable project cost. For example, the federal government will provide half of the total allowable cost of the project and the recipient will provide the other half. Cost sharing and matching contributions may include dollars, in-kind goods and services (such as volunteered time, photocopying and printing services, etc.) and/or third party contributions consistent with 40 CFR 31.24. In the detailed budget, the use of the matching funds must be documented. *The match requirement may be applied at the time of award or at specified intervals during the project period.* The grant applicant must document in the itemized budget plan the type of match to be applied and how it will be used. The grant project officer in the Region will monitor the grant recipient's compliance. If the match requirement is not met or is not applied at specified intervals during the project period, federal funding will cease and the recipient will be held liable for all incurred costs.

Note: Insular area applicants in the U.S. Virgin Islands, American Samoa, Guam and the Northern Mariana Islands are advised to contact EPA Region 2 or 9 to determine if cost share requirements will be waived in all or in part, as authorized by the Omnibus Territories Act of 1977, as amended, 48 U.S.C. Section 1469a. For contact information refer to **Section VII** to locate the applicable Region.

B. Threshold Program and Submission Requirements: Work plans from eligible applicants must demonstrate how they meet the threshold program requirements identified below in order to receive funding consideration. Work plans that fail to meet all of the requirements will be rejected. Applicants deemed ineligible based on this section will be notified by the Region within 15 calendar

days of the ineligibility decision.

C. Threshold Program Requirements:

1. Proposed projects must be activities that apply to at least one of the national criteria (**Section I.B**);
2. Proposed projects must be activities that apply to at least one of the priorities listed by the applicable Region (**Section I.C**);
3. Proposed projects must be activities that apply to the criteria of P2 grants (**Section I.D.2**);
4. Proposed projects may not have project periods that exceed three (3) years (**Section I.D.7**); and
5. Proposed projects must align with EPA's Strategic Plan (**Section I.D.10**).

D. Threshold Submission Requirements: This section addresses how an applicant should prepare their proposal package.

1. The proposal package must substantially comply with the submission instructions and requirements set forth in **Section IV** of this RFP or the package will be rejected. Applicants are expected to adhere to the page limit requirement of **10 pages or less (Section IV.C)**. The page limit applies to the proposal narrative (i.e., the project narrative and the work plan). Pages in excess of the 10 pages will not be reviewed.
2. Proposals must be received by the Region on or before the proposal submission deadline provided in **Section IV.A**. Applicants are responsible for ensuring that their proposal reaches the Region listed in **Section VII** by the submission deadline.
3. Proposals received after the submission deadline will be considered late and returned to the applicant without further consideration, unless the applicant can clearly demonstrate that the package was late due to EPA mishandling.

Note: For hard copy submissions only, proposal packages received by an EPA mailroom is not sufficient. Applicants should confirm receipt of their proposal package with the Region identified in **Section VII** by the submission deadline – failure to do so may result in the proposal package not being reviewed.

E. Special Requirements for States and Tribes, Intertribal Consortia and Insular Area Applicants (with Performance Partnership Grants): Due to their special status, applicants from states, federally-recognized tribes and insular areas that intend to include P2 grant funds in a PPG should address the following requirements:

1. **P2 Grant Funds Included in a State PPG:** P2 grant funds may be included in a PPG. State agencies that wish to include the funds from a competitive P2 grant as part of their PPG must also include the work plan commitments of the P2 grant in their PPG work plan. Refer to 40 CFR 35.138.

- 2. Tribal Performance Partnership Grant:** If a tribe or intertribal consortium is selected for a P2 grant, the tribe or intertribal consortium may fold the funds into a PPG agreement as authorized under 40 CFR Part 35, Subpart B. If the tribe or intertribal consortium proposes to develop a work plan that significantly differs from the P2 PPG work plan, the tribe or intertribal consortium will need to consult with EPA's Office of Pollution Prevention and Toxics for approval (refer to 40 CFR 35.535(b)). If the tribe or intertribal consortium successfully incorporates its work plan into a P2 PPG, the match requirement for the P2 portion of the work plan will be reduced to 5 percent of the allowable project cost. The reduction in the match only applies to the first two years of the PPG agreement.

After the first two years of the PPG agreement, the Regional Administrator must determine through objective assessment whether the tribe or the members of the intertribal consortium meet socioeconomic indicators that demonstrate the ability of the tribe or the intertribal consortium to provide a cost share greater than 5 percent. If the Regional Administrator determines that the tribe or the members of intertribal consortium meet such indicators, then the Regional Administrator shall increase the required cost share up to a maximum of 10 percent of the allowable cost of the proposal budget for each program with a cost share greater than 5 percent.

Further, the Regional Administrator may waive the cost share required for a PPG upon request of the tribe or intertribal consortium, if, based on an objective assessment of socioeconomic indicators, the Regional Administrator determines that meeting the cost share would impose undue hardship (refer to 40 CFR 35.536(d)).

IV. Proposal Submission Information: The application process is a two-step process involving a **proposal** package, followed by an **application** package. The applicant first submits a proposal to the Region or through Grants.gov. In order for the proposal to be reviewed, it must contain the following items:

- Cover Page;
- SF 424 form;
- Key Contact information;
- Proposal Narrative; and
- Letters of Support

Section D below provides instructions for preparing these items. Applicants that submit eligible proposals that merit further consideration based on the evaluation criteria in **Section V** will be contacted by the Region and asked to submit an application package. Only those applicants who are asked to submit an application will be considered for a P2 grant or cooperative agreement. Application materials include additional federal forms and supporting documentation. An application **should not** be submitted at this time.

A. Submission Deadline: Applicants may submit a proposal by mail or electronically through Grants.gov by **Monday, March 28, 2011**. E-mailed and faxed submissions will not be reviewed. If sending a proposal through Grants.gov, the proposal must be submitted by **Monday, March 28, 2011, 11:59 pm EDT**. For mailed submissions, proposals must be received by the appropriate

Region listed in Section VII by the submission date. Proposals received after the submission date will not be considered for funding. The Regions anticipate that final funding decisions will be made 180 days after the post date of this announcement.

B. Proposal Submission Methods: Applicants may choose to submit proposals in *one of two ways – hard copy or electronically*. If submitting by hard copy, please follow the instructions under “Hard Copy Submission” (**refer to Section IV.E below**). If submitting electronically, the applicant must do so through Grants.gov. Please follow the instructions under “Electronic Submission” (**refer to Section IV.F below**) for more information.

C. Proposal Length and Format: The proposal narrative as described in **Section D.4** below must be no more than 10 single-spaced pages (i.e., a page equal’s one side). Proposals longer than 10 pages will only be reviewed up to the page limit. Proposals must be readable in PDF or MS Word for Windows in English.

D. Proposal Materials: The proposal should contain a cover page, federal assistance form (SF-424), narrative proposal, key contact information and letters of support. **The page limit applies to the proposal narrative only.**

1. **Cover Page:** The cover page should contain the following information:
 - a. Grant program title;
 - b. Funding opportunity number of the announcement;
 - c. Title of proposal;
 - d. Short description of the proposal;
 - e. Total funding amount of the project and requested funding of the project;
 - f. Applicant’s contact information (i.e., name of applicant, name of organization, mailing address, phone number, fax number, and e-mail address); and
 - g. Central Contractor Registration date (**refer to Section VI.C.2**).
2. **Application for Federal Assistance Form (SF-424):** To download the form, go to <http://www.epa.gov/ogd/AppKit/form/SF424.pdf>. When filling out form SF-424, applicants are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. Applicants may obtain a DUNS number by calling the toll-free DUNS number request line at 1-866-705-5711. Alternatively, applicants may also request a DUNS number online by going to <http://fedgov.dnb.com/webform> and following the instructions for submitting a grant. Applicants must e-mail or fax the Region a signed copy of the form.
3. **Key Contacts Form (5700-54):** To download the form, go to http://www.epa.gov/ogd/forms/adobe/5700-54_sec.pdf. You are asked to identify the key personnel who will file and manage the paperwork, fund the project(s) and

direct the work plan.

4. **Proposal Narrative:** The proposal narrative contains two parts – **a** and **b** noted below. The proposal narrative is subject to the proposal page limit as described above.
 - a. **Project Narrative:** The project narrative must address how the proposal meets the threshold program requirements described in **Section III.C**. It must also include information addressing programmatic capability (**Section I.D.4**) and past performance requirements (**Section I.D.11**) in order to receive an evaluation score as described in **Section V**.
 - b. **Work Plan:** The work plan addresses the strategy, environmental measures, financial aspects, and time frame of the proposed project(s) as described below:
 - (i) **Project Strategy:** Describe the following elements of the project(s): The environmental and public health concerns, partners involved, and the project(s) transferability – how well will the project(s) serve surrounding communities after its completion?
 - (ii) **Environmental Measures:** The following measurement information must be provided to describe the environmental results of the proposed project(s):
 - a. Applicants will need to provide qualitative and quantitative estimates of expected P2 outcomes and outputs of the project activities. (**Refer to Section I.D.8 for examples of outcomes and outputs**);
 - b. A description of the relevant data collection methods (e.g., surveys, pre/post tests, participant reporting arrangements);
 - c. Numeric estimates of expected P2 results per project activity;
 - d. A description of the equations, factors and assumptions used to calculate the estimated P2 results; and
 - e. A plan for tracking the applicant’s progress towards achieving the expected project outcomes and outputs (**Section I.D.8**).
- (iii) **Budget Detail (SF-424A – page 1):** To download the form, go to

<http://www.epa.gov/ogd/AppKit/application.htm>. Scroll down the page and find the form titled Budget Information – Non – Construction Programs Standard Form 424A page 1, click on the link to download the form. The budget must comply with the 50 percent cost sharing and matching requirements (**Section I.D.6**). The budget must also reflect the resources needed to pay for measurement and reporting activities. In some cases this may require 10-20 percent of the proposed budget. If applicants wish to be considered for partial funding they must comply with the instructions provided in **Section II.A**. For an example of an itemized budget refer to **Appendix E**.

- a. **Management Fees:** When formulating a budget, applicants may not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by their audit agency, or at the rate provided for in the terms of the assistance agreement negotiated with EPA. The term “management fees or similar charges” refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA grants or cooperative agreements. Management fees or similar charges may not be used to improve or expand the project funded under the grant or cooperative agreement, except to the extent authorized as a direct cost of carrying out the work plan.
- b. **Compensation for Consultants:** The use of EPA financial assistance compensation for consultants is limited to the daily equivalent of the rate paid to Federal employees at the ES-IV level (refer to 40 CFR Sections 30.27 B (b) and 31.36 (j)).

- (iv.) **Project Timeline:** A project timeline of no longer than three years (**Section I.D.7**) should reflect key project tasks and deliverables as well as the data collection activities that capture environmental results (**Section I.D.8**). Sample project timelines are provided in **Appendix D**.

Note: The applicant must also make sure the narrative proposal addresses the evaluation criteria identified in **Section V** to the extent they are not otherwise addressed above.

- 5. **Letters of Support:** EPA requires applicants to document their partnership work by providing a letter of support that is written on behalf of the applicant by the environmental assistance provider or the regional or national program. Letters of support clearly state the intent of the partner – one who will be engaged in the project by lending cash or in-kind services to the project. The applicant will submit the letters as part of their grant proposal package. The letters will not count toward the page limit requirement.

Note: Under this competition, EPA will only consider letters of support. Letters of recommendation will not be reviewed or evaluated. For clarification, a letter of recommendation is a document offering approval of the proposed activity. A letter of support specifies the services the grant partner will provide to help carry out the objectives of the work plan.

E. Hard Copy Submission: Applicants choosing to submit their proposal package by hard copy **must** send **two** complete copies to the appropriate Region listed in **Section VII**. EPA strongly recommends that applicants use overnight delivery service or courier service as regular mail may be subject to unforeseeable delays. Proposals received after the submission date as noted in **Section IV.A** will not be considered for funding. Proposals must be prepared in accordance with **Sections IV.C and D**.

Note: For hard copy submissions applicants are encouraged to send an e-mail to the Region listed in **Section VII** to serve as a notification that a hard copy proposal was submitted.

F. Electronic Submission: Applicants who choose to apply electronically must submit the entire proposal through Grants.gov (<http://www.grants.gov>). Please follow the instructions in **Appendix A**. Please **do not** e-mail or fax any portion of the proposal to the Region, as it will not be reviewed and will be rejected.

G. Other Submission Requirements:

- 1. Confidential Business Information:** In accordance with 40 CFR 2.203, applicants may claim all or a portion of their proposal/application as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark proposals/applications or portions thereof they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure. However, the agency considers competitive proposals/applications confidential and protected from disclosure prior to the completion of the competitive selection process.
- 2. Federal Requirements:** If an applicant's proposal is preliminarily selected for potential Federal funding during the initial review process, the applicant will be contacted by the Region and instructed to submit required application forms. All application forms **must** be filled out in their entirety, prior to being considered for an award (refer to 40 CFR 30.12 and 31.10). In addition, successful applicants will be required to certify that they have not been debarred or suspended from participation in Federal assistance awards in accordance with 2 CFR Part 108.
- 3. Intergovernmental Review:** This grant program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs" and 40 CFR Part 29. An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed when applying for assistance, if the state has selected the program for review. If the state has not selected the program for review or the state does not have a single point of contact, applicants must coordinate directly with the affected state,

regional, and local entities. If the applicant does not know who their single point of contact is, they are advised to call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325 or refer to the state Single Point of Contact web site at http://www.whitehouse.gov/omb/grants_spoc. *Federally-recognized Tribal governments are not required to comply with this procedure.*

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

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1),¹⁰ P2 program staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their proposals and applications. However, consistent with the provisions in this RFP, P2 program staff will respond to questions from applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement.

I. Pre-proposal Assistance on Environmental Measurement: A written set of questions and answers has been prepared on environmental measurement to help P2 grant applicants understand why preparing, documenting and reporting environmental measurement data is important to their work. The questions also answer questions on what things to measure; how to measure; and how the work will be evaluated. Applicants are strongly encouraged to refer to the questions and answers as a resource when preparing their proposals. To view, go to [Q&As on the Requirements to Provide Estimates of Outcomes for Proposed Grant and Cooperative Agreement Projects and To Track Progress](#). The questions and answers are meant to augment information provided in **Appendix C – Guidance for Submitting P2 Measurement Information.**

J. Consideration of an Applicant's Proposed Subawardees/Subgrantees and/or Contractors During the Evaluation Process:

Section V of this RFP describes the evaluation criteria and evaluation process that will be used by EPA to make selections under this announcement. During the evaluation, except for those criteria that relate to the applicant's own qualifications (i.e., past performance and reporting history), the review panel may consider as appropriate and relevant, the qualifications, expertise, and experience of:

1. An applicant's named subawardees/subgrantees identified in the proposal/application if the applicant demonstrates in the proposal/application that if it receives an award that the subaward/subgrant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use subawards/subgrants to obtain commercial services or products from for-profit firms or individual consultants; and
2. An applicant's named contractor(s), including consultants, identified in the proposal/application if the applicant demonstrates in the proposal/application that the contractor(s) was selected in compliance with the competitive procurement standards in 40 CFR Part 30 or 40 CFR 31.36 as appropriate. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was

¹⁰ EPA Order 5700.5A1 - http://www.epa.gov/ogd/competition/5700_5A1.pdf.

conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

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

K. Proper Use of P2 Grant Funds Under Subgrants and Contracts: To ensure the proper use of grant funds, several requirements must be followed: The Region will only award a P2 grant to one recipient even if other eligible applicants are named as partners or co-applicants or members of a coalition or consortium. The recipient is accountable to the Region for the proper expenditure of funds. Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those contained in 40 CFR Part 31. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 40 CFR Part 31. The regulations also contain limitations on consultant compensation. Applicants are not required to identify subawardees/subgrantees and/or contractors (including consultants) in their proposal/application. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the proposal/application does not relieve the applicant of its obligation to comply with the subaward/subgrant and/or competitive procurement requirements as appropriate.

Successful applicants cannot use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out the assistance agreement. The nature of the transaction between the recipient and the subawardee or subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance under Subpart B Section .210 of OMB Circular A-133, and the definitions of the subaward in 40 CFR 30.2(ff) or the definitions of the subgrant in 40 CFR 31.3, as applicable. EPA will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 40 CFR 31.36 and cannot use a subaward/subgrant as the funding mechanism.

Note: Applicants may not award sole source contracts to consulting, engineering or other firms that assist applicants with preparing the proposal package solely based on the firm's role in providing the assistance.

V. Proposal Review Information: This section describes the process and criteria for evaluating eligible proposals. The Regions will only evaluate proposals from eligible applicants that meet the threshold program requirements and submission requirements in **Sections III.B and C.**

A. Evaluation Criteria: Eligible proposals will be evaluated based on the criteria below. Proposals can receive a maximum score of 100 as stated below. Each criterion includes a cross-reference to the section of this announcement that is relevant to that criterion:

1. Programmatic Capability and Past Performance [12 points]

a. Programmatic Capability – Section I.B.4 [6 points]: Proposals will be

evaluated based on the extent and quality to which the applicant clearly describes its organizational experience and resources to perform and support the successful completion of the proposed project(s). This includes experience achieving project objectives, degree of participation in the National Pollution Prevention Results Data System¹¹ (**Section I.B.4.a**) and staff qualifications (**Section I.B.4.b**)

- b. Past Performance – Section I.B.5 [6 points]:** Proposals will be evaluated based on the factors described in Section I.B.5 including the extent and quality to which:
- (i)** The applicant demonstrates it has successfully performed and managed federally-funded assistance agreements (federal grants and cooperative agreements and not contracts) of similar size, scope and relevance to the proposed project within the last three years. **[2 points]**
 - (ii)** The applicant has complied with reporting requirements under these agreements including submission of acceptable final technical reports. **[2 points]**
 - (iii)** The applicant adequately documented or reported on whether they achieved the expected results under prior grants. **[2 points]**

Note: In evaluating applicants under this factor, the Region will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). Applicants with no relevant or available past performance reporting history must indicate this in the proposal. Applicants falling into this category will receive a neutral score of **[1 point for each subfactor]**.

If the proposal does not provide information on programmatic capability and past performance it may receive a score of **[0 points]** for these factors.

2. Work Plan [88 points]

- a. Project Strategy – Section I.B.3:** The project strategy should be a realistic and thoughtful plan that promotes P2. The Region will consider the following criteria: **[40 Points – broken out under i, ii, and iii below]**
- (i) Environmental and/or Public Health Concerns [20 Points – broken out below]**
 - How well does the project strategy define or address a significant environmental and/or public health concern by

¹¹ Background information and access links to the National Pollution Prevention Results Data System - <http://www.epa.gov/p2/pubs/resources/currentp2meas.htm>.

applying one or more of the national focus areas? Refer to **Section I.B. [10 points]**

- How well does the project strategy define or address a significant environmental and/or public health concern by applying one or more of the regional priorities? Refer to **Section I.C. [10 points]**

(ii) Partnership [10 points]

- How well does the applicant use partnerships to address the environmental and/or public health concerns affecting the community or region where the project is taking place?

(iii) Transferability [10 points – broken out below]

- Will the project be utilized by a business, academic institution or community at the completion of the project period? **[5 points]**
- Will lessons learned from the project be transferred (scaled up) to a larger audience at the completion of the project? **[5 points]**

b. Environmental Measures – Section I.B.8 and 9 [30 points – broken out below]: The Region will evaluate the extent and quality to which:

- (i)** The work plan presents **reasonable and accurate** numeric estimates of expected pollution prevention results (outcomes and outputs) and describes a pragmatic effort to collect, calculate, and report pollution prevention measures. **[20 points]**
- (ii)** Also, to be evaluated will be the applicant’s plan for tracking and measuring its progress toward achieving the expected project outcomes and outputs. **[10 points]**

c. Environmental Outcome Performance [10 points]: How successful has the applicant been in forecasting measurable environmental outcomes and performance measures?

d. Budget Detail – Section I.B.9.d [4 points]: The Region will evaluate the extent to which the detailed budget presents estimated costs for each budget object class, broken down by project and funding source. Reviewers will also evaluate the detailed budget based on the extent to which the costs are reasonable and necessary. Note that the detailed budget must comply with cost share requirements (**Section I.B.6**) and must indicate the cost of environmental measurement activities (**Section I.B.8**).

- e. **Project Timeline [4 points]:** The Region will evaluate the extent to which the project timeline reflects key project tasks and deliverables as well as the data collection and evaluation activities supporting environmental outcome measures (**Section I.B.8**). Project schedules cannot extend past three years (**Section I.B.7**).

B. Review and Selection Process:

1. **Review Process:** Eligible proposals will be reviewed by the Region's review panel. The review panel will be composed of P2 program staff in the Region and may include staff from other Regional program offices. Each Region will draft evaluation forms to score proposals and document comments. The evaluations will be based on the evaluation criteria and point scoring found in **Section V.A**.
2. **Selection Process:** Following the Region's evaluation, applicants will be notified by the Region of their status. The highest ranked **proposals** from each Region will be *recommended* for funding and a memorandum listing the selected proposals and explaining the selection process will be forwarded to the Selection Official.
3. **Final Funding Decision:** Final funding decisions will be made by the Selection Official based on the rankings and preliminary recommendations of the EPA evaluation team. In making final funding decisions, the Selection Official may also consider programmatic priorities and geographic diversity. Final concurrence is required from the Pollution Prevention Division Director or Deputy Director in EPA Headquarters in order for the grant or cooperative agreement to be processed for funding. Once final decisions have been made, a funding recommendation will be forwarded to the EPA Award Official. The Regions *anticipate* that final funding decisions will be made in July 2011.

VI. Award Administration Information:

A. Award Announcements: After application packages have been reviewed and evaluated, applicants will be notified regarding their status by the Region, usually 60 – 90 days from the date of submission.

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

C. Administrative Requirements:

1. **Subaward and Executive Compensation Reporting:** Applicants must ensure that they have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements established under OMB

guidance at [2 CFR Part 170](#), unless they qualify for an exception from the requirements, should they be selected for funding.

2. **Central Contractor Registration (CCR) Requirements:** Unless exempt from these requirements under OMB guidance at [2 CFR Part 25](#) (e.g., individuals), an applicant must:
 - a. Be registered in the CCR prior to submitting an application or proposal under this announcement. CCR information can be found at <https://www.bpn.gov/ccr/>.
 - b. Maintain an active CCR registration with current information at all times during which the applicant has an active Federal award or an application or proposal under consideration by the agency. The applicant may indicate their CCR status by noting it on their Cover Page. **Appendix B provides a sample Cover Page.**
 - c. Provide a DUNS number on the Application for Federal Assistance form (SF-424) (refer to Section IV.D.2).

Note: If an applicant fails to comply with these requirements and the applicant is selected for a P2 grant award, it will affect their ability to receive funding.

3. **Effective Management of Funding and Project Activities:** Applicants that receive funding under this announcement are expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the project activities described in the work-plan in a timely manner. All assistance agreements will include terms/conditions implementing this requirement.
4. **Award Management:** Awards issued in FY 2011 will be managed by the appropriate Region.
5. **Quality Assurance and Quality Control (QA/QC):** Certain quality assurance and/or quality control (QA/QC) and peer review requirements are applicable to the collection of environmental data. Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data also include information collected directly from measurements, produced from models, and obtained from other sources such as data bases or published literature. Regulations pertaining to QA/QC requirements can be found in 40 CFR 30.54 and 31.45. Additional guidance can be found at http://www.epa.gov/quality/qa_docs.html#noeparqt.

Applicants should allow sufficient time and resources to set up a Quality Management System for their proposed projects. If your organization does not have a Quality Management System in place, one must be developed. A Quality Management System would be the mechanism for managing the quality of environmental data collection, generation and use. To build a Quality Management System the applicant needs to develop a Quality Management Plan (QMP). A QMP

is a document that describes the applicant's overall organization or program in terms of the organizational structure, policy and procedures, functional responsibilities of management and staff, lines of authority, and required interfaces for those planning, implementing, documenting, and assessing all activities conducted.

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

Applicants for the FY 2011 P2 grant program are not required to submit a QAPP as part of their proposal or application package, but may be required at the time of award. Each P2 grant award will contain a condition establishing a deadline for the grantee to submit acceptable quality assurance documentation to EPA.

- 6. Audits:** Periodic audits should be made as part of the recipient's system of financial management and internal control to meet the terms and conditions of grants and other assistance agreements. In accordance with the provisions of OMB Circular No. A-133, state agencies that receive less than \$500,000 within the state's FY period shall have an audit made in accordance with Federal laws and regulations governing the programs in which they participate.
- 7. Records:** Financial records, including all documents to support entries on accounting records to substantiate charges to each assistance agreement must be kept available to personnel authorized to examine EPA assistance agreement accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those posed as a result of an audit, related records should be retained until the matter is completely resolved.
- 8. Computers:** Recipients who use P2 grant funds to purchase desktop computers, or notebook computers must specify that such equipment is an [Electronic Product Environmental Assessment Tool \(EPEAT\)](#)-registered product with a rating of "silver" or better. This specification requirement is consistent with EPA's role in the Federal Electronics Challenge. For more information go to <http://www.federalelectronicschallenge.net>.
- 9. Other Applicable Regulations:** State and Tribal applicants and recipients of P2 grants are subject to the uniform administrative requirements provided in 40 CFR Parts 31, 34 and 35. The requirements cover pre-award and post-award procedures and instructions for dispute resolution.

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

REGIONAL P2 PROGRAM COORDINATORS

EPA Region 1 CT, MA, ME, NH, RI, VT	Lee Fiske 5 Post Office Square, Suite 100 (OES04-1) Boston, MA 02109-3912 Phone: 617-918-1847 E-mail: fiske.lee@epa.gov Website: http://www.epa.gov/region1/assistance/p2/index.html
EPA Region 2 NJ, NY, PR, VI	Alex Peck 290 Broadway, 25th Floor (PSPMMB) New York, NY 10007-1866 Phone: 212-637-3758 E-mail address: peck.alex@epa.gov Website: http://www.epa.gov/region02/p2/grants.htm
EPA Region 3 DC, DE, MD, PA, VA, WV	Mindee Osno 1650 Arch Street (3LC40) Philadelphia, PA 19103-2029 Phone: 215-814-2074 E-mail: osno.mindee@epa.gov Website: http://www.epa.gov/region03/grants/grantopp.htm
EPA Region 4 AL, FL, GA, KY, MS, NC, SC, TN	Pamela Swingle 61 Forsyth Street SW Atlanta, GA 30303 Phone: 404-562-8482 E-mail: swingle.pamela@epa.gov Website: http://wrrc.p2pays.org/P2GrantInfo.asp
EPA Region 5 IL, IN, OH, MI, MN, WI	Julia Guenther 77 West Jackson Boulevard (LM-8J) Chicago, IL 60604-3590 Phone: 312-886-3172 E-mail: guenther.julia@epa.gov Website: http://www.epa.gov/reg5rcra/wptdiv/p2pages/index.htm
EPA Region 6 AR, LA, NM, OK, TX	David Bond 1445 Ross Avenue, Suite 1200 (6EN-XP) Dallas, TX 75202 Phone: 214-665-6431 E-mail: bond.david@epa.gov Website: http://www.epa.gov/region06/6en/xp/enxp2d.htm

REGIONAL P2 PROGRAM COORDINATORS

EPA Region 7
IA, KS, MO, NE

Marcus Rivas
901 N. 5th Street (ARTD/SWPP)
Kansas City, KS 66101
Phone: 913- 551-7669
E-mail: rivas.marcus@epa.gov
Website:
http://www.epa.gov/region07/economics/r7_grant_opportunities.htm

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

Linda Walters
1595 Wynkoop Street Attn: 8P-P3T
Denver, CO 80202
Phone: 303-312-6385
E-mail: walters.linda@epa.gov
Website: <http://www.epa.gov/region8/grants>

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

Jessica Counts
75 Hawthorne Street (WST-7)
San Francisco, CA 94105
Phone: 415-972-3288
E-mail: counts.jessica@epa.gov
Website: <http://www.epa.gov/region09/funding/rfps.html>

EPA Region 10
AK, ID, OR, WA

Carolyn Gangmark
1200 Sixth Avenue, Suite 900 (AWT-128)
Seattle, WA 98101
Phone: 206-553-4072
E-mail: gangmark.carolyn@epa.gov
Website:
<http://yosemite.epa.gov/R10/homepage.nsf/79794ef74873b5d48825650f006b2193/d7b3b0464224c1e88825661a0074635e?OpenDocument>

Appendix A

Grants.gov Instructions

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

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

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number: EPA-HQ-OPPT-2011-04 or the CFDA number: 66.708 in the appropriate field. You may also access the proposal package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

II. Submission Deadline: Your organization’s AOR must submit your complete proposal package electronically to EPA through Grants.gov (<http://www.grants.gov>) by **Monday, March 28, 2011, 11:59 pm (EDT)**.

III. Proposals Materials: The forms and documents noted below are **required** to be submitted under this announcement. The instructions for preparing these documents are provided in **Section IV.D**.

1. **Cover Page**
2. **Application for Federal Assistance Standard Form (SF- 424)**
3. **Key Contacts Form EPA Form (5700-54)**
4. **Proposal Narrative**

5. Letters of Support

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

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

Once you have finished filling out all of the forms/attachments and they appear in one of the “Completed Documents for Submission” boxes, click the “Save” button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: “Applicant Name – FY 11 – Assoc Prog Supp – 1st Submission” or “Applicant Name – FY 11 Assoc Prog Supp – Back-up Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2nd submission should be changed to “Applicant Name – FY 11 Assoc Prog Supp – 2nd Submission.”

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

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the FY period and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the proposal package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726 or email at

<http://www.grants.gov/help/help.jsp> or you may contact the applicable Region in Section VII.

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

Appendix B

Sample Cover Page

[Grant Program Title] **FY 11 Pollution Prevention Grant Program**
[Funding Opportunity Number] **EPA-HQ-OPPT-2011-04**

[Proposal Title] **NH DES Pollution Prevention Program**

[Short Project Description – fewer than 300 characters]

The proposed project will provide on-site technical assistance to the marina sector, manage an Environmental Leadership Program for small businesses, and develop tools and workshops to assist manufacturers “green” their supply chain.

[Project funding]

Total Project Funding: \$160,000

Requested Funding: \$80,000

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

Jane Doe
NH DES Grants Office
New Hampshire DES
29 Hazen Drive, P.O. Box 123
Concord, NH 03302
Tel: 222-222-2222
Fax: 222-222-2222
Email: mary.doe@state.nh.us

John Doe
Pollution Prevention Program
New Hampshire DES
29 Hazen Drive, P.O. Box 95
Concord, NH 03302
Tel: 222-222-2222
Fax: 222-222-2222
Email: john.doe@state.nh.us

[Central Contractor Registration]

Central Contractor Registration Date: 2/04/2011

Appendix C

Guidance for Submitting P2 Measurement Information

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

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

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

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

B. Documenting the Information – the type of information to provide.

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

A sample description is provided below:

- Project title: Green Hotels Project;
- Outputs: The project will organize five three-hour workshops followed by on-site environmental audits and technical assistance for up to ten participating facilities;
- Behavioral measures: Number of workshop attendees that join the Green Hotels Project;
- Partners: State hotel and motel association, state visitors and tourist bureau; and
- Sectors: Hotel and hospitality businesses

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

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

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

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

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

Table 1

**Estimated P2 Outcomes for
the Green Hotels Project**

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

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

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

1. **Water Conservation:** Four workshops will reach an expected audience of 50 hotels. Of these, 5 hotels, representing approximately 500 bed spaces, are expected to adopt water efficiency practices within two years. A typical U.S. hotel uses 100 gallons of water per day per occupied room (water used for toilet, bathing, hygiene and laundry). Assuming a 50 percent occupancy rate, the 5 participating hotels use approximately 9,125,000 gallons of water per year. New water-efficient shower and faucet fixtures combined with an “Eco Linen” program are expected to result in a savings of 15 percent or 1,368,750 gallons conserved per year. With water and sewer rates at approximately \$5.00 per 1,000 gallons, the estimated cost savings are \$6,844.
2. **Green Cleaning:** It is expected that a total of five hotels will provide self-reported data on the amount of cleaning products that are converted to environmentally preferable cleaners. It is estimated that, on average, each hotel room requires the use of two pounds of cleaning products per year for a total annual usage of 1,000 pounds for 500 rooms. It is expected that the participating hotels will convert half of their cleaning products to green cleaners within two years. Furthermore, assuming 50 percent occupancy rate, it is expected that a shift to green cleaners will result in 250 pounds of in-product source reduction per year.

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

A. Possible Data Collection Methods:

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

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

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

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

B. Further Explanation of P2 Outcome Categories:

1. **P2 Efforts [column (a)]:** List the source reduction activities that are expected to yield P2 outcome results. For grants/cooperative agreements with multiple projects, at least one project must be included. In the example above, the “Green Hotels Project” resulted in 4 activities that exhibited expected outcome measures.
2. **Pounds of Hazardous Materials Reduced:** The four categories that comprise “Hazardous Materials Reduced” are described below. Column (f) sums the total pounds of pollutants prevented. Reductions are achieved through source reduction efforts, including in-process recycling. Measurements are expressed in pounds/year.
 - **Hazardous Inputs and Wastes [columns (b & c)]:** The measure for hazardous inputs and waste refers to state and/or federally-listed hazardous wastes or toxic wastes meeting the criteria for ignitability, toxicity, corrosiveness or reactivity. This could include hazardous materials used as process inputs (chemical ingredients, paints, and solvents), hazardous products applied to land (such as pesticides and nutrients not applied, etc) and hazardous wastes. Excluded: non-hazardous waste (solid waste, construction debris, packaging, paper, glass and aluminum cans).
 - **Air Pollutants [column (d)]:** The measure for air pollutants is considered to include the release of any of the following: toxic air emissions (this includes Clean Air Act, Section 112b hazardous air pollutants, Toxic Release Inventory, and others), nitrogen oxides (NO_x), sulfur oxides (SO_x), particulate matter and volatile organic compounds (VOCs). This criterion takes in account pollutants to air, including NO_x and SO_x from boilers, but excludes NO_x or SO_x from utilities (due to cap and trade limitations).
 - **Waste Water [column (e)]:** “Waste Water” refers to biochemical oxygen demand, chemical oxygen demand, toxics, nutrients, non-filterable total suspended solids, contaminants in storm water and pathogens discharged to sewer systems, septic systems, injection wells, and ground water. Pounds of waste water are calculated by estimating the quantity of contaminant rather than the quantity of water.
 - **Total pounds [column f]:** The number of total pounds accumulated from the P2 efforts noted in the table refers to water conservation, green cleaning, organic lawn care and efficient lighting.

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

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

Note: Grantees will be asked to report to the Region in MTCO₂e to reflect the true capacity that the grantee can document and track results. However, on a programmatic level, the P2 program and the Agency, document and track greenhouse gas results using the measures MMTCO₂Eq and MMTCE respectively. These measures are used when results are provided in an aggregated format. For additional information on metrics that express greenhouse gas emissions, please go to:
<http://www.epa.gov/OMS/climate/420f05002.htm>.

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

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

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

Note: EPA and the National Pollution Prevention Roundtable (NPPR) have developed a P2 cost calculator that grantees can use to calculate environmental cost savings. For more information, visit NPPR’s P2 Measurement Tools website at <http://www.p2.org/general-resources/p2-data-calculators>.

C. Background on Documenting P2 Outcomes:

The following descriptions are provided to help document P2 outcomes.

- 1. Establish a Baseline:** Baseline performance information represents the current status of the target audience or sector and provides a frame of reference for measuring the success of the intended P2 project. Baseline information can be expressed in terms of the amount of pollution generated over a period of time (e.g., pounds of pollution per year); the amount of material, products, water, and/or energy used over a given time (e.g., kW hours consumed per year); and amount of dollars spent over a given time (e.g., dollars spent per year). Baseline information can be established by: 1)

using relevant databases, records, reports, and studies; 2) surveying the facility or target audience; and, 3) using pre-existing baseline information.

Here are some examples:

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

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

Here are some examples:

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

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

Here are some examples:

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

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

Appendix D

Project Timeline Samples

The following samples of timelines offer different approaches for documenting a schedule of major project activities and milestones. Please note that timelines will also need to account for measurement tasks, including: measurement planning, data collection efforts, data analysis and reporting (**refer to Section I.D.9.e**).

Sample 1

Timeline for Multiple Projects												
Project	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Greening the Government Partnership Activities	X	X	X	X	X	X	X	X	X	X	X	X
Mercury Collection			X			X			X			X
Pollution Reduction		X		X		X		X		X		X
Measurement	X	X					X			X	X	X
Prepare Reports						X						X

Sample 2

		Milestone Table											
		Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Objective 1	Design management plans	→	↔	↔	↔	↔	↔	↔	←				
Objective 2	Initiate P2 measurement strategy	→	←										
Objective 2	Collect data from participants							→	↔	←			
Objective 2	Analyze data										→	↔	
Objective 3	Present findings at national conference												↔
Objective 4	Prepare interim and final reports							↔					↔

Sample 3

Activity Timeline											
Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Pre-workshop testing		Workshop	Post-workshop testing		Analyze data						
	Piloting to old companies		On-site technical assistance			Collect and analyze data		Piloting to new companies			
Measurement Planning								Data collection and analysis			
				Prepare progress report							Prepare Final Report

Sample 4

Interim Report Summary of Deliverables and Activities		
Task	Timeline	Status
General		
a. Advisory Committee Conference Calls	Monthly	Ongoing
b. Progress Reports	Quarterly	Ongoing
Task 1: Education and Outreach		
a. Develop Outreach Strategy	October – November 2010	Completed
b. Develop & Disseminate Outreach Materials	November 2010 – June 2011	Ongoing
c. Develop & Pilot Industry Mentoring Program	November 2010 – December 2011	Ongoing
Task 2: On-Site Outreach		
a. Conduct 10 onsite visits	June 2011 – June 2012	Ongoing
b. Mail P2 suggestions	July 2011 – August 2011	Ongoing
c. Conduct follow-up calls	October 2011 – April 2012	Pending
d. Compile survey data and metrics	October 2011 – August 2012	Pending
Task 3: Measurement and Reporting		
a. Plan measurement strategy	October 2010	Completed
b. Mid-year report	March 15, 2011	Pending
c. Analyze Output and Outcome Measures	September 2011 – November 2012	Pending
d. Prepare Final Report	November – December 2012	Pending

Appendix E

Itemized Budget Detail Guidance and Sample

Applicants must provide a detailed cost justification for the estimated budget amounts reflected in Section B of the SF-424A application form. The Budget Detail allows the EPA grant project officer to determine if the costs are reasonable and necessary. To comply with Cost Sharing and Matching Requirements, the itemized budget must indicate the project costs paid by the applicant, EPA, and/or other partners. A description of Object Class Categories and a sample budget is provided below.

Description of Object Class Categories

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

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

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

Equipment: EPA regulation and policy define equipment as tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (40 CFR 31.3). The figure of \$5,000 would represent the total cost of the equipment purchase (or of the lease). Note that not all funding programs allow for the purchase of equipment and some programs encourage leasing rather than purchasing equipment. If your project requires the purchase of equipment, you are encouraged to check with the Regional P2 Coordinator prior to submitting your proposal to ensure that the equipment purchases are allowable.

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

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

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

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

Indirect Costs: The organization must provide documentation of a Federally-approved indirect cost rate (percentage) reflective of the proposed project/grant period. The applicant should indicate if the organization is in negotiations with an appropriate Federal agency to obtain a new rate.

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

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

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

Sample Itemized Budget

Line Item	Detailed Description	EPA Funds	Match Funds	Total
Personnel	Project Manager @ \$15/hr x 40hrs/wk x12 weeks	\$7,200	\$0	
	Project Assistant @ \$10/hr x 20hrs/wk x 12 weeks.	<u>\$2,400</u> \$9,600	<u>\$0</u> \$0	\$9,600
Fringe Benefits	Health Insurance- 1 FTE @ \$35/month x 12/months Dental - 1 FTE @ \$40/mo x 12/months	 \$420 <u>\$480</u> \$900	 \$0 <u>\$0</u> \$0	 \$900
Travel	Site visit to XYZ Watershed Local travel mileage - 1000 miles x \$0.36 Meeting with project partners Air fare for 1 person to Denver Per diem for 2 days @\$40/day for 1 person Hotel for 1 night for 1 person	 \$0 \$250 \$80 <u>\$75</u> \$405	 \$360 \$0 \$0 <u>\$0</u> \$360	 \$765
Equipment		\$0	\$0	\$0
Supplies	100 pamphlets for community members @ \$2 each Computer equipment	 \$200 <u>\$0</u> \$200	 \$0 <u>\$1000</u> \$1,000	 \$1,200
Contractual	Training for 50 people @ \$100 each Water sample testing - 20 samples @ \$75 each	 \$5,000 <u>\$0</u> \$5,000	 \$0 <u>\$1,500</u> \$1,500	 \$6,500
Other	Office needs (postage, phone, fax, etc.)	\$150	\$150	\$300
Total Direct Charges		\$16,255	\$3,010	\$19,265
Indirect Charges	10% of Personnel salary	\$960	\$0	\$960
Grand Total		\$17,215	\$3,010	\$20,225

Measurement: Expenditures to measure P2 outcomes include personnel costs of \$500 to write and administer a survey and compile survey results. This includes time for the Project Manager (\$15/hr x 20 hrs = \$300) and the Project Assistant (\$10/hr x 20hrs = \$200).