For Fiscal Year 2020

Reporting Pollution Prevention Results to the US EPA

A 2020 Webinar of the US EPA Pollution Prevention Program

For our Community of Grant Reporters

Welcome

Welcome to our US EPA Pollution Prevention Program webinar on reporting grant results achieved in FY 2020.

The Webinar

At a Glance

I. Context for Reporting

II. Scope of FY2020 Reporting

III. Outcomes Eligible for Reporting

IV. Reporting Requirements for FY 2018 – FY 2019 Grantees

V. Review of Reporting Requirements for FY 2016 – FY 2017 Grantees (if needed)

VI. Preview of Reporting Requirements for FY 2020 – FY 2021 Grantees

We will gladly take your questions during the course of the webinar.

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Part 1 – Topics I - III

I. Context for Reporting

- The EPA expects Pollution Prevention and Source Reduction Assistance grantees to provide P2 technical assistance, provide recommendations for P2 actions that can be adopted, and report those recommendations to EPA.

- EPA then expects its grantees to follow-up with the facilities assisted to determine the following and report the data to EPA: which of the recommended actions were implemented; the outcomes from that implementation; and, for the recommendations not implemented, whether the facility intends to within the next 5 years and, if not, what the barrier to implementation is.

I. Context for Reporting

The Benefits of Reporting

- While reporting is an administrative requirement, it is more than that. It provides raw data that can be very beneficial for the P2 community.

- Reporting enables EPA to assemble what is reported into a database searchable to the broader P2 community and interested facilities.

- Reporting allows for an ever-evolving, unbroken chain of P2 knowledge.

II. Scope of FY 2020 Reporting – All Recommendations Made in FY 20; All P2 Outcomes Achieved in FY 20

P2 recommendations made and outcomes achieved in FY 2020 must be reported from current FY 18-19 grantees.

"All P2 Outcomes Achieved"

- If you were a prior P2 grantee, you also have the opportunity to report and get credit for outcomes from P2 technical assistance you provided under past grants if those results were achieved in FY 20.

- Thus, you can report outcomes from grants that were awarded with funding from any Fiscal Year, so long as the grant project has outcomes achieved in FY 20.

II. Scope of FY 2020 Reporting - All P2 Outcomes Achieved in FY 2020

"Fiscal Year 2020"

- The Federal Fiscal Year runs from October 1 – September 30.

- To be achieved in FY 2020 requires that P2 outcomes started sometime between 10/1/2019 – 9/30/2020. There is one exception.

- The exception is for State Leadership programs supported by EPA grantees. It suffices for a leadership program to conduct its review of the latest annual results received from participating facilities in time to report the results to EPA for FY 2020.

III. Outcomes Eligible for Reporting

- For outcomes to be eligible for reporting, they must satisfy EPA P2 Program programmatic standards and metric standards.

- epa.gov/p2 will have a link to the document Measures and Reporting for FY 20-21 Pollution Prevention Grant Recipients, which addresses this subject. The prior 2015 version is linked there now.

III. Outcomes Eligible for Reporting

Outcomes eligible for reporting must meet EPA P2 Program programmatic standards and metric standards.

Programmatic Standards

- P2 Grants: Only outcomes from <u>business</u> facilities are eligible for reporting. Leadership programs must exclude non-business results.

- Source Reduction Assistance Grants: Outcomes from business, institutional, governmental, non-profit and community facilities are all eligible for reporting.

- Results must be from <u>confirmed actual implementation of P2 actions.</u>
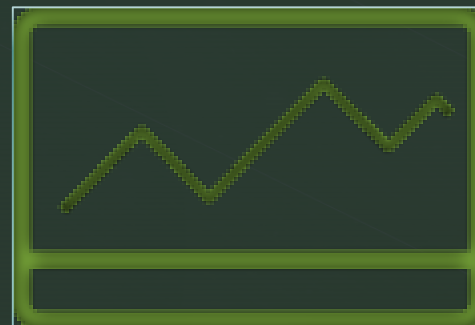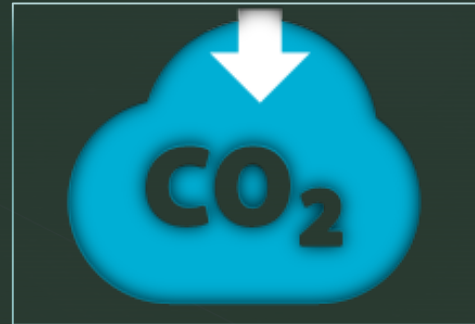
III. Outcomes Eligible for Reporting

Outcomes eligible for reporting must meet EPA P2 Program programmatic standards and metric standards.

Metric Standards

Many of the following metric standards are intuitive, but a few take additional awareness.

III. Outcomes Eligible for Reporting

Metric: Reduced pounds of hazardous materials used and hazardous substances, pollutants and contaminants released.

- **Eligible**: Materials and pollutants of concern under federal and state statutes. May report SOx/NOx reductions for boilers.

- **Ineligible** for air pollution**:** SOx/NOx reductions attributed to grid electricity management. Do <u>not</u> report them, they are traded under EPA regulatory caps. Neither report CO_2 under this metric.

- **Ineligible** for water pollution: Water weight. To remove water weight from reported quantities, use facility water-permit methodology or divide wastewater weight by 50,000.

- **Ineligible** for materials**:** Nonhazardous materials, e.g., paper products, cans, bottles, metal scrap and construction waste. Do not report them.

III. Outcomes Eligible for Reporting

Metric: Gallons of water saved

- **Eligible:** Can report either by calculating incoming water used or outgoing wastewater released, so long as you don't count twice. Source water can be reported for green infrastructure projects.

III. Outcomes Eligible for Reporting

- **Metric: Metric tons of carbon dioxide equivalent.**

  - Report in $MTCO_2e$, not pounds of CO_2. Can use EPA <u>P2 GHG Reductions Calculator</u> for conversions.

  - **Conditionally Eligible:** When the primary action accomplished is some combination of reducing hazardous materials, hazardous releases, water use and energy use, then incidental nonhazardous reductions converted to $MTCO_2e$ (using EPA's <u>WARM tool)</u> may be reported.

  - **Ineligible:** Conversions of nonhazardous reductions to $MTCO_2e$ may not be reported when the reduction of nonhazardous material is the primary action accomplished.

III. Outcomes Eligible for Reporting

- **Metric: Dollar savings associated with achieving reductions in hazardous material use, hazardous releases, water use, and energy use, including savings from reduced regulatory burden.**

  - **Ineligible:** Cost savings from improving non-value-added processes without P2 hazardous, energy or water impacts may <u>not</u> be reported. Also referred to as lean and human factors assessments to minimize overproduction, supply-chain delays, inappropriate processing, excess inventory, unnecessary motion and defects.

  - **Ineligible:** Cost savings from reductions in nonhazardous materials or nonhazardous waste may not be reported.

Questions and Discussion

Open now for Questions and Discussion

`Part 2 – Topics IV – VI

Part 2 Overview

Part 2 covers the grant reporting requirements provided in the Requests for Proposals (RFP's).

- The RFP requirements for FY 2018 – FY 2019 grantees. We expect most FY 20 reporting will be from these grantees.

- Review of the RFP requirements for FY 2016 – FY 2017 grantees, as needed. We think some FY 20 reporting may be from these grantees.

- Preview of FY 2020 – FY 2021 RFA (Request for Applications) requirements and resources. Highlighted material may be helpful even for FY 20 reporters. The RFA awards are still in process.

Similarities among RFP/RFA reporting requirements

All require facility-level reporting
All tailor requirements by project category
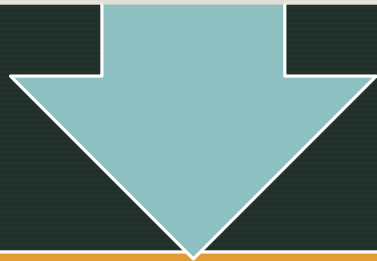
Differences among RFP/RFA reporting requirements.

Specificity of facility-level reporting requirements

Sample reporting formats

Follow-up requirements

Overview of Part 2, continued

IV. Reporting Requirements for FY18 - FY 19 Grantees

Facility-Level Reporting Elements

Sample Reporting Worksheets

Follow-up Requirements: Explicit

IV. Reporting Requirements for FY18 - FY19 Grantees

- Requirements are specified by project type in the P2 and SRA RFPs (Section VI.C.3) and are the same for both. https://www.epa.gov/sites/production/files/2018-03/documents/2018rfpp2grant.pdf and https://www.epa.gov/sites/production/files/2018-07/documents/fy18-fy19_amended_sra_rfp.pdf

- Screenshot views of EPA's optional reporting worksheets for FY 18 - FY 19 grantees are provided. These sheets succinctly capture the reporting requirements. Link at: https://www.epa.gov/p2/grant-programs-pollution-prevention

- Since understanding follow-up requirements will impact how and when to report specific data, we will begin there. We expect there to be follow-up reporting in FY 20 from FY 18 – FY 19 grantees.

IV. Reporting Requirements for FY18 – FY19 Grantees

Follow-up requirements call for reporting in steps

1. First, <u>report</u> facility identifier data and recommendations in the same FY that recommendations are provided to a facility.

2. Follow up later. "Within the one-year that the recommendations were provided, or by the end of the grant," follow-up with a facility to see which recommendations they implemented and which are planned.

3. After follow-up, update documentation in five aspects: follow-up date, recommendations implemented, cost if can, outcomes (only implemented <u>not planned</u>) and, for recommendations not implemented, the barriers.

4. Finally, update the prior-FY reporting file and rename it with the current FY for submission.

IV. Reporting Requirements for FY18 – FY19 Grantees

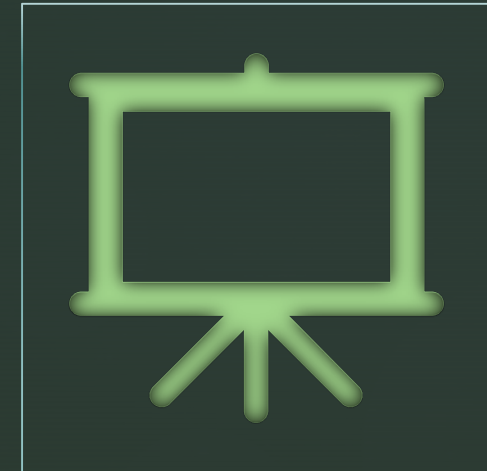Follow-up requirements call for reporting in steps, continued.

- Grantees may design their workplan and budgets to set aside some of the awarded funding for a third grant year.

- This will allow grantees to perform required follow-up and reporting for businesses they provided technical assistance to late in the grant cycle.

- Grantees can discuss this with their EPA project officers.

IV. Reporting Requirements for FY18 - FY19 Grantees

In the template, the Instructions section of the Grant Info & Instructions Tab serves to orient the user. A screenshot of this section follows.

Here are the essentials in summary form:

- Direct Facility Assistance: Fill in required data fields in Grant Info Tab and Facility Tabs. Use one facility tab per facility.

- Green Certification/Leadership Programs: As above but skip recommendation fields.

- Technical Assistance to Broad Audiences: Like green cert/leadership programs, but only good faith effort is required.

	A	B	C	D
12				
13	**Instructions:**			
14	• To navigate to the different pages in this spreadsheet, click on the tabs at the bottom of this spreadsheet.			
15	• Grant Information Tab - Enter the Grantee information, as indicated.			
16	• Summary Results Tab - Automatically calculates the total outcomes achieved from the outcomes entered in each Facility Tab. **Please enter the Date Range for the report in row 3 (Month Year - Month Year).**			
17	• Facility Tabs (Facility 1, Facility 2…) - Enter Information for a Business/Facility provided technical assistance, as indicated. Each Business/Facility provided technical assistance should be entered in a separate Facility Tab. NOTE that each facility tab has three tables for data entry, 1) Facility information, 2) P2 Actions and Outcomes, and 3) P2 Actions Implemented at a Business/Facility Prior to Technical Assistance (optional). **Please scroll down the spreadsheet to see all three tables.**			
18	• **Where P2 Technical Assistance is Broadly Provided** (e.g., P2 training courses, outreach materials, tool development, roundtables, green certification o leadership programs), specific P2 recommendations to a business/facility are not required. However, EPA expects good faith efforts to follow-up with business/facilities within one-year of when the technical assistance was provided, or by the end of the grant period to report information described in th P2 Actions and Outcomes table in the Facility Tabs (note: green certification and leadership programs are expected to report this information). **Therefor please change the column header in column A of the P2 Actions and Outcomes Table in the Facility Tabs from "Recommended P2 Actions" to "Implemented P2 Actions." Additionally, it is not necessary to report information in the "If Not Implemented" section (columns J&K).**			

Grant Info & Instructions | Summary Results | Facility 1 | Facility 2 | Facility 3 | Facility 4 | Fa ...
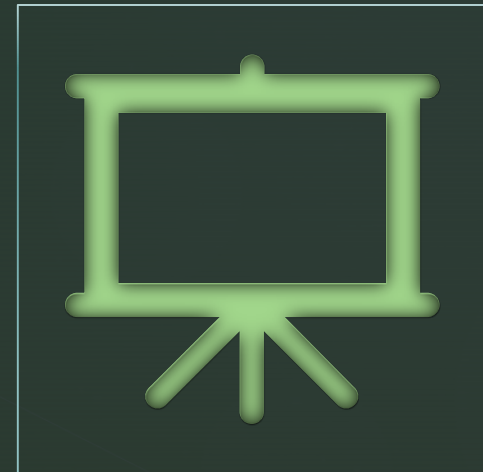
Ready   27

IV. Reporting Requirements for FY18 - FY19 Grantees

The next slide shows the Facility Information section of a Facility Tab. Documenting facility information is the way to begin facility reporting.

Note the minimum required data:

- ✓ NAICS Code;

- ✓ Date of recommendation;

- ✓ Date of follow up;

- ✓ NEA addressed.

	A	B	C	D	E	F	G	H	I
1	*Please scroll down to see all three tables*								
2	Grantee:	0							
3									
4	**Facility Information**								
5	Facility Name (optional):								
6	EPA Facility Identifier (optional):								
7	Facility Contact (optional):								
8	Facility NAICS Code (6 Digits):								
9	Facility City (optional):								
10	Facility State:								
11	EPA Region where the Facility is located:								
12	NEAs for the Facility addressed:								
13	Date P2 recommendations were provided to Facility:								
14	Date(s) of follow-up:								
15									
16									
17	**P2 Actions and Outcomes**								

Grant Info & Instructions | Summary Results | **Facility 1** | Facility 2 | Facility 3 | Facility 4 | Fa ...

IV. Reporting Requirements for FY18 - FY19 Grantees

The next slide shows the P2 Actions and Outcomes section of a Facility Tab where facility P2 data are recorded.

- Direct Facility Assistance – Two-step data entry process; during assistance and after follow-up.

- Certification/Leadership – One-step; retitle "Recommended" to "Implemented" P2 Actions, skip columns J and K.

- Broad Audiences – Good faith follow-up effort suffices; use C/L directions above.

P2 Actions and Outcomes

Recommended P2 Actions	If Implemented:								If Not Implemented:	
	$		Annual Reductions							
	One-time Cost to Implement ($)	Annual Savings from P2 Action ($)	Hazardous Material input (lbs)	Hazardous waste (lbs)	Air emissions (lbs)	Water pollution (lbs)	MTCO$_2$e emissions (tons)	Water use (gal.)	Barrier to Implement	Plans to Implement within 5 years? (pick Y/N)

Grant Info & Instructions | Summary Results | **Facility 1** | Facility 2 | Facility 3 | Facility 4 | Fa ...

V. Reporting Requirements for FY16 - FY17 Grantees

Facility-Level Reporting Elements

Sample Reporting Tables

Follow-up Requirements: Not Explicit

V. Reporting Requirements for FY16 – FY17 Grantees

- Section V is only relevant for FY 16 – FY 17 P2 and SRA grantees who know about and choose to report FY 20 outcomes achieved from the FY 16/17 grants. There is no obligation to report.

- The reporting requirement was the same for the P2 and SRA RFPs (Section I.B.4): "For expected outcomes, include a plan to document results at the facility or entity level." 2016-2017 RFP P2 Grants and https://www.epa.gov/sites/production/files/2016-04/documents/srap16.pdf

- Sample formats consisted of tables (shown here in screenshots) and a formula-based approach provided in the RFPs' Appendix C. There were no sample Excel worksheet formats.

- Last, we compare FY 16/17 requirements and formats with FY 18/19's.

# V. Reporting Requirements for FY16 – FY17 Grantees

Sample Report Formatting in Appendix C

- Table for reporting results from Direct Facility Assistance (or training if applicable).

- Table for reporting results from a State Leadership Program (or training if applicable).

- A formula approach for sector initiatives such as Green Certification (or training if applicable). The idea was to document the number of facilities who adopted standard practices and a model formula for calculating average sector-facility performance.

V. Reporting Requirements for FY16 - FY17 Grantees

The two sample tables for FY 16 – FY 17 grantees were designed for more abbreviated reporting than is required for FY 18 – FY 19 grantees. Screenshots follow.

- Table for Direct Facility Assistance: All facilities are documented in one table.

- Table for Leadership Programs: All facilities are documented in one table.
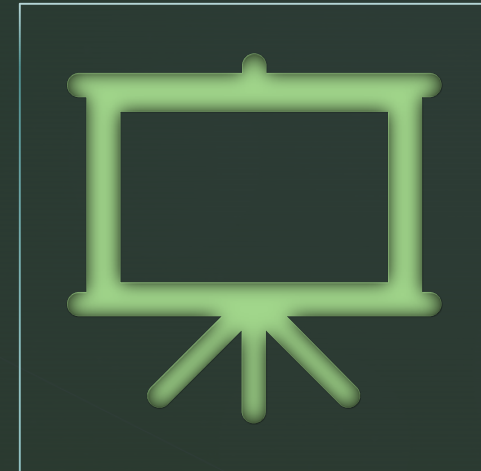
1. Technical assistance or assessment.

Table 3: **Sample**

(a) Entity or Facility	(b) P2 Activity Implemented	(c) Hazardous Pounds Reduced	(d) Gallons Water Saved	(e) MTCO$_2$e Reduced	(f) $ Saved from (c) – (e)
Mid-size manufacturing facility	Technical assistance/training on resource conservation concepts (energy efficiency or water usage); plastics recycling converted to MTCO2e*; saved from (c) – (e).	100,000 lbs	0	19,000	$40,000
Farm	Offering technical assistance/training to encourage environment	0	100 million gallons	15,000	$28,000

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

Table 4. **Sample**

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

C-4

V. Reporting Requirements for FY16 – FY17 Grantees

Comparing FY16 – FY17 Reporting Requirements	With FY18 – FY19 Reporting Requirements
▪ General requirement to report outcome results at facility level. ▪ Sample format shows preference for linking specific facility action to the P2 outcomes achieved. ▪ For certification and sector programs, it is satisfactory to report the number of implementing facilities and a formula for average performance.	• Specific requirements by project type. • Direct assistance: Report facility data, recommendations, and whether implemented with outcomes or a barrier present. • Leadership, Certification: Same but only actions implemented. • Training: As above, good faith effort only.

V. Reporting Requirements for FY16 – FY17 Grantees

Comparing FY16 – FY17 Sample Format	With FY18- FY19 Sample Format
▪ Direct assistance: Sample table for all facilities' actions & outcomes. ▪ Leadership programs: Sample table for all facilities' actions & outcomes. ▪ Certification programs: Sample formula (number of implementing facilities and average-performance formula). ▪ No downloadable file.	• All project types: Sample downloadable Excel workbook. One workbook per grant project. Workbook has separate worksheets for each facility. • Instructions tailored for three project types (direct facility assistance, certification/leadership, and training).

V. Reporting Requirements for FY16 – FY17 Grantees

Comparing FY16 – FY17 Follow-up Requirements	With FY18 – FY19 Follow-up Requirements
• No specific follow-up requirements, yet implicitly needed to determine actions implemented as a result of direct assistance or training.	• Within the one-year that the recommendations were provided, or by end of grant, grantees must follow up with that facility and report five things (date, what implemented, cost if can, outcomes, and any barriers).

VI. Preview of Reporting Requirements for FY 20 – FY 21 Grantees

Facility-Level Reporting Elements

Sample Reporting Worksheets

Follow-up Requirements: More Explicit

VI. Preview of Reporting Requirements for FY20 – FY21 Grantees

- This discussion previews reporting requirements for FY 20 – FY 21 P2 grantees and SRA grantees, once awards are made. Requirements are the same for both and listed in each RFA (Section VI.C.3). https://www.epa.gov/p2/fy-2020-and-fy-2021-pollution-prevention-grant-program-request-applications and https://www.epa.gov/p2/fy-2020-and-fy-2021-source-reduction-assistance-grant-program-request-applications

- FY 20 – FY 21 grantees will have three reporting templates to chose from in Appendix E. Excel versions of the templates will be on our website for the Fall.

- Screenshots of template changes are shown here. We will skip the relatively unchanged Facility Information section of a Facility Tab.

- We compare FY 18/19 and FY 20/21 (reporting and follow-up requirements and formats). Earlier grantees may use FY 20/21 formats.

VI. Preview of Reporting Requirements for FY20 – FY21 Grantees

Sample Report Formatting

Appendix E provides three templates that will be posted as Excel workbooks on the EPA P2 website for the Fall.

- Template 1 for reporting facility-level results from Direct Facility Assistance.

- Template 2 for reporting facility-level results from Green Certification/State Leadership Program.

- Template 3 for reporting facility-level results from Training, Webinars and similar activities that reach broad audiences.

VI. Preview of Reporting Requirements for FY20 – FY21 Grantees

The next slide shows the P2 Actions and Outcomes portion of Template 1 for Direct Facility Assistance, where facility P2 data are recorded.

- As in FY 18 – FY 19, these fields call for a two-step data entry process; during assistance and after follow-up.

- The new design allows users to document anticipated outcomes as well as confirmed implementation outcomes.

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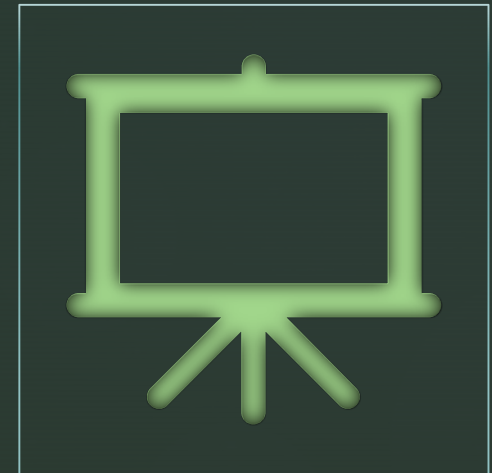
P2 Actions and Outcomes

Recommended P2 Actions*	May track preliminary estimates here. Replace with verified post-implementation values when you get them.								Implementation:		If Not Implemented:	
	$	Annual Reductions							✓	Comments		
	One-time Cost* to Implement ($)	Annual Savings from P2 Action ($)	Hazardous Materials used (lbs)	Hazardous waste (lbs)	Air emissions (lbs)	Water pollution (lbs)	MTCO$_2$e emissions (tons)	Water use (gal.)	Y if Yes	Include customized quantities and qualities of actual implementation.	Barrier to Implement	Plan within 5 yrs? Y/N
Ex. Reduce water use for cleaning (in coating dept.)								9,000,000	Y	Washer optimization completed.		
Ex. Install overhead electrostatic painting eqpt. & use infrared curing					13,600					Estimated emissions are VOCs.	Awaiting permit amendment.	Y
Ex. Install solar array							1,326		Y	Installed 1.2-megawatt solar array		

* Note: please do not report recommendations that are not considered P2 - refer to Sections I.C and I.D for guidance on what is and is not considered P2.
** Please do not indicate savings here.

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VI. Preview of Reporting Requirements for FY20 - FY21 Grantees

The next slide shows the P2 Actions and Outcomes portion of Template 2.

- Template 2 is for certification and leadership programs.

- It is designed for documenting implemented actions. It does not document recommendations.
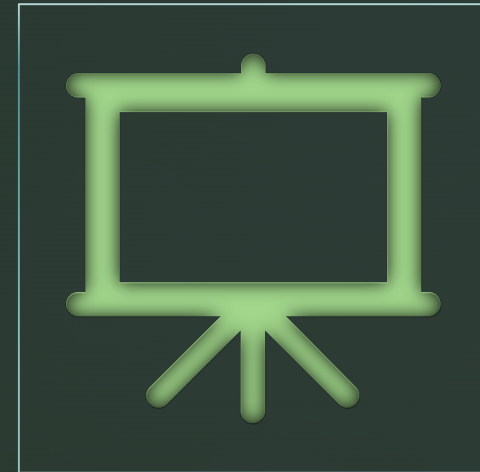
Date P2 recommendations were provided to the facility:		Date(s) of follow-up to check if P2 actions were implemented:	

P2 Actions and Outcomes

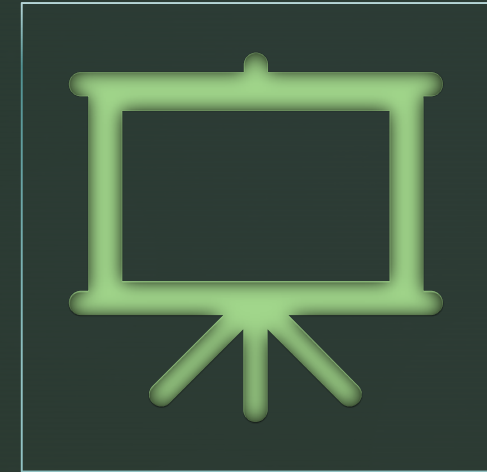| P2 Actions Implemented	$		Annual Reductions					
	One-time Cost* to Implement ($)	Annual Savings from P2 Action ($)	Hazardous Materials used (lbs)	Hazardous waste (lbs)	Air emissions (lbs)	Water pollution (lbs)	MTCO$_2$e emissions (tons)	Water use (gal.)

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

** Please do not indicate savings here.

VI. Reporting Requirements for FY20 - FY21 Grantees

The last screenshot shows the P2 Actions and Outcomes portion of Template 3, which is formatted like Template 2 but includes modified instructions.

- Template 3 is for technical assistance to broad audiences (training, webinars, roundtables, etc.).

- It documents implemented actions; it does not document recommendations.

- The instructions linked to the asterisk note that a good faith effort suffices.

P2 Actions and Outcomes

P2 Actions Implemented*	$		Annual Reductions					
	One-time Cost* to Implement ($)	Annual Savings from P2 Action ($)	Hazardous Materials used (lbs)	Hazardous waste (lbs)	Air emissions (lbs)	Water pollution (lbs)	MTCO$_2$e emissions (tons)	Water use (gal.)

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

** Please do not indicate savings here.

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VI. Preview of Reporting Requirements for FY20 – FY21 Grantees

Comparing FY18 – FY19 Reporting Requirements	With Previewed FY20 – FY21 Reporting Requirements
• Specific requirements by project type. • Direct assistance: Report facility data, recommendations, and whether implemented with outcomes or a barrier present. • Leadership, Certification: Same but only actions implemented. • Training: As above, good faith effort only.	▪ Specific requirements by project type. • Direct assistance: Report facility data, recommendations, and whether implemented with outcomes or a barrier present. • Leadership, Certification: Same but only actions implemented. • Training: As above, good faith effort only.

VI. Preview of Reporting Requirements for FY20 – FY21 Grantees

Comparing FY18 - FY19 Sample Format	With Previewed FY20 – FY21 Sample Format
• One sample Excel workbook template. Instructions on how to use according to project type (direct facility assistance, certification/ leadership programs, or training). • One project per workbook, individual worksheets per facility, aggregation function • Documents confirmed implementation outcomes.	• Three sample Excel workbook templates. One each for direct facility assistance, certification/ leadership programs, and training. • One project per workbook, individual worksheets per facility, aggregation function. • Can document both anticipated outcomes and confirmed implementation outcomes.

VI. Preview of Reporting Requirements for FY20 – FY21 Grantees

Comparing FY Follow-up Requirements FY 18-19	With Previewed Follow-up Requirements FY 20-21
• Within the one-year that the recommendations were provided, or by end of grant, grantees must follow up with that facility and report five things (date, what implemented, cost if can, outcomes, and any barriers).	• A year *after* P2 recommendations were provided to a facility, or by end of grant, grantees must follow up with that facility and report five things (date, what implemented *with comments*, cost if can, outcomes, and any barriers).

Questions and Discussion

Open now for Questions and Discussion

The End

Thank you for attending the webinar!