

**Fiscal Year 2010
Pollution Prevention Grant Program
Request for Proposals**

Sponsoring Agency and Office: Environmental Protection Agency, Office of Prevention, Pesticides and Toxic Substances, Office of Pollution Prevention and Toxics

Funding Opportunity Title: Fiscal Year 2010 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-2010-03

Submission Date: EPA's Regional Pollution Prevention Program Offices will accept proposals on or before Tuesday, April 6, 2010. Applicants may submit a proposal electronically or by mail. Proposals must be sent to the appropriate Region listed in **Section VII** by the submission date. Proposals received after the submission date will not be considered for funding. 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 which 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) 2010. 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 including state colleges or universities, 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.

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

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FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description: EPA is announcing the availability of P2 grants. 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 states, state colleges or universities, federally-recognized tribes, and intertribal consortia during FY 2010.¹ 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 carefully read this announcement as it provides new information on the goals of the program, policy and program requirements, the evaluation criteria used to review proposals, and 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 the conservation of water and energy (**refer to criteria for P2 in Section I.D.2**). EPA is interested in supporting projects that reflect a comprehensive and coordinated approach toward implementing P2 practices on behalf of businesses within the state or tribe. Previous grant applicants have demonstrated that businesses have ample opportunities to implement P2 and that source reduction is a cost-effective way of meeting or exceeding federal and state regulatory requirements.

B. Revised National Focus Areas for P2 Grants: For several years, P2 grantees have helped shape the mission and objectives of P2 grants by applying three key national focus areas to their grant and cooperative agreement projects: promoting multimedia P2 activities, encouraging states and tribes to work toward their P2 program goals, and encouraging applicants to engage in

¹ FY 2010 refers to the period from October 1, 2009 – September 30, 2010.

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.

partnerships. Emphasizing these areas has helped meet the environmental needs of states and tribal communities. However, while the focus areas noted above remain structurally important to maintain the integrity of the program, there are new and important drivers that have led the P2 program (Headquarters and Regional staff) to reassess its focus and direction. In the past year, the P2 program has worked to complete a draft strategic plan. The draft plan, called the 2009-2014 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. The impetus for crafting the plan was to provide a workable framework to address climate change, sustainability, business efficiency and P2 integration activities. These concepts and activities are reflected in the plan's five goals:

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

To align with the goals of the draft plan, the P2 grant program will adopt 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 these national focus areas in order to be considered for funding:**

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

For purposes of this grant program, EPA considers greenhouse gases such as carbon dioxide as those that occur naturally and are emitted into the atmosphere through natural processes and human activities. Other GHG (e.g., fluorinated gases) are created and emitted solely through human activities. Greenhouse gas 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 pollution prevention practices that can reduce the use of raw materials, energy, water or other resources and/or protect natural resources through conservation.

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

C. EPA Region's P2 Priorities: To complement the 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 the applicable Region. When evaluating proposals and making final funding decisions, the Region will consider the regional priority or priorities selected by the applicant in addition to the national focus area(s) noted above.

Note: Applicants **must** submit proposals to the Region where the project will take place (**please refer to Section IV**). For a list of states and/or U.S. territories represented by each Region, please refer to **Section VII**.

Region 1

- Promote sector based pollution prevention projects, such as autobody, hospitality, and health care;
- Promote pollution prevention projects in the areas of energy conservation, renewable energy, and/or stormwater (i.e., low impact development); and/or
- Seek to integrate environmental justice, green jobs and/or green technology into the pollution prevention projects identified above.

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, environmentally preferable purchasing), and achieve measurable results in reducing energy use and/or green house gases, hazardous materials, conserving water or saving money; and/or
- Promote projects that address the above criteria and focus on the hospitality, pharmaceutical, health care sectors and colleges/universities campuses; and/or in the geographical areas of Puerto Rico and the U.S. Virgin Islands.

Region 3

- Implement projects that support quantifiable source reduction of chemicals of national concern, such as priority chemicals;
- Implement plans and projects that support P2 efforts in the chemicals and manufacturing industries including the use of the Green Suppliers Network, work with manufacturing extension partnerships, promote environmentally preferable purchasing, design for the environment programs and advance EPA's Resource Conservation Challenge;
- Implement plans or projects that maintain and/or strengthen coordinated state P2 Program efforts (i.e., sponsor collaborative meetings that can reach for specific P2 goals, work with manufacturing or industrial resource centers, support the goals of the Region 3 Sustainability Partnership Initiative or provide support for EPA's voluntary programs); and/or
- Improve the utilization of P2 technical assistance delivery techniques (i.e., utilize retired engineer or P2 interns for technical assistance to assist state organizations with green manufacturing efforts).

Region 4

- Implement P2 projects focusing on the following sectors: agriculture; chemical and manufacturing industries; hospitality and/or municipalities and institutions. Within these sectors, the Region is especially interested in projects that focus on water conservation, energy conservation and/or renewable energy;
- Maintain and strengthen coordinated state P2 programs, which include utilization of environmental leadership programs and/or environmental management systems;

- Improve the utilization of P2 assistance delivery techniques such as P2 student intern programs, retired engineer technical assistance programs, lean techniques in manufacturing and service organizations, or other direct P2 assistance to businesses; and/or
- Promote projects that integrate P2 and compliance assistance objectives.

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 P2 Program Strategic Plan 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), the Green Suppliers Network, by-product synergy and/or other collaborative efforts with Manufacturing Extension Partnerships and industrial resource centers.

Region 6

- Promote projects 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 (e.g., Houston, New Orleans and other large cities in Region 6);
- Promote projects that use P2/source reduction techniques and strategies (e.g., energy efficiency, lean and green) and achieve measurable results by reducing pollution and hazardous waste, limiting water use, saving money and/or conserving energy (e.g., Telework, Commuter Solutions); and/or
- Promote P2 integration in matters dealing with enforcement.

Region 7

- Promote pollution prevention projects that emphasize water management that either enhance water quality and/or reduce water quantity demand;
- Improve pollution prevention assistance delivery techniques such as pollution prevention student intern programs or other direct pollution prevention assistance to businesses and institutions. Such efforts include the institutionalization of professional and degree/certificate-related pollution prevention education through traditional and distance-learning mechanisms by professional-based and university-based P2 programs;
- Utilize voluntary environmental leadership programs [such as National Partnership for Environmental Priorities (including Priority Chemicals and

emerging chemicals), Resource Conservation Challenge, Design for the Environment, Sustainable Infrastructure, and environmental management systems] to leverage successes or add benefits to national/regional pollution prevention goals and achieve measurable results in reducing energy use, hazardous materials, conserving water and/or saving money;

- Provide pollution prevention technical assistance to the agribusiness industry, with an emphasis on food processing; and/or
- Provide pollution prevention technical assistance to the construction, hospitality or healthcare sectors.

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 the P2 Program's sector focus areas: electronics, chemical & manufacturing industries, hospitality, buildings & construction (especially residential buildings and schools);
- Promote energy conservation and renewable energy projects;
- Build national and regional partnerships to target specific P2 opportunities with businesses, communities, tribes and healthcare; and/or
- Assist local government and tribes in their efforts to achieve EPA's national priorities.

Region 10

- Promote efforts that prevent the production and/or emission of greenhouse gasses by integrating energy efficiency and/or greenhouse gas measurement support into pollution prevention technical assistance;
- Promote pollution preventing efforts that support state priorities of safer chemical alternatives, lean and the environment, pollution prevention planning, toxics initiatives or interstate/local government collaboration;

- and/or
- Promote pollution prevention efforts that green existing jobs and/or support markets for greener products/technologies.

D. Grant Program Requirements: This section summarizes EPA’s grant policies and requirements. Many of these requirements 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 to states, state entities, (i.e., any agency or instrumentality of a state including state colleges and universities), 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 Commonwealth of Puerto Rico, the U.S. Virgin Islands, any territory of or possession of the U.S., any agency or instrumentality of a state, including state colleges and universities, and federally-recognized tribes and intertribal consortia that meet the requirements in 40 CFR 35.663 and 40 CFR 35.504, as applicable.

Local governments, private universities, private nonprofits, private businesses, and individuals are not eligible for funding under this announcement.

- 2. Programmatic Criteria that Apply to P2 Grants:** For purposes of the grant program, P2 grant projects must address one of the following criteria for pollution prevention:

- 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, visit <http://www.epa.gov/p2/pubs/grants/ppis/ppis.htm>.

3. Regulatory Criteria for 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 three criteria noted above, proposals will be evaluated on other criteria, which have been determined 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:

- 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 13 years, EPA has required P2 grant applicants to identify major environmental assistance providers in their states and to work with these organizations to educate businesses on P2. EPA believes that applicants who develop strong relationships with other environmental assistance

providers can greatly enhance their opportunity for securing state and federal resources in the future by dedicating time to developing partnerships.

- a. **Ways to Promote Partnerships:** The P2 program continues to seek more cooperation among applicants and environmental and 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 between businesses trade organizations, federal programs and among 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 National Institute of Standards and Technology (NIST) programs, the Department of Energy's (DOE) Industrial Assessment Centers, etc.³

By developing such partnerships applicants can leverage outside expertise. Forging these kinds of partnerships can reduce the need for other environmental 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 assistance providers and/or regional and national programs to seamlessly deliver P2 technical assistance.

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 assistance provider or the regional or 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 the proposed activity. A letter of support 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.C.

Note: Insular area applicants in the U.S. Virgin Islands, American Samoa, Guam

³ 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.C.

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. Refer to **Section VII** to locate the applicable Region.

7. **Funding Period:** EPA will not consider proposals lasting more than three 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 work plan for measuring and tracking their progress towards achieving the expected outcomes and outputs.⁴

- 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 (MMTCO_{2e})⁵;
- 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.

⁴ EPA Order 5700.7, Environmental Results Under Assistance Agreements - <http://www.epa.gov/ogd/grants/award/5700.7.pdf>.

⁵ P2 grantees will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO_{2e}) 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 MMTCO_{2e} 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>.

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;
- 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):**

- a. Numeric estimates of expected P2 results per project;
- b. A description of the relevant data collection methods (e.g., surveys, pre/post tests, participant reporting arrangements);
- c. A description of the equations, factors and assumptions used to calculate the estimated pollution prevention results;
- d. 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;⁶ and
- e. A project timeline that includes data collection and evaluation activities supporting environmental outcome measures.

10. Alignment with EPA's Strategic Plan: P2 grant proposals must note a commitment to and work towards the four long-term pollution prevention targets of the Agency's 2009-2014 Strategic Plan Change Document. The P2 Program's strategic targets are located under Goal 5: Compliance and Environmental Stewardship, Objective 5.2: Improve Environmental Performance through Pollution Prevention and Other Stewardship Practices, Sub-Objective 5.2.1 Prevent Pollution and Promote Environmental Stewardship.

Strategic targets:

- a. By 2014, reduce 6.5 billion pounds of hazardous materials cumulatively compared to the 2007 baseline of 2.5 billion pounds reduced.

⁶ Appendix D 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.

- b. By 2014, reduce, conserve, or offset 10 million metric tons of carbon equivalent (MMTCE) compared to the 2008 baseline of 2.5 MMTCE reduced, conserved, or offset.⁷
- c. By 2014, reduce water use by 50 billion gallons cumulatively compared to the 2007 baseline of 11 billion gallons reduced.
- d. By 2014, save \$2.0 billion through pollution prevention improvements in business, institutional, and governmental costs cumulatively compared to the 2007 baseline of \$300 million dollars saved.

To comply with EPA's Strategic Plan, grant proposals must adhere to the statutory measurement provisions and the environmental results policy described in **Section I.D.8** by tracking and reporting on expected P2 outcomes and outputs and noting project activities that directly support one or more of the four strategic targets listed above.

For more information on the Agency's 2009 - 2014 Strategic Plan Change Document, go to <http://www.epa.gov/ocfo/plan/plan.htm>.

- 11. Past Performance:** Applicants are required to describe 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.

⁷ P2 grantees will be asked to report to the Region in metric tons of carbon dioxide equivalent (MTCO_{2e}) 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 MMTCO_{2e} 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>.

Note: Applicants with no relevant or available past performance or reporting history will receive a **neutral score** for these factors in accordance with the evaluation criterion on past performance, noted in **Section V**.

II. Award Information: EPA anticipates that in FY 2010 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 2010 – 2011. As in previous years, individual grant awards are expected to be in the range of \$20,000-\$180,000. The amount of grant funding is dependent on 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 proposal package thus must include a budget that estimates the costs for labor (by labor category), fringe benefits, travel, equipment, supplies, contractors, and for other direct costs and indirect costs. The budget must itemize these costs under each task identified in the work plan as well as for the entire proposed project, 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. The Region will subtract 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 recipient throughout the performance of the project. For such projects, the Region may review and approve project phases, review and approve proposed subgrants and contracts, collaborate with the recipient on the scope of work and mode of operation

of the project, closely monitor the 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.

D. Proper use of P2 Grant Funds: To ensure the proper use of grant funds, the following requirements must be followed:

- 1. Subgrants, Subawards and Contracts:** 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 that the Region selects for funding does not relieve the applicant of its obligation to comply with the subaward/subgrant and/or competitive procurement requirements as appropriate.

Note: Applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal/application.

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.

E. Award Restrictions for Federally-recognized Tribes and Intertribal Consortia: EPA's P2 Program seeks to fund grants and cooperative agreements that promote the use of source reduction techniques by businesses that reduce greenhouse gases. EPA's Climate Protection Partnerships Division/Local Climate and Energy Program also has a program that seeks to fund grants to develop plans and demonstrate and implement projects that reduce greenhouse gas emissions. The program is called the Climate Showcase Communities (CSC) grant program. Under the CSC program, federally-recognized tribes, intertribal consortia and local governments are eligible to apply for funding. In order to avoid a duplication of effort between the P2 grant program

and the CSC grant program, proposals submitted under this RFP by federally-recognized tribes and intertribal consortia must be for eligible projects under the Pollution Prevention Act. Tribes and intertribal consortia that wish to propose projects that involve demonstration, development, and implementation that involve reducing greenhouse gas emissions, but are otherwise ineligible for P2 grant funds will need to submit proposals to EPA's Climate Showcase Communities Grant program. When CSC funding opportunities are available a link to the RFP will be posted on EPA's website at <http://www.epa.gov/RDEE/energy-programs/state-and-local/showcase.html>. Grant proposals submitted under this RFP from federally-recognized tribes and intertribal consortia that propose projects that fall under the scope of the CSC program as described above will not be reviewed.

III. Eligibility Information: Eligible applicants are identified in the paragraph below and must meet the threshold eligibility requirements described in **Sections III.A and B** 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.D**.

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

Local governments, private universities, private nonprofits organizations, private businesses, and individuals are not eligible for funding.

A. Threshold Program Requirements: Proposals from eligible applicants must demonstrate how they meet the threshold program requirements identified below in order to receive funding consideration. Proposals 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:

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 the criteria of P2 grants (**Section I.D.2**);
4. Proposed projects must be no more than 3 years (**Section I.D.7**); and
5. Proposed projects must align with EPA's Strategic Plan Change Document (**Section I.D.10**).

B. Threshold Submission Requirements:

1. Proposals must substantially comply with the proposal submission instructions and requirements set forth in **Section IV** of this RFP or they will be rejected. However, where a page limit is expressed in **Section IV** with respect to the narrative proposal (**10 pages**), pages in excess of the page limitation will not be reviewed.
2. In addition, 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 it was late due to EPA mishandling.

Note: For hard copy submissions only – where **Section IV** requires proposal receipt by a specific person/office by the submission deadline, receipt by the Agency mailroom is not sufficient. Applicants should confirm receipt of their proposal with the Region identified in **Section VII** before the submission deadline – failure to do so may result in the proposal not being reviewed.

4. Congress has prohibited EPA from using its FY 2010 appropriations to award grants to the Association of Community Organizations for Reform Now (ACORN) or any of its subsidiaries and therefore in order to be eligible for funding consideration under this competition, all applicants must affirmatively indicate in their proposal that they are not subject to this prohibition. In addition, since this funding prohibition applies to subawards/subgrants and contracts awarded by grantees, applicants must consider it when preparing proposals.

C. 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. Refer to **Section VII** to locate the applicable Region.

D. 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. In order for the proposal to be reviewed, it must contain the following items:

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

Section D below provides instructions for preparing these items. 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. 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: To be considered for funding, proposals must be received by the appropriate Region on or before Tuesday, April 6, 2010. Proposals must be submitted either in hard copy or electronic format. Proposals received after the submission date will not be considered for funding (**refer to Section IV for additional submission information**). 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*. If applying with a hard copy submission, please follow the instructions under “Hard Copy Submission” (**refer to Section IV.E below**). If applying electronically by e-mail please follow the instructions under “Electronic Submission” (**refer to Section IV.F below**).

C. Proposal Length and Format: The narrative proposal as described in **Section D.4** below must be no more than 10 single spaced pages (i.e., a page equals 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 contains the cover page, federal assistance form (SF-424), narrative proposal, letters of support, and key contact information. **The page limit applies to the proposal narrative only.**

1. **Application for Federal Assistance (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.
2. **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.
3. **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;
 - f. Requested funding amount of the project; and
 - g. Applicant’s contact information (i.e., name of applicant, name of organization, mailing address, phone number, fax number, and e-mail address).

Refer to Appendix A to view a sample cover page.

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.A**. 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 issues for the proposed project(s):
- a. The environmental and health issue(s) defining the project(s), and explain how the project(s) will address one or more of the national focus areas (**Section I.B**) and one or more of the regional priorities (**Section I.C**);
- b. The target audience of the project(s); and
- c. The use of technical assistance for the project(s).
- (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 pollution prevention results; and
- e. A plan for tracking the applicant’s progress towards achieving the expected project outcomes and outputs (**Section I.D.8**).

For proposals that include more than one project, the above measurement information **must** be provided for one or more of the

proposed projects. Refer to Pre-proposal Assistance on Environmental Measurement (**Section IV.I**) for general guidance on measurement and to Appendix B for help with documenting and tracking P2 measurements.

- (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. An example of a detailed itemized budget is provided in Appendix D.
 - 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 C.

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: E-mail submissions must be submitted to the applicable Region noted in **Section VII** and be received by the submission date noted in **Section IV.A**. All required documents listed in **Section IV.D** must be attached to the e-mail as separate Adobe PDF files. Please note that if you choose to submit your materials via e-mail, you are accepting all risks attendant to e-mail submission including server delays and transmission difficulties. E-mail submissions exceeding 15MB will experience transmission delays which will affect when they are received by the Agency. For these size submissions, applicants should submit their application materials via hardcopy or else they may be received late and not considered for funding. Applicants submitting their application materials through e-mail should confirm receipt of the materials with the appropriate Region as soon as possible after submission.

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 affected state, area-wide, 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),⁸ 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:** The Regions have prepared a set of written questions and answers on environmental measurement to help applicants understand why preparing, documenting and reporting environmental measurement data is important to their work; what things to measure; how to measure; and how the Regions will evaluate measurement work. The questions and answers may be used to augment information provided under Appendix B – Guidance for Submitting P2 Measurement Information.

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](#).

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 this 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

⁸ EPA Order 5700.5A1 - http://www.epa.gov/ogd/competition/5700_5A1.pdf.

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 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.

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

A. Evaluation Criteria: 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 [20 points]

- a. **Programmatic Capability (Section I.D.4):** 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 System (**Section I.DB.4.a**) and staff qualifications (**Section I.D.4.b**). **[10 points]**
- b. **Past Performance (Section I.D.11):** Proposals will be evaluated on the quality and extent to which 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 and complied with reporting requirements under these agreement including submission of acceptable final technical reports. Also, EPA will evaluate the extent to which the applicant adequately documented or reported on whether it was achieving the expected results under prior grants. **[10 points]**

Note: In evaluating applicants under this factor, EPA 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 and they will receive a neutral score for this factor. **[5 points]**

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 [80 points]

a. Project Strategy (Section I.D.3): The project strategy should be a realistic and thoughtful plan that promotes pollution prevention. EPA will consider the following criteria: **[40 Points – broken out below – i-iii]**

(i) Environmental and/or Public Health Concerns

- How well does the project strategy define or address a significant environmental and/or public health concern by applying one or more of the national focus areas? Refer to **Section I.B.**
- 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. [20 Points]**

(ii) Target Audience

- How well has the target audience been identified and defined?
- How well does the project strategy target a business, academic institution, or community?
- How will the business, academic institution or community benefit from the P2 technical assistance being proposed (especially for businesses and communities for whom a lack of information is an impediment to source reduction)?
- How well is the target audience prepared to apply P2 technical assistance and implement source reduction practices? **[10 Points]**

(iii) Transferability

- Will the project be utilized by a business, academic institution or community at the end of the project period?
- Will lessons learned from the project be transferred (scaled-up) to a larger audience at the end of the project?
- At the project's completion, describe the kinds of resources that will be made available to the surrounding community? **[10 points]**

- b. **Environmental Measures (Sections I.D.8 and 9):** EPA will evaluate the quality and extent to which the work plan presents numeric estimates of expected pollution prevention results (outcomes and outputs) and describes a pragmatic effort to collect, calculate, and report pollution prevention measures. Also, to be evaluated is the applicant's plan for tracking and measuring its progress towards achieving the expected project outcomes and outputs. [20 points]
- c. **Budget Detail (Section I.D.9.d):** EPA 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.D.6) and must indicate the cost of environmental measurement activities (Section I.D.8). [10 points]
- d. **Project Timeline:** EPA 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.D.8). Project schedules can be no longer than two years (Section I.D.7). [5 points]
- e. **Partnerships (Sections I.D.5 and IV.D.5):** The extent to which the work plan demonstrates the effective use of partnerships and describes the nature and extent of partnership activities. Applicants must provide a letter of support. EPA will only consider letters of support. [5 points]

B. Review and Selection Process:

1. **Review Process:** Eligible proposals will be reviewed by the Region's review panel. The review panel will be composed of P2 program staff 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 Approving 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 the final funding decisions, the Approving Official may also consider programmatic priorities and geographic diversity of funds. Final concurrence is required from the Pollution Prevention Division, Deputy Director in EPA Headquarters in order for the selected grant or cooperative agreement to be processed for funding. Once final decisions have been made, a funding recommendation will be developed and forwarded to the EPA Award Official. The Regions *anticipate* that final funding decisions will be made in July 2010.

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. Award Management: Awards issued in FY 2010 will be managed by the appropriate Region.

2. Quality Assurance and Quality Control (QA/QC): Certain quality assurance and/or quality control (QA/QC) and peer review requirements are applicable to the collection of environmental data. Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data also include information collected directly from measurements, produced from models, and obtained from other sources such as 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 2010 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.

3. **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.
4. **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.
5. **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.federalelectronicchallenge.net>.
6. **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, post-award, after-the- grant 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
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EPA Region 8
CO, MT, ND, SD,
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REGIONAL P2 PROGRAM COORDINATORS

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EPA Region 10
AK, ID, OR, WA

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Appendix A

Sample Cover Page

[Grant Program Title] FY 10 Pollution Prevention Grant Program
[Funding Opportunity Number] EPA-HQ-OPPT-2010-03

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

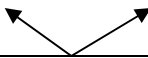
[Short Project Description – fewer than 300 characters]

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.

Total Project Funding: \$160,000
Requested Funding: \$80,000

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New Hampshire DES
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John Doe
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Contact information should include a primary grant contact (the person responsible for implementing the grant project) and, if desired, an administrative contact (the person responsible for submitting the grant proposal).

Appendix B

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 characteristic's (e.g., output data, behavioral measures, etc) 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 meet 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 project's timeframe. 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 explanation 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 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) MTCO2e	(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, 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. Description of 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. Description of the P2 Outcome Categories

Applicants are encouraged to use the reporting format (refer to Table 1 above) for documenting P2 outcomes. As outlined below, the use of this format clearly identifies the key measurement categories that meet EPA's measurement and reporting needs.

1. **P2 Efforts [column (a)]:** lists 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 CAA 112b hazardous air pollutants (HAPs), Toxic Release Inventory (TRI), and others), nitrogen oxides (NOx), sulfur oxides (SOx), particulate matter (PM) and Volatile Organic Compounds (VOCs). This criterion takes in account pollutants to air, including NOx and SOx from boilers, but excludes NOx or SOx from utilities (due to cap and trade limitations).
 - **Waste Water [column (e)]:** "Waste Water" refers to biochemical oxygen demand (BOD), chemical oxygen demand (COD), toxics, nutrients, non-filterable total suspended solids (TSS), 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.
- **MTCO_{2e} [column (h)]:** This column refers to Metric Tons of Carbon Dioxide Equivalent reduced.

Note: Grantees will be asked to report to the Region in MTCO_{2e} 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 MMTCO_{2e} 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 is developing a P2 cost calculator that grantees can use to calculate these benefits.

C. Background on Documenting P2 Outcomes

The following examples 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 pollution prevention

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 (UF) 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 C

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 Measurement		X		X		X		X		X		X
Prepare Reports						X						X
Measurement	X	X					X			X	X	X

Sample 2

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

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
b. Prepare Final Report	November – December 2012	Pending

Appendix D

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 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.	\$2,400 \$9,600	\$0 \$0	\$9,600
Fringe Benefits	Health Insurance- 1 FTE @ \$35/month x 12/months	\$420	\$0	
	Dental - 1 FTE @ \$40/mo x 12/months	\$480 \$900	\$0 \$0	\$900
Travel	Site visit to XYZ Watershed Local travel mileage - 1000 miles x \$0.36	\$0	\$360	
	Meeting with project partners Air fare for 1 person to Denver	\$250	\$0	
	Per diem for 2 days @\$40/day for 1 person	\$80	\$0	
	Hotel for 1 night for 1 person	\$75 \$405	\$0 \$360	\$765
Equipment		\$0	\$0	\$0
Supplies	100 pamphlets for community members @ \$2 each	\$200	\$0	
	Computer equipment	\$0 \$200	\$1000 \$1,000	\$1,200
Contractual	Training for 50 people @ \$100 each	\$5,000	\$0	
	Water sample testing - 20 samples @ \$75 each	\$0 \$5,000	\$1,500 \$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).