

# U.S. ENVIRONMENTAL PROTECTION AGENCY, REGION 7

## Supplementary Application Guidance for Fiscal Year 2005

### Source Reduction Assistance Program

#### **OVERVIEW INFORMATION**

##### **Sponsoring Agency and Office:**

U.S. Environmental Protection Agency (EPA) Region 7 (R7), AIR, RCRA, TOXICS DIVISION (ARTD)

**Funding Opportunity Title:** Source Reduction Assistance Program.

##### **Announcement Type:**

Supplementary Guidance to the National Notice of Request for Proposals for Projects to be funded from the Source Reduction Assistance (SRA) Program posted April 4, 2005, to EPA's P2 grants home page at <http://www.epa.gov/p2/grants/srap05.htm> This guidance should be used in conjunction with the National guidance.

**Funding Opportunity Number:** EPA-R7ARTD-05-008

**Catalog of Federal Domestic Assistance (CFDA) Number:** 66.717.

##### **Application Submission Deadlines:**

Applications due Monday, June 20, 2005

Applications received after the submission date will be rejected.

**Statutory Authority:** The SRA grants and cooperative agreements will be awarded using the following statutory authorities: Clean Air Act, Section 103(b) and (g), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and Toxic Substances Control Act, Section 10, as amended. All activities included in the applications must be eligible under one or more of these statutory authorities.

**Matching requirements:** EPA requires a minimum 5% match of the total project cost. The match may be issued in the form of cash and/or in-kind contributions, e.g., charges for real property and equipment or the value of goods and services directly benefiting the EPA funded project.

#### **SUMMARY**

EPA R7 is soliciting applications for the Source Reduction Assistance Program (CFDA 66.717). This guidance supplements the National solicitation located at the website referenced above. These grant dollars are targeted at States, the District of Columbia, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, Federally-recognized tribal governments, non-profits (other than institutions of higher education), private institutions of higher education, and community-based grassroots organizations.

The applicants should address source reduction of pollution across all environmental media: air, land and water. The National solicitation referenced above provides an overview of the program including a description of the evaluation criteria, the grant management tools, the timelines for submissions and the final awards.

**I. Funding Opportunity Description.** Region 7 plans to award up to \$100,000 in source reduction assistance grants in FY05 to fund projects supporting source reduction, pollution prevention and/or resource conservation activities. For a list of specific projects that will be considered by Region 7, please go to Section IV. part B.

**A. Introduction.** The Source Reduction Assistance (SRA) program grew out of an Agency requirement to compete all grants and cooperative agreements that award \$15,000 or more in programmatic funds. This assistance agreement announcement applies to the additional funding resources available to the Agency to support source reduction, pollution prevention and/or resource conservation projects. For more information on regional programs, please visit EPA's Pollution Prevention web site at <http://www.epa.gov/p2>.

In order to achieve regional and preferably national impact, scale-up of past successful projects, consistent with state/tribal and regional priorities, is strongly encouraged for grant applicants in FY 2005. Each region will have the flexibility of selecting at least one project, which demonstrates scale-up. For examples of scale-up please go to Section V. General Objective.

Also, in compliance with a new EPA Policy Order: 5700.7, applicants are now required to address either outcome or output environmental measurements in their pre-proposals or applications. The term "outcome" means 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. Outcomes may be environmental, behavioral, health-related or programmatic in nature but must be quantitative. The term "output" 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 but must be measurable during the assistance agreement funding period.

Outcome based metrics include but are not limited to:

1. Pounds of pollution reduced,
2. BTUs of energy conserved,
3. Gallons of water saved, and
4. Dollars saved through P2 efforts.

Each regional office will give preference to work plans which address one or more of the outcome based environmental metrics listed above. However, EPA is fully aware that in many instances outcomes from the funded activity may not be readily measurable. In those instances, EPA will consider projects that only measure project outputs. "Outputs" refer to an environmental activity or effort related to an environmental goal or objective that will be produced or provided over a period of time, by a specified date. Outputs may be quantitative or qualitative but must be measurable during the assistance agreement funding period.

Output measures include but are not limited to:

1. Number of stakeholder groups involved in the process,
2. Increased monitoring,
3. Number of workshops, training and courses conducted, and
4. Research conducted.

The EPA Order also requires the Agency to provide a description of how pre-proposals and applications will be ranked based on performing environmental measurement. For more information on how pre-proposals and

applications will be evaluated on measurement and on other criteria, please go to Section V. part A.

**B. Background.** The Pollution Prevention Act of 1990 defines "source reduction" to mean any practice which reduces the amount of any hazardous substance, pollutant, or contaminant entering any waste stream or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal; and reduces the hazards to public health and the environment associated with the release of such substances, pollutants, or contaminants.

Source reduction practices may include: equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, and improvements in housekeeping, maintenance, training, or inventory control.

The term "source reduction" 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.

The term "pollution prevention" means source reduction, as defined under the Pollution Prevention Act, and other practices that 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 through conservation.

The term "resource conservation" for purposes of this competitive announcement, is defined as preventing pollution, promoting reuse of materials, reducing the use of toxic chemicals, and/or conserving energy and materials.

### **C. Strategic Goals**

The effectiveness of EPA's P2 programs will be measured by the environmental results achieved with these programs or projects, by ensuring that EPA's limited resources are used to further the Agency's Strategic Goals. The Strategic Goals for the Pollution Prevention (P2) grant program are:

Goal 1: Clean Air

Objective 1.5: Reduce Greenhouse Gas Intensity

Activity 1: Energy Star and Energy Efficiency

Activity 2: Landfill Methane Outreach Project (LMOP) and AgStar methane reduction

Goal 3: Preserve and Restore the Land

Objective 3.1: Preserve Land

Sub-objective 3.1.1: Reduce Waste Generation and Increase Recycling

Activity 1: Source reduction, re-use, and recycling

Activity 2: Support States and Tribes in MSWL permit programs

Goal 5: Compliance and Environmental Stewardship

Objective 5.2: Improve Environmental Performance through Pollution Prevention, Innovation and Analysis

Sub-objective 5.2.1: Pollution Prevention by Government and the Public

Activity 1: Regional Environmental Management System (EMS)

Activity 2: Develop Outreach Advocacy Program to other Federal entities

Activity 3: RCRA 6002 & Federal use of recycled materials

Activity 4: P2 partnerships with Federal facilities

For more information on EPA's Strategic Plan go to:

<http://www.epa.gov/ocfopage/plan/plan.htm>

All proposed grant programs or projects must list the objective(s) of the program/project and provide a link to the EPA Strategic Plan. As a part of the application, you will be required to complete the “Environmental Results in Assistance Agreements” template (See Attachment A).

EPA also requires the documented environmental benefits that result from agency-awarded grants. This can be featured as an Environmental Performance Table in Attachment B which includes, but is not limited to:

- reduced toxic emissions to air, water, or land;
- gallons of clean water saved;
- tons of solid waste eliminated from entering our landfills through recycling or source reduction (reported separately);
- million metric tons of CO<sub>2</sub> or CO<sub>2</sub> equivalent emissions reduced;
- energy saved in BTU’s per year;
- number of firms served (at workshops, on the phone, at assessments, etc.);
- dollars saved through the programs; and,
- other measures that would be appropriate to specific proposals

EPA encourages individual grantees to develop their own measurement activities specifically tailored to meet the needs of their projects. EPA can provide assistance on conversion factors if needed.

An Environmental Performance Table (Attachment B) is included to help you report results

All applicants are required to link their programs or projects to environmental results. Environmental results are used as a way to gauge a project’s performance using output and outcome measures.

The term “component” means the activities required to accomplish the goals, the stated objectives/link to the EPA Strategic Plan. For each component/objective, list the anticipated total grant amount of funding and the associated FTE’s needed to achieve the program/project. The amounts of the component/objectives must add up to the total amount of grant funding for the award. An FTE is the cost of all personnel, supplies, training, travel, contracts and other costs associated with a component.

The term “work plan activities” includes a list of actions required to accomplish the work plan strategic goals, and a time frame for accomplishment. The work plan will include outputs, outcomes, and a baseline for measurement of improvement.

The term “output” means an environmental activity, effort, and/or associated work product that is related to an environmental goal or objective, that will be produced or provided over a period of time or by a specific date.

The term “outcome” means an environmental 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. List what environmental improvements will be accomplished as a result of this program/project. These improvements are changes or benefits to the environment which are a result from the accomplishment of work plan commitments and outputs. These may be

Short term – Changes in learning, knowledge, attitude, skills

Intermediate – Changes in behavior, practice or decisions

Long-term – Changes in condition

Programs or projects must also establish a baseline for measurement. Describe the current condition, and the expected new condition, and the amount of time anticipated to achieve the new condition.

#### **D. Measurement Criteria**

For the FY05 grant year, EPA Region 7 is requesting that the applications include information on specific

environmental measurement activities associated with the grant work.

EPA requires grantees to design individual measurement programs to follow up on assessments, to track technical assistance efforts and to track action on web sites. The numbers can be confidentially obtained, but should be combined for the report.

Examples of information obtained for assessing technical service activities may include:

- \* number of requests for service
- \* type of service requested, such as documents, training, technical assistance, on-site visit, web site, etc.
- \* sector requesting the service, such as industry, commercial business, farmer, State or local Government, non-profit, consultant, etc.
- \* geographic calling area, such as country, state, EPA designated region, nation or
- \* international

Examples of information obtained from web pages and list serves to measure marketing efforts and the level of interest in the programs may include:

- \* number of web site hits and their implications if they can be determined
- \* the number and type of responses to list serve requests (perhaps number of questions and answers may be adequate)

**II. Award Information.** EPA will issue awards in the form of grants and cooperative agreements. If a cooperative agreement is awarded, the degree of involvement by the Agency will be determined by the regional program office. However, EPA will not be substantially involved in the performance of grants. EPA Region 7 expects to have up to \$100,000 available, in fiscal year 2005 to fund source reduction, pollution prevention and/or resource conservation projects. All awards will be made through a competitive process. Applications exceeding a 2-year budget period will be rejected. EPA reserves the option to offer applicants partial funding for discrete activities described in an applicant's application. Please note: In order to be considered for partial funding, pre-proposals and applications must have clearly delineated activities or phases with separate budget estimates for each activity/phase of the project. In previous years, EPA has awarded related assistance agreements in the range of \$5,000 - \$100,000. EPA anticipates that all assistance agreements will be awarded by September 2005. The number of awards will depend on individual application cost, the final aggregate amount of Federal funds for all applications and the total amount of Federal funds available. EPA reserves the right to reject any or all proposals and make no awards. ***Region 7 has set maximum Federal funding at \$25,000 per application.***

### **III. Eligibility Information.**

**A. Eligible Applicants.** For purposes of this announcement, assistance through this assistance agreement program is available to the following entities (except those in EPA Regions 1 and 2): States, the District of Columbia, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, Federally-recognized tribal governments, non-profits (other than institutions of higher education), private institutions of higher education, and community-based grassroots organizations. Non-profit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided by the U.S. Internal Revenue Service or their state of incorporation. However, non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. If you have any questions regarding the applicability of this action to a particular entity, please contact the Region 7 P2 Program Coordinator listed in section VII. for further instruction. Eligibility will be used as a pass/fail criterion when evaluating proposals. Applicants who do not meet the eligibility criteria will not be considered.

**B. Matching requirements.** EPA requires a minimum 5% match of the total project cost. The match may be issued in the form of cash and/or in-kind contributions, e.g., charges for real property and equipment or the value of goods and services directly benefiting the EPA funded project.

**C. Statutory Authority** - See front page Overview Information

**D. Other Eligibility Requirements**

Preliminary Eligibility Screening Requirements

To be eligible for funding, applicants **must address or meet** all of the following criteria, failure to address or meet these criteria will result in the application being disqualified for funding consideration:

1. Be an eligible applicant as defined in III.A. above;
2. The application must meet all format and content requirements contained in this notice; and
3. The application must comply with the directions for submittal contained in this notice

**IV. Application and Submission Information.**

For more information about these forms contact **Gary Schlicht at 913-551-7097** or 1-800-223-0425, EPA Region 7 Customer Service.

**A. Address to Request Application Forms.** Applicants may download applicable forms from the Internet at <http://www.epa.gov/ogd/AppKit/application.htm>. Please note that Region 7 will allow applicants to only submit full application packages. Applicants who need assistance in filling out application forms may contact EPA's Grants Administration Division at (202) 564-5305.

**B. Content and Form of Pre-Proposal or Application.** Region 7 will allow applicants to submit only full applications. Region 7 requires all applicants to submit two copies of each application; each copy must be no more than 7 pages, using no less than 11 point font. Double-sided copies are preferred. The 7-page limit does not include the Standard Grant Application and associated forms, as stated in number 10 below. Applications which do not conform to the application content and form requirements will be rejected. To read about the application review and selection process please go to Section V. part A and part B, respectively.

Full applications to R7 must include the following:

1. Lead Agency (i.e., the agency applying for the grant funds) and Key Contact(s);
2. Other Involved Agencies (if any) and Key Contacts;
3. Background (including a statement of the problems or issues that the project will address and the current status of pollution prevention activities in the State or Tribe);
4. Summary of the Project (including the project strategy, measurement of success, goals, and objectives);
5. Specification of Tasks and Deliverables. The proposal must describe a linkage between the work to be accomplished under the assistance agreement and EPA's Strategic Plan;
  - 1) Applicant's plan for tracking and measuring its progress in achieving expected outputs/outcomes as discussed in Section 1. (Complete Appendix A)

- 2) Applicants are required to include information that addresses and corresponds to the ranking factors in Section 5.
6. Level of Funding Requested (including the percentage of the project that will be funded with federal dollars) This includes an itemization of the amounts budgeted by individual Object Class Categories (see Allowable Cost section below) **(Note: Region 7 has set maximum federal funding at \$25,000 per application.)**
7. Matching Resources for Project (requested federal money must be matched by at least an equal level of funds and/or in-kind goods and services);
8. Schedule for Implementation (including a summary of deliverables and their due dates);
9. Statement of Experience/Capability (should include resumes or background statements for key project personnel and a description of organization's capabilities and experience as it relates to the proposed project); and,
10. Completed Standard Grant Application, including all forms required on the website, as referenced above. (These forms are not included in the above page limit restrictions.)

### **Confidential Business Information**

Applicants should clearly mark information contained in their proposal which they consider confidential business information. EPA reserves the right to make final confidentiality decisions in accordance with Agency regulations at 40 CFR, Subpart B. If no such claim accompanies the proposal when it is received by the EPA, it may be made available to the public by EPA without further notice to the applicant.

**Region 7 Project Objectives** Listed below are the projects that Region 7 will consider through this SRA program announcement. **Any proposed projects submitted outside of what is listed by the region will be rejected.**

- Agriculture
- Persistent, bio-accumulative and toxic chemical reduction (PBT)
- Toxicity reduction
- Waste reduction
- Energy conservation
- Water conservation
- Solid waste recycling
- Beneficial use of industrial waste

For the PBT objective, applicants may address chemicals on the hazardous waste minimization list found at <http://www.epa.gov/epaoswer/hazwaste/minimize/chemlist.htm> in addition to the PBT list found at <http://www.epa.gov/pbt/fact.htm>

### **Before Writing the Work-plan**

Prior to writing the work-plan, applicants are advised to refer to the section directly above called *Region 7 Project Objectives*, which lists the types of projects that will be considered by Region 7. **Please note: Any proposed project submitted outside of what is listed by the region will be rejected.** Applicants are also strongly encouraged (but not required) to contact their regional Pollution Prevention Resource Exchange (P2Rx) center (there are eight centers in total) to ascertain what P2 work has already been accomplished in

their field of interest. For more information on P2Rx centers please visit <http://www.p2rx.org>.

### **Complying with Program Capability**

Under a new EPA Policy Order: 5700.8, the SRA program is required to evaluate the "programmatic capability" of all eligible applicants. The Agency defines programmatic capability as "the technical capability of the applicant or recipient to successfully carry out a project." Applicant work plans will be evaluated on the evaluation ranking criteria listed in Section V. part A. However, as required by the new Order, programmatic capability criteria (i.e., Roman numerals i. through vii.) will be given "significant weight" in the evaluation process. The exact criteria weights are posted under Section V. part A., the review process. The evaluation of programmatic capability only applies to applicants who submit an application. It does not apply to applicants who are given the option, by the region, to submit a pre-proposal. However, if an applicant's pre-proposal merits further consideration, the applicant will be asked by the regional program office to submit an entire application package – which will be evaluated on the programmatic capability ranking criteria. When evaluating the programmatic ranking criteria, EPA will consider information provided by the applicant and also may consider information from other sources, including Agency files.

### **C. Submission Dates and Times.**

Applicants must send all packages either by regular mail or by an overnight delivery service. However, overnight delivery is strongly advised. Please send packages to the Region 7 office listed below. **Courier service will not be accepted.** Applicants must submit their full applications on or before June 20, 2005, at 5 p.m. Central time. Applications received after the submission dates will be rejected. EPA anticipates funding decisions will be made by September 2005. Applications must be sent to:

Gary Schlicht  
ARTD/SWPP  
U.S. EPA, Region 7  
901 North 5<sup>th</sup> Street  
Kansas City, Kansas 66101

**D. Intergovernmental Review.** This program may be eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." 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 in applying for assistance, if the State has selected the program for review. <http://www.whitehouse.gov/omb/grants/spoc.html>. Federally-recognized tribal governments are not required to comply with this procedure.

**E. Funding Restrictions.** EPA assistance agreement funds may only be used for the purposes set forth in the grant or cooperative agreement, and must be consistent with the statutory authority of the award. Assistance agreement funds may not be used for matching funds for other Federal grants or cooperative agreements, 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. Ineligible costs will be reduced from the final grant award.

### **F. Other Submission Requirements.**

**1. DUNS Number.** The Office of Management and Budget (OMB) now requires grant and cooperative agreement applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. The DUNS number will supplement



other identifiers required by statute or regulation, such as tax identification numbers.

Organizations can receive a DUNS number in one day, at no cost, by calling the toll-free DUNS Number request line at 1-866-705-5711. Individuals who would personally receive a grant or cooperative agreement award from the Federal government apart from any business or nonprofit organization they may operate are exempt from this requirement. The website where an organization can obtain a DUNS number is: <http://www.dnb.com>. This takes 30 business days and there is no cost unless the organization requests expedited (1-day) processing, which includes a fee of \$40.

A DUNS number **must** be included in every application for a new award or renewal of an award. Applicants can download the revised version at <http://www.whitehouse.gov/omb/grants/sf424.pdf>.

**2. Confidential Business Information.** In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application and/or pre-proposal as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications and/or pre-proposals or portions of applications and/or pre-proposals 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.

**3. Agency Strategic Plan.** EPA will not fund any projects developed apart from the Agency's Strategic Plan listed under Goal 5. Compliance and Environmental Stewardship; Objective 5.2: Improve Environmental Performance through Pollution Prevention, and Innovation, **see pp.114-115. Applicants may view the objective and sub-objectives by visiting** <http://www.epa.gov/ocfo/plan/plan.htm>.

## **V. Application Review Information.**

**General Objective.** This year, in order to achieve regional and preferably national impact, scale-up of past successful projects that is consistent with state/tribal and regional priorities is strongly encouraged for grant applicants in FY 2005. Each region will have the flexibility of selecting at least one project, which demonstrates scale-up.

The intention of scaling-up prior P2 projects is to generate greater environmental impact within the regions. Examples of prior projects that have the potential to be scaled-up include but are not limited to: 1) expanding/replicating existing projects within hospitals and healthcare facilities, by supporting mercury reduction and best management practices, 2) expanding/replicating existing environmental management systems within state and tribal government offices, 3) expanding/replicating best management practices within colleges and universities, 4) expanding/replicating sustainable planning activities, etc.

**A. Criteria.** Applications will be reviewed and evaluated on the eight criteria listed below. Please note the point value assigned to each one of the criteria.

**i. Project management.** The work plan identifies key personnel who will work on the project and demonstrates their qualification and accountability. Applicants may attach resumes as attachments. Attachments will not count against pre-proposal or application page limits. **[5 points]**

**ii. Organizational Experience.** The work plan describes how the applicant will plan for timely and successful completion of the objectives of the project. **[5 points]**

**iii. Past performance.** The work plan describes the successful execution/completion of similar projects and how lessons learned from past projects will benefit the proposed project. In addition, the application must identify any adverse audit findings or grant enforcement actions taken by any Federal agency against the applicant during the past 5 years. EPA may verify some past performance information. If the applicant does not have past performance history, the applicant will receive a neutral score, as determined by the region. **[5**

points]

**iv. Applicant History.** The work plan describes the applicant's history of meeting reporting requirements on prior or current assistance agreements with federal and/or non-federal organizations and submitting acceptable final technical reports. **[5 points]**

**v. Project strategy.** The work plan includes a well-conceived strategy to achieve the project goals and objectives and a reasonable schedule for the execution of the tasks associated with each goal. The review panel will consider how well an application relates to overarching Agency goals, objectives, and strategic priorities, such as those stated in the EPA Strategic Plan (available at [www.epa.gov/ocfopage/plan/2003sp.pdf](http://www.epa.gov/ocfopage/plan/2003sp.pdf)). **[35 points]**

**vi. Environmental measurement.** EPA will evaluate the applicant's work plan for tracking and measuring its progress towards achieving the expected outcomes or outputs identified in Section I of the announcement. **[25 points]**

**vii. Budget.** The budget and associated narrative of the work plan demonstrates effective and judicious use of Federal funds. EPA requires a 5% match. Please note that use of EPA financial assistance compensation for consultants is limited under EPA's appropriations act to the daily equivalent of the rate paid to Federal employees at the ES-IV level. The budget and narrative must be included as a separate attachment. Attachment will not count against pre-proposal or application page limits. **[10 points]**

**viii. Partnerships.** The work plan makes effective use of partnerships, wherever possible, to leverage other organizations' funding and expertise. Partners must provide letter(s) of support from an official within the organization, specifying and confirming their specific contributions to the project. Letters must be included as attachments. Attachments will not count against pre-proposal or application page limits. **[10 points]**

**B. Review and Selection Process.** Applications will be selected based on eligibility requirements and the Region 7 selection process. A panel of EPA R7 reviewers will make their final selections based on the evaluation criteria in Section V. part A. **In addition to the evaluation criteria, geographic distribution of projects will be taken into consideration, in order to serve and reflect the geographic diversity of the Region.** Final award selections will be made by the EPA Region 7 Director of the Air, RCRA and Toxics Division. For more information on the selection process please contact either the Region 7 P2 Coordinator (as listed in part VII.) or visit the Region 7 website. All work plans must meet the eligibility requirements identified in Section III.

**1. Partial Funding.** EPA reserves the option to offer applicants partial funding for discrete activities described in an applicant's pre-proposal or application. Please note: In order to be considered for partial funding, pre-proposals and applications must have clearly delineated activities or phases with separate budget estimates for each activity/phase of the project.

**C. Anticipated Announcement of Awards.** EPA anticipates that all awards will be announced by September 2005.

## **VI. Award Administration Information.**

**A. Award Notices.** EPA anticipates that award notices will be issued by October 2005. Non-profit applicants which qualify for funding may, depending on the size of the award, be required to fill out and submit to the region, with supporting documents, an Administrative Capability Form, consistent with the requirements of paragraphs 8.b, 8.c, and 9.d of EPA Policy Order: 5700.8. Notification is not an authorization to begin performance.

At the conclusion of the competition, a list of the successful proposals will be posted on the following EPA R7

website: [http://www.epa.gov/region07/economics/r7\\_grant\\_opportunities.htm](http://www.epa.gov/region07/economics/r7_grant_opportunities.htm) This website may also contain additional information about this announcement including information concerning deadline extensions or other modifications.

## **B. Administrative and National Policy Requirements**

### **1. 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 also be requested by contacting Sabre Germano with the EPA Region 7 Grants Assistance and Management Unit (GAMU) at 913-551-7026.

### **2. 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, "Audits of States, Local Governments, and Nonprofit Organizations," non-federal entities that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. The Office of Management and Budget (OMB) Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," was published in the Federal Register on June 30, 1997. The Circular implements the Single Audit Act amendments of 1996. State agencies that receive less than \$500,000 within the State's fiscal year shall have an audit made in accordance with Federal laws and regulations governing the programs in which they participate.

### **3. 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 final financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

### **4. Applicable Regulations**

State applicants and recipients of P2 grants are subject to the requirements of EPA regulations 40 CFR Part 31, supplemental EPA regulations at 40 CFR 7; 12; 29; 32; 34; Office of Management and Budget Circulars A-87, A-133; and Federal cross-cutting statutes and regulations identified on the grant application form SF-424 (B) Assurances – Non-Construction Programs

Tribal and Intertribal Consortia applicants and recipients of P2 grants are subject to the requirements of EPA regulations 40 CFR Part 31, and et al.

### **5. Non-profit Applicants**

Non-profit applicants which are recommended for funding may, depending upon the size of the award, be required to complete and submit an Administrative Capability Form and supporting documents or may be subject to pre-award administrative capability reviews in accordance with Sections 8.b, 8.c and 9.d of EPA Order 5700.8 "EPA Policy on Assessing Capabilities of Non-profit Applicants for Managing Assistance Awards."

## 6. Quality Assurance

If environmental activities include direct measurements or data generation, environmental modeling or compilation of data from literature or electronic media as part of the funding agreement, a Quality Assurance Project Plan and submission date to EPA for approval will be required unless the organization can show a previously EPA approved Quality Management Plan. No federal funds may be expended or requested for reimbursement for data collection or environmental sampling activities prior to submittal and approval of the Quality Assurance Project Plan to/by the EPA Project Officer.

## 7. Copyrights

EPA reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes in accordance with 40 CFR 31.34: (a) The copyright in any work developed under a grant, subgrant, or contract under a grant or subgrant; and (b) Any rights of copyright to which a grantee, subgrantee or a contractor purchases ownership with grant support.

## C. Reporting.

**1. Uniform reporting requirements for institutions of higher education and other non-profit organizations.** The recipient, along with the Regional Project Officer, will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR part 30, subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see §§ 30.51 through 30.53). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Regional Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Regional Project Officer and the recipient will negotiate a resolution. The recipient may request a review of the Regional Project Officer's decision under the dispute resolution process under (40 CFR 30.63).

**2. Uniform reporting requirement for state, local and tribal governments.** The recipient along with the Regional Project Officer, will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR 31, subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see §§ 31.40 through 30.42). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Regional Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Regional Project Officer and the recipient will negotiate a resolution that addresses the issues. If issues cannot be resolved through negotiation, the Regional Project Officer may take appropriate action (see §§ 31.43 through 31.44.) The recipient may request a review of the Regional Project Officer's decision under the dispute resolution process under 40 CFR, Part 31, subpart F

## 3. Region 7 grantee reporting

Grantees will be required to submit, either electronically or by paper, each of the semi-annual progress reports and the final report of the grant deliverables to the Region 7 Pollution Prevention Program in Kansas City (Address #1); two hard copies and one electronic version of the grant deliverables to the Regional Pollution Prevention Resource Information Center (Address #2); and one hard copy of each of the

semi-annual progress reports and the final report and deliverables to the Pollution Prevention Division in Washington D.C. (Address #3).

Address #1:

**Gary Schlicht**  
**ARTD/SWPP**  
**U.S. EPA Region 7**  
**901 North 5<sup>th</sup> Street**  
**Kansas City, KS 66101**

Address #2:

Rick Yoder  
P2RIC  
University of NE at Omaha  
6001 Dodge St., RH 308  
Omaha, NE 68182

Address #3:

P2 Grant Products  
Pollution Prevention Division (7409)  
Environmental Protection Agency  
401 M St., SW  
Washington, DC 20460

These progress and final performance reports must be submitted in accordance with 40 CFR 31.41 or 30.51 as applicable.

Grantees shall submit semi-annual and annual performance reports. Annual reports shall be due 90 days after the grant year; semi-annual reports shall be due 30 days after the reporting period. The final performance report will be due 90 days after the expiration or termination of grant support.

Performance reports will contain brief information on the following:

- (i) A comparison of actual accomplishments to the objectives established for the period;
- (ii) The reasons for slippage if established objectives were not met; and
- (iii) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

Failure to provide progress and/or performance reports in a timely manner may result in disqualification for future funding.

## **VII. Agency Contacts.**

Program

Gary R. Schlicht  
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901 N. 5th Street  
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Kansas City, KS 66101  
Phone: 913-551-7026  
[germano.sabre@epa.gov](mailto:germano.sabre@epa.gov)

## **VIII. Other Information**

Regional grants website: [http://www.epa.gov/region07/economics/r7\\_grant\\_opportunities.htm](http://www.epa.gov/region07/economics/r7_grant_opportunities.htm)

For more information about the Agency's policy on competition in assistance agreements, please visit <http://www.epa.gov/ogd/grants/competition.htm>.

For more information or questions about this guidance or the FY05 SRA grant program in EPA R7, please contact Gary Schlicht at 913-551-7097 or toll free at 1-800-223-0425.

## LOGIC MODEL FOR WORK PLAN

1 Stated Objective/Link to EPA Strategic Plan (Components)	2 Grant Funding/FTE's (Federal/Match)	3 Work Plan Activities & Time frame for Accomplishment (Commitments)	4 Results of Activities (OUTPUTS)	5 Projected Environmental Improvement (OUTCOME)	6 Established Baseline for Measurement
<p>Objective of the Program/Project</p> <p>Clean Air and Global Climate Change</p> <p>Clean and Safe Water</p> <p>Land Preservation and Restoration</p> <p>Healthy Communities and Ecosystems</p> <p>Compliance and Environmental Stewardship, etc.</p>	<p>We use these resources...</p>	<p>For these activities....</p>	<p>To produce these outputs....</p>	<p>Which leads to this environmental change....</p>	<p>The criteria used to gauge program/project success</p>

## **GUIDE**

**1. Stated Objective/Link to EPA Strategic Plan** - Please list the Objective of the Program/project and provide a Link to the EPA Strategic Plan. All grant funded activities are required to be linked to the U.S. Environmental Protection Agency (EPA) Strategic Plan. The Strategic Plan establishes goals, objectives, and sub objectives for accomplishing EPA's mission to protect human health and the environment. The five goals are:

- Goal 1: Clean Air and Global Climate Change
- Goal 2 - Clean and Safe Water
- Goal 3 - Land Preservation and Restoration
- Goal 4 - Healthy Communities and Ecosystems
- Goal 5 - Compliance and Environmental Stewardship

The EPA Region 7 Strategic plan and goal sub-objectives are located at:  
<http://www.epa.gov/ocfo/regionplans/region7/2004strategicplanreg7.pdf>

**2. Grant Funding** - Please list the anticipated amount of funding and the associated FTE's needed to achieve the Program/project objectives for this grant. Please include any match or cost share requirement.

**3. Work Plan Activities & Time frame for Accomplishment (Commitments)** - Please list the activities required to accomplish the work plan goals (Stated Objectives) and a time frame for their accomplishment.

**4. Results of Activities (Outputs)** - List the products/results which are expected to be achieved from accomplishment of the work plan activities.

**5. Projected Environmental Improvement (Outcome)** - List what environmental improvements will be accomplished as a result of this program/project. These improvements are changes or benefits to the environment which are a result from the accomplishment of work plan commitments and outputs. These may be:

- Short term - Changes in learning, knowledge, attitude, skills
- Intermediate - Changes in behavior, practice or decisions
- Long-term - Changes in condition

**6. Established Baseline for Measurement** - Describe what baseline will be used to determine whether the program/project resulted in environmental improvement (i.e., current condition, new condition).



Attachment B

Environmental Performance Table

Select aspects and measures from this table on which you will be reporting as a result of your activities.

<u>Categories</u>	<u>Aspects</u>	<u>Measures</u>
<u>ENERGY USAGE</u>	<u>Total Energy Usage</u>	<u>BTU, MMBTU</u>
<u>WATER USAGE</u>	<u>Total Water Usage</u>	<u>gallons</u>
<u>MATERIALS USAGE</u>	<u>Total Materials Usage</u>	<u>tons, metric tons</u>
	<u>Hazardous Materials Usage</u>	<u>tons, metric tons</u>
	<u>Recycled/Re-Used Materials Usage</u>	<u>tons, metric tons</u>
<u>AIR EMISSIONS</u>	<u>Emissions of Greenhouse Gases</u>	<u>tons, metric tons carbon-equivalent of CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O, and halo-carbons</u>
	<u>Emissions of Ozone-Depleting Chemicals</u>	<u>pounds, tons</u>
	<u>Emissions of VOCs</u>	<u>tons, metric tons</u>
	<u>Emissions of NO<sub>x</sub></u>	<u>tons, metric tons</u>
	<u>Emissions of Sulfur Dioxide</u>	<u>tons, metric tons</u>
	<u>Emissions of Particulate Matter</u>	<u>tons, metric tons PM<sub>10</sub> and PM<sub>2.5</sub></u>
	<u>Emissions of Carbon Monoxide</u>	<u>tons, metric tons</u>
	<u>Emissions of Toxics</u>	<u>pounds of chemicals listed as toxic under CAA, TRI and State statutes, also HPV and PBT list</u>
<u>WASTE</u>	<u>Total Solid Waste</u>	<u>tons, metric tons (including production scrap, if not recycled/reused)</u>
	<u>Hazardous Solid Waste</u>	<u>tons, metric tons</u>
	<u>Toxic Releases to Land</u>	<u>tons, metric tons TRI, HVP, PBT chemicals</u>
<u>DISCHARGES TO WATER</u>	<u>COD Discharges to Water</u>	<u>pounds</u>
	<u>BOD Discharges to Water</u>	<u>pounds</u>

	<u>Discharges of Toxics to Water</u>	<u>pounds of chemicals listed under CWA, TRI, HPV, PBT, State statutes</u>
<u>ACCIDENTAL RELEASES</u>	<u>Release History</u>	<u>number, quantity of RQ, accidental releases reportable under EPCRA</u>
	<u>Vulnerability and Potential for Releases</u>	<u>size of Vulnerable Zone per Off-Site Consequence Analysis</u>
		<u>volume of Extremely Hazardous Substances in inventory</u>
<u>PRESERVATION/RESTORATION</u>	<u>Habitat Impacts</u>	<u>destruction, degradation, creation, or enhancement of habitat, including wetlands, riparian areas</u>
<u>PRODUCT PERFORMANCE</u>	<u>Expected Lifetime Energy Use of Product</u>	<u>KWh, BTU</u>
	<u>Expected Lifetime Waste (to air, water, land) of Product</u>	<u>tons, metric tons, by aspects in air, waste, water categories above</u>
	<u>Packaging Materials Used in Product</u>	<u>tons, metric tons</u>
	<u>Waste to Air, Water, Land from Disposal or Recovery of Product</u>	<u>tons, metric tons, by aspects in air, waste, water categories above</u>

The following acronyms are used in the *Environmental Performance Table*

BOD	=	Biological Oxygen Demand
CAA	=	Clean Air Act
COD	=	Chemical Oxygen Demand
CWA	=	Clean Water Act
BTU	=	British Thermal Units
EPCRA	=	Emergency Preparedness and Community Right-to-Know Act
HPV	=	High-Production Volume Chemicals (a list of chemicals covered by HPV is available at <a href="http://www.epa.gov/chemrtk/hpvchmlt.htm">http://www.epa.gov/chemrtk/hpvchmlt.htm</a> )
Kwh	=	Kilowatt Hours
PBT	=	Persistent, Bioaccumulative and Toxic Chemical
MMBTU	=	Million Metric British Thermal Units
PM10	=	Particulate Matter less than 10 microns
PM2.5	=	Particulate Matter less than 2.5 microns
RQ	=	Reportable Quantity under the Comprehensive Environmental Responsibility and Cleanup Act (CERCLA)
TRI	=	Toxic Release Inventory (a list of chemical covered by TRI is available at <a href="http://www.epa.gov/tri/chemical">http://www.epa.gov/tri/chemical</a> )
VOC	=	Volatile Organic Compounds