The New York State Pollution Prevention Institute (NYSP2I) is pleased to invite applications from New York State based community organizations, municipal departments, and other public sector and non-profit entities to the Community Grants Program. The goal of the Community Grants Program is to support projects that raise awareness and understanding of pollution prevention practices and lead to implementation at the local level.

Introduction

NYSP2I is a statewide research and technology transfer center funded by the Environmental Protection Fund as administered by the New York State Department of Environmental Conservation (NYSDEC), located at Rochester Institute of Technology (RIT) and partnered with four additional universities and the NYS Manufacturing Extension Partnership Centers (MEP). Our goal is to provide full geographic coverage of pollution prevention programs and services to businesses and organizations across New York State.

Areas of Technical Expertise

- Improving efficiency and reducing environmental footprint of a manufacturing process or facility
- Independent product technology assessments, validation and effectiveness studies for commercialization acceleration
- Supply chain sustainability assessments, strategy, and implementation
- Food waste reduction and landfill diversion

NYSP2I recognizes that the engagement of community organizations in promoting pollution prevention (P2) initiatives in New York State is critical. By providing financial and technical support for community-based projects, the Community Grants Program is one vehicle through which NYSP2I contributes to the improvement of the health, environmental quality, and economic vitality of New York State communities.

For more information about NYSP2I or to download a copy of this RFA please visit our website at: www.nysp2i.rit.edu/community-grants-program

Eligible Organizations

Organizations that are eligible for funding under the Community Grants Program must either be a community organization or local government agency as defined below.

Community organizations are defined as any non-profit group based in New York State that conducts the majority of its work within the state. Eligible organizations may include, but are not limited to: organizations with a focus in environmental, public health, or occupational health protection; academic institutions; neighborhood associations; environmental justice organizations; community development corporations; health centers; local unions and labor organizations. Community organizations do not need to be 501(c)(3) organizations however, all community organizations must submit a W-9 form with their application.¹

Local government agencies are defined as offices or departments of a city, town, county, or primary and secondary schools in New York State. Specifically these may include but are not limited to: local environmental agencies, boards of health, departments of public works, local emergency response offices, town commissions, planning and zoning boards, libraries, and schools.

¹ Organization location - Project proposal must be located within the EJ community served by the eligible applicant organization and the organization must have its primary office location in the affected community.
Submitted proposals must meet the following criteria and guidelines to be considered:

- Increase awareness, understanding and/or lead to implementation of pollution prevention practices and/or behaviors at the community or municipal level.
- Demonstrate a clear and actionable project plan (see ‘Application Format’ for project plan requirements on Page 7).
- Be able to measure program outcomes (see Metrics Reporting on Page 6 for details).
- Result in one or more concrete deliverable(s) (past examples include training or public education workshops; demonstration projects; implementation of a new policy, technology, or practice; creation and dissemination of brochures, videos or a website).
- Will be completed in accordance with the budget guidelines provided in the ‘Budget Guidelines, Size of Awards, and Distribution of Funds’ section.
- 2019 project timeline may not exceed 12 months. Project timeline is January 1st, 2019 through December 31st, 2019.

The Community Grants Program provides support for projects that raise awareness and understanding and lead to implementation of pollution prevention practices and/or behaviors at the local level with the goal of improving the health, environmental quality, and economic vitality, especially in affected communities, of New York State. NYSP2I encourages applicants to review past projects on the NYSP2I website [http://www.rit.edu/affiliate/nysp2i/community-programs/community-grants](http://www.rit.edu/affiliate/nysp2i/community-programs/community-grants).

In addition to new projects, NYSP2I also supports the expansion or replication of past projects in New York State as well as projects that support NYSP2I program initiatives. Please review past project summaries carefully to determine whether any are replicable in your community or to use as a benchmark to build on. If replicating or expanding a past project, reference the project and project results in your application. Past applicants are also welcome to apply for funding to expand previous projects.

NYSP2I will review each application to determine that the proposed project meets the eligibility requirements below. In addition, members of the NYSP2I Advisory Board will be asked to review and provide feedback on applications. It is expected that any factual statements be cited with appropriate sources in the event NYSP2I needs to refer to such information.

For the purposes of the NYSP2I Community Grants Program, pollution prevention (P2) is defined as reducing or eliminating waste at the source by modifying production processes, promoting the use of non-toxic or less-toxic substances, implementing conservation techniques, efficiently and effectively utilizing resources such as energy, water and raw materials and re-using materials rather than putting them into the waste stream.2

Preference will be given to projects that:

- Utilize partnerships and collaborations with other organizations
- Demonstrate a broad community impact
- Address populations and affected communities experiencing or susceptible to environmental harms and risk
- Are replicable and transferrable to other organizations
- Can demonstrate funding from additional sources

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**Ineligible Projects**

- Projects that do not meet the definition of or are not focused on pollution prevention. Ineligible projects include recycling, pollution control, or waste management.
- Projects conducted solely by a for-profit organization.
- Lobbying or enforcement activities. The term "lobbying" or "lobbying activities" shall mean and include any attempt to influence:
  
  (i) the passage or defeat of any legislation or resolution by either house of the state legislature including, but not limited to, the introduction or intended introduction of such legislation or resolution or approval or disapproval of any legislation by the governor;
  
  (ii) the adoption, issuance, rescission, modification or terms of a gubernatorial executive order;
  
  (iii) the adoption or rejection of any rule or regulation having the force and effect of law by a state agency;
  
  (iv) the outcome of any rate making proceeding by a state agency;
  
  (v) any determination:
    
    (A) by a public official, or by a person or entity working in cooperation with a public official related to a governmental procurement, or
    
    (B) by an officer or employee of the unified court system, or by a person or entity working in cooperation with an officer or employee of the unified court system related to a governmental procurement;
    
  (vi) the approval, disapproval, implementation or administration of tribal-state compacts, memoranda of understanding, or any other tribal-state agreements and any other state actions related to Class III gaming as provided in 25 U.S.C. § 2701, except to the extent designation of such activities as "lobbying" is barred by the federal Indian Gaming Regulatory Act, by a public official or by a person or entity working in cooperation with a public official in relation to such approval, disapproval, implementation or administration;
    
  (vii) the passage or defeat of any local law, ordinance, resolution, or regulation by any municipality or subdivision thereof;
    
  (viii) the adoption, issuance, rescission, modification or terms of an executive order issued by the chief executive officer of a municipality;
    
  (ix) the adoption or rejection of any rule, regulation, or resolution having the force and effect of a local law, ordinance, resolution, or regulation; or
    
  (x) the outcome of any rate making proceeding by any municipality or subdivision thereof.

Budget Requirements, Size of Awards, and Distribution of Funds

Budget Requirements
Grant recipients will be required to establish and maintain complete and accurate records pertinent to the performance of the funded program. Expenses must be auditable to their original source and documentation must be maintained. Grant recipients will be required to provide periodic financial status reports, including back-up documentation for all expenses when requested.

Grant funds may not be used for the following:

- Alcoholic beverages
- Entertainment
- Goods or services for personal use
- Cost of selling or marketing products
- The purchase of equipment*, machinery, land, renovation, or construction costs

*For purposes of this award, equipment is defined as real property, equipment, or tangible personal property having a useful life of more than one year and an acquisition cost of $1,000 or more per unit.

Overhead Costs (Finance & Administrative Costs): Overhead recovery (indirect costs) will be limited to 5% of the total direct costs. Standard Clauses for New York State Contracts will be applicable to this grant and can be found at: https://ogs.ny.gov/About/AppendixA.asp

Travel costs are allowable in accordance with NYS travel guidelines and can be found at: http://www.osc.state.ny.us/agencies/travel/travel.htm

Size of Awards
An organization may submit more than one application. However, each application must be for a separate project, although the project may contain several elements. Typical grant awards will range between $10,000 - $20,000 per project. The maximum grant award will be $20,000 per project. Funding is contingent upon availability of program funds. NYSP2I may make grant offers at amounts lower than those for which the applicant proposed.

Distribution of Funds
Grantees will submit invoices to NYSP2I on a monthly or quarterly basis, along with a project progress report. Once an invoice has been approved, it is anticipated that payment will be made within 30 days.
**Reporting and Other Requirements**

**Kick-off Meeting**
Grantees will attend a mandatory project kick-off meeting on **November 13th, 2018 at 10:00 am** via conference call/webinar. At this meeting, a review of project expectations will be discussed as well as detailed information regarding budget and invoicing. Please plan to include finance personnel at the kick-off meeting as pertinent budget information will be discussed. Awardees will be expected to provide a brief summary of their project at the meeting.

**Reporting**

**Progress Reports:**
Grantees will be required to submit Quarterly Progress Reports. Progress reports must include a list of project outputs and outcomes and their completion status to date, a list of outputs remaining to be undertaken, and an outline of goals and objectives attained since the project started. NYSP2I will provide a progress report template. **Reports will be due on April 5th, 2019; July 5th, 2019; and October 4th, 2019.**

**Progress Report Conference Calls:**
Grantees will participate in quarterly project update conference calls to discuss project status. The date and times of these calls will be arranged between the grantee and NYSP2I; the calls will be held prior to the submission of each quarterly report on **April 5th, 2019; July 5th, 2019; and October 4th, 2019.**

**Metrics Reporting:**
Throughout the grant period, grantees will be required to track and submit the following metrics, as applicable to their project, and submit them with each quarterly report:

- Number of events, trainings, workshops, meetings, conferences and/or roundtables conducted (any planned event drawing attendance from multiple facilities and designed to disseminate P2 information)
- Number of attendees at each session (any training provided as part of the grant work)
- P2 Information developed (any publication designed to be disseminated to inform others about P2)
- Number of P2 informational materials distributed
- Number of clients reporting that they implemented P2 suggestions (requires follow-up)
- Number of clients reporting adoption of P2 policies
- Number of clients reporting increased awareness and understanding of P2 opportunities
- Any measurable environmental outcomes such as pounds of waste or emissions reduced

**Final Report:**
A Final Report will be due by the project end date, which will be **no later than January 15th, 2020.** A Final Report template will be provided.

**Public Dissemination**
All project materials funded by or developed under NYSP2I's Community Grants Program must be submitted to NYSP2I for review and approval two weeks prior to public dissemination. Materials must include an approved NYSP2I logo as well as disclaimer verbiage from the NYS Department of Environmental Conservation. These materials will be provided by NYSP2I to grantees.
NYSP2I Support

In alignment with our mission and overall goal for the Community Grants Program, NYSP2I will provide professional, technical, outreach and press-related support to the grantees, including assistance in completing the grant application itself, if needed.

Application Format

Applicants should take these criteria into consideration when completing their application and should address them, adhering to the format and order, directly in their application.

1. **Community Grants Proposal Cover Page:** Complete Appendix A

2. **Proposal** – (Total 100 points) Use the following format and ensure all references are properly cited.
   
   a) **Executive Summary/Abstract:** One page overview to include the following:
      
      i) The submitting organization name
      
      ii) A brief description of the proposed project; including the pollution prevention topics addressed, as well as the affected community that is being focused on and the harms and risks being remedied by the project.
      
      iii) The total cost of the project and the Community Grant Program funding amount requested

   b) **Organizational Background (5 points):** (maximum 1 page)
      
      i) Describe your organization (history, mission, accomplishments, etc.).
      
      ii) Describe the project leader (include title and contact information) and participating staff’s background and capabilities. Resumes are not required, but are recommended (1 page maximum per resume please).

   c) **Project Description and Plan (50 points):** (maximum 6 pages)
      
      i) **Project Description - Narrative overview of project**
         
         (1) Pollution Prevention topic(s) addressed by the project
         
         (2) Who or what will be affected, trained, and/or impacted by the project and how
            
            (a) NYSP2I will review and assess how the proposed project examines or addresses the affected community’s pollution prevention issues with the highest number of points being attributed to the projects that are likely to result in substantial improvements to the environmental conditions or public health of the affected community.
            
            (b) NYSP2I will review and assess proposed projects’ educational component and whether the project will expand the community residents’ knowledge or understanding about the pollution prevention issue at hand within the affected community.
         
         (3) Replicability and transferability to other New York State organizations and communities
         
         (4) Expected Outcomes of project
            
            (a) Short term- Outcomes for the project term (1 year)
            
            (b) Long term- Projected outcomes for related future programming
         
         (5) Key resources participating in developing/implementing the project and their role
      
      ii) **Project Plan – detailed description of how you will accomplish your project written in the form of a chronological list**
         
         (1) Project Goals (list as bulleted items with detailed descriptions)
         
         (2) Outputs (actions that will be taken to achieve the goals) including tentative dates for any planned events.
(3) Expected metrics of your Outputs and Outcomes

(a) Estimated output metrics – for example, how many events, how many people at each event, etc.

(b) Plan for measuring Outcome metrics – for example, a follow-up survey to measure attendees’ knowledge as a result of an event.

Your **Goal** is the starting point.

**Output** is the action taken to achieve your goal.

What you actually achieve from your Output is the result of your efforts or your **Outcome**.

**Metrics** are used to measure your Outcome – a point of reference to compare yourself to similar efforts or a point to grow from. (More detailed definitions provided in ‘Definitions’ section.)

d) **Project Evaluation & Expected Results (20 points):**

i) Expected qualitative and quantitative results of the project and how you will measure them. For example, if you are going to survey your project participants, you might report that a certain percentage of participants indicated an increase in pollution prevention knowledge because of the project.

ii) Explain how you will evaluate whether your overall project is successful. Please include who will conduct the evaluation and the criteria and/or measures used*

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*Indicates significant weight applied to the item.

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e) **Partnership and Collaborative Efforts (10 points):**

i) List the project partners and their contact information.

ii) Submit **letters of commitment** from each project partner describing their commitment to the project, their role, estimated time on the project and whether they will be paid with this grant funding.

iii) Submit letters of support from a government body, educational institution, or other established entity expressing support for the grant application. *(Optional)*

f) **Timeline (5 points):**

i) Outline project goals, outputs, and outcomes (indicate start and completion date)
   
   • Add tentative dates for any planned events (if applicable)

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g) **Budget (10 points):**

i) State total project cost and amount of Community Grant Program funding requested. Describe any other sources of funding that will be used toward the project costs and whether they have already been secured/committed.

ii) Provide a brief description and justification of expenses. Please note: if hard copy materials such as books, brochures, cards, etc. will be created, NYSP21 requests 50 copies of each creation. Please account for this in the budget.

iii) Complete and submit all three sheets of Appendix B Community Grants Program Budget Form. If you are not planning travel, please enter zeros on the travel sheet. **This Budget Form should only include items to be funded through NYSP21,** not your total project expenses or in-kind support.
3. **Required Forms:**
   a) RFA Appendix A: Community Grants Program Proposal Cover Page (as noted above)
   b) RFA Appendix B: Community Grants Program Budget Form
   c) W9 Form
   d) New Supplier Setup form
   e) Contact Form

**Application Submission Timeline**

Applications must be received by NYSP2I by:

**5pm EST on Friday, September 14th, 2018.**

Late applications will not be reviewed.

The NYSP2I Community Grant award announcements are anticipated on or about October 30th, 2018. Grantees will be required to sign a Community Grant Program Scope of Work for their project, which will contain flow down terms and conditions of the NYSP2I state contract. Project work may begin once the applicant is officially notified of their award in writing by NYSP2I, the required Community Grant Program documents are fully executed, and a purchase order is issued by Rochester Institute of Technology (the administrator of the NYSP2I).

**Submission Information**

Submit complete application package electronically as one PDF file via email to: nysp2icgp@rit.edu with the following subject line: 2018-2019 CGP Application

Applications submitted without all required forms will not be reviewed.

**Contact Information**

All questions about this Request for Applications should be directed to:

Kate McArdle  
Community Outreach Coordinator  
Rochester Institute of Technology  
111 Lomb Memorial Drive  
Rochester, NY 14623  
Phone: (585) 475-2399  
Email: kwmp2i@rit.edu

The New York State Pollution Prevention Institute (NYSP2I) is a state-wide research and technology transfer center whose mission is to make New York State more sustainable for workers, the public, the environment, and the economy.

NYSP2I is led by Rochester Institute of Technology (RIT) and is a partnership between RIT, Clarkson University, Rensselaer Polytechnic Institute, State University of New York at Binghamton, Cornell University and the NYS Manufacturing Extension Partnership Centers (MEP).

To learn more about NYSP2I visit: [www.nysp2i.rit.edu](http://www.nysp2i.rit.edu)
Definitions

Goal – aim or desired result of the project.

Output – activities, efforts, and/or work products that the applicant proposes to produce or provide during the project period to support pollution prevention goals. Potential outputs may include (examples only):

• Number of individuals recruited for projects that educate teachers, students, parents and the public about pollution prevention/environmental issues;
• Number and variety of classroom activities, workshops, or field trips conducted;
• Number and variety of effective training sessions conducted for formal and informal educators;
• Number and kind of educational materials and websites developed;
• New methods designed to measure knowledge acquired or benefits to the environment and natural resources;
• Number and kind of actions taken to benefit the environment and natural resources;
• Reports of quantitative and qualitative results.

Outcome – the results, effects, or consequences that will occur from carrying out the activities or outputs of the pollution prevention project. Outcomes may have behavioral or health-related elements, but all must be pollution prevention oriented, and quantitative. Examples include:

• Increased learning, knowledge, skills, attitudes, and motivation, as well as immediate benefits to the environment and natural resources, like reduced waste in a landfill due to a food waste management project.
• Decisions, actions, practices, and behaviors that are the foundations of stewardship to protect the environment and natural resources.
• A sustained program that increases environmental and/or conservation literacy and enhances civic responsibility among the citizens of the local community(ies) in which the project is located. May also include ongoing environmental improvements and increased conservation efforts due to an increased willingness among citizens to take action to restore or protect their local environment and natural resources. ³

Metric -

A measure used to gauge program or project performance.
Environmental Justice-

Environmental Justice – the fair treatment and meaningful involvement of all people regardless of race, color, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no group of people, including a racial, ethnic, or socioeconomic group, should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations or the execution of federal, state, local, and tribal programs and policies.⁴