

## **Programmatic Terms & Conditions for the 2007 Phase 1 P3 Grants**

**General.** As a result of this agreement, the recipient agrees to three categories of items:

(1) Provide to EPA's National Center for Environmental Research (NCER) a Project Report made up of three components: a Phase I Report, a Phase II proposal in a format provided by the P3 Program and an Executive Summary of the Phase I Report (for posting on the P3 website). (More detail provided in A. below.)

(2) A presentation of the Phase I research project and proposed Phase II project at the annual National Sustainable Design Expo to be held on the National Mall April 20-22, 2008.). (More detail provided in B. below.)

(3) Copies of any papers resulting from the research conducted under this award will be provided to EPA's National Center for Environmental Research as soon as they are available.). (More detail provided in C. below.)

### **A. The Project Report has three components: Phase I Report, Phase II Proposal, & Executive Summary of the Phase I Report**

The recipient agrees to submit a Project Report to the EPA Project Officer by March 28, 2008. The specifics of the format will be provided well in advance of the due date. The reporting period begins at the project start date or the beginning of the academic calendar year, whichever the grant recipient prefers. The Phase I Report and the Phase II Proposal combined should not exceed fifteen (15) consecutively numbered (bottom center), 8.5 x 11-inch pages of single-spaced, standard 12-point type with 1-inch margins. (Judges will stop reading at the end of page 15 so please do not exceed the page limit.) The Executive Summary of the Phase I Report should not exceed 3-5 pages.

The Project Report should include the following items:

#### **Phase I Report (contributes to 15 pp):**

In the Phase I report, P3 teams must provide a comprehensive overview of their research objectives and results, as well as publications and presentations, in language that would be understood by the educated public. P3 teams should describe conclusions and implications for further research, development, or demonstration. P3 teams are also encouraged to provide website links to their publications or related research efforts.

#### **1. Background and problem definition**

- Relationship to people, prosperity and the planet
- Relevance and significance to developing or developed world
- Implementation of the P3 Award project as an educational tool

#### **2. Purpose, objectives, scope**

3. Data, outputs, outcomes, findings -- including a comparison of actual accomplishments with the anticipated outputs/outcomes specified in the assistance agreement work plan, and reasons why anticipated outputs/outcomes were not met. P3 teams will notify EPA of problems, delays, or adverse conditions which materially impair the ability to meet the outputs/outcomes specified in the assistance agreement.

#### **4. Discussion, conclusions, recommendations**

- Streamlined life cycle costing and analysis, if appropriate
- Quantifiable benefits to people, prosperity, and the planet (estimated or actual)
- Qualitative benefits to people, prosperity, and the planet
- Other pertinent information, including, if appropriate, analysis and explanation of cost overruns or high unit costs.

## 5. References

Phase II Proposal (contributes to 15 pp):

Applications should be focused on a limited number of research objectives that adequately and clearly meet the RFA requirements. Explicitly state how Phase II will build on the successes achieved in Phase I. Detail the methods and approaches that will be used to further the design in terms of development or demonstration.

The Phase II portion of the P3 synopsis report must provide the following information:

1. P3 Phase II Project Description

- Address the review criteria which will be provided. Include the criteria subheadings (“Challenge Definition and Relationship to Phase I”, “Innovation and Technical Merit”, “P3 (Sustainability)”, “Measurable Results, Evaluation Method, and Implementation Strategy”, and “Educational Tool”).

2. Project Schedule

- Show significant steps and milestones in the project. Clearly depict the project’s duration, and include key milestones and project tasks building on the timeline from research to design (Phase I) through development to implementation (Phase II). Indicate anticipated role and tasks of each team member or department represented. Also, indicate anticipated interactions with any and all partners (see 3 below), if applicable.
- Partnerships (if applicable) Note: This description does not count towards the five to seven (5-7) page limit.
- Partnerships are strongly encouraged and considered particularly important for the implementation strategies.
- Formal partnerships should be established prior to submitting the Phase I Synopsis report. As such, detail any and all partnerships established for the purposes of competing for the P3 Award including the type of partner (educational institution, industry and/or NGOs), matching contributions (funding and/or in-kind) provided by the partner, the nature of the partnership, and the role of the partner in the project.
- Formal letters of understanding or commitment including anticipated support for Phase II of the project from any and all partners should be submitted in support of the application, when available and appropriate.

Executive Summary of Phase I Report (3-5 pp):

The executive summary will be placed on the EPA’s P3 Award web page along with a list of publications, if any, that result from the P3 project. The summary should be submitted in the following format (3-5 PAGES):

NCER Assistance Agreement Phase I Report Executive Summary

Date of Phase I Report:

EPA Agreement Number: SU833###

Project Title:

Faculty Advisor(s), Departments, and Institutions:

Student Team Members, Departments, and Institutions:

Project Period:

Description and Objective of Research:

Summary of Findings:

Conclusions:

Proposed Phase II Objectives and Strategies:

Publications/Presentations:

Supplemental Keywords:

Relevant Web Sites:

### **B. Participation in the National Sustainable Design Expo on the National Mall**

The Principal Investigator or Co-Investigator (Project Manager) and student team members will present their Phase I project and their Phase II proposal at the National Sustainable Design Expo (NSDE) on the National Mall in the Spring following this award, April 20-22, 2008. At the Expo they will present/discuss their project with the judges in competition for a P3 Phase II Award and attend the P3 Awards Ceremony following the NSDE. Per original RFA instructions, expenses for travel to these meetings have been provided within the funding for this agreement.

### **C. Publications and/or Other Public Release of Results**

(1) The recipient will provide copies of any peer reviewed journal article(s) resulting from this research, in addition to the Phase I technical report. The recipient shall submit three copies of each article to the EPA Project Officer. EPA encourages the independent publication of the results of its extramural research in appropriate scientific journals. Any journal article so published, however, must contain the following statement:

“Although the research described in this article has been funded wholly or in part by the United States Environmental Protection Agency through grant/cooperative agreement (number) to (name), it has not been subjected to the Agency’s required peer and policy review and therefore does not necessarily reflect the views of the Agency and no official endorsement should be inferred.”

(2) Because EPA intends to post references to all publications resulting from the agreement on its Web Site, the recipient is encouraged to continue to notify the Project Officer of any papers that are published based on the research under the agreement, even if the grant has formally expired.

(3) An acknowledgment of EPA support should be included on Web pages and stated during all media interviews.

### **D. Form of Reports**

The recipient agrees to provide the Project Report in an electronic format. The electronic versions shall be submitted in PC format, using commonly available word processing software or PDF. If requested by the Project Officer, these reports shall also be submitted in hardcopy format.

### **E. Other recipient responsibilities**

(1) Although 40 C.F.R. 30.25 (f) allows the recipient to grant itself a one-time extension to the project period under certain conditions, the recipient may not do so if, via this extension, the project period will exceed five years. Any extension of the expiration date which approaches five years must be requested at least thirty days in advance and approved by the Project Officer and Award Official. This approval is necessary due to certain Federal restrictions on the use of funds and the requirements of 40 C.F.R. 40.125-1. For any other extension the recipient is required to notify the EPA Award Official and Project Officer in writing, with the supporting reasons and revised expiration date, at last 10 days before the expiration date specified in the award.

(2) Prior written approval is required from EPA if there is to be a significant project change. Examples of these changes are contained in 40 C.F.R. 30.25.

(3) If the recipient desires to transfer, by contract or other means, a significant part of the research effort after an award has been made, the recipient must submit a written justification to the Project Officer. This statement should include a description of the scientific/technical impact on the project and a budget estimate to the Award Official. (Contractual arrangements that were proposed in the application do not require additional approval.) The agency decision will be transmitted in writing by the Award Official.