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GUIDELINES FOR WATER RESEARCH FOUNDATION/AWTP SOLICITED PROPOSALS

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List of Definitions

Allowable Cost. Costs that meet the criteria for allowable costs set forth in the Office of Management and Budget (OMB) cost principles that apply to the applicant's organization

Applicant. Any eligible entity or organization that submits a proposal in response to a The Foundation request for proposals

Cost-Share. The portion of allowable costs that the sub-recipient, subcontractor or third-party participant contributes toward completing a The Foundation project. Cost-share includes any non-federal cash and non-cash contributions from the sub-recipient and subcontractors, and non-federal cash contributions from participants. All cost-share must meet Code of Federal Regulations (CFR) requirements in 2 CFR Part 215.23 or the requirements of OMB Circular A-102.24, as applicable.

Participant. An individual or organization that provides third-party contributions or other material support to an the Foundation research project but does not enter into a contractual relationship with the Foundation, the sub-recipient or a sub-contactor.

Principal Investigator (PI). The sub-recipient's employee with primary responsibility to ensure that all terms and conditions of the PFA are met and to whom notice of insufficiencies shall be given by the Foundation.

Project Advisory Committee (PAC). A group of independent volunteers gathered by the Foundation to provide an independent technical review, assistance, and/or expertise to the Foundation regarding all project reports and other work products.

Project Funding Agreement (PFA). The contract between the Foundation and the sub-recipient to conduct the Foundation research project.

Project Manager. The Foundation employee with responsibility for reviewing all actions taken by the sub-recipient and with authority to communicate all Foundation decisions concerning the process, procedure, scheduling requirements, funding requirements, and outcome of the sub-recipient's project.

Request for Proposals (RFP). An open and competitive solicitation of proposals for funding to conduct a specific Foundation research project.

Subcontractor. Any individual or organization with whom the sub-recipient, or another subcontractor, separately contracts to complete one or more specific tasks required by the Foundation research project.

Sub-recipient. The legal entity or organization with which Foundation enters into a PFA to conduct the Foundation research project.

Third-Party In-Kind. The value of non-cash contributions that a participant provides towards completing the Foundation project. Third-party in-kind must be necessary and reasonable for proper and efficient accomplishment of the Foundation project. All third-party in-kind must meet requirements in 2 CFR Part 215.23 or OMB Circular A-102.24, as applicable.

I. OVERVIEW

Water Research Foundation

Water Research Foundation is a member-supported, international, nonprofit organization that sponsors research to enable water utilities, public health agencies, and other professionals to provide safe and affordable drinking water to consumers.

The mission of Water Research Foundation is *to advance the science of water to improve the quality of life*. We work to achieve this mission in three ways:

- **By sponsoring research.** The Foundation sponsors an anticipatory and scientifically credible research program that is responsive to the needs of the drinking water community.
- **By developing knowledge.** The Foundation identifies the practical benefits of research findings and delivers this knowledge to stakeholders throughout the drinking water community.
- **By promoting collaboration.** The Foundation cultivates partnerships with organizations around the world to leverage funding and share experience.

The Foundation was established in 1966 to provide a centralized, practical research program for the drinking water community. The research program is highly respected as being one of the most scientifically credible and best-coordinated in the world. The program focuses on four main strategic goals established by the Foundation's Board of Trustees:

- Water Quality
- Management and Customer Relations
- Infrastructure
- Water Resources and Environmental Sustainability

More information regarding research initiatives is provided in the Foundation Strategic Research Plan at http://www.WaterResearchFoundation.org/theFoundation/ourPrograms/strategicResearchPlan.aspx.

Arsenic Water Technology Partnership (AWTP)

Congress created the Arsenic Water Technology Partnership in 2002 to provide solutions for the cost-effective treatment of drinking water. Initial objectives focused on removal of arsenic from drinking water sources and in FY'06 objectives were expanded to include desalination research. The funding for this solicited research is made available by Congress through the Department of Energy.

The Department of Energy's Sandia National Laboratories and the Bureau of Reclamation lead the effort to develop a research road map to guide future investments necessary to reduce the cost of water desalination. The report, *Desalination and Water Purification Technology Roadmap,* compiled by a panel of experts, also discusses related advanced water treatment technologies and enhanced use of desalination.

The AWTP is using the *Desalination and Water Purification Technology Roadmap* as a primary source in guiding its desalination efforts. Desalination technologies could change the way the nation manages and uses water by providing new processes to cost-effectively and efficiently remove salts and other contaminants from impaired waters.

Background

On January 22, 2001, the USEPA published a revised standard for arsenic in drinking water that reduced the standard from 50 ppb to 10 ppb. All public water systems will need to come into compliance 5 years after the publication of the rule. The largest portion of Rule implementation costs will be associated with the need for small water systems to install and operate treatment. In many cases, this will require designing and building new treatment facilities. As a result, there will be a great opportunity to employ new and innovative technologies that minimize cost, are easy to operate, and are robust.

This program is designed to bring new and innovative technologies from the laboratory into the full-scale use. Laboratory and bench–scale studies will be followed by demonstration-scale studies that will provide performance and economic information under real-world operating conditions. These results will provide stakeholders with the information necessary to make sound decisions on arsenic treatment for a wide range of water qualities.

Desalination-

The Department of Energy's Sandia National Laboratories and the Bureau of Reclamation lead the effort to develop a research road map to guide future investments necessary to reduce the cost of water desalination. The report, *Desalination and Water Purification Technology Roadmap,* compiled by a panel of experts, also discusses related advanced water treatment technologies and enhanced use of desalination.

The report is expected to be used to guide decision making by Congress, federal agencies, utilities, and research institutions and individuals funding or conducting desalination research. The road map defines a research and development path for desalination technologies, beginning today and continuing through the year 2020 that, if implemented, would support finding solutions to the nation's water supply-related needs by advancing water desalination technologies.

Desalination technologies could change the way the nation manages and uses water by providing new processes to cost-effectively and efficiently remove salts and other contaminants from impaired waters.

The report is available at http://www.sandia.gov/water/docs/RoadmapV21.pdf.

Program Goal and Objectives

The goal of the AWTP program is to provide water utilities with cost-effective solutions to the challenges of providing safe drinking water in sufficient quantities.

The Foundation uses a nationally-advertised, open and competitive process to encourage innovation. Technologies investigated will be new or modified but not commercially ready and may be adapted from non-drinking water applications.

A key feature of the program will be to transfer new and innovative technologies from the laboratory to the field. Promising bench-scale technologies may be scaled up to field demonstration tests that provide performance and cost information under actual operating conditions. These data, along with input and coordination with stakeholders such as DOE, USBUR, the USEPA and water utilities, will provide user communities with the information necessary to make sound treatment decisions.

Information on The Foundation's other research programs are provided in the "Overview of Water Research Foundation Research Programs" at http://www.WaterResearchFoundation.org/thefoundation/ourPrograms/researchPrograms.aspx.

II. INSTRUCTIONS FOR PREPARING WATER RESEARCH FOUNDATION/AWTP SOLICITED PROPOSALS

The following section outlines the general instructions for preparing a solicited proposal in response to a Water Research Foundation/AWTP RFP. Additional specific instructions may be included in the RFP.

The Foundation funding level (dollar amount) specified in the RFP is the maximum amount that The Foundation will provide towards achieving the objectives set forth in the RFP. **Proposals requesting funds from the Foundation greater that those indicated in the RFP will not be considered.**

Various forms that are required for proposals are provided as attachments to these guidelines and at http://www.WaterReserachFoundation.org/research/projectAdmin/proposalGuidelines.aspx. Please note that two of the forms, the Financial Grant Management Capabilities Form (Attachment 4) and the Certifications and Assurances forms (Attachment 6), are to be submitted as stand-alone items with the proposal. The Foundation uses the information on these forms for financial administration purposes and is not provided to the PAC. Similarly, any detailed information concerning the applicant's indirect cost rates and fringe benefit rates (see Instructions for Budget Preparation, Attachment 2) are to be submitted as a separate item with the proposal and will not be provided to the PAC. Only one copy of each of these items needs to be submitted.

Proposals must be on standard continental U.S. letter-sized paper (8 ½ x 11 inches), printed on one side only, with minimum margins of one inch on each side of the paper. Text font size must be a minimum of 12 point (12 characters per inch).

The Foundation's logo is copyrighted and should not be displayed on proposals.

Proposals must include the following components. Please note the enforceable page limits for certain components of the proposal as identified below. **Proposals exceeding these page limits will not be considered.**

A. Water Research Foundation/AWTP Solicited Proposal Cover Worksheet (Attachment 1)
Attach a curriculum vita or abbreviated resume for the PI, co-PIs and other key members of the research team.

B. Project Abstract (one page)
The abstract should be a concise summary of the research objectives, technical approach and anticipated results and benefits. It must include the names of the Principal Investigator (PI) and any co-PIs, the applicant (submitting organization), and participating water utilities, as well as the funding amount requested from the Foundation and the total of cost-share and third-party in-kind contributions.

C. Table of Contents

Beginning with the Project Description, pages in the proposal should be numbered sequentially, including all forms.

D. Project Description (22 pages)

1. Background: Provide a summary of the topic background including the current state of knowledge, regulatory perspective where applicable, and significance to water utilities.
2. Research Approach: Provide a clear and concise detailed scope of work which includes the objectives of the research, the methods that will be followed, and the nature and extent of the anticipated results.
3. Evaluation Criteria: Provide specific criteria that can be used to evaluate the development and success of each project objective.

E. Applications Potential (one page)

Define the practical benefits of the proposed project to the drinking water community. What will be the products of the research (e.g., knowledge, protocol, instrument, software package, etc.)? How can they be used, who will use them and what level of sophistication will be required? Define the steps to be taken in the project to ensure practical application (e.g. utility involvement). Where possible, identify additional efforts following project completion that will be needed prior to application of the research results.

F. Quality Assurance/Quality Control (QA/QC) (as required)

Provide a detailed description of the procedures that will be used to ensure the quality of project data; e.g., statistical basis for number of analyses, statistical methods to be used in data evaluations, sample duplicates, blanks, blind samples. If the project involves laboratory analyses, this description should indicate whether the laboratory performing the analyses is accredited or state certified for the analytes of concern. If the laboratory is not certified, and/or if nonstandard methods are used, detailed quality assurance/quality control procedures must be submitted with the proposal.

G. Management and Communication Plan (two pages)

Provide a detailed description of the PI's time commitment to the project and how the project will be kept on schedule. Describe how the PI will maintain accountability for the individuals and organizations involved in the project. Include a concise organization chart showing the relationships and the lines of communication among the research team and all project participants.

H. References (as required)

Include an alphabetical list of references for works cited. References should conform to journal format.

I. Licenses and Inventions (as required)

If the research is likely to produce inventions, new products or processes (or improvements thereof), include a statement defining the relationship between the proposed research and any pre-existing patents or patent applications owned or controlled by the applicant, subcontractors or any participants. Identify the patents or patent applications and attach copies. The Foundation does not exercise any claims on patent rights for new inventions, products or processes developed through our research; however, if a patent application could result from the proposed project, include a statement as to the proposed ownership of any resultant patent. **NOTE: The Foundation does not endorse or product-test commercial products or processes.**

If a patented product or process is being used in the research and is not owned by the applicant, then a license to use the patent must be submitted with the proposal.

J. Schedule

Identify the proposed start date and estimate the duration of the project's research phases. In general, the project start date should be at least three months after submission of the proposal. The RFP may also set forth project-specific schedule requirements.

K. Budget

In accordance with the Instructions for Budget Preparation (Attachment 2), and using the Foundation Research Project Budget form (Attachment 3), provide a realistic, cumulative budget for the project. Costs will be evaluated for allowability under the applicant's relevant Federal cost principles and any project-specific guidelines identified in the RFP. The budget should include sufficient funding to prepare the project deliverables described in Section IV – Award Administration of these guidelines.

Note: Each subcontractor must complete a separate budget form.

All third-party contributions must be confirmed by a letter of commitment from the organization. The letter of commitment must identify the type (e.g. cash, labor, materials, services) and estimated dollar value of the contribution, and must be signed by an authorized representative of the organization. **Third-party contributions will be considered in the proposal selection process only if an appropriate letter of commitment is included with the budget section of the proposal.** E-mail will be accepted as a letter of commitment so long as the e-mail originates from an authorized representative and adheres to the requirements set forth above. No letters of commitment or changes to letters of commitment will be accepted after the proposal submittal deadline.

L. Budget Narrative

Itemize, explain and justify each cost included in the project budget, and identify when during the period of performance the cost is expected to be incurred. Ongoing project costs (e.g., labor, analytical services) should be broken down by year so that the planned rate of expenditure can be reasonably estimated. The Budget Narrative must provide sufficient detail to enable each itemized cost to be evaluated for allowability and appropriateness for the project. Refer to Attachment 2, Instructions for Budget Preparation, for additional information on specific items that must be addressed in the Budget Narrative.

An example Budget Narrative is provided at http://www.Water ResearchFoundation.org/research/projectAdmin/proposalGuidelines.aspx.

Note: Each subcontractor must complete a separate Budget Narrative.

M. Financial Grant Management Capabilities (Attachment 4)

Provide the requested information regarding financial and accounting systems, policies and procedures. **Note: This form should be completed by the organization's financial staff. Please submit this as a stand-alone item with the proposal.** Only one completed copy of this form needs to be submitted. This information will not be provided to the PAC.

N. Current and Pending (Attachment 5)
A completed Current and Pending form is required for the PI and for each co-PI listed on the Water Research Foundation/AWTP Solicited Proposal Cover Worksheet. List all public support (e.g. federal funding, state grant funding) and private support (e.g. industry-supported projects, in-house support, etc.) to which the individual has committed time, regardless of salary support. The proposal being submitted to The Foundation should be listed in the pending section.

O. Certifications and Assurances (Attachment 6)
Sign the attached Certifications and Assurances forms and submit these with the proposal. **Note: Please submit this as a stand-alone item with the proposal.** Only one completed copy of these forms needs to be submitted. This information will not be provided to the PAC; however, it may be used by the Foundation to determine applicant eligibility on Federally funded projects.

Note: Each subcontractor must complete separate Certifications and Assurances forms.

Quality Assurance

Full proposals need to include a description of the procedures that will be used to ensure the quality of the data for the project. If the project involves laboratory analyses, this description should indicate whether the laboratory performing the analyses is accredited or state certified for the particular analysis. If the laboratory is not certified, and/or nonstandard methods are used, detailed quality assurance/quality control procedures must be submitted with the proposal.

Equal Opportunity and Minority Contractors

The Foundation has a policy of non-discrimination and abides by all laws, rules, and executive orders governing equal employment opportunity. EEO regulations set forth in 10 CFR Part 1040, Nondiscrimination in Federally Assisted Programs, is applicable to awards under this RFP. As employers, Foundation contractors may not discriminate on the basis of age, sex, race, religion, color, national origin, handicap or veteran status. The Foundation expects its contractors to accept the goal of having a workforce that generally reflects the minority composition of the community in which it is located. It is the policy of the Foundation to encourage proposals from qualified minority owned or directed institutions.

Special Terms and Conditions

U.S. federal funds will be used to fund research submitted in response to this request for proposals. Funding awards will be based upon information contained in the full proposal and the following are requirements of recipients of federal funds:

<u>Guide to Management of Scientific and Technical Information</u> Contractors may be required to comply with DOE Directive DOE G241.1-1A, entitled "Guide to Management of Scientific and Technical Information" regarding contents and format of scientific/technical reports. This guide

can be accessed by selecting the link identified by the directive's title on the E-Link web site at http://www.osti.gov/elink-2413.

Notice Regarding the Purchase of American-made Equipment and Products- Sense of Congress
It is the sense of the Congress that, to the greatest extent practical, all equipment and products purchased with funds made available under this award should be American-made.

DOE Form 241.3, "U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI)" If any patentable material, protected data, or SBIR/STTR data is reported, the reporter must, consistent with the data protection provisions of the Foundation/DOE grant, clearly identify such material on the cover of the report, and submit a DOE Form 241.3 with the appropriate blocks marked.

Disclosure of Inventions Contractors will be required to comply with DOE reporting requirements regarding inventions and acceptance of any manuscript describing the invention for publication or of any sale or public use planned for the invention.

Catalog of Federal Domestic Assistance (CFDA) # **81.049** Terms and conditions of CFDA # 81.049 apply to work conducted in response to Water Research Foundation/AWTP Request for Proposals. More details can be found at www.CFDA.gov.

Electronic Reporting One original hardcopy of the final report must be submitted along with an identically matching electronic file in Microsoft Word, PC format.

Special Status Report Timely notification of problems, delays, or adverse conditions, which materially impair the awardee's ability to meet the objectives of the award or developments that have a significant favorable impact in a timely manner, i.e., within 30 days. The report must include the remedial action to be taken to correct or resolve any problem or adverse condition.

Patent Responsibility Researchers shall provide the Foundation with the necessary notifications so that it can comply with the following DOE requirements- "A written disclosure of each invention must be forwarded to DOE within two months after the inventor discloses the invention to the Foundation. Additionally, the Foundation is required to promptly notify DOE of the acceptance of any manuscript describing the invention for publication or of any sale or public use planned for the invention. If title to any invention is to be retained, notification to retain title within two years of disclosing the invention must be made, but in any event, at least sixty (60) days prior to the end of the one year statutory period initiated by publication, on sale or public use.

III. WATER RESEARCH FOUNDATION/AWTP PROPOSAL REVIEW AND SELECTION

Review and selection of proposals is performed by an independent Project Advisory Committee (PAC). PACs are composed of volunteer professionals with expertise in the RFP topic area. PACs provide guidance, review all project reports and other work products, and generally monitor project technical performance on behalf of the Foundation and the drinking water community. PACs also review all submitted proposals and are ultimately responsible for proposal selection.

The general criteria used for proposal evaluation are detailed on the Solicited Proposal Rating Sheet provided as Attachment 7. Researcher performance on previous Foundation projects may also be a factor in proposal selection.

The Foundation will fund a single proposal for each RFP, unless otherwise specified. The Foundation may choose not to fund any of the proposals submitted in response to a particular RFP based on PAC review. Applicants will generally be notified of the PAC's selection within 6-8 weeks of the proposal submittal date.

All proposals and proposal reviews are treated confidentially and are available only to Foundation staff, PAC members and our Board of Trustees.

IV. AWARD ADMINISTRATION

Terms and Conditions

The Foundation will enter into a project funding agreement (PFA) with the selected researcher. The Foundation's standard PFA for EPA **federally funded** projects is available at http://www.WaterResearchFoundation.org/research/projectAdmin/contractsAndForms.aspx. Projects funded with federal funds administered by DOE are similar but not identical. The selected researchers and their subcontractors will be expected to comply with the terms and conditions of the PFA.

Federal Administrative Requirements

All Foundation sub-recipients are required to comply with the federal administrative requirements indicated below:

Sub-Recipient	Administrative Requirement	Cost Principles	Audit Requirements
State, Local, or Indian Tribal Government	OMB Circular A-102	OMB Circular A-87	OMB Circular A-133
Non-profit Organization	2 CFR Part 215	OMB Circular A-122	OMB Circular A-133
Educational Institution	2 CFR Part 215	OMB Circular A-21	OMB Circular A-133
Hospital	2 CFR Part 215	45 CFR Part 74	OMB Circular A-133
Commercial Organization	2 CFR Part 215	48 CFR Part 31.2	Generally Not Required

Contract Negotiations

The Foundation has established a 60-day period for PFA negotiations commencing on the issuance date of the draft agreement and ending on the return date of the final fully executed agreement. The Foundation will conduct PFA negotiations in good faith and in a timely manner for this period. If agreement cannot be reached within this 60 day period, Foundation may choose, at their sole discretion, to terminate the negotiations. Applicants and their proposed subcontractors are therefore strongly urged to review the standard federally-funded PFA before submitting the proposal to determine that the terms and conditions are acceptable. Please note that the standard PFA reflects Foundation's intention to solely own and publish a final Project Report and to jointly own the underlying data.

The Foundation PFA is a not-to-exceed agreement. The Foundation funding level (award dollar amount) specified in the RFP is the maximum amount that the Foundation will provide towards achieving the scope of work set forth in the applicant's proposal.

Additional, project-specific terms and conditions may apply as set forth in the Foundation RFP.

Project Deliverables

The following deliverables are required for Foundation projects. Applicants should allocate adequate resources for developing these deliverables. All project deliverables must be submitted in Microsoft Word® format with figures, tables and graphics embedded in the text. All deliverables must be submitted electronically; the Project Report must be submitted on CD ROM, while other deliverables may be submitted on CD ROM or via email.

Scope of Work

The Scope of Work is due one month after the project start date. The Scope of Work is comprised of the Project Abstract, Project Description, and Applications Potential sections of the project proposal, with revisions as necessary to reflect any changes negotiated prior to the start date. The Scope of Work is provided by the Foundation to outside audiences for informational purposes, including posting on the Foundation web site. Therefore, reasonable effort should be made to exclude information that may be considered sensitive to organizations participating in the project.

Periodic Report

The Periodic Report enables the Foundation to evaluate, at its reasonable discretion, the researcher's progress and performance on the project. It also provides a mechanism for ongoing review of technical findings by the Foundation and the PAC.

The Periodic Report consists of a Title Page, Status Summary, Technical Summary and Web Site Update, as shown in Attachment 8 – Periodic Report Format and Content. Note that the Title Page and Status Summary are due every three months, while the more extensive Technical

Summary and the Web Site Update are due every six months (i.e., with every other Periodic Report).

Foundation generally posts the Web Site Update on the Foundation web site as information for subscribers on research in progress. These are posted once the PAC has completed their review of the Periodic Report. In some instances the Foundation may edit the Web Site Update for clarity and readability. The Foundation may also choose not to post the Web Site Update at its discretion.

Researchers sometimes wish to use the Technical Summary to present sections of the Project Report as a work in progress, thereby reducing the level of effort required to compile the Project Report at the end of the research phase. This approach is acceptable if approved by the Foundation project manager and the PAC.

Project Report

Foundation generally plans to publish a report for each project. It is the researcher's responsibility to prepare the Project Report in accordance with the following guidelines and requirements. Project-specific requirements for the report or for alternative final project deliverables may be set forth in the RFP.

The Project Report details the results of the project. The report shall include all relevant materials and methodology, results, innovations, inventions, conclusions, and recommendations resulting from the project. The target audience for the report is the drinking water community (i.e., water utilities, consultants, manufacturers, regulators and other water professionals). Requirements for submission of the Project Report are as follows:

1. The Foundation prefers that the content, form and format of the Project Report follow the Foundation's *Format-Style Guide for Preparing Research Reports*, available at http://www.WaterResearchFoundation.org/research/projectAdmin/projectGuidelines.aspx . A copy of the Format-Style Guide will also be provided to the researcher at the beginning of the project. A completed Copyright Permission Form as described in these guidelines is required.

2. A Draft Report shall be submitted for review at the completion of the research phase of the project. In addition to the CD ROM electronic version, one single-sided unbound original and six (6) copies of the Draft Report (bound or on three-hole drilled paper) are required. The Foundation will review the Draft Report as set forth in the "Review and Alteration of Project Deliverables" section below, and the Foundation may require additional drafts of the Draft Report.

   In order to be considered acceptable, the Draft Report must be clearly written and responsive to the project goals and objectives. It must include complete versions of the report chapters and components described in Chapter 2 of the *Format-Style Guide for Preparing Research Reports.* It must also include the Checklist for Submitting Draft Report and the Copyright Permission Form as set forth in the *Format-Style Guide*.

Foundation generally posts the Draft Report's Executive Summary on the Foundation web site as information for subscribers on research in progress. This Executive Summary is posted once the PAC has completed their review of the Draft Report. In some instances the Foundation may choose not to post the Executive Summary at its discretion.

3. The Final Report shall be the acceptable revised Draft Report. In addition to the CD ROM electronic version, one single-sided unbound original of the Final Report is required. This original must exactly match the CD ROM electronic version.

4. The Foundation reserves the right to determine which of several processes shall be used to publish the Final Report including web publication. If the Final Report is clearly organized and understandable, and has a neat and uniform appearance, then the quickest hardcopy publishing process, the True-Camera Ready (TCR) process, shall be used. Adherence to the *Format-Style Guide for Preparing Research Reports* will improve chances that printed Final Report will be published through the TCR process.

   The Foundation may forward the Final Report, as prepared for publication by the Foundation, to the researcher for review.

Project Profile

The Project Profile is a two-page overview of the key project results and their significance to the drinking water community. It is submitted at the same time as the Final Report and is distributed to subscribers in printed format and via the Foundation web site. Attachment 9 provides detailed instructions for preparing the Project Profile.

Review and Alteration of Deliverables

All deliverables will be reviewed by the Foundation, and the Foundation retains the right to require response to comments, questions and suggested revisions. This response may include explanation and clarification of technical information or revisions to the deliverables. The Foundation shall also have the right to make grammatical, stylistic or syntax revisions to any deliverables submitted to the Foundation, or to request such revisions from the researcher. Unless otherwise specified, the researcher is to provide revisions in response to technical comments within 45 days of receipt of the comments, and is to respond to formatting or editorial comments within 14 days of receipt of the comments. The need for revised drafts of deliverables shall be determined at the sole reasonable discretion of the Foundation.

ATTACHMENT 1
WATER RESEARCH FOUNDATION/AWTP SOLICITED PROPOSAL COVER WORKSHEET
RFP # _________
Title: ____

Personnel: ***(Please attach CV or brief resume for PI, Co-PIs and other key research team members)***

Principal Investigator: *Individual responsible for the technical completion of the proposed work.*

Name:____

Title: ____

Organization: ____

Complete Address: ____

____

Phone: __________ FAX: __________ E-mail: __________

Co-Principal Investigator: *Individual responsible for the completion of major portions of the proposed work.*

Name:____

Title: ____

Organization: ____

Complete Address: ____

____

Phone: __________ FAX: __________ E-mail: __________

Authorized Representative: *Original awards and amendments will be sent to this individual for review and acceptance, unless otherwise indicated.*

Name: ____

Title: ____

Organization: ____

Address: ____

____

Phone: __________ FAX: __________ E-mail: __________

Accounting Contact: *Individual authorized to accept payments.*

Name: ____

Title: ____

Organization: ____

Address: ____

____

Phone: __________ FAX: __________ E-mail: __________

Administrative Contact: *Individual from Sponsored Programs office to contact concerning administrative matters (i.e., indirect cost rate computation, rebudgeting requests, etc.).*

Name: ____

Title: ____

Organization: ______________________________________

Address: ____

____

Phone: __________ FAX: __________ E-mail: __________

Other Personnel

Name: ____

Title: ____

Organization: ______________________________________

Complete Address: __________________________________

____

Phone: __________ FAX: __________ E-mail: __________

<u>All Other Participating Organizations (not listed above)</u>:

Organization	City/State/Country

Project Period: __________

ATTACHMENT 2
INSTRUCTIONS FOR BUDGET PREPARATION

The proposed budget is one component considered in the selection process. **The applicant and each proposed subcontractor must complete a separate Foundation Research Project Budget form and must prepare a separate Budget Narrative.**

Each budget will be reviewed by the Foundation for cost allowability under the applicable federal cost principles. Cost principles governing the allowability of costs for non-commercial entities are contained in OMB Circulars A-21, A-87 and A-122 which are available at http://www/whitehouse.gov/omb/circulars/index.html. For commercial entities, applicable cost principles are contained in 48 CFR Part 31.2, available at www.gpoaccess.gov/cfr/index.html.

The following instructions pertain to sections A through K of the Foundation Research Project Budget form. Note that sections A – J of the form provide separate columns for *the Foundation Share* and *Cost-Share* of the estimated costs. Under *the Foundation Share* and *Cost-Share*, show the dollar value of each category's estimated costs that will be billed to the Foundation and provided as cost-share by the applicant/subcontractor, respectively.

If additional lines are needed in any of the sections, please enter a total on the lines provided and include additional, detailed information in the ***Budget Narrative***.

A. Key Personnel. Key personnel include the Principal Investigator and co-Principal Investigators who are employees of the organization completing the Budget Form (i.e. the applicant or subcontractor).

   Under *Number of Hours*, enter the total number of hours that the employee will charge to the project during the period of performance.

   Under *Direct Hourly Rate*, enter the actual, unburdened hourly wage that the employee is paid.

   Under *% Time Allocated to Project*, enter the percentage of time the employee will spend on the project during the period of performance, based on 2080 working hours per year.

   Fringe Benefit % of Direct Labor: If the applicant's usual accounting practices provide that its contributions to employee benefits (social security, retirement, etc.) be treated as direct costs, enter the applicant's fringe benefit rates for each employee. The basis for fringe rates should be discussed in the ***Budget Narrative***.

B. Other Personnel. Other personnel include project personnel other than the PI and co-PIs who are employees of the organization completing the Budget Form. Follow the instructions provided above for Key Personnel.

C. Equipment Rental and Special Equipment Purchase. Capability to perform the project with existing facilities and equipment is assumed.

Lease or rental of equipment needed solely for use on the project is considered on a case-by-case basis. Under *Equipment Rental*, provide a description and cost for each proposed item of rental equipment with a total rental cost of more than $1,000. Rental equipment costing less than $1,000 should be included in Other Direct Costs. The ***Budget Narrative*** must provide the following information for each item of rented equipment: vendor, model number, quantity, length of rental and unit cost (e.g. hour, day, week), and description of the use or application.

It is the Foundation's general policy not to purchase equipment using project funds. Purchase of special purpose equipment solely for use on the project and not available by other means (e.g. lease or rental) is considered on a case-by-case basis. Under *Special Equipment*, provide a description and cost for each proposed item of special purpose equipment with a total cost of more than $5,000. Special equipment costing less than $5,000 should be included in Other Direct Costs. The ***Budget Narrative*** must provide the following information for each item of special equipment: vendor, model number, source of cost (e.g. quote, catalog), competing quotes or sole source justification, and description of the use or application.

D. Materials and Supplies. Materials and supplies include expendable or consumable items that are used in direct support of the project. Indicate the general types/categories of materials and supplies to be used on the project (e.g. office supplies, laboratory supplies, sample collection materials) and their estimated costs.

E. Travel. Enter total estimated costs of project-related domestic travel (including U.S., Canada, Mexico and U.S. possessions) and international travel by the applicant's employees. Only applicant employee travel that is directly related to the project (e.g., field work, attendance at meetings and conferences) should be included. Attendance at meetings and conferences must demonstrably benefit the research team's ability to perform the project, plan extensions of it, or disseminate its results. Allowable travel costs include airfare, ground transportation, and subsistence (meals, lodging and incidentals). Travel costs must be detailed in the ***Budget Narrative***, including individuals, destinations, basis for estimated costs, and purpose for travel. Note: Travel by U.S.-based sub-recipients outside the U.S., Canada, Mexico and U.S. possessions may require prior approval for each instance.

Project-related travel by individuals other than the applicant's employees (e.g., invited participants to project-related workshops) should be included in Other Direct Costs.

F. Subcontractors. List each subcontractor on the project and the total value of each subcontract. **Note that each subcontractor is required to complete a separate Foundation Research Project Budget form and Budget Narrative.**

G. Other Direct Costs. Any other direct costs not specified in Sections A – F of the Foundation Research Project Budget form should be entered here. Such costs must be detailed and justified in the ***Budget Narrative***.

H. Indirect Costs. The applicant and any subcontractors must substantiate the indirect cost rate(s) by attaching a copy of their rate(s) as approved by their cognizant Federal agency, a copy of their rate(s) as reviewed by an independent certified public accountant (CPA), or a detailed breakdown showing the basis for the indirect rate(s). **If detailed indirect cost information is necessary, it should be submitted as a stand-alone item with the proposal.** This information will not be provided to the PAC.

Note that each subcontractor is required to substantiate their indirect cost rate.

Under *Cost Category*, indicate the direct cost category (e.g. labor, equipment, subcontracts) to which the particular indirect rate applies.

Under *Rate %*, provide the indirect cost rate applicable to the direct cost category.

Under *Base $*, provide the total direct costs to the project for each cost category (these should match the respective totals in the preceding sections of the budget form).

I. Fee. Provide the amount of fee (profit) associated with the project.

J. Survey. The U.S. government's Paperwork Reduction Act of 1995 (PRA) establishes conditions on the use of Federal funds for conducting information collection activities (e.g. surveys). Under the PRA, an information collection activity is defined as obtaining facts or opinions from ten or more persons by the use of standard questions presented in forms, telephone or personal interviews, the internet, requests for narrative responses to questions, or almost any other means. Typical Foundation project activities that meet this broad definition include mail surveys, telephone surveys, email or web-based surveys, and face-to-face meetings (e.g. workshops) that aim to obtain information from ten or more water utility employees and/or other drinking water professionals. The Foundation has determined that the most expeditious way to comply with PRA requirements is to use non-Federal funds for information collection activities on projects that are otherwise Federally funded. It is therefore necessary for applicants and sub-recipients to separately budget, track and invoice all costs associated with information collection activities.

If the applicant's proposed scope of work includes surveys or similar information collection activities that fall under the provisions of the PRA, provide the total estimated cost for these activities, including labor, travel, materials, equipment and supplies. Indicate both cash (cost -share) and non-cash (in-kind) contributions in the appropriate columns. The costs should be explained fully in the ***Budget Narrative***.

K. Third-Party Contributions. Identify the source (organization) and dollar value of all third-party participant contributions. Indicate both cash (cost -share) and non-cash (in-kind) contributions in the appropriate columns. Third-party contributions must be confirmed by letters of commitment. The letter of commitment must identify the type (e.g. cash, labor, materials, services) and estimated dollar value of the contribution, and must be signed by an authorized representative of the organization. Letters of commitment must be included in the budget section of the proposal. **Third-Party contributions will not be considered in the**

proposal selection process unless a letter of commitment is included with the proposal. E-mail will be accepted as a letter of commitment so long as the e-mail originates from an authorized representative and adheres to the requirements set forth above. No letters of commitment or changes to letters of commitment will be accepted after the proposal submittal deadline.

Under the terms of the Foundation’s PFA, the applicant is contractually responsible for providing the proposed third-party contributions during the project.

If cash contributions are included, please indicate in the ***Budget Narrative*** whether the Foundation will be receiving the contributions directly from the contributing organizations.

Water Research Foundation
Research Project Budget

Applicant Name:

Foundation Project Name:

Foundation RFP # (if applicable):

*** Required fields are highlighted in yellow.**

Note: The information above will carry over to subsequent pages/worksheets. All totals below will be automatically populated from the following pages/worksheets.

		Total	Foundation Share	Cost-Share
A	Key Personnel	-	-	-
B	Other Personnel	-	-	-
	Total Direct Labor and Fringe Benefits	-	-	-
C	Equipment Rental	-	-	-
	Special Equipment	-	-	-
D	Materials and Supplies	-	-	-
E	Travel	-	-	-
F	Subcontracts	-	-	-
G	Other Direct Costs	-	-	-
	Total Direct Costs	-	-	-
H	Indirect Costs	-	-	-
I	Fee	-	-	-
J	Surveys	-	-	-
	Total Direct and Indirect Costs	**-**	**-**	**-**
K	Third-Party Contributions	-	n/a	n/a
	Total Project Budget	**-**		

Water Research Foundation
Research Project Budget

Applicant Name: 0

Foundation Project Name: 0

Foundation RFP # 0

*** Required fields are highlighted in yellow.**

A. Key Personnel (Principal Investigator and Co-PIs only)

Name	Project Role	Number of Hours	Direct Hourly Rate	% Time Allocated to Project	Subtotal Direct Labor	Fringe Benefit % of Direct Labor	Subtotal Fringe Benefits	Total	Foundation Share	Cost-Share
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
		Total Key Personnel			0.00		0.00	0.00	0.00	0.00

B. Other Personnel

Name/Position	Project Role	Number of Hours	Direct Hourly Rate	% Time Allocated to Project	Subtotal Direct Labor	Fringe Benefit % of Direct Labor	Subtotal Fringe Benefits	Total	Foundation Share	Cost-Share
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
		Total Other Personnel			0.00		0.00	0.00	0.00	0.00

Water Research Foundation
Research Project Budget

Applicant Name: 0

Foundation Project Name: 0

Foundation RFP # 0

*** Required fields are highlighted in yellow.**

C. Equipment Rental and Special Equipment Purchase

Equipment Rental (*List items and dollar amount for each item exceeding $1,000)*	Total	Foundation Share	Cost-Share
Total Equipment Rental	0.00	0.00	0.00

Special Equipment Purchase *(List items and dollar amount for each item exceeding $5,000)*	Total	Foundation Share	Cost-Share
Total Special Equipment Purchase	0.00	0.00	0.00

Water Research Foundation
Research Project Budget

Applicant Name: 0

Foundation Project Name: 0

Foundation RFP # 0

*** Required fields are highlighted in yellow.**

D. Materials and Supplies	**Total**	**Foundation Share**	**Cost-Share**
Total Materials and Supplies	0.00	0.00	0.00

E. Travel	**Total**	**Foundation Share**	**Cost-Share**
Total Travel	0.00	0.00	0.00

Water Research Foundation
Research Project Budget

Applicant Name: 0

Foundation Project Name: 0

Foundation RFP # 0

*** Required fields are highlighted in yellow.**

F. Subcontracts	**Total**	**Foundation Share**	**Cost-Share**
Total Subcontracts	0.00	0.00	0.00

G. Other Direct Costs	**Total**	**Foundation Share**	**Cost-Share**
Total Other Direct Costs	0.00	0.00	0.00

Water Research Foundation
Research Project Budget

Applicant Name: 0

Foundation Project Name: 0

Foundation RFP # 0

*** Required fields are highlighted in yellow.**

H. Indirect Costs *(Attach copy of federally approved rates or detailed basis for rates)*

Cost Category	Rate %	Base $	Total	Foundation Share	Cost-Share
			0.00		
			0.00		
			0.00		
			0.00		
			0.00		
		Total Indirect Costs	0.00	0.00	0.00

I. Fee

	Total	Foundation Share	Cost-Share
Total Fee	0.00	0.00	0.00

J. Survey

	Total	Foundation Share	Cost-Share
Total Survey Costs	0.00	0.00	0.00

Water Research Foundation
Research Project Budget

Applicant Name: 0

Foundation Project Name: 0

Foundation RFP # 0

*** Required fields are highlighted in yellow.**

K. Third-Party Contributions

Participant	Total	In-Kind Services	Cash
Total Third-Party Contributions	0.00	0.00	0.00

Financial Grant Management Capabilities Form

ATTACHMENT 4

NOTE: This form should be completed by your financial staff, but included as a separate item along with the proposal package.

SECTION A: PURPOSE

Since the Water Research Foundation's financial and business responsibilities include the proper discharge of the Public Trust, this form is used to provide an indication of the capability of your organization's systems to meet the criteria outlined in the Foundation's Project Funding Agreement.

SECTION B: GENERAL INFORMATION

Name of Your Organization: ____
(as it would appear on The Foundation's Project Funding Agreement)

Address: ____

City, State, Zip: ____

Dun & Brad#: ___________________________ EIN: ______________________________

Please answer every question.

1. **Number of employees in your organization: Full Time ________ Part Time ________**

2. **Has your organization received funding from The Foundation within the last two years?**
   Yes _____ No _____

3. **Organization type: Non-Profit _____ Local Government_____ College/University_____**
   For Profit (Commercial) _____ Other Identify)_________________

SECTION C: BUSINESS MANAGEMENT SYSTEMS

4. **Has your organization ever been audited under OMB Circular A-133, Single or Program Specific Audit? Yes _____ No_____ If Yes, latest FYE :___________(e.g. 06/30/2008)**

5. **Is your organization likely to spend between $500,000 and $1,000,000 in Federal Assistance in its current fiscal year (Yes __ No___), or more than $1,000,000 (Yes __ No___)?**

6. **Does your organization have written Policies and Procedures to cover the following business management areas?**

   Personnel Polices and Procedures Yes _____ No _____

   Procurement Policies and Procedures Yes _____ No _____

   Property Policies and Procedures Yes _____ No _____

Financial Grant Management Capabilities Form

Travel Policies and Procedures Yes _____ No _____

7. Are time and activity distribution records (e.g. time sheets or effort reports) maintained for each employee, by project, to account for his or her total hours? Yes_____ No_____

8. Are third party in-kind or matching funds supported with documentation? Yes_____ No _____

9. Does your organization have a written budgetary process and controls to preclude incurring obligations in excess of the grant amount of individual cost categories? Yes_____ No _____

10. Are purchase approval methods documented and communicated to your employees? Yes_____ No_____

11. Are duties separated to ensure one individual (i.e., project or financial) is not controlling all aspects of a transaction/process? Yes _____ No _____

SECTION D: ACCOUNTING SYSTEM & FUNDS MANAGEMENT

12. Does your accounting system account for cost by individual projects?
Yes _____ No _____

13. Which of the following best describes your organization's accounting system?
Manual _____ Automated _____ Combination _____

14. How frequently do you post to the general ledger?
Daily _____ Weekly _____ Monthly _____

15. Does your accounting system accurately and completely track receipt and disbursement of funds by each award and/or funding source? Yes _____ No _____

16. Are F&A or indirect costs accumulated into cost pools for allocation to projects, contracts and awards? Yes _____ No _____

17. Are the following books of account maintained?

General Ledger	**Yes _____ No _____**
Cash Receipts Journal	**Yes _____ No _____**
Payroll Journal	**Yes _____ No _____**
Income (Sales) Journal	**Yes _____ No _____**
Purchase Journal	**Yes _____ No _____**
General Journal	**Yes _____ No _____**

18. Does your accounting system provide for the recording of actual expenditures for each award/contract by project and budget cost categories reflected in an approved budget? Yes _____ No _____

19. Describe all types of audit reports existing for your organization (e.g. reports issued by: your internal auditor; independent public accounting firms or CPAs; and federal, state or local government agencies - including indirect cost rate audits, audits of costs incurred, organization-

wide audits, pre-award surveys, initial pricing reviews, functional reviews, contract closing audit statements, etc.) You may use the Answers/Comments/Explanations box below.

20. Is your organization familiar with criteria and procedures for determination of allowable costs in connection with Federal awards and contracts? Yes _____ No _____

21. Does your organization have a working knowledge of the following OMB Circulars?

Uniform Administrative Requirements	**Yes _____ No _____**
Cost Principle	**Yes _____ No _____**
Audit Requirement	**Yes _____ No _____**

Answers/Comments/Explanations

Prepared by (Signature): ______________________________________ Date: ___________

Printed name and title: ____
Telephone/Fax: ____

Email: ____

FOR INTERNAL USE ONLY

Reviewed by: ____
Date: _______

Comments:

ATTACHMENT 5
CURRENT AND PENDING FORM

This form must be completed for the Principal Investigator and for each Co-Principal Investigator. Failure to provide this information may result in disqualification of your proposal..	
Investigator:	Other agencies to which this proposal has been/will be submitted.
Support: ☐Current ☐ Pending ☐ Submission Planned in Near Future ☐ *Transfer of Support Project/Proposal Title: Source of Support: Total Award Amount: $ Total Award Period Covered: Location of Project: Person-Months Per Year Committed to the Project.	
Support: ☐Current ☐ Pending ☐ Submission Planned in Near Future ☐ *Transfer of Support Project/Proposal Title: Source of Support: Total Award Amount: $ Total Award Period Covered: Location of Project: Person-Months Per Year Committed to the Project.	
Support: ☐Current ☐ Pending ☐ Submission Planned in Near Future ☐ *Transfer of Support Project/Proposal Title: Source of Support: Total Award Amount: $ Total Award Period Covered: Location of Project: Person-Months Per Year Committed to the Project.	
Support: ☐Current ☐ Pending ☐ Submission Planned in Near Future ☐ *Transfer of Support Project/Proposal Title: Source of Support: Total Award Amount: $ Total Award Period Covered: Location of Project: Person-Months Per Year Committed to the Project.	
Support: ☐Current ☐ Pending ☐ Submission Planned in Near Future ☐ *Transfer of Support Project/Proposal Title: Source of Support: Total Award Amount: $ Total Award Period Covered: Location of Project: Person-Months Per Year Committed to the Project.	
*If this project has previously been funded by another agency, please list and furnish information for immediately preceding funding period.	

USE ADDITIONAL SHEETS AS NECESSARY

ATTACHMENT 6
CERTIFICATIONS AND ASSURANCES

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

NOTE: This form should be submitted as a separate item with the proposal package.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

____

TYPED NAME & TITLE OF AUTHORIZED REPRESENTATIVE

____

SIGNATURE OF AUTHORIZED REPRESENTATIVE DATE

______ I am unable to certify to the above statements. My explanation is:

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

1. Type of Federal Action:

☐
a. contract
b. grant
c. cooperative agreement
d. loan
e. loan guarantee
f. loan insurance

2. Status of Federal Action:

☐
a. bid/offer/application
b. initial award
c. post-award

3. Report Type:

☐
a. initial filing
b. material change
For Material Change Only:
year_______quarter______
date of last report_________

4. Name and Address of Reporting Entity:

☐ Prime ☐ Subawardee
Tier_______, if known:

Congressional District, if known:

5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:

Congressional District, if known:

6. Federal Department/Agency:

7. Federal Program Name/Description

CFDA Number, if applicable: ________________________

8. Federal Action Number, if known:

9. Award Amount, if known: $ ________________________

10.a. Name and Address of Lobbying Entity
(if individual, last name, first name, MI):

b. Individuals Performing Service (including address if different from 10a) - (last name, first name, MI):

(attach Continuation Sheet(s) if necessary)

11. Amount of Payment (check all that apply):

$ ______________ ☐ actual ☐ planned

12. Form of Payment (check all that apply):

☐ a. cash
☐ b. in kind; specify: nature _________________
value _________________

13. Type of Payment (check all that apply):

☐ a. retainer
☐ b. one-time fee
☐ c. commission
☐ d. contingent fee
☐ e. deferred
☐ f. other, specify:

14. Brief Description of Services Performed or to be Performed and Date (s) of Services, including officer (s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:

(attach Continuation Sheet(s) if necessary)

15. Continuation Sheet(s) attached: ☐ Yes ☐ No

16. Information required through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. section 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature:

Print Name:

Title:

Telephone No.: Date:

Federal Use Only:

Authorized for Local Reproduction
Standard Form - LLL

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether sub-awardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or sub-award recipient. Identify the tier of the sub-awardee, e.g., the first sub-awardee of the prime is the 1st tier. Sub-awards include but are not limited to subcontracts, sub-grants and contract awards under grants.

5. If the organization filing the report in item 4 checks “Sub-awardee”, then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001".

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.

12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.

13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.

14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.

15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.

16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

ASSURANCES AND CERTIFICATIONS
NON-CONSTRUCTION PROGRAMS

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the Foundation, the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the Foundation.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin:; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §§794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction sub-agreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification

of violating facilities pursuant to EO 11738; c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176c of the Clean air Act of 1955, as amended (42 U.S.C. §§7401 et seq.) (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523);and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of1968 (16 U.S.C. §§1271 et seq.) related to protecting components of potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593(identification and protection of historic properties), and the Archaeological and Historic Preservation Act of1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.)pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1966 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will make a full disclosure in writing to the Foundation, any corporation, partnership, sole proprietorship, or other business entity of any kind which is a wholly or partially own entity of the applicant or whose relatives supply goods or services to applicant or work for or provide services to applicant.

19. Will certify that no entity, agency, or person associated with the applicant is debarred or suspended or is otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension".

20. Will certify that it is registered and licensed to do business in the State it resides. The applicant and its employees and all sub-recipients shall be licensed pursuant to all applicable federal, state, and local laws, ordinances, rules, and regulations and shall upon request provide proof of all licenses.

21. The authorized official signing for the applicant certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees the applicant organization will comply with all terms and conditions of the Grant Agreement.

22. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

ATTACHMENT 7
WATER RESEARCH FOUNDATION/AWTP SOLICITED PROPOSAL RATING SHEET

For Information Only – Do Not Submit with Proposal

A. **Technical Merit** (maximum **30** points) Score

Is the proposed approach technically defensible? Is the approach practical, and can the project be performed within the time period and with the proposed effort? Is the proposal itself well prepared with supportive information, self-explanatory and understandable? Is there a good probability that all the project objectives will be achieved? Has the researcher provided an adequate explanation of QA/QC procedures to be used in the project?

B. **Responsiveness to RFP** (maximum **30** points) Score

Are all the RFP objectives adequately addressed? Were some objectives eliminated or modified and did the applicant justify the reason(s) for the deviation from the RFP? Does the proposal exceed the RFP requirements with additional beneficial results for the water supply industry?

C. **Qualifications** (maximum **15** points) Score

Do the principal investigator and key project personnel have experience in the proposed research area? Will all key project personnel contribute a significant time commitment to the project? Has the principal investigator completed similar research projects, within budget, and in a timely manner?

D. **Originality/Applicability** (maximum **10** points) Score

Does the proposal reflect imagination or other special qualities that lend weight to its attractiveness and potential usefulness? Has the applicant displayed an innovative approach? Has the research team addressed the practical applications of the research? Will the project yield a product that is beneficial to the drinking water community? Does the scope of work support research needs outlined in the *Desalination and Water Purification Technology Roadmap*?

E. **Budget and Schedule** (maximum **10** points) Score

Are the budget and schedule reasonable for the amount and type of work proposed? Will the principal investigator contribute an appropriate percentage of time to this project? Are overhead, indirect costs, cost of laboratory analysis, etc., reasonable? Is the level of effort allocated to each task reasonable? Are travel funds justifiable? Have cost-share and in-kind contributions been satisfactorily documented?

F. **Subscribing Utility Participation** (**5** points yes, **0** points no) Score

Has the researcher solicited the involvement of subscribing utilities in the research effort?

TOTAL SCORE:

Consultant Subscriber Participation (Yes/No)

Utility Participation (Yes/No)

ATTACHMENT 8
PERIODIC REPORT FORMAT AND CONTENT
For Information Only – Do Not Submit with Proposal

I. Title Page – 1 page (every 3 months)
- Project title and number
- Principal Investigator and organization
- Project start date and end date
- Subcontractors, participating utilities and other participants
- Project funding
- Project objective

II. Status Summary – 2 to 5 pages (every 3 months)
- Summary of work tasks completed and accomplishments in reporting period
- Assessment of actual versus planned progress for each work task
- Tasks proposed to be completed in the upcoming period
- Problems encountered
- Rationale for proposed changes (if any) to the scope of work
- Presentations, papers, reports
  - List of submitted/published reports (title, author, journal/conference, date)
  - Copy of submitted/published reports and presentations

III. Technical Summary – 5 to 20 pages (every 6 months – i.e., every other Periodic Report)
- Response to the Foundation's (includes PAC's) questions and comments on previous Technical Summary
- Methods and materials
- Data and analysis
- Significant findings
- Applicability of findings to the drinking water community

Note: If extensive data or supporting information is included, please use appendix

IV. Web Site Update – 1 to 2 pages (every 6 months – i.e., every other Periodic Report)
- Project title and number
- Principal Investigator and organization
- Reporting period (i.e., period covered by update)
- Activities and progress since previous Web Site Update
- Findings of significance to the Foundation subscribers and other stakeholders; how/why are they significant?
- Statement of how overall project results will ultimately benefit the Foundation subscribers and the drinking water community

ATTACHMENT 9
PROJECT PROFILE INFORMATION FORM
For Information Only – Do Not Submit with Proposal

Project Title:____

Project Number:________________________

Principal Investigators:____________________________________

Objectives:

(State the relevant objectives of the project; *75 words or less.*)

Background:

(Provide background information; *75 words or less.*)

Highlights:

(Provide "at a glance" the main findings of the research [minimum of three]; *100 words or less.*)

Approach:

(Describe the research approach for this project. May use subject subheads; *125 words or less*.)

Results/Findings:

(Describe the results/findings of the research. May use subject subheads; *200 words or less*.)

Impact:

(Describe the relevant impacts that the research results may have on the water industry. Use general subheads such as recommendations or benefits. Subheads more specific to the project may also be used, such as treatment, analytical development, regulatory implications, and so forth; *100 words or less*.)

Participating Utilities (if applicable; maximum of five):