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## **2009 GUIDELINES FOR UNSOLICITED PROPOSALS**

**December 2008**

### **Table of Contents**

Summary of Key Changes

List of Definitions

- I. Overview
- II. Pre-Proposal Instructions
- III. Full Proposal Instructions
- IV. Award Administration

Attachment 1—Unsolicited Pre-Proposal Cover Worksheet

Attachment 2—Unsolicited Pre-Proposal Rating Sheet

Attachment 3—Unsolicited Full Proposal Cover Worksheet

Attachment 4—Instructions for Budget Preparation

Attachment 5—Water Research Foundation Research Project Budget Form

Attachment 6—Financial Grant Management Capabilities Form

Attachment 7—Current & Pending Form

Attachment 8—Unsolicited Full Proposal Rating Sheet

Attachment 9—Periodic Report Format and Content

Attachment 10—Project Profile Information Form

## **Summary of Key Changes**

- Unsolicited full proposals are now required to include a draft plan for how the project results and key outcomes will be communicated effectively and in a timely manner to Foundation subscribers and other end users who will apply the results for the benefit of the drinking water community (see “Stand-Alone Items” under Section III – Full Proposal Instructions).

## **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 pre-proposal or full proposal to the Foundation Unsolicited Program.

**Cost-Share.** The portion of allowable costs that the subrecipient, subcontractor or third-party participant contributes toward completing a Foundation project. Cost-share includes any non-federal cash and non-cash contributions from the subrecipient 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 a Foundation research project but does not enter into a contractual relationship with the Foundation, the subrecipient or a subcontractor.

**Principal Investigator (PI).** The subrecipient's employee with primary responsibility to ensure that all terms and conditions of the project funding agreement are met and to whom notice of insufficiencies shall be given by the Foundation.

**Project Advisory Committee (PAC).** A committee generally composed of 3-4 volunteer professionals with expertise in the topic area of the Foundation project. 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.

**Project Funding Agreement (PFA).** The contract between Foundation and the subrecipient to conduct a Foundation research project.

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

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

**Subrecipient.** The legal entity or organization with which the Foundation enters into a PFA to conduct a Foundation research project.

**Third-Party In-Kind.** The value of non-cash contributions that a participant provides towards completing a 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

### The Water Research Foundation

The 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 the 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

A brief description of the goal areas and an overview of research programs is provided at:

<http://www.waterresearchfoundation.org/theFoundation/ourPrograms/strategicResearchGoals.aspx>

### The Unsolicited Program

The Foundation's Board of Trustees (BOT) annually reserves approximately 15 percent of its research funds for the Unsolicited Program. The focus of the Unsolicited Program is to promote basic and fundamental research based on original concepts and/or novel techniques that will prepare the water supply community to meet future needs and customer expectations. In 2008, six unsolicited proposals were approved for funding from among 125 pre-proposals originally submitted. The total Foundation funds approved for these projects was \$900,000.

The mission of the Unsolicited Research Program is as follows:

*To fund those initial steps of original and creative ideas which have potential to lay the groundwork for future advances and that will lead to future research with the intention of producing practical, applied technology that utilities will require to meet the needs and expectations of their consumers.*

Research that leads to development and application of new or improved technologies is usually an incremental, multi-step process. Applied technologies are built upon a series of investigations that begin with an understanding of the fundamental interactions that control a process. Each of these investigations represents an incremental gain in knowledge that is necessary to the eventual development of a new or improved technology. The primary aim of the Unsolicited Program is to fund basic research that will most likely lead to practical, applicable technology. It is not the intent of the program to fund work that furthers knowledge for the sake of knowledge.

The Foundation's four other primary research programs—the Solicited, Tailored Collaboration, Partnership and Strategic Research Initiatives Programs—provide means through which successful unsolicited research results can be carried forward into the development of practical and applied technology.

### **Unsolicited Proposal Process**

Unsolicited proposals are accepted once per year under a two-step process. An initial pre-proposal of no more than four pages in length is first submitted for review and screening. Full proposals are then requested for those pre-proposals with the greatest potential to benefit the water supply community. The short-listed pre-proposals represent approximately three times the available funding for the Unsolicited Program.

The Unsolicited Proposal Review Committee (UPRC) Chair and Foundation technical staff are responsible for review and ranking of pre-proposals. Once the short list of selected pre-proposals has been developed, the Foundation assembles a UPRC comprised of volunteers with expertise in the topic areas of that year's unsolicited full proposals. It is the responsibility of the UPRC to review and rank the full proposals and to make funding recommendations to the BOT. The BOT makes the final funding decisions at their annual June meeting.

Once a project is funded, the Foundation creates a Project Advisory Committee (PAC) that serves throughout the project as a technical oversight committee. The PAC reviews the project scope of work before the project funding agreement (contract) is signed and may request minor modifications or clarifications. The Foundation's project manager coordinates this process with the researcher. The PAC then monitors research progress through periodic progress reports submitted by the researcher, and may also meet with the researcher one or more times during the course of the project. The PAC is ultimately responsible for reviewing the draft research results (generally in the form of a written final report; see Section IV) before the results are published.

Both pre-proposals and full proposals are the intellectual property of the submitter and are handled confidentially. UPRC discussions and reviews are privileged communications available only to Foundation staff, UPRC members and the BOT.

### **Eligibility for Unsolicited Program Funding**

All technically qualified U.S. based or non-U.S. based applicants, including educational institutions, research organizations, federal or state agencies, local municipalities, and consultants or other for-profit entities, are eligible for Unsolicited Program funding.

The Foundation's Board of Trustees has established a Timeliness Policy that addresses researcher adherence to project schedule. The policy can be reviewed at <http://www.WaterResearchFoundation.org/research/projectAdmin/docs/TimelinessPolicy.pdf>.

Researchers who are late on any ongoing Foundation-sponsored studies without an approved no-cost extension are not eligible to be a named participant in any Unsolicited proposal. If you have any questions about your eligibility for Foundation projects, please contact your current Foundation project manager directly.

### **Funding and Schedule Limits**

The maximum amount of Foundation funding available for each unsolicited project is \$150,000. **Pre-proposals or full proposals requesting greater than \$150,000 in Foundation funding will not be considered.**

The proposed schedule for an unsolicited project cannot exceed three years, and should be reasonable based on the proposed scope of work and the available funding.

### **2009 Schedule**

The 2009 Unsolicited Program schedule is as follows:

1. Pre-proposals may be submitted to the Foundation at any time, but must be received by **January 30, 2009 (4 p.m. Mountain Time; 23:00 GMT)** in order to be considered for funding during 2009.
2. Applicants whose pre-proposals have been selected by the Foundation will be notified in writing by **March 13, 2009** and will be required to submit a full proposal by **April 24, 2009**.
3. The BOT will meet on June 13, 2009 to make final funding decisions. Official notifications will be mailed immediately after the BOT meeting, and a list of the successful proposals will be posted on the Foundation web site and made available on request by June 15, 2009.

## II. PRE-PROPOSAL INSTRUCTIONS

This section presents the requirements, evaluation process and schedule for pre-proposals submitted to the Foundation Unsolicited Program. All applicants who seek funding through the Unsolicited Program are required to submit a pre-proposal in accordance with these instructions and requirements.

Various forms that are required for the pre-proposal are provided as attachments to these guidelines and at

<http://www.WaterResearchFoundation.org/research/projectAdmin/proposalGuidelines.aspx>

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 ¾ inch on each side of the paper. Text font size must be a minimum of 12 point (12 characters per inch). The pre-proposal must be prepared and submitted in Microsoft Word® format (**no PDF files**).

Pre-proposals must be **at least two (2) pages and no more than four (4) pages in length**, including figures, tables and appendices. **Pre-proposals exceeding the four-page limit will not be considered.** Lists of references are excluded from this page requirement. The page requirement also excludes the Unsolicited Pre-Proposal Cover Worksheet.

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

Pre-proposals must include the following components.

**A. Unsolicited Pre-Proposal Cover Worksheet (Attachment 1)**

**B. Title**

**C. Research Objectives.** The research objective should be clearly identified in one or two sentences.

**D. Technical Approach.** Describe how the research will be conducted and the tasks necessary to accomplish the objective. This information should be adequate for technical experts to evaluate the potential for a successful outcome. Identify the sequence of technical steps and the specific technical challenges associated with the work.

**E. Originality and Innovation of the Research Approach.** Briefly identify how the proposed work complements and does not replicate existing research. Provide justification for funding the proposed work.

**F. Potential Relevance and Future Applications.** Provide rationale and insight about why this work should be done for the water supply community. Explain how the

work will benefit drinking water utilities and identify future research that will be enabled by the proposed work.

**G. Budget.** While a detailed budget is not required in the pre-proposal, please identify the amount of Foundation funds requested and any other cost-share or third-party in-kind support expected for the work. These two figures (summing to a total expected project value) are all that is required for the pre-proposal. **Pre-proposals requesting greater than \$150,000 in Foundation funding will not be considered.**

**H. Schedule.** A detailed task-specific schedule is not required in the pre-proposal; however, an estimate of the project duration should be provided. The total project duration cannot exceed three years, and should be reasonable based on the proposed scope of work and the available funding.

### **Pre-Proposal Anonymity Requirement**

The Foundation evaluates unsolicited pre-proposals without regard to the applicant's reputation or affiliation, in order to encourage participation by researchers new to the Foundation. Please do not identify the researcher's name(s) or organization(s) in the body of the text. This information should be restricted to the Unsolicited Pre-Proposal Cover Worksheet. Information about facilities or capabilities should be provided generically; e.g. "The researcher's facility contains...", or "The research team has extensive experience in..." **Pre-proposals that do not adhere to the intent of this requirement will not be considered.**

### **Submittal Instructions**

Pre-proposals can be submitted at any time but must be received **electronically** by **January 30, 2009 (4:00 p.m. Mountain Time; 23:00 GMT)** in order to be considered for funding during 2009. **Pre-proposals not submitted electronically will not be considered.** Please submit your pre-proposal by e-mail to:

**[UP@WaterResearchFoundation.org](mailto:UP@WaterResearchFoundation.org)**

Receipt of each pre-proposal will be acknowledged by e-mail from the Foundation within one working day. If you do not receive this acknowledgement or encounter other difficulties with electronic submittal, please notify Caroline Bruck of the Foundation at (303) 347-6118 to make alternative submittal arrangements. You must contact us within one working day of the January 30, 2009 pre-proposal deadline in order for your pre-proposal to be considered for funding during 2009.

### **Evaluation Process**

Foundation technical staff are responsible for review and ranking of pre-proposals. Each pre-proposal will be evaluated without reference to the researcher(s) or their organization(s). The Unsolicited Pre-Proposal Cover Worksheet will not be provided to reviewers. Pre-proposals are evaluated using the criteria shown in the Unsolicited Pre-Proposal Rating Sheet (Attachment 2).

You will be notified in writing of the pre-proposal review outcome by **March 13, 2009**. Due to the large number of unsolicited pre-proposals received by the Foundation each year, we are unable to offer detailed feedback on non-selected pre-proposals.

### III. FULL PROPOSAL INSTRUCTIONS

This section presents the requirements, evaluation process and schedule for Unsolicited Program full proposals. Full proposals are the second step of the two-step unsolicited proposal process, and are requested directly by the Foundation from those applicants whose project ideas have first been short-listed through the pre-proposal step. The Foundation will only accept full proposals that have been requested based on results of the pre-proposal screening process.

The objectives, scope of work and requested Foundation funding presented in the full proposal must remain consistent with that presented in the pre-proposal. Minor modifications or clarifications to the title, objectives, scope of work, etc. are permitted so long as the project still meets the focus and intent set forth in the pre-proposal. These changes should be identified and explained in the full proposal. **Full proposals that deviate significantly from the focus and intent of the pre-proposal, or that request five percent or greater Foundation funding than the pre-proposal, will not be considered.**

Various forms that are required for the full proposal are provided as attachments to these guidelines and at <http://www.WaterResearchFoundation.org/research/projectAdmin/proposalGuidelines.aspx>.

Please note that the budget form (Attachment 5), Budget Narrative, Financial Grant Management Capabilities Form (Attachment 6) and Draft Communication Plan are to be submitted as stand-alone items with the proposal. The Foundation does not provide this information to the UPRC. Only two copies of each of these items need to be submitted.

Full 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). **Twelve bound copies and one unbound copy** of the full proposal must be submitted to ensure that sufficient copies are available for all UPRC and staff members who participate in the proposal review.

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

Full proposals must include the following components. **Proposals that are missing any of these required components will not be considered.** 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. Unsolicited Full Proposal Cover Worksheet (Attachment 3)

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)**

Summarize research objectives and approach, anticipated results, and potential application by/benefits to the water supply community.

**C. Table of Contents**

Beginning with the Originality section, pages in the full proposal should be numbered sequentially, including all forms.

**D. Originality (one page)**

Describe the aspects of the research that make it unique, innovative or original, and why/how it will provide a foundation for meeting future needs of the water supply community.

**E. Project Description (twenty 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.

**F. Potential Relevance (one page)**

Identify the anticipated work products from the research (e.g., knowledge, software or other tools) and their potential uses to the water supply community. Where possible, identify additional research and other efforts following project completion that will be needed prior to application of the research results by the water supply community.

**G. Quality Assurance/Quality Control (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.

**H. Management Plan (two pages)**

Identify the individuals and organizations participating in the project, their specific roles and responsibilities and their time commitment to the project. Describe how the principal investigator (PI) will keep the project on schedule and 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.

**I. References (as required)**

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

**J. 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.

**K. Schedule**

Estimate the duration of the project's research phase (by task as appropriate) and preparation of the final work products. The total project duration from start-up through submittal of final deliverables should be reasonable based on the scope of work and cannot exceed three years.

**L. Current and Pending Form (Attachment 7)**

A completed Current and Pending form is required for the PI and for each co-PI listed on the Unsolicited Full 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.

**M. Third Party Contribution Letters of Commitment (as required)**

Applicants are encouraged, but not required, to include a 25 percent match to The Foundation's funds as cost-share or third-party in-kind. If the applicant's budget includes third party contributions, these 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. 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. **Third-**

**Party contributions will not be considered in the proposal selection process unless a letter of commitment is included with the proposal.**

### **Stand-Alone Items**

Two copies of the following items (Foundation Research Project Budget Form, Budget Narrative, Financial Grant Management Capabilities Form, and Draft Communication Plan) should be submitted as stand-alone items with the Unsolicited full proposal. These items will not be provided to the UPRC.

- **Budget (Attachments 4 and 5)**

In accordance with the Instructions for Budget Preparation (Attachment 4), and using the Foundation Research Project Budget form (Attachment 5), provide a realistic, cumulative budget for the project. Costs will be evaluated for allowability under the applicant's relevant Federal cost principles. The budget should include sufficient funding to prepare the project deliverables described in Section IV – Award Administration of these guidelines. **Full proposals requesting greater than \$150,000 in Foundation funding will not be considered.**

The budget form must be accompanied by a detailed Budget Narrative (see below).

If indirect costs are included on the budget form, the applicant must substantiate their indirect cost rate by providing a copy of their rate as approved by their cognizant Federal agency or as reviewed by a certified public accountant. This information should be attached to the budget form.

- **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 4, Instructions for Budget Preparation, for additional information on specific items that must be addressed in the Budget Narrative.

The Budget Narrative must accompany the completed Foundation Research Project Budget Form (Attachment 5).

An example Budget Narrative is provided at <http://www.WaterResearchFoundation.org/research/projectAdmin/docs/BudgetNarrative.doc>

- **Financial Grant Management Capabilities Form (Attachment 6)**

Provide the requested information regarding financial and accounting systems, policies and procedures. **Note: This form should be completed by the**

**organization's financial staff.** This information is used to evaluate the capability of the applicant's systems to meet the criteria outlined in the Foundation's Project Funding Agreement.

- **Draft Communication Plan (one page)**

Provide a draft plan for how the project results and key outcomes will be communicated effectively and in a timely manner to Foundation subscribers and other end users who will apply the results for the benefit of the drinking water community. The Foundation will work with the selected researcher to refine the draft Communication Plan prior to the start of the project. The draft Communication Plan should address the following questions:

- Who are the target audiences? Who are the end users of the project results, and what other Foundation stakeholders might benefit from knowing the results?
- What deliverables and communication activities are necessary to effectively reach the target audiences? What format, content, focus and level of detail are appropriate?
- When during the project should communication occur? Should there be interim deliverables and communication activities prior to project completion?
- Are there opportunities for joint or combined communication activities with those of other ongoing, related projects?
- Are there opportunities for collaborating on project communication with other trade or professional organizations that can help us more effectively reach target audiences?

The proposed budget should include the costs and resources associated with implementing the draft Communication Plan. Applicants are encouraged to review "Outreach Options for Water Research Foundation Research Projects" at <http://www.WaterResearchFoundation.org/research/projectAdmin/proposalGuidelines.aspx> for information and considerations about various project communication tools and activities.

Proposals that include the production of CD-ROM material, software, or web-based products as a final deliverable must follow the criteria outlined for electronic media at <http://www.waterresearchfoundation.org/research/projectAdmin/projectGuidelines.aspx>

**Submittal Instructions**

Unsolicited full proposals will be requested by the Foundation by **March 13, 2009**. **Twelve bound copies and one unbound copy** of the full proposal, along with **two copies** of the stand-alone items, must be mailed by **April 24, 2009** to:

**Unsolicited Proposals  
Water Research Foundation  
6666 West Quincy Avenue  
Denver, Colorado 80235  
United States of America**

Full proposals not postmarked by the closing date of **April 24, 2009** will not be considered.

## **Evaluation Process**

Each full proposal will be reviewed by at least three UPRC members using the criteria shown in the Unsolicited Full Proposal Rating Sheet (Attachment 8). Full proposal review criteria are similar to those for pre-proposals, with the additional consideration of research team qualifications and detailed budget and schedule information.

Applicants should be aware that timeliness on past Foundation projects will be considered during proposal evaluation. The Foundation's Timeliness Policy can be found on the Foundation's web site at

<http://www.WaterResearchFoundation.org/research/projectAdmin/docs/TimelinessPolicy.pdf>.

## IV. AWARD ADMINISTRATION

### Terms and Conditions

The Foundation will enter into a project funding agreement (PFA) with each selected researcher. The Foundation's standard PFAs for both federally funded and non-federally funded projects are available at

<http://www.WaterResearchFoundation.org/research/projectAdmin/contractsAndForms.aspx>.

The selected researchers and their subcontractors will be expected to comply with the terms and conditions of the applicable standard PFA. Unsolicited Program projects generally are not federally funded; applicants may assume that the standard PFA for non-federally funded projects will apply.

The Foundation has established a 60-day period for PFA negotiations commencing on the date of award notification. 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, the Foundation may choose, at their sole discretion, to terminate the negotiations. Applicants and their proposed subcontractors are therefore strongly urged to review the standard PFA before submitting the proposal to determine that the terms and conditions are likely to be acceptable. Please note that the standard PFA reflects the Foundation's intention to solely own and publish a final report and to jointly own the underlying data.

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

### Federal Administrative Requirements

All Foundation subrecipients, regardless of source of funding, are required to comply with the federal administrative requirements indicated below:

<b>Recipient</b>	<b>Administrative Requirement</b>	<b>Cost Principles</b>	<b>Audit Requirements</b>
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

### 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 all 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, Originality, Project Description, and Potential Relevance sections of the full 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 9 – 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).

The 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

The 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.

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); accordingly, the report must include a clearly identified section explaining the practical benefits of the project results to the drinking water community.

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*.

The 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. If the Final Report is clearly organized and understandable, and has a neat and uniform appearance, then the quickest 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 the 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 10 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  
UNSOLICITED PRE-PROPOSAL COVER WORKSHEET**

**Project Title:** \_\_\_\_\_

**Personnel:**

Principal Investigator: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_ FAX: \_\_\_\_\_ E-mail: \_\_\_\_\_

Anticipated Co-Principal Investigator: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_ FAX: \_\_\_\_\_ E-mail: \_\_\_\_\_

Anticipated other personnel: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_ FAX: \_\_\_\_\_ E-mail: \_\_\_\_\_

**All Other Anticipated Participating Organizations (not listed above):**

Organization	City/State/Country

**Project Period:** \_\_\_\_\_

**Foundation Funds Requested:** \$ \_\_\_\_\_

**Anticipated In-Kind or other Contributions:** \$ \_\_\_\_\_

**TOTAL PROJECT BUDGET:** \$ \_\_\_\_\_ (Total of Foundation Funds and In-kind)

**ATTACHMENT 2**  
**UNSOLICITED PRE-PROPOSAL RATING SHEET**  
**For Information Only – Do Not Submit with Proposal**

Proposal # \_\_\_\_\_

Reviewer \_\_\_\_\_

A. Originality and Innovation of the Research Approach (maximum 35 points) \_\_\_\_\_

Does the proposed work offer an imaginative approach or other special qualities that lend weight to its attractiveness and potential usefulness? If the objective is achieved, can future research build upon this work and have practical applications potential? Is there already similar ongoing research on this topic?

B. Technical Approach (maximum 35 points) \_\_\_\_\_

Is the research approach scientifically defensible?

C. Potential Relevance and Future Applications (maximum 20 points) \_\_\_\_\_

Has the research team addressed the future applications potential that could result from the research? Is the project responsive to the water community's needs of the future?

E. Budget (maximum 10 points) \_\_\_\_\_

Is the budget and effort reasonable to meet the objectives of the research?

TOTAL \_\_\_\_\_

**ATTACHMENT 3**  
**UNSOLICITED FULL PROPOSAL COVER WORKSHEET**

**Project 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: \_\_\_\_\_

**All Other Participating Organizations (not listed above):**

Organization	City/State/Country
_____	_____
_____	_____
_____	_____

**Project Period:** \_\_\_\_\_

## ATTACHMENT 4 INSTRUCTIONS FOR BUDGET PREPARATION

The proposed budget is one component considered in the selection process. **The applicant must complete the Foundation Research Project Budget form and must prepare a *Budget Narrative*.** Two copies of the budget form and *Budget Narrative* should be submitted as stand-alone items with the applicant's proposal (see Section III, Full Proposal Instructions). This information will not be shared with Foundation volunteers involved in reviewing the proposal.

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 2 CFR 220 (OMB Circular A-21), 2 CFR 225 (OMB Circular A-87) and 2 CFR 230 (OMB Circular A-122) and 48 CFR 31.2, for commercial organizations. These four sets of cost principles may be obtained by searching [www.usasearch.gov](http://www.usasearch.gov)

The following instructions pertain to sections A through K of Foundation Research Project Budget form. Note that sections A – J of the form provide separate columns for *Foundation Share* and *Cost-Share* of the estimated costs. Under *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, 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.

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.

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 research team and the total value of each subcontract. The ***Budget Narrative*** must summarize the project roles and responsibilities for each subcontractor and must provide a cost breakdown for each subcontractor by the following categories: Labor, Equipment, Materials and Supplies, Travel, and Other Direct Costs.

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 must substantiate their indirect cost rate by attaching a copy of their rate as approved by their cognizant Federal agency or a copy of their rate as reviewed by an independent certified public accountant (CPA), or by providing a copy of their own internal cost allocation plan.

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 Section M of the full proposal (see Section III, Full Proposal Instructions). **Third-Party**

**contributions will not be considered in the proposal selection process unless a letter of commitment is included with the proposal.**

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:**

\* Required fields are highlighted in yellow.

**Foundation Project Name:**

**Foundation RFP # (if applicable):**

**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
<b>A</b> <span style="border: 1px solid black; padding: 2px;">Key Personnel</span>	-	-	-
<b>B</b> <span style="border: 1px solid black; padding: 2px;">Other Personnel</span>	-	-	-
<i>Total Direct Labor and Fringe Benefits</i>	-	-	-
<b>C</b> <span style="border: 1px solid black; padding: 2px;">Equipment Rental Special Equipment</span>	-	-	-
<b>D</b> <span style="border: 1px solid black; padding: 2px;">Materials and Supplies</span>	-	-	-
<b>E</b> <span style="border: 1px solid black; padding: 2px;">Travel</span>	-	-	-
<b>F</b> <span style="border: 1px solid black; padding: 2px;">Subcontracts</span>	-	-	-
<b>G</b> <span style="border: 1px solid black; padding: 2px;">Other Direct Costs</span>	-	-	-
<i>Total Direct Costs</i>	-	-	-
<b>H</b> <span style="border: 1px solid black; padding: 2px;">Indirect Costs</span>	-	-	-
<b>I</b> <span style="border: 1px solid black; padding: 2px;">Fee</span>	-	-	-
<b>J</b> <span style="border: 1px solid black; padding: 2px;">Surveys</span>	-	-	-
<i>Total Direct and Indirect Costs</i>	-	-	-
<b>K</b> <span style="border: 1px solid black; padding: 2px;">Third-Party Contributions</span>	-	n/a	n/a
<b>Total Project Budget</b>	-		

## Water Research Foundation Research Project Budget

Applicant Name: 0

\* Required fields are highlighted in yellow.

Foundation Project Name: 0

Foundation RFP #: 0

<b>A. Key Personnel (Principal Investigator and Co-PIs only)</b>										
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		
<b>Total Key Personnel</b>					0.00		0.00	0.00	0.00	0.00

<b>B. Other Personnel</b>										
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		
<b>Total Other Personnel</b>					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***

<b>Equipment Rental (List items and dollar amount for each item exceeding \$1,000)</b>	<b>Total</b>	<b>Foundation Share</b>	<b>Cost-Share</b>
<b>Total Equipment Rental</b>	0.00	0.00	0.00

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

**Water Research Foundation  
Research Project Budget**

Applicant Name: 0

\* Required fields are highlighted in yellow.

Foundation Project Name: 0

Foundation RFP #: 0

<i><b>D. Materials and Supplies</b></i>	<b>Total</b>	<b>Foundation Share</b>	<b>Cost-Share</b>
<b>Total Materials and Supplies</b>	0.00	0.00	0.00

<i><b>E. Travel</b></i>	<b>Total</b>	<b>Foundation Share</b>	<b>Cost-Share</b>
<b>Total Travel</b>	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.

<b><i>F. Subcontracts</i></b>	<b>Total</b>	<b>Foundation Share</b>	<b>Cost-Share</b>
<b>Total Subcontracts</b>	0.00	0.00	0.00

<b><i>G. Other Direct Costs</i></b>	<b>Total</b>	<b>Foundation Share</b>	<b>Cost-Share</b>
<b>Total Other Direct Costs</b>	0.00	0.00	0.00

## Water Research Foundation Research Project Budget

Applicant Name: 0

\* Required fields are highlighted in yellow.

Foundation Project Name: 0

Foundation RFP #: 0

<b>H. Indirect Costs</b> (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		
<b>Total Indirect Costs</b>			0.00	0.00	0.00

<b>I. Fee</b>	Total	Foundation Share	Cost-Share
<b>Total Fee</b>	0.00	0.00	0.00

<b>J. Survey</b>	Total	Foundation Share	Cost-Share
<b>Total Survey Costs</b>	0.00	0.00	0.00



**ATTACHMENT 6  
FINANCIAL GRANT MANAGEMENT CAPABILITIES FORM**

*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 Policies and Procedures Yes \_\_\_\_\_ No \_\_\_\_\_  
  
Procurement Policies and Procedures Yes \_\_\_\_\_ No \_\_\_\_\_  
  
Property Policies and Procedures Yes \_\_\_\_\_ No \_\_\_\_\_  
  
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 8**  
**UNSOLICITED FULL PROPOSAL RATING SHEET**  
**For Information Only – Do Not Submit with Proposal**

PROPOSAL # \_\_\_\_\_

REVIEWER \_\_\_\_\_

A. Originality (maximum **35** points) \_\_\_\_\_

Does the proposed work offer an imaginative approach or other special qualities that lend weight to its attractiveness and potential usefulness? Has the applicant developed a scope of work with an innovative approach? If project objectives are achieved can future research build upon this work and have practical applications potential or be of significant benefit to the drinking water community?

B. Scientific Merit (maximum **30** points) \_\_\_\_\_

Is the research approach scientifically defensible? Is the proposal itself well prepared with supportive information, self-explanatory and understandable? Is there a good probability that the project objectives can be achieved?

C. Potential Relevance and Future Application (maximum **15** points) \_\_\_\_\_

Has the research team addressed the future applications potential that could result from the research? Will the information and data resulting from this project be responsive to the water community's needs of the future?

D. Qualifications (maximum **10** points) \_\_\_\_\_

Do the principal investigator and key project personnel have adequate training in the proposed research area to successfully execute the work? Will all key project personnel contribute a significant time commitment to the project? Is the principal investigator likely to complete the research within budget and in a timely manner?

E. Budget and Schedule (maximum **10** points) \_\_\_\_\_

Is the total funding requested reasonable for the amount and type of work proposed? Do the total labor and other category costs appear reasonable and appropriate for the amount and type of work proposed? Will the principal investigator contribute an appropriate percentage of time to the project? Is the proposed schedule reasonable for the amount and type of work proposed?

TOTAL \_\_\_\_\_

**ATTACHMENT 9**  
**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 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 Foundation subscribers and other stakeholders; how/why are they significant?
  - Statement of how overall project results will ultimately benefit Foundation subscribers and the drinking water community

**ATTACHMENT 10**  
**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.*)

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**Results/Findings:**

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

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**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.*)

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**Participating Utilities** (if applicable; maximum of five):

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