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GUIDELINES FOR SOLICITED PROPOSALS

February 2012

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Summary of Recent Key Changes

- Proposal review and selection includes an evaluation of the submitting organization's financial statements, Statement of Direct Labor, Fringe Benefits and General Overheads, and grant management capabilities. This evaluation is an integral part of the Foundation's proposal review and selection process. The guidelines also clarify that Cost Analysis of the proposed budget is an integral part of proposal review and selection (see "Evaluation Process" under Section III — Proposal Review and Selection).

- The Instructions for Budget Preparation (Attachment 2) and Water Research Foundation Budget Form (Attachment 3) have been revised to clarify the various sources of project funding and support; i.e., Award, Cost share, and Non-Cash In-Kind Services. A new Contribution Sources Page has been added to the Budget Form to help applicants correctly account for these sources.

- New time limits have been established for researcher review and execution of the Project Funding Agreement (see "Terms and Conditions" under Section IV — Award Administration).

List of Definitions

Allowable Cost. Costs that meet the criteria for allowable costs set forth in the federal cost principles that apply to the applicant's organization

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

Cost Share. The portion of allowable costs that the sub-recipient, subcontractor or third-party participant contributes toward completing 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 the Foundation research project but does not enter into a contractual relationship with the Foundation, the sub-recipient or a subcontractor.

Principal Investigator (PI). The sub-recipient's (applicant) 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 a Foundation research project.

Research 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 a Foundation research project.

Sub-recipient. 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 a 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 Water Research Foundation is *to advance the science of water to improve the quality of life*. We achieve this mission by accomplishing four strategic goals:

1. Create measurable value through strategically targeted research that meets the needs of subscribers
2. Develop communication that increases value to subscribers and key stakeholders
3. Grow revenue and diversify revenue sources to support the research mission of the Foundation.
4. Maintain efficient and effective stewardship of all resources the Foundation uses for research projects, collaboration, and internal operations

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 strategic goals is provided at http://www.waterrf.org/Research/ResearchPrograms/Pages/StrategicResearchGoalAreas.aspx

The Solicited Research Program

The Solicited Research program is one of four major research programs that the Foundation has developed to address the wide spectrum of drinking water community research needs. Under the Solicited program, projects are awarded to researchers via a competitive request for proposals (RFP) process. The RFPs are developed by the Research Advisory Council (RAC), which consists of volunteer experts enlisted from water utilities and other drinking water organizations. Research topics that originate with the RAC may address both applied and more basic, innovative research ideas.

Additional information on the Solicited Research Program and the Foundation's other programs is provided at http://www.waterrf.org/Research/ResearchPrograms/.

II. INSTRUCTIONS FOR PREPARING SOLICITED PROPOSALS

The following section outlines the general instructions for preparing a solicited proposal in response to a Foundation 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.waterrf.org/Research/Administration/Proposalguidelines/. Please note that Foundation Research Project Budget Form (Attachment 3), Budget Narrative, Financial Grant Management Capabilities Form (Attachment 4), Certifications and Assurances Forms (Attachment 5), Draft Communication Plan, and copies of financial/indirect cost statements and audits are to be submitted as stand-alone items with the proposal. The Foundation does not provide this information to the Project Advisory Committee (PAC; see Section III — Proposal Review and Selection). Only two copies of each of these items needs to be submitted.

Proposals must be on standard continental U.S. letter-sized paper (8 ½ × 11 inches), 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. **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. Solicited Proposal Cover Worksheet (Attachment 1)

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

D. Project Description (22 pages)

(Beginning with the Project Description, pages in the proposal should be numbered sequentially, including all forms. Pagination is not required for Stand-Alone Items [see below].)

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 (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 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 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: Water Research 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. Current and Pending Form (Attachment 6)

A completed Current and Pending Form is required for the PI and for each co-PI listed on the 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. The PI and each co-PI must commit a reasonable and appropriate amount of time to the project, commensurate with the proposed scope of work described in the Project Description and the Management Plan.

L. Third Party Contribution Letters of Commitment (as required)

Most Foundation requests require 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.**

M. Curriculum Vitae or Resumes for Key Team Members

Attach Curriculum Vitae or abbreviated resumes for the PI, co-PI and any other key members of the research team.

Stand-Alone Items

One copy of each of the following items (Foundation Research Project Budget Form, Budget Narrative, Financial Statements, Statements of Direct Labor, Fringe Benefits and General Overhead, Audits, Financial Grant Management Capabilities Form, Certifications and Assurances Forms and Draft Communication Plan) must be submitted as stand-alone items with the proposal. These items will not be provided to the Project Advisory Committee (see Section III — Proposal Review and Selection).

- **Budget Form (Attachment 3)**
  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.

  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 as outlined below in Financial Statements, Indirect Cost Statements and Audits for the Latest Fiscal Year. This information must accompany 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 under the applicant's applicable federal cost principles. Refer to Attachment 2, 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 3).

  An example Budget Narrative is provided at http://www.waterrf.org/Research/Administration/ProposalGuidelines/ProposalDocuments/SampleBudgetNarrative.doc.

- **Financial Statements, Indirect Cost Statements and Audits for the Latest Fiscal Year**
  Entities subject to the Single Audit Act (OMB A-133) must be prepared to submit or provide direct web access to their Single Audit package, Indirect Cost Rate Agreements and existing government agency audits, prior to the proposal submission deadline. These entities must include within the Budget Narrative, the name, title, email address and phone number of the appropriate sub-recipient employee who is familiar with and can provide the required documents.

For-profit (commercial) entities, and all other entities not subject to OMB A-133, are required to submit Financial Statements (Balance Sheet and P&L) and their associated Notes, as follows:

- Independent CPA or government agency audited financial statements and existing government agency audits, or if audited statements were not prepared,
- Independent CPA compilation or review of nonpublic company financial statements in accordance with SSARS (Statements on Standards for Accounting and Review Services issued by the AICPA), only if audited statements were not prepared.

For-profit (commercial) entities, and all other entities not subject to OMB A-133, if they propose to recover indirect costs, are also required to submit a government agency reviewed Cost Allocation Plan or, if such a plan has not been prepared, an independent CPA compilation or review of a Statement of Direct Labor, Fringe Benefits and General Overhead in accordance with SSARS (Statements on Standards for Accounting and Review Services issued by the AICPAin compliance with 48 CFR 31.2).

- **Financial Grant Management Capabilities Form (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.** 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.

- **Certifications and Assurances Forms (Attachment 5)**
  Sign the attached Certifications and Assurances forms and submit these with the proposal. This information may be used by the Foundation to determine applicant eligibility on federally funded projects.

- **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.waterrf.org/Research/Administration/Proposalguidelines/ 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.waterrf.org/Research/Administration/ProjectReportGuidelines/Pages/default.aspx

Note that the Foundation requires that the Principal Investigator commit to provide up to two webcasts detailing the project findings following completion of the project (see “Webcasts” under Section IV — Award Administration).

III. PROPOSAL REVIEW AND SELECTION

Proposals are selected for funding based on technical merit, cost analysis, and on evaluation of the submitting organization's financial and grant management capabilities. Each proposal accepted by the Foundation is subjected to technical review and evaluation and to a cost analysis. Proposals selected for funding consideration based on technical merit and cost analysis undergo an organizational financial grant management capabilities evaluation. The results of these three evaluations are used by Foundation staff in making the final funding 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. Applicants will generally be notified of the status of their proposal 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.

Technical Review and Evaluation

Technical review and evaluation 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 review all proposals accepted in response to the particular RFP and are ultimately responsible for selecting a proposal for funding consideration based on technical review and evaluation. The general criteria used for the technical review and evaluation are detailed on the Solicited Proposal Rating Sheet (Attachment 7).

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.waterrf.org/Research/Administration/Policies/Policies/TimelinessPolicy.pdf. Researcher performance on previous Foundation projects is also considered in proposal selection.

Cost Analysis

Concurrently with the technical review and evaluation, Foundation staff conducts a cost analysis of the proposal that is guided by the Budget Form and Budget Narrative. The objectives of the cost analysis are to determine the necessity, reasonableness, and allocability of costs proposed in the proposal budget. Each budget is also reviewed for cost allowability under the applicant's applicable federal cost principles. Principles governing the allowability of costs 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) for non-commercial entities, and in 48 CFR 31.2 for commercial organizations. These cost principles may be obtained by using the links provided in "Evaluation of Proposed Costs and Financial Grant Management Capabilities: Researcher Guidelines and Resources" at http://www.waterrf.org/Research/Administration/Proposalguidelines/.

Financial Grant Management Capabilities Evaluation

Once a proposal is selected for funding consideration through technical review and evaluation and cost analysis, Foundation staff assesses the financial grant management capabilities of the submitting organization. In essence, this is an evaluation of the organization's capability to meet the administrative, financial, audit and programmatic requirements of the Foundation's Project Funding Agreement.

Potential applicants are encouraged to review "Evaluation of Proposed Costs and Financial Grant Management Capabilities: Researcher Guidelines and Resources" at http://www.waterrf.org/Research/Administration/Proposalguidelines/ for additional background and information about the financial grant management capabilities evaluation. It is important that both the applicant's proposed Principal Investigator and financial staff understand the federal cost principles and administrative requirements which apply to their proposal, and how these directly influence the Foundation's cost analysis and financial grant management capabilities evaluation.

IV. AWARD ADMINISTRATION

Terms and Conditions

The Foundation will enter into a Project Funding Agreement (PFA) with the selected researcher. The Foundation's standard PFAs for both federally funded and non-federally funded projects are available at http://www.waterrf.org/Research/Administration/ContractMaterials/. The selected researchers and their subcontractors will be expected to comply with the terms and conditions of the applicable standard PFA.

The Foundation has established a 60-calendar 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. Upon the issuance of the draft agreement, the researcher has fifteen (15) business days to review the draft and respond back to the Foundation with a) requested revisions, or b) the approval to proceed to a final agreement. The Foundation will conduct PFA negotiations in good faith and in a timely manner for this period. Upon completion of the contract negotiations, a final executed agreement will be issued to the researcher. The researcher has ten (10) business days to execute the final agreement and return to the Foundation. If agreement cannot be reached within this 60-calendar 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 acceptable. Please note that the standard PFA reflects the Foundation's intention to solely own a final project deliverable and to jointly own the underlying intellectual property.

The PFA is a not-to-exceed subaward of financial assistance. The Foundation funding level (award 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.

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

Federal Administrative, Cost and Audit Requirements

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

Recipient	Administrative Requirement	Cost Principles	Audit Requirements
State, Local, or Indian Tribal Government	OMB Circular A-102	2 CFR Part 225	OMB Circular A-133
Non-profit Organization	2 CFR Part 215	2 CFR Part 230	OMB Circular A-133
Educational Institution	2 CFR Part 215	2 CFR Part 220	OMB Circular A-133
Hospital	2 CFR Part 215	45 CFR Part 74 Append. E	OMB Circular A-133
Commercial Organization	2 CFR Part 215	48 CFR Part 31.2	See "For-profit Audit Compliance" below

For-Profit Audit Compliance

In accordance with OMB Circular A-133 §___.210(e), the Foundation has developed audit requirements for commercial organizations (for-profits). These requirements are outlined above in Section II – Instructions for Preparing Solicited Proposals under "Stand-Alone Items."

Participating Utilities

The Foundation places high value on drinking water utility participation and active involvement in our research projects. Utility participation helps to ensure that Foundation-sponsored research is directly responsive to subscriber needs. Participating utilities should be considered an integral element of the research team. It is the responsibility of the PI to ensure that participating utilities provide support to the project as set forth in the project scope of work. PIs are encouraged to keep participating utilities apprised of status throughout the course of the project. In accordance with Section XIV.C of the Foundation's standard PFA, each participating utility must be given an opportunity to review the project's use of their data and conclusions regarding these data, and must be provided with reasonable opportunity to correct and/or respond to any problems or difficulties uncovered by the data and/or test results prior to their publication or use.

PAC Meeting

Typically a one-day meeting is held during each project with the PAC, the Foundation research manager and the research team. The meeting will sometimes include participating utilities, project co-funders and other stakeholders. This meeting may be held at any time during the course of the project, as agreed between the PAC, research manager and PI. The PAC meeting is an opportunity for face-to-face interaction among the key project stakeholders. Depending on the timing of the meeting, it may serve to help refine the project scope and approach, review research results to date, resolve problems or concerns with the project, or define the final research products and deliverables. Most PAC meetings are held earlier in the course of the project and are located at the PI's facility. In some instances a second PAC meeting will be held during the project; however, this is not typical. The key members of the research team are expected to help plan and participate in this meeting.

The Foundation covers staff and PAC member travel costs for the PAC meeting using non-project funds. The research team is expected to host the meeting at the PI's facility and to cover any research team travel costs associated with the meeting.

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. Finally, it provides information that enables the Foundation to review and approve the sub-recipient's invoices.

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). As stipulated in the PFA, an invoice detailing expenses incurred during the reporting period must be submitted with each periodic report. Sub-recipient invoices will not be paid unless and until the associated Periodic Report is received and accepted.

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 research manager and the PAC.

Final Deliverable

The Foundation generally plans to publish a report for each project, but a number of other outreach options are available. The options can be found in "Outreach Options for Foundation Research Projects" at http://www.waterrf.org/Research/Administration/Proposalguidelines/. It is the researcher's responsibility to prepare the final deliverable in accordance with the Foundation's guidelines and requirements, whether the deliverable is a standard final report, web tool, etc. Project-specific requirements for the final deliverable may be set forth in the RFP.

The target audience for the final deliverable is the drinking water community (i.e., water utilities, consultants, manufacturers, regulators and other water professionals); accordingly, the deliverable must clearly provide practical benefits to the drinking water community.

If the standard final report is chosen as the final deliverable, the following are requirements for submission:

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.waterrf.org/Research/Administration/ProjectReportGuidelines/Guidelines/FormatStyleGuide.pdf. 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 is 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.

<u>Review and Alteration of Deliverables</u>

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.

Webcasts

The Foundation requires that the PI for each project commit to provide up to two webcasts following completion of the project. These webcasts are intended to communicate project-specific findings to Foundation subscribers and other stakeholders. The webcasts may be scheduled prior to, or up to six months following, submittal of the final deliverable. The decision on whether to hold these webcasts will be made at the sole discretion of the Foundation. The webcasts will be hosted by the Foundation in coordination with the PI. The Foundation will cover the costs of hosting the webcasts outside of the project budget, but cannot compensate the PI for his/her time in preparing or providing the webcasts.

ATTACHMENT 1
SOLICITED PROPOSAL COVER WORKSHEET

RFP # _________
Title: ____

<u>Organization:</u> *(Legal name as it should appear in the contract)*
Organization: ____
Complete Address (No P.O. Boxes Please):____

<u>Personnel:</u> ***(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: _____

Contracting Contact: *Individual responsible for contract administration including contract negotiations.*
Name: ____
Title: ____
Organization: ____
Address: ____
____

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 2
INSTRUCTIONS FOR BUDGET PREPARATION

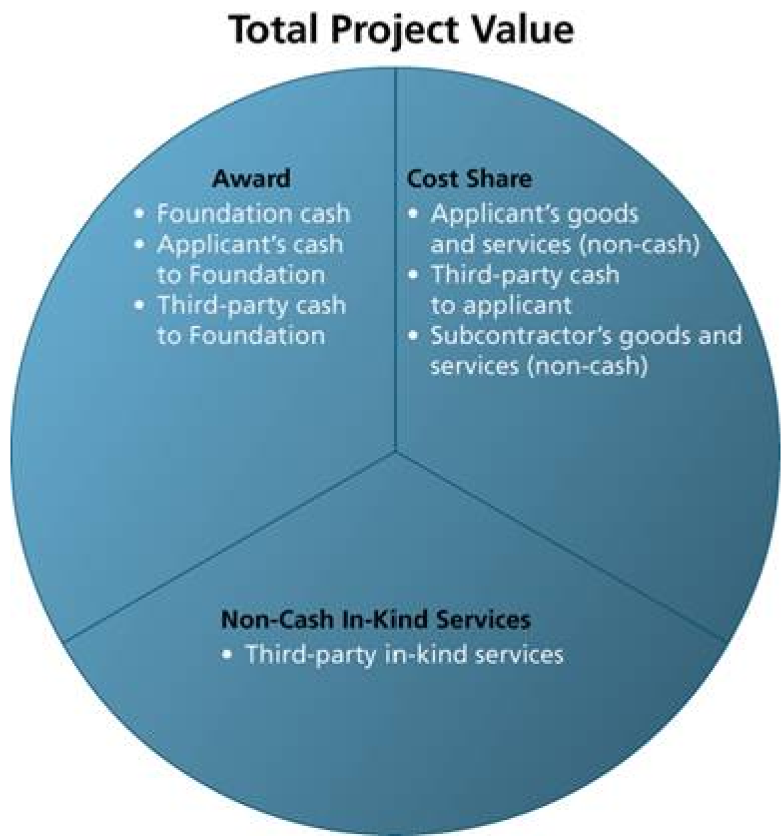
The proposed budget is one component considered in the selection process. **The applicant must complete the Water Research Foundation Research Project Budget Form and must prepare a Budget Narrative.** One copy of the Budget Form and Budget Narrative should be submitted as stand-alone items with the applicant's proposal (see Stand-Alone Items section in the Full Proposal Guidelines). Only the Budget Summary Page and Contribution Sources Page from the Water Research Foundation Research Project Budget will be shared with Foundation volunteers involved with reviewing the proposal.

Each budget will be reviewed by the Foundation for cost allowability under the applicable federal cost principles. Principles governing the allowability of costs 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) for non-commercial entities, and in 48 CFR 31.2 for commercial organizations. These cost principles may be obtained by using the links provided in "Evaluation of Proposed Costs and Financial Grant Management Capabilities: Researcher Guidelines and Resources" at http://www.waterrf.org/Research/Administration/ProposalGuidelines/Pages/default.aspx.

Definitions:

- The **total project value** is made up of money from the Foundation, the applicant, and third-party cash to the Foundation.
- Non-cash contributions (services, etc.) from the applicant and sub-contractors are counted as **cost share**.
- **Third-party contributions**: Cash or non-cash contributions that come from an organization other than the Foundation, applicant, or sub-contractors.
    - Cash contributions:
        - If the money comes to the Foundation, it is counted as award money.
        - If the money goes directly to the applicant or sub-contractors, it is counted as cost share.
    - Non-cash contributions are counted as **in kind**.

See the following diagram to understand how all of these funding sources work together to form the total project budget:



Contribution Sources Page:

On this page, identify the source and dollar value of award, cost share and third-party non-cash in-kind contributions. Sources are identified by Water Research Foundation, Applicant, and Third Parties rows. Applicants may only populate 'open' cells in those rows.

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/or samples) 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 with the full proposal (see Section L, 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 Project Funding Agreement (PFA), the applicant is contractually responsible for documenting 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. Applicants should work directly with contributing organizations to decide where those organizations are able to send contributions to (applicant or Foundation).

Pages and columns A through J: Note that the form provides separate columns for *Award* and *Cost Share* of the estimated costs. Under *Award* 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.

A. Key Personnel. Key personnel include the Principal Investigator (PI) and co-Principal Investigators (co-PI) who are employees of the applicant's organization(s). Note that the Budget Form requires that the applicant break down labor costs by direct rate and fringe benefit, and account for any indirect costs applied to labor (see Section H below). The Foundation cannot accept fully burdened labor rates in lieu of this detail. **Proposals that include fully burdened labor rates without providing the cost detail specified in the Budget Form will not be considered.**

   Under *Number of Hours*, enter the total number of hours that the employee will charge to the project during the period of performance. The PI and each co-PI must commit a reasonable and appropriate amount of time to the project, commensurate with the proposed scope of work described in the Project Description and the Management Plan.

   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 applicant's organization(s). 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 in accordance with the requirements outlined in Section II — Instructions for Preparing Solicited Proposals under "Stand-Alone Items.

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. The costs should be explained fully in the **Budget Narrative**.

Water Research Foundation
Research Project Budget

Instructions for budgets are at http://www.waterrf.org/Research/Administration/ProposalGuidelines/Pages/default.aspx

* Required fields are highlighted in yellow.

* Required fields are highlighted in yellow.

Applicant:
Project Title:
Preparation/Revision Date:
RFP # (if applicable):

Note: The information above will carry over to subsequent pages/worksheets.

Sources of Award, Cost Share, and Non-Cash In-Kind Contributions (Insert rows to list more third parties.)	Award			Cost Share		Third-Party Non-Cash In Kind
	Foundation Funds	*Applicant*	*Third-Party Cash to Foundation*	*Applicant*	*Third-Party Cash to Applicant*	
Water Research Foundation		n/a	n/a	n/a	n/a	n/a
Applicant (including subcontract contributions)	n/a		n/a		n/a	n/a
Third Parties	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
	n/a	n/a		n/a		
Subtotal	*0*	*0*	*0*	*0*	*0*	*0*
Total Award, Cost Share, and Third-Party Non-Cash In Kind	**0**			**0**		**0**
Total Project Value	**0**					

Water Research Foundation
Research Project Budget

Applicant:
Project Title:
RFP # (if applicable):

Note: All amounts below will be automatically populated from the following pages/worksheets.

			Total	Award	Cost Share
A	Key Personnel		0	0	0
B	Other Personnel		0	0	0
		Total Direct Labor and Fringe Benefits	*0*	*0*	*0*
C	Equipment Rental		0	0	0
	Special Equipment		0	0	0
D	Materials and Supplies		0	0	0
E	Travel		0	0	0
F	Subcontracts		0	0	0
G	Other Direct Costs		0	0	0
		Total Direct Costs	*0*	*0*	*0*
H	Indirect Costs		0	0	0
I	Fee		0	0	0
J	Surveys		0	0	0
		Total Direct and Indirect Costs	***0***	***0***	***0***
	Third-Party Non-Cash In Kind		**0**	n/a	n/a
		Total Project Value	**0**		

Water Research Foundation
Research Project Budget

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

Applicant:
Project Title:
RFP # (if applicable):

A. Key Personnel *(PI and Co-PIs. Applicant's employees 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	Award	Cost Share
		Total Key Personnel			0		0	0	0	0

B. Other Personnel *(Applicant's employees only.)*

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	Award	Cost Share
		Total Other Personnel			0		0.00	0	0	0

† PI and co-PIs that are not Applicant's employees must **NOT** be listed here. Describe their project roles and responsibilities in the Budget Narrative under ***Category F, Subcontracts*** .

Water Research Foundation
Research Project Budget

Applicant:
Project Title:
RFP # (if applicable):

C. Equipment Rental and Special Equipment Purchase

Equipment Rental (*List items and dollar amount for each item exceeding $1,000)*	Total	Award	Cost Share
Total Equipment Rental	**0**	**0**	**0**

Special Equipment Purchase *(List items and dollar amount for each item exceeding $5,000)*	Total	Award	Cost Share
Total Special Equipment Purchase	**0**	**0**	**0**

Water Research Foundation
Research Project Budget

Applicant:
Project Title:
RFP # (if applicable):

D. Materials and Supplies	Total	Award	Cost Share
Total Materials and Supplies	**0**	**0**	**0**

E. Travel	Total	Award	Cost Share
Total Travel	**0**	**0**	**0**

Water Research Foundation
Research Project Budget

Applicant:
Project Title:
RFP # (if applicable):

F. Subcontracts	**Total**	**Award**	**Cost Share**
Total Subcontracts	**0**	**0**	**0**

G. Other Direct Costs	**Total**	**Award**	**Cost Share**
Total Other Direct Costs	**0**	**0**	**0**

Water Research Foundation
Research Project Budget

Applicant:
Project Title:
RFP # (if applicable):

H. Indirect Costs *(Attach copy of federally approved rates or detailed basis for rates)*					
Cost Category	**Rate %**	**Base $**	**Total**	**Award**	**Cost Share**
		Total Indirect Costs	**0**	**0**	**0**

I. Fee	**%**	**Base $**	**Total**	**Award**	**Cost Share**
		Total Fee	**0**	**0**	**0**

J. Survey	**Total**	**Award**	**Cost Share**
Total Survey Costs	**0**	**0**	**0**

ATTACHMENT 4
FINANCIAL GRANT MANAGEMENT CAPABILITIES FORM

NOTE: It is important that this form be completed by financial staff familiar with the Foundation's current proposal guidelines and subaward requirements. Please include an original signed form as one of the two stand-alone copies 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 a basis for the evaluation of the capability of your organization's systems, policies and procedures to meet the criteria outlined in the Foundation's Project Funding Agreement.

SECTION B: GENERAL INFORMATION

Please fill every blank and answer every question.

Legal Name of Your Organization:

____

(as it would appear on The Foundation's Project Funding Agreement)

Address: ____

City, State, Zip: ____

Congressional District: ____

Dun & Brad#: ____________________________ EIN: ________________________________

Primary Location of Performance (Where Research Will Be Conducted):

____

(name associated with the following address)

Address: ____

City, State, Zip: ____

Congressional District: ____

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

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

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

ATTACHMENT 4
FINANCIAL GRANT MANAGEMENT CAPABILITIES FORM

SECTION C: BUSINESS MANAGEMENT SYSTEMS

4. Under which federal administrative requirements does your organization operate?

____

5. Has your organization ever been audited under OMB Circular A-133, Single or Program Specific Audit? Yes _____ No_____

If Yes:

Latest FYE audit: ___________(e.g. 06/30/2010)
Name, phone and email address of person who can provide a copy of the Single Audit or URL from which the Foundation can download the Single Audit:

____

6. 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___)?

7. 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 _____**

8. 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_____

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

10. 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 _____

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

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

ATTACHMENT 4
FINANCIAL GRANT MANAGEMENT CAPABILITIES FORM

SECTION D: ACCOUNTING SYSTEM & FUNDS MANAGEMENT

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

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

15. Under which federal cost principles does your organization operate?
____

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

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

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

19. 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 _____**

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

21. List all types of audit reports existing for your organization (e.g. reports and schedules issued by: your internal auditor/accounting department; 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 space at the end of this form or provide an attachment.

22. Are your financial staff and PI familiar with the requirements and procedures for determination of allowable costs in connection with Federal financial assistance?
Yes _____ No _____

23. In the preceeding fiscal year, did your organization receive 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance (and subawards) subject to the Transparency Act, as defined at 2 CFR 170.320?
Yes _____ No _____

ATTACHMENT 4
FINANCIAL GRANT MANAGEMENT CAPABILITIES FORM

24. In the preceeding fiscal year, did your organization receive $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance (and subawards) subject to the Transparency Act, as defined at 2 CFR 170.320? Y or N

25. Who in your organization has a working knowledge of the OMB Circulars for Administrative Requirements, Cost Principles and Audit Requirements?

Title:
Name:
Email:
Phone:

26. Who is responsible for confirming that your organization's PI is aware of the federal Administrative Requirements and Cost Principles for projects proposed and invoiced to The Foundation?
Title:
Name:
Email:
Phone:

27. Who should the Foundation contact regarding this form?
Title:
Name:
Email:
Phone:

Prepared by (Signature): ______________________________________ Date: ___________

Printed name and title: ____

Telephone ____

Email: ____

ATTACHMENT 5
CERTIFICATIONS AND ASSURANCES

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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 subawards at all tiers (including subcontracts, subgrants, 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:

ATTACHMENT 5

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

ATTACHMENT 5

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

This disclosure form shall be completed by the reporting entity, whether subawardee 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 subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks “Subawardee”, 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.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

ATTACHMENT 5
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. Pursuant to 40 CFR 30.18, will comply, as applicable, with P.L. 101-391, the Hotel-Motel Fire Safety Act. The recipient will agree to ensure that all space for conferences, meetings, conventions, or training seminars funded in whole or in part with federal funds complies with the protection and control guidelines of the Hotel and Motel Fire Safety Act. Recipients may search the Hotel-Motel National Master List at http://www.usfa.dhs.gov/applications. hotel/ to see if a property is in compliance.

16. Will certify that you as the recipient, your employees, subrecipients under this award, and subrecipients' employees will not engage in severe forms of trafficking in persons during the period of time that the award is in effect; procure a commercial sex act during the period of time that the award is in effect; or use forced labor in the performance of the award or subawards under the award.

17. 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.

18. 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.

19. 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."

20. 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.

21. 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".

22. 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.

23. 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.

24. 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 6
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 7
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 an applicable research project?

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

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?

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
- Periodic Report number and period (dates) covered
- 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)
- Response to questions and comments on previous report
- 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 questions and comments on previous report
- 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)
- Work done during this period
- Results of significance to Foundation subscribers during this period
- Work to be performed during next period
- Communication/outreach during this period (presentations, papers, etc.)
- Statement of how overall project results will ultimately benefit Foundation subscribers and the drinking water community