



Advancing the Science of Water®

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2008 GUIDELINES FOR UNSOLICITED PROPOSALS

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Summary of Key Changes

- AwwaRF initiated the Strategic Research Initiatives Program in 2007 to sustain coordinated, multi-year research efforts on selected topics of critical importance to the drinking water community. Information on the new program and on current strategic research initiatives is available at <http://www.awwarf.org/theFoundation/ourPrograms/ResearchProgramStrategicInitiatives.aspx>. Beginning in 2008, proposals submitted to the Unsolicited Program will be evaluated to determine whether the proposed research supports one of the Foundation's strategic research initiatives. If such proposals are eventually funded, the resulting project will be integrated into the appropriate strategic research initiative. Management and reporting for these projects is very similar to other AwwaRF projects, with the addition of annual reviews conducted by the Expert Panel that oversees the strategic research initiative. (Note: Unsolicited proposals that support a strategic research initiative will not be given any preferential consideration in the evaluation process.)
- Several key changes been made to the budget preparation instructions and budget review process for Unsolicited full proposals (see Section III):
 1. Subcontractors are no longer required to complete and submit a separate budget form, Budget Narrative or Financial Grant Management Capabilities Form. It is the applicant's responsibility to ensure that subcontractors are compliant with all applicable terms and conditions of the AwwaRF project funding agreement.
 2. All applicants are required to demonstrate proof of audited indirect cost rates. Applicants invited to submit a full proposal must include a copy of their indirect cost rate(s) as approved by their cognizant Federal agency or as reviewed by an independent certified public accountant (CPA). Applicants are no longer allowed to submit an indirect cost proposal to AwwaRF in lieu of audited cost rates.
 3. Budget details will not be shared with the Unsolicited Proposal Review Committee (UPRC). The UPRC will review the budget summary page (i.e. the first page of the budget form) but will not receive the full budget form or the Budget Narrative. These items will be reviewed by AwwaRF staff only. Similarly, budget details will not be provided to the Project Advisory Committee (PAC) if the Unsolicited proposal is eventually funded. These changes are intended to help protect any proprietary information that may be included in the budget.

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 AwwaRF Unsolicited Program.

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

Project Advisory Committee (PAC). A committee generally composed of 3-4 volunteer professionals with expertise in the topic area of an AwwaRF project. PACs provide guidance, review all project reports and other work products, and generally monitor project technical performance on behalf of AwwaRF and the drinking water community.

Project Funding Agreement (PFA). The contract between AwwaRF and the subrecipient to conduct an AwwaRF research project.

Project Manager. The AwwaRF 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 an AwwaRF research project.

Subrecipient. The legal entity or organization with which AwwaRF enters into a PFA to conduct an AwwaRF research project.

Third-Party In-Kind. The value of non-cash contributions that a participant provides towards completing an AwwaRF project. Third-party in-kind must be necessary and reasonable for proper and efficient accomplishment of an AwwaRF 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 Awwa Research Foundation

The Awwa Research Foundation (AwwaRF) 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 AwwaRF 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.** AwwaRF sponsors an anticipatory and scientifically credible research program that is responsive to the needs of the drinking water community.
- **By developing knowledge.** AwwaRF identifies the practical benefits of research findings and delivers this knowledge to stakeholders throughout the drinking water community.
- **By promoting collaboration.** AwwaRF 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:

- Efficient and Customer Responsive Organization
- Environmental Leadership
- High Quality Water
- Infrastructure Reliability.

More information regarding these strategic goals and associated research initiatives is provided in the AwwaRF Strategic Research Plan at

<http://www.awwarf.org/theFoundation/ourPrograms/strategicResearchPlan.aspx>

The Unsolicited Program

AwwaRF'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 2007, ten unsolicited proposals were approved for funding from among the 130 pre-proposals originally submitted. The total AwwaRF funds approved for these projects was \$1.5 million.

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.

AwwaRF'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 AwwaRF technical staff are responsible for review and ranking of pre-proposals. Once the short list of selected pre-proposals has been developed, AwwaRF 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, AwwaRF 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. AwwaRF'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 AwwaRF 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.awwarf.org/research/projectAdmin/docs/TimelinessPolicy.pdf>. Researchers who are late on any ongoing AwwaRF-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 AwwaRF projects, please contact your current AwwaRF project manager directly.

Funding and Schedule Limits

The maximum amount of AwwaRF funding available for each unsolicited project is \$150,000. **Pre-proposals or full proposals requesting greater than \$150,000 in AwwaRF 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.

2008 Schedule

The 2008 Unsolicited Program schedule is as follows:

1. Pre-proposals may be submitted to AwwaRF at any time, but must be received by **February 1, 2008 (4 p.m. Mountain Time; 23:00 GMT)** in order to be considered for funding during 2008.
2. Applicants whose pre-proposals have been selected by AwwaRF will be notified in writing by **March 14, 2008** and will be required to submit a full proposal by **April 25, 2008**.
3. The BOT will meet on June 7, 2008 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 AwwaRF web site and made available on request by June 10, 2008.

II. PRE-PROPOSAL INSTRUCTIONS

This section presents the requirements, evaluation process and schedule for pre-proposals submitted to the AwwaRF 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.awwarf.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.

AwwaRF'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 AwwaRF 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 AwwaRF 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

AwwaRF 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 **February 1, 2008 (4:00 p.m. Mountain Time; 23:00 GMT)** in order to be considered for funding during 2008. **Pre-proposals not submitted electronically will not be considered.** Please submit your pre-proposal by e-mail to:

UP@awwarf.org

Receipt of each pre-proposal will be acknowledged by e-mail from AwwaRF within one working day. If you do not receive this acknowledgement or encounter other difficulties with electronic submittal, please notify Katherine Garretson of AwwaRF at (303) 347-6118 to make alternative submittal arrangements. You must contact us within one working day of the February 1, 2008 pre-proposal deadline in order for your pre-proposal to be considered for funding during 2008.

Evaluation Process

AwwaRF 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 14, 2008**. Due to the large number of unsolicited pre-proposals received by AwwaRF 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. AwwaRF 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 AwwaRF 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 AwwaRF 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.awwarf.org/research/projectAdmin/proposalGuidelines.aspx>. Please note that the budget form (Attachment 5), Budget Narrative, and Financial Grant Management Capabilities Form (Attachment 6) are to be submitted as stand-alone items with the proposal. AwwaRF does not provide this information to the UPRC. Only one copy of each of these items needs 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.

AwwaRF'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 and Communication 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: AwwaRF 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 AwwaRF should be listed in the pending section.

Stand-Alone Items

One copy of the following items (AwwaRF Research Project Budget Form, Budget Narrative, Financial Grant Management Capabilities Form) 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 AwwaRF 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 AwwaRF funding will not be considered.**

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

Applicants are encouraged, but not required, to include a 25 percent match to AwwaRF's funds as cost-share or third-party in-kind. All third-party contributions must be confirmed by a letter of commitment from the organization. The letter of commitment must identify the type (e.g. cash, labor, materials, services) and estimated dollar value of the contribution, and must be signed by an authorized representative of the organization. Letters of commitment should be attached to the budget form. **Third-party contributions will be considered in the proposal selection process only if an appropriate letter of commitment is included with the budget section of the proposal.** E-mail will be accepted as a letter of commitment so long as the e-mail originates from an authorized representative and adheres to the requirements set forth above. No letters of commitment or changes to letters of commitment will be accepted after the proposal submittal deadline.

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 AwwaRF Research Project Budget Form (Attachment 5).

An example Budget Narrative is provided at

<http://www.awwarf.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 AwwaRF's Project Funding Agreement.

Submittal Instructions

Unsolicited full proposals will be requested by the Foundation by **March 14, 2008**. **Twelve bound copies and one unbound copy** of the full proposal must be mailed by **April 25, 2008** to:

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

Full proposals not postmarked by the closing date of **April 25, 2008** 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 AwwaRF projects will be considered during proposal evaluation. AwwaRF's Timeliness Policy can be found on the Foundation's web site at

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

IV. AWARD ADMINISTRATION

Terms and Conditions

AwwaRF will enter into a project funding agreement (PFA) with each selected researcher. AwwaRF's standard PFAs for both federally funded and non-federally funded projects are available at <http://www.awwarf.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.

AwwaRF has established a 60-day period for PFA negotiations commencing on the date of award notification. AwwaRF 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, AwwaRF 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 AwwaRF'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 AwwaRF funding level (dollar amount) specified in the PFA is the maximum amount that AwwaRF will provide towards achieving the scope of work set forth in the applicant's proposal.

Federal Administrative Requirements

All AwwaRF subrecipients, 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	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 AwwaRF 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).

AwwaRF 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 AwwaRF project manager and the PAC.

Project Report

AwwaRF 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.awwarf.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*.

AwwaRF 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: _____

AwwaRF Funds Requested: \$ _____

Anticipated In-Kind or other Contributions: \$ _____

TOTAL PROJECT BUDGET: \$ _____ (Total of AwwaRF 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 AwwaRF 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. This information will not be shared with AwwaRF volunteers involved in reviewing the proposal.

Each budget will be reviewed by AwwaRF 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

The following instructions pertain to sections A through K of the AwwaRF Research Project Budget form. Note that sections A – J of the form provide separate columns for *AwwaRF Share* and *Cost-Share* of the estimated costs. Under *AwwaRF Share* and *Cost-Share*, show the dollar value of each category's estimated costs that will be billed to AwwaRF 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 project and the total value of each subcontract.
- G. Other Direct Costs. Any other direct costs not specified in Sections A – F of the AwwaRF 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).

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 AwwaRF 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. AwwaRF has determined that the most expeditious way to comply with PRA requirements is to use non-Federal funds for information collection activities on projects that are otherwise Federally funded. It is therefore necessary for applicants and sub-recipients to separately budget, track and invoice all costs associated with information collection activities.

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

- K. Third-Party Contributions. Identify the source (organization) and dollar value of all third-party participant contributions. Indicate both cash (cost -share) and non-cash (in-kind) contributions in the appropriate columns. Third-party contributions must be confirmed by letters of commitment. The letter of commitment must identify the type (e.g. cash, labor, materials, services) and estimated dollar value of the contribution, and must be signed by an authorized representative of the organization. Letters of commitment must be included in the budget section of the proposal. **Third-Party contributions will not be considered in the proposal selection process unless a letter of commitment is included with the proposal.** E-mail will be accepted as a letter of commitment so long as the e-mail originates from an authorized representative and adheres to the requirements set forth above. No letters of

commitment or changes to letters of commitment will be accepted after the proposal submittal deadline.

Under the terms of AwwaRF'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 AwwaRF will be receiving the contributions directly from the contributing organizations.

Awwa Research Foundation
Research Project Budget

Applicant Name:

* Required fields are highlighted in yellow.

AwwaRF Project Name:

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

Awwa Research Foundation Research Project Budget

Applicant Name: 0

* Required fields are highlighted in yellow.

AwwaRF Project Name: 0

AwwaRF RFP #: 0

A. Key Personnel (Principal Investigator and Co-PIs only)										
Name	Project Role	Number of Hours	Direct Hourly Rate	% Time Allocated to Project	Subtotal Direct Labor	Fringe Benefit % of Direct Labor	Subtotal Fringe Benefits	Total	AwwaRF Share	Cost-Share
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
					0.00		0.00	0.00		
Total Key Personnel					0.00		0.00	0.00	0.00	0.00

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

**Awwa Research Foundation
Research Project Budget**

Applicant Name: 0
 AwwaRF Project Name: 0
 AwwaRF RFP #: 0

* Required fields are highlighted in yellow.

C. Equipment Rental and Special Equipment Purchase

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

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

**Awwa Research Foundation
Research Project Budget**

Applicant Name: 0

* Required fields are highlighted in yellow.

AwwaRF Project Name: 0

AwwaRF RFP #: 0

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

<i>E. Travel</i>	Total	AwwaRF Share	Cost-Share
Total Travel	0.00	0.00	0.00

**Awwa Research Foundation
Research Project Budget**

Applicant Name: 0
 AwwaRF Project Name: 0
 AwwaRF RFP #: 0

* Required fields are highlighted in yellow.

F. Subcontracts	Total	AwwaRF Share	Cost-Share
Total Subcontracts	0.00	0.00	0.00

G. Other Direct Costs	Total	AwwaRF Share	Cost-Share
Total Other Direct Costs	0.00	0.00	0.00

**Awwa Research Foundation
Research Project Budget**

Applicant Name: 0
 AwwaRF Project Name: 0
 AwwaRF RFP #: 0

* Required fields are highlighted in yellow.

H. Indirect Costs (Attach copy of federally approved rates or detailed basis for rates)					
Cost Category	Rate %	Base \$	Total	AwwaRF Share	Cost-Share
			0.00		
			0.00		
			0.00		
			0.00		
			0.00		
Total Indirect Costs			0.00	0.00	0.00

I. Fee	Total	AwwaRF Share	Cost-Share
Total Fee	0.00	0.00	0.00

J. Survey	Total	AwwaRF Share	Cost-Share
Total Survey Costs	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 AwwaRF'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 AwwaRF's Project Funding Agreement.

SECTION B: GENERAL INFORMATION

Name of Your Organization: _____
(as it would appear on AwwaRF's Project Funding Agreement)

Address: _____

City, State, Zip: _____

Dunn & Brad#: _____ EIN: _____

Please answer every question.

1. Number of employees in your organization: Full Time _____ Part Time _____
2. Has your organization received funding from AwwaRF within the last two years?
Yes ____ No ____
3. Organization type: Non-Profit ____ Local Government ____ College/University ____
Other (Identify) _____

SECTION C: BUSINESS MANAGEMENT SYSTEMS

4. Has your organization been audited under OMB Circular A-133, Single Audit?
Yes ____ No ____ If Yes, latest audited fiscal year ended : _____ (e.g. 06/30/2006)
5. Is your organization likely to spend more than \$500,000 in Federal Assistance in its current fiscal year (Yes __ No__)?
6. Does your organization have established written Policies and Procedures to cover the following business management areas?

Personnel Polices and Procedures Yes ____ No ____

Financial Grant Management Capabilities Form

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 ____

Financial Grant Management Capabilities Form

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

20. 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 _____

Optional - 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) _____

What is the type and level of support to the project by the applicant or participants? Are overhead, indirect costs, cost of laboratory analysis, etc., reasonable? Is the level of effort and budget allocated to each task reasonable? Can the project be performed within the time period and with the proposed effort? Are the travel funds justifiable? The schedule should be based on the proposed tasks and be appropriate for the proposed work.

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 AwwaRF subscribers and other stakeholders; how/why are they significant?
 - Statement of how overall project results will ultimately benefit AwwaRF 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.*)

Results/Findings:

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

Impact:

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

Participating Utilities (if applicable; maximum of five):
