



U.S. ENVIRONMENTAL PROTECTION AGENCY

Cooperative Agreement

ASSISTANCE ID NO.

PRG	DOC ID	AMEND#
X	83294801	- 0

DATE OF AWARD
MAR 22 2006

TYPE OF ACTION
New

MAILING DATE
MAR 29 2006

PAYMENT METHOD:
ACH

ACH#
3093

RECIPIENT TYPE: Not for Profit

Send Payment Request to: Las Vegas Finance Center

RECIPIENT:

American Water Works Association Research Fdn
6666 West Quincy Avenue
Denver, CO 80235
EIN: 13-6211384

PAYEE:

Finance Director
American Water Works Association Research Foundation
6666 West Quincy Avenue
Denver, CO 80235

PROJECT MANAGER	EPA PROJECT OFFICER	EPA GRANT SPECIALIST
Chris Rayburn 6666 West Quincy Avenue Denver, CO 80235 E-Mail: craybum@awwarf.org Phone: 303-347-6188	Bruce Peirano 26 ML King Dr., MS690 Cincinnati, OH 45268 E-Mail: peirano.bruce@epa.gov Phone: 513-569-7540	Brian Drozd 1200 Pennsylvania Ave NW Washington DC 20460, 3903R E-Mail: Drozd.Brian@epa.gov Phone: 202-564-5312

PROJECT TITLE AND DESCRIPTION
AWWARF Research Grant
To foster new research and develop new water treatment technology to ensure public health and safety of drinking water supplies.

BUDGET PERIOD 12/01/2005 - 11/30/2012	PROJECT PERIOD 12/01/2005 - 11/30/2012	TOTAL BUDGET PERIOD COST \$5,039,300.00	TOTAL PROJECT PERIOD COST \$5,039,300.00
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NOTE: The Agreement must be completed in duplicate and the Original returned to the appropriate Grants Management Office listed below, within 3 calendar weeks after receipt or within any extension of time as may be granted by EPA. Receipt of a written refusal or failure to return the properly executed document within the prescribed time, may result in the withdrawal of the offer by the Agency. Any change to the Agreement by the Recipient subsequent to the document being signed by the EPA Award Official, which the Award Official determines to materially alter the Agreement, shall void the Agreement.

OFFER AND ACCEPTANCE

The United States, acting by and through the U.S. Environmental Protection Agency (EPA), hereby offers Assistance/Amendment to the American Water Works Association Research Fdn for 95.00 % of all approved costs incurred up to and not exceeding \$4,739,300 for the support of approved budget period effort described in application (including all application modifications) cited in the Project Title and Description above, signed 08/03/2005 included herein by reference.

ISSUING OFFICE (GRANTS MANAGEMENT OFFICE)	AWARD APPROVAL OFFICE
ORGANIZATION / ADDRESS Grants Administration Division 1200 Pennsylvania Ave, NW 3903R Washington, DC 20460	ORGANIZATION / ADDRESS Environmental Protection Agency Office of Research and Development 1200 Pennsylvania Ave, NW Washington, DC 20460

THE UNITED STATES OF AMERICA BY THE U.S. ENVIRONMENTAL PROTECTION AGENCY

SIGNATURE OF AWARD OFFICIAL *[Signature]* **TYPED NAME AND TITLE** Betty G. Utterback, Chief Grants Operations Branch B (3903R) **DATE** 3/22/06

This agreement is subject to applicable U.S. Environmental Protection Agency statutory provisions and assistance regulations. In accepting this award or amendment and any payments made pursuant thereto, (1) the undersigned represents that he is duly authorized to act on behalf of the recipient organization, and (2) the recipient agrees (a) that the award is subject to the applicable provisions of 40 CFR Chapter 1, Subchapter B and of the provisions of this agreement (and all attachments), and (b) that acceptance of any payments constitutes an agreement by the payee that the amounts, if any found by EPA to have been overpaid will be refunded or credited in full to EPA.

BY AND ON BEHALF OF THE DESIGNATED RECIPIENT ORGANIZATION

SIGNATURE *[Signature]* **TYPED NAME AND TITLE** ROBERT C. RENNER, EXECUTIVE DIRECTOR **DATE** 4/19/06

EPA Funding Information

FUNDS	FORMER AWARD	THIS ACTION	AMENDED TOTAL
EPA Amount This Action	\$	\$ 4,739,300	\$ 4,739,300
EPA In-Kind Amount	\$	\$	\$ 0
Unexpended Prior Year Balance	\$	\$	\$ 0
Other Federal Funds	\$	\$	\$ 0
Recipient Contribution	\$	\$ 300,000	\$ 300,000
State Contribution	\$	\$	\$ 0
Local Contribution	\$	\$	\$ 0
Other Contribution	\$	\$	\$ 0
Allowable Project Cost	\$ 0	\$ 5,039,300	\$ 5,039,300

Assistance Program (CFDA)	Statutory Authority	Regulatory Authority
66.606 - Surveys - Studies - Investigations and Special Purpose Grants	Clean Water Act: Sec. 104 Safe Drinking Water Act: Sec. 1442	40 CFR PART 30

Fiscal									
Site Name	DCN	FY	Approp. Code	Budget Organization	PRC	Object Class	Site/Project	Cost Organization	Obligation / Deobligation
	CWX617	0506	C	26CWADF	203F51D	4183			4,739,300
									4,739,300

Budget Summary Page

Table A - Object Class Category (Non-construction)	Total Approved Allowable Budget Period Cost
1. Personnel	\$425,900
2. Fringe Benefits	\$89,439
3. Travel	\$40,800
4. Equipment	\$0
5. Supplies	\$0
6. Contractual	\$4,225,491
7. Construction	\$0
8. Other	\$0
9. Total Direct Charges	\$4,781,630
10. Indirect Costs: <u>50.00%</u> Base <u>Salaries and Fringe Benefits</u>	\$257,670
11. Total (Share: Recipient <u>5.00 %</u> Federal <u>95.00 %</u> .)	\$5,039,300
12. Total Approved Assistance Amount	\$4,739,300
13. Program Income	\$0

Administrative Conditions

1. In accordance with Section 2(d) of the Prompt Payment Act (P.L. 97-177), Federal funds may not be used by the recipient for the payment of interest penalties to contractors when bills are paid late nor may interest penalties be used to satisfy cost sharing requirements. Obligations to pay such interest penalties will not be obligations of the United States.
- ✓ 2. The recipient understands that none of the funds for this project (including funds contributed by the recipient as cost sharing) may be used to pay for the travel of Federal employees or for other costs associated with Federal participation in this project. Except however, if a Federal agency is selected through the recipient's procurement process to carry out some of the work as a contractor to the recipient, funds may be used to allow necessary Federal travel and other costs associated with Federal participation in this project.
- ✓ 3. The recipient understands that all foreign travel must comply with the Fly America Act. All travel must be on U.S. air carriers certificated under 49 U.S.C. Section 1371, to the extent that service by such carriers is available even if foreign air carrier costs are less than the American air carrier.
- ✓ 4. The recipient agrees to comply with the MBE/WBE terms and conditions outlined in Attachment A.
5. As required by EPA regulations, the recipient agrees to submit a final Financial Status Report (FSR) (Standard Form 269) within 90 days after the end of this budget period to the following address:

U.S. Environmental Protection Agency
Las Vegas Finance Center
P.O. Box 98515
Las Vegas, Nevada 89193-8515

When the recipient submits a final FSR, the recipient will in one of the following ways make an adjustment for the amount of Federal funds, if any, received in excess of the EPA share of the reported total budget period costs:

- (a) If the recipient is paid through EPA-ACH, they shall, in accordance with the enclosed payment guidance dated May 1995, refund excess assistance funds by either submitting a credit on a current EPA-ACH Payment Request or by sending a check to the lockbox address: U.S. Environmental Protection Agency, Las Vegas Financial Management Center, P.O. Box 371293M, Pittsburgh, Pennsylvania 15251.
- (b) If the recipient is paid by treasury check, they shall, in accordance with the enclosed payment guidance dated May 1995, refund excess assistance funds by submitting a check to the lockbox address in paragraph (a).

If funds are due to the recipient at the time of submission of the final FSR, the recipient shall follow the procedures as outlined on the enclosed payment guidance to request the appropriate amount of funds from EPA.

- ✓ 6. The Director, Grants Administration Division, has approved a deviation from EPA's Regulations allowing the duration of the Budget and Project Periods, to exceed the Agency's regulatory limits.
7. Payment to consultants. EPA participation in the salary rate (excluding overhead) paid to individual consultants retained by recipients or by a recipient's contractors or subcontractors shall be limited to the maximum daily rate for a Level IV of the Executive Schedule (formerly GS-18), to be adjusted annually. This limit applies to consultation services of designated individuals with specialized skills who are paid at a daily or

hourly rate. As of January 1, 2006, the limit is \$548.08 per day and \$68.51 per hour. This rate does not include transportation and subsistence costs for travel performed (the recipient will pay these in accordance with their normal travel reimbursement practices).

Subagreements with firms for services which are awarded using the procurement requirements in 40 CFR 30 or 31, as applicable, are not affected by this limitation unless the terms of the contract provided the recipient with responsibility for the selection, direction, and control of the individuals who will be providing services under the contract at an hourly or daily rate of compensation. See 40 CFR 31.36(j) or 30.27(b)

8. In accordance with EPA guidance and OMB Circular No. A-21 or A-122, as appropriate, the recipient agrees that it will not use assistance funds (Federal or non-Federal share) for lobbying or political activities.

9. In accordance with Section 18 of the Lobbying Disclosure Act of 1995, PL. No. 105-65, 109 Stat. 691, the recipient affirms that:

(1) it is not a nonprofit organization described in Section 501(c)(4) of the Internal Revenue Code of 1986; or

(2) it is a nonprofit organization described in Section 501(c)(4) of the Internal Revenue Code of 1986 but does not and will not engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995.

10. The recipient agrees to meet all EPA requirements for studies relating to the testing of human beings prior to implementing any work with human subjects under the agreement. No actual work involving human subjects, including recruiting, may be initiated until EPA has approved the recipient's compliance with these requirements as stated in 40 C.F. R. Part 26, "Protection of Human Subjects." Approval by EPA requires submission to EPA of (i) proof of approval by the recipient's Institutional Review Board (IRB), and (ii) a copy of everything submitted to the IRB to get its approval. If Human Subjects are involved in this agreement the recipient must provide, as part of the annual report(s), evidence of the subsequent review(s) by the IRB as required by 40 C.F.R. 26.109(e).

11. In accordance with either 40 CFR 31.40(d) for State, local and Indian tribal governments or 40 CFR 30.51(f) for other recipients, as appropriate, the recipient agrees to notify the EPA Project Officer in writing about research misconduct involving research activities that are supported in whole or in part with EPA funds under this project. EPA defines research misconduct as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results [65 FR 76262. I], or ordering, advising or suggesting that subordinates engage in research misconduct. The recipient agrees to:

(1) immediately notify the EPA Project Officer who will then inform the EPA Office of Inspector General (OIG) if, at any time, an allegation of research misconduct falls into one of the categories listed below:

- A. Public health or safety is at risk.
- B. Agency resources or interests are threatened.
- C. Circumstances where research activities should be suspended.
- D. There is a reasonable indication of possible violations of civil or criminal law.
- E. Federal action is required to protect the interests of those involved in the investigation.
- F. The research entity believes that the inquiry or investigation may be made public prematurely so that appropriate steps can be taken to safeguard evidence and protect the rights of those involved.
- G. Circumstances where the research community or public should be informed. [65 FR 76263. III]

(2) report other allegations to the OIG when they have conducted an inquiry and determined that there is sufficient evidence to proceed with an investigation. [65 FR 76263. III]

Language change

12. In accordance with 40 CFR 30.24(b)(1), program income will be added to funds committed to the project by EPA and used to further eligible project or program objectives.

13. The recipient agrees to provide EPA Form 5700-53, Lobbying and Litigation Certificate as mandated by EPA's annual appropriations act. A chief executive officer of any entity receiving funds under this Act shall certify that none of these funds have been used to engage in the lobbying of the Federal Government or in litigation against the United States unless authorized under existing law. The certification must be submitted in accordance with the instructions provided by the EPA award official and is due 90 days after the end of the project period.

14. In accordance with 40 CFR 31.34 for State, local and Indian Tribal governments or 40 CFR 30.36 for other recipients, EPA has the right to reproduce, publish, use, and authorize others to use copyrighted works developed under this assistance agreement for Federal purposes. Examples of Federal purpose include but are not limited to: (1) Use by EPA and other Federal employees for official Government purposes; (2) Use by Federal contractors performing specific tasks for the Government; (3) Publication in EPA documents provided the document does not disclose trade secrets (e.g. software codes) and the work is properly attributed to the recipient through citation or otherwise; (4) Reproduction of documents for inclusion in Federal depositories; (5) Use by State, tribal and local governments that carry out delegated Federal environmental programs as "co-regulators" or act as official partners with EPA to carry out a national environmental program within their jurisdiction; (6) Limited use by other grantees to carry out Federal grants provided the use is consistent with the terms of EPA's authorization to the grantee to use the copyrighted material.

15. The Recipient agrees to comply with the Animal Welfare Act of 1966 (P.L. 89-544), as amended, 7 USC 2131-2156. Recipient also agrees to abide by the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training." (Federal Register 50(97): 20864-20865. May 20, 1985). The nine principles can be viewed at: <http://www.nal.usda.gov/awic/pubs/IACUC/vert.htm>. For additional information about the Principles, the recipient should consult the Guide for Care and Use of Laboratory Animals, prepared by the Institute of Laboratory Animal Resources, National Research Council and can be accessed at: <http://www.nap.edu/readingroom/books/labrats/>.

16. Recipients shall fully comply with Subpart C of 40 CFR Part 32, entitled "Responsibilities of Participants Regarding Transactions." Recipient is responsible for ensuring that any lower tier covered transaction, as described in Subpart B of 40 CFR Part 32, entitled "Covered Transactions," includes a term or condition requiring compliance with Subpart C. Recipient is responsible for further requiring the inclusion of a similar term or condition in any subsequent lower tier covered transactions. Recipient acknowledges that failing to disclose the information required under 40 CFR 32.335 may result in the delay or negation of this assistance agreement, or pursuance of legal remedies, including suspension and debarment.

Recipients may access the Excluded Parties List System at <http://www.epls.gov>. This term and condition supersedes EPA Form 5700-49, "Certification Regarding Debarment, Suspension, and Other Responsibility Matters."

17. EPA and the recipient agree to comply with the requirements of the Paperwork Reduction Act in completing this project. Because the scope of work includes a survey, a questionnaire or similar information gathering activity, the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq.), requires EPA to obtain Office of Management and Budget (OMB) clearance prior to the recipient's collection of information by means of identical questions posed to 10 or more persons.

The recipient will provide to the EPA Project Officer the following information: (1) description of the information to be collected; (2) explanation of the need for the information; and (3) to whom the survey is being directed.

The EPA Project Officer is responsible for requesting assistance from the Office of Policy, Regulatory Information Division to obtain clearance from OMB. EPA and the recipient agree that no work requiring OMB approval shall be initiated until such OMB approval is obtained.

Review PFA 6/16/07

Review PFA 4/16/07

18. In accordance with 40 CFR Part 30.25(f), the EPA Award Official approves pre-award costs incurred more than 90 days prior to award as specified in your application dated 8/3/05.

19. In accordance with EPA regulations (40 C.F.R. 31.40 for State, local and tribal governments; 40 C.F.R. 30.51 for other recipients), the recipient agrees to submit annual progress reports to the EPA Project Officer within ninety days after the yearly annual anniversary of the award if the project period exceeds one year. These reports shall cover work status, work progress, difficulties encountered, preliminary data results and a statement of activity anticipated during the subsequent reporting period, including a description of equipment, techniques, and materials to be used or evaluated. A discussion of expenditures along with a comparison of the percentage of the project completed to the project schedule and an explanation of significant discrepancies shall be included in the report. The report shall also include any changes of key personnel concerned with the project.

In addition, the report shall include brief information on each of the following areas: 1) a comparison of actual accomplishments with the anticipated outputs/outcomes specified in the assistance agreement work plan; 2) reasons why anticipated outputs/outcomes were not met; and 3) other pertinent information, including, when appropriate, analysis and explanation of cost overruns or high unit costs. The recipient agrees that it will notify EPA of problems, delays, or adverse conditions which materially impair the ability to meet the outputs/outcomes specified in the assistance agreement work plan.

20. In accordance with EPA regulations (40 C.F.R. 31.40 for State, local and tribal governments; 40 C.F.R. 30.51 for other recipients), the recipient agrees to submit to the EPA Project Officer within 90 days after the expiration or termination of the approved project period a final report and at least one reproducible copy suitable for printing. The final report shall document project activities over the entire project period and shall include brief information on each of the following areas: 1) a comparison of actual accomplishments with the anticipated outputs/outcomes specified in the assistance agreement work plan; 2) reasons why anticipated outputs/outcomes were not met; and 3) other pertinent information, including, when appropriate, analysis and explanation of cost overruns or high unit costs. The recipient agrees that it will notify EPA of problems, delays, or adverse conditions which materially impair the ability to meet the outputs/outcomes specified in the assistance agreement work plan.

21. By accepting this agreement for the electronic method of payment through the Automated Clearing House (ACH) network using the EPA-ACH payment system, the recipient agrees to:

(a) Request funds based on the recipient's immediate disbursement requirements by presenting an EPA-ACH Payment Request to your EPA Servicing Finance Office (see EPA-ACH Payment System Recipient's Manual for additional information).

(b) Provide timely reporting of cash disbursements and balances in accordance with the EPA-ACH Payment System Recipient's Manual; and

(c) Impose the same standards of timing and reporting on subrecipients, if any.

Failure on the part of the recipient to comply with the above conditions may cause the recipient to be placed on the reimbursement payment method.

Programmatic Conditions

See Attachment B

Minority Business Enterprises (MBE)/Womens' Business Enterprises (WBE) Terms and Conditions for FY 1999 Awards to non-SRF Recipients that based their FY 1998 MBE/WBE Goals on historical data of dollars awarded to MBEs and WBEs

1. The recipient agrees to comply with the requirements for EPA's Program for Utilization of Small, Minority and Women's Business Enterprises in procurement under assistance agreements:

(a) Except as otherwise provided in paragraph 2., the recipient accepts the applicable FY 1999 Minority Business Enterprise (MBE)/Womens' Business Enterprise (WBE) "fair share" goals/objectives negotiated with EPA by the State as follows:

	MBE	WBE
Construction	<u>5.6</u> %	<u>3.3</u> %
Supplies	<u>5.7</u> %	<u>3.3</u> %
Services	<u>5.8</u> %	<u>3.2</u> %
Equipment	<u>5.2</u> %	<u>3.3</u> %

OR

Combined Rate: ___ % ___ %

(b)(1) The recipient agrees to ensure, to the fullest extent possible, that at least the applicable "fair share" objectives of Federal funds for prime contracts or subcontracts for supplies, construction, equipment or services are made available to organizations owned or controlled by socially and economically disadvantaged individuals, women and Historically Black Colleges and Universities.

(2) For assistance agreements related to research under the Clean Air Act Amendments of 1990, the recipient agrees to ensure, to the fullest extent possible, that at least the applicable "fair share" objectives of Federal funds for prime contracts or subcontracts for supplies, construction, equipment or services are made available to organizations owned or controlled by socially and economically disadvantaged individuals, women, disabled Americans, Historically Black Colleges and Universities, Colleges and Universities having a student body in which 40% or more of the students are Hispanic, minority institutions having a minority student body of 50% or more, and private and voluntary organizations controlled by individuals who are socially and economically disadvantaged.

(c) The recipient agrees to include in its bid documents the applicable "fair share" objectives of Federal funds and require all of its prime contractors to include in their bid documents for subcontracts the negotiated "fair share" percentages.

(d) The recipient agrees to follow the six affirmative steps stated in 40 CFR §30.44(b), 40 CFR §31.36(e), or 40 CFR §35.6580, as appropriate, and retain records documenting compliance.

(e) The recipient agrees to submit an EPA form 5700-52A "MBE/WBE Utilization Under Federal Grants, Cooperative Agreements and Interagency Agreements," beginning with the Federal fiscal year quarter the recipient receives the award and continuing until the project is completed. These reports must be submitted to MBE/WBE Coordinator, Lupe Saldana, U.S. Environmental Protection Agency, 401 M Street, SW, Mail Code 3903R, Room 51288, Washington, D.C. 20460, 202-564-5353, within 30 days of the end of the Federal fiscal quarter (January 30, April 30, July 30, and October 30). For assistance awards for continuing environmental programs and assistance awards with institutions of higher education, hospitals and other non-profit organizations, the recipient agrees to submit an EPA form 5700-52A to MBE/WBE Coordinator, Lupe Saldana by October 30 of each year.

(f) If race and/or gender neutral efforts prove inadequate to achieve a "fair share" objective, the recipient agrees to notify EPA in advance of any race and/or gender conscious action it plans to take to more closely achieve the "fair share" objective.

2. (a) Until the applicable State Agency has completed its FY 1999 MBE/WBE "fair share" negotiations with EPA, the recipient agrees to apply that Agency's FY 1998 MBE/WBE "fair share" objectives in accordance with paragraphs 1.(b)-(f). Once the applicable State Agency has completed its FY 1999 MBE/WBE "fair share" negotiations with EPA, the recipient agrees to apply those objectives in accordance with paragraphs 1.(b)-(f), unless it wishes to negotiate its own FY 1999 MBE/WBE goals with EPA.

(b) State recipients and other governmental recipients that wish to negotiate their own FY 1999 MBE/WBE goals must submit an availability analysis or, at their option, a disparity study, based on the availability of qualified MBEs and WBEs to do the work in the relevant market for construction, equipment, services and supplies. The recipient agrees to submit proposed MBE/WBE "fair share" objectives, together with the supporting availability analysis or disparity study, to MBE/WBE Coordinator, Lupe Saldana, by November 30, 1998 in order for EPA to conclude "fair share" negotiations by December 31, 1998. Once EPA approves the "fair share" objectives, the recipient agrees to apply them in accordance with paragraphs 1.(b)-(f).

(c) Non-governmental recipients that wish to negotiate their own FY 1999 MBE/WBE goals must submit proposed MBE/WBE goals based on an availability analysis, or, at their option, a disparity study, of qualified MBEs and WBEs to do the work in the relevant market for construction, equipment, services, and supplies. The recipient agrees to submit proposed "fair share" objectives, together with the supporting availability analysis or disparity study, to MBE/WBE Coordinator, Lupe Saldana, within 30 days of award. EPA will conclude "fair share" negotiations within 30 days of receiving the submission. Once EPA approves the objectives, the recipient agrees to apply them in accordance with paragraphs 1.(b)-(f).

3. EPA may take corrective action under 40 CFR Parts 30, 31, and 35, as appropriate, if the recipient fails to comply with these terms and conditions.

TERMS AND CONDITIONS
American Water Works Association Research Foundation

Federal Involvement

This assistance agreement has been classified as a cooperative agreement, indicating that there will be substantial Federal involvement. EPA's substantial involvement will include (a) providing technical, environmental and quality assurance review; (b) providing information from past or ongoing EPA studies of a similar nature; (c) facilitating communications between EPA and AwwaRF regarding ongoing research in similar topic areas; and (d) providing assistance on policy and administrative matters that impact the cooperative agreement.

Each year, after its Research Advisory Council meeting and approval by the Board of Trustees, AwwaRF will send a "project concept" for each proposed new project to the EPA Project Officer (PO). The EPA PO will review the project concepts and identify any projects which appear to be ineligible for EPA funding for policy or programmatic reasons. The EPA PO will identify any projects which appear to duplicate ongoing EPA funded projects. The EPA PO will also identify any projects which appear to include activities that require additional scrutiny by EPA (such as, foreign activities, human subjects, workshops and conferences, program income, and paperwork reduction act). AwwaRF will consider this input from the EPA PO, select projects to receive EPA funds, and send the list of projects to receive EPA funds to the EPA PO. As a scope of work is developed for each project selected for EPA funding, the EPA PO will use the scope of work to conduct an environment review pursuant to 40 CFR 6.700, and a second review for policy and program concerns, and will notify AwwaRF of any issues. If any issues are raised, AwwaRF and the EPA PO will resolve the issues prior to the work beginning.

From time to time, AwwaRF may invite EPA employees to participate in AwwaRF's advisory groups, i.e. the Research Advisory Council and Project Advisory Committees (PACs). EPA employees may fully participate in discussions in these advisory groups, but may not participate in actual decision-making activities, such as voting.

Annual Reports with Quarterly Updates

To comply with 40 CFR 30.51, AwwaRF will submit an annual report with the following 11 items:

- 1) List of EPA employees serving on PACs.
- 2) Status of projects funded by EPA, with the following 13 items:
 - a) AwwaRF project #
 - b) Brief project description
 - c) Contractor
 - d) AwwaRF Project Manager
 - e) Contract amount
 - f) Amount funded by EPA
 - g) Amount billed to date

- h) Remaining total budget
 - i) Remaining EPA budget
 - j) Project status, with contract ending date, if ongoing project
 - k) "Best guess" for final report publication date
 - l) brief explanation for delayed projects
- 3) Amounts of income by category (Federal and Non-Federal).
 - 4) Spending of EPA funds categorized by research area.
 - 5) Organizational chart of AwwaRF staff.
 - 6) List of AwwaRF research staff, with qualifications, and changes in research staff.
 - 7) Major accomplishments.
 - 8) Non-technical items related to AwwaRF's management or governance.
 - 9) Research dissemination activities.
 - 10) List of final reports published, with distribution summaries.
 - 11) Other items as AwwaRF deems appropriate.
- The annual report is due by May 30th of each year for the preceding calendar year.

Because of the size and complexity of this project, quarterly updates of item #2, the status of projects funded by EPA, are due by April 30th, July 31st, October 31st, and January 31st, for the calendar quarters January-March, April-June, July-September, and October-December, respectively.

Final Reports

Subject to 40 CFR 30.36, AwwaRF is responsible for publishing or otherwise distributing all documents developed under this cooperative agreement. EPA logos should not appear on any documents unless specific prior written approval is given by EPA. AwwaRF may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under this agreement. However, pursuant to 40 CFR 30.36, EPA reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so. This right permits the EPA Project Officer to send one copy of any final report developed under this agreement to any EPA Regional Office or State environmental office, as requested by those offices.

In lieu of submitting draft final reports to EPA, AwwaRF will subject all final reports to their established peer review process as found in AwwaRF's EPA Approved, Quality Management Plan (QMP). AwwaRF will use their standard format for final reports, in lieu of EPA's format, as long as the report contents meet the requirements of 40 CFR 40.160-5. In lieu of both hard copy and electronic copy of each peer reviewed final report, one copy of each final report in Portable Document Format (.pdf) is due upon publication to the EPA Project Officer.

All documents developed under this agreement for distribution to the public or inclusion in a scientific, technical or other journal shall include the statement in AwwaRF documents, as follows.

The research on which this report is based was funded, in part, by the United States Environmental Protection Agency (EPA) through Cooperative Agreement No. _____ with the American Water Works Association Research Foundation (AwwaRF). Unless an EPA logo appears on the cover, this report is a publication of AwwaRF, not EPA. Funds awarded under the Cooperative Agreement cited above were not used for editorial services, reproduction, printing, or distribution.

This document was reviewed by a panel of independent experts selected by AwwaRF. Mention of trade names or commercial products does not constitute AwwaRF nor EPA endorsement or recommendations for use. Similarly, omission of products or trade names indicates nothing concerning AwwaRF's nor EPA's positions regarding product effectiveness or applicability.

OMB Clearance for Surveys

EPA and the recipient agree to comply with the requirements of the Paperwork Reduction Act in completing this project. Because projects selected for funding may include a survey, a questionnaire or similar information gathering activity, the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq.), requires EPA to obtain Office of Management and Budget (OMB) clearance prior to the recipient's collection of information by means of identical questions posed to 10 or more persons.

The recipient will provide to the EPA Project Officer the following information: (1) description of the information to be collected; (2) explanation of the need for the information; and (3) to whom the survey is being directed. The EPA Project Officer is responsible for requesting assistance from the Office of Policy, Regulatory Information Division to obtain clearance from OMB. EPA and the recipient agree that no work requiring OMB approval shall be initiated until such OMB approval is obtained.

Quality Assurance

The recipient shall comply with all requirements as delineated in the approved May 2004 AwwaRF Quality Management Plan (QMP).