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PROPOSAL GUIDELINES FOR TAILORED COLLABORATION PROGRAM

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I. PROGRAM OVERVIEW

The Water Research Foundation

The Water Research Foundation is a centralized, nonprofit research organization for the drinking water community whose mission is to *advance the science of water to improve the quality of life*. This is achieved through the timely identification and funding of needed research, followed by the communication of the research findings which ultimately allows utilities to meet current and future needs of the drinking water community. The Foundation is governed by a 23 member Board of Trustees (BOT) and is funded primarily by a voluntary subscription program through which water utilities invest in research based on water distribution. The Foundation has approximately 900 subscribers which includes utilities, consulting firms, and manufacturers who support the Foundation's mission. In addition to the financial support the Foundation receives from its subscribers, more than 1000 volunteers contribute valuable hours each year in support of the Foundation's research efforts.

The Tailored Collaboration Program

The mission of the Tailored Collaboration (TC) program is to provide an opportunity for subscribing utilities to partner with the Foundation in regional research projects or projects that address an issue of interest to a significant subgroup of Foundation subscribers. The program provides Foundation support for projects that a utility or group of utilities may have otherwise independently funded to address local or regional concerns. Through this program, the Foundation and participating utilities are able to mutually leverage research funding for the project and more broadly share the research outcomes with other utilities through a published final report. TC projects often address innovative ideas that have not been the focus of other Foundation programs or expand upon existing research to determine application potential at a utility.

The unique benefit of the TC program to subscribers is not only that utilities' research funds are leveraged, but that projects are further enhanced by the Foundation's independent review (Project Advisory Committee) process, professional project management, and technology transfer. The program also expands the research benefits available to subscribers without increasing subscription fees and at the same time helps to support utilities' research programs.

A well-developed proposal which includes background, research approach and information about how the research idea is unique as compared to other Foundation projects is required to apply for matching funding. Proposals will be accepted on a first-come, first-serve basis. Maximum Foundation cash match for a project is \$175,000. In the event that TC Program funding is exhausted during a given year, the sponsoring utility may request an eligible proposal to be carried over for consideration when additional funds become available. It is recommended that utilities considering sponsoring a TC proposal contact the Foundation to determine the funding available for the year and to discuss the research concept. Foundation staff will guide subscribing utilities through the TC process.

Two methods of selecting a research contractor are available through the TC program. The most common process allows the sponsoring utility to pre-designate the researcher in the proposal. The second process uses a competitive Request for Proposals (RFP) to select the researcher.

Contractor selection is described in further detail in the TC guidelines, which can be found at <http://www.waterrf.org/Research/Administration/ProposalGuidelines/>

(scroll toward the bottom of the page)

These guidelines provide an overview of TC program requirements and a step by step guide to preparing and submitting a TC proposal. A Sponsoring Utility wishing to obtain more information should contact the Foundation's TC Program Manager, Chris Rayburn, Director Research and Subscriber Services at (303.347.6188) or by email at CRayburn@WaterRF.org

II. PROPOSAL REQUIREMENTS OVERVIEW

1. TC Proposal Sponsor Requirements

Tailored Collaboration (TC) proposals must be sponsored by a utility that pays their full Foundation subscription as calculated on the most current year's Utility Subscription Worksheet. The sponsoring utility may partner with one or more organizations in a TC proposal. Partial utility subscribers and non-subscribing utilities cannot submit a tailored collaboration proposal but may contribute funding to a project; however the Foundation will not match these funds

2. Sponsoring Utility TC Proposal Submittal Frequency

In the interest of broadening TC Program participation, the guidelines require a 12 month waiting period after a TC project starts (i.e., after full execution of the contract by all parties) before the sponsoring utility is eligible to submit an additional TC proposal. Utilities must be a Foundation subscriber for a minimum of two (2) years prior to being eligible to be the Sponsoring Utility of a TC Proposal.

3. Project Funding and Foundation Fund Matching Guidelines

Only utilities that pay their full subscription are eligible to have their project funding matched by the Foundation. Partial and non-subscribing utilities funds will not be matched by the Foundation; however they may still contribute funding to a project. Organizations that are not eligible to be Foundation subscribers (e.g., non-profit organizations or government agencies) may participate in a TC proposal as a co-funder provided the proposal is submitted by a fully subscribing utility. Funding contributed by these organizations may qualify for Foundation matching; however determination regarding the funding match is dependent upon the approval by the TC Program Manager.

The Foundation will provide matching funds for cash contributed by qualifying organizations (e.g., full paying subscribers and some organizations not eligible to be subscribers) to fund the research with a maximum Foundation contribution of \$175,000 per project. The Foundation will provide a 1:1 match for the first \$150,000 in subscriber cash and a 1:2 match for up to an additional \$50,000 in subscriber cash. This would allow a maximum Foundation match of \$175,000 against a subscriber contribution of \$200,000.

All money invested by the sponsor or other co-funder(s) is due to the Foundation upon execution of the funding agreement in order to be eligible for the Foundation cash match. The Foundation will consider exceptions to this requirement on a case-by-case basis.

4. Additional In-kind Match Not Required

In other Foundation funding programs a 25% in-kind match is typically required. No such contribution is required for tailored collaboration projects. However, TC in-kind contributions are welcome and should be documented in the proposal. In-kind contributions often include such items as personnel costs, support services, facilities, and consulting services.

5. Contractor Selection and Proposal Review

The sponsoring utility may designate the research contractor, or may request that the Foundation issue a Request for Proposals (RFP) to select a research contractor. Each TC proposal receives a two-tier review. The initial technical evaluation is completed by a project-specific, independent Technical Review Committee (TRC). The Board-appointed Tailored Collaboration Review Committee (TCRC) will evaluate the review committee's recommendation and make the final funding decision. Both committees can request clarification on technical and/or financial issues they identify in the proposal before making a decision regarding suitability for funding.

6. Contract Requirements

Once a proposal is selected for funding, a Multi Funded Research Agreement (MFRA) must be established between the Foundation, the co-funding organization(s), and the research organization (a.k.a. Sub-recipient). It is encouraged that the submitting utility, all co-funders and principal investigator review the [Multi Funded Research Agreement](#) (PDF) in advance.

Prior to submitting a proposal, the sponsoring utility should verify with each co-funder and the Principal Investigator that the Multi Funded Research Agreement is acceptable to their respective organizations and must be signed by all parties within 45 days of receipt of the draft agreement. Co-funding organizations must complete internal reviews of the Foundation's Multi Funded Research Agreement to identify potential concerns (e.g., legal, risk management, indemnification) that will require negotiation and resolution. Items requiring negotiation must be identified in the proposal on the Co-funding Support Form. If the Multi Funded Research Agreement is not signed by all Co-funders within 45 days of the contact negotiation period, the Foundation may elect to cancel funding in favor of another project for which a signed Multi Funded Research Agreement can be put in place. **The Multi Funded Research Agreement must be signed by the sponsoring utility, all Co-funders, the Sub-recipient (researcher), and the Principal Investigator before the Foundation can move forward with the project.**

7. Project Management

The Foundation will provide overall management of the tailored collaboration project including contract administration and technical oversight of the project through a Project Advisory Committee (PAC). PACs are organized by the Foundation to provide project oversight and monitor project performance on behalf of the Foundation. PAC members are experts in the area of research and can not be affiliated with the research team or **co-funding organizations**. Project stakeholders are invited to observe the PAC activities but do not serve as PAC members. This process is meant to provide for a continuous, independent review that ensures the scientific validity of the research.

Co-funding organizations are encouraged to provide input to the project through the research team. It is the responsibility of the contractor and the co-funders to implement a communications plan that will provide for communications between the co-funders and the research team.

Technology Transfer

The Water Research Foundation's mission is not complete until research results are put to work in the drinking water community. To this end, the research team is expected to produce a final report that can be published by the Foundation. In addition to the final report, the Foundation often communicates research findings to water professionals worldwide via periodicals, conferences, and webcasts. Utilities providing data for Tailored Collaboration projects must be willing to have the data published and distributed to the drinking water community although actual data can be anonymous.

Important: Intellectual Property provisions for Tailored Collaboration projects are set forth in the [Multi Funded Research Agreement](#). Each co-funding organization, the research contractor and subcontractors are required to review these requirements prior to the sponsoring utility submitting a Tailored Collaboration proposal.

Equal Opportunity/Affirmative Action

The Foundation has a policy of non-discrimination and abides by all laws, rules, and executive orders governing equal employment opportunity. Foundation contractors will be required to agree not to discriminate on the basis of age, sex, race, religion, color, national origin, handicap or veteran status. The Foundation expects its contractors to be equal opportunity employers who accept the goal of having a work-force that generally reflects the minority composition of the community in which it is located. It is the policy of the Water Research Foundation to encourage proposals from qualified minority-owned or directed institutions.

III. STEP BY STEP GUIDE FOR THE PREPARATION AND SUBMITTAL OF TAILORED COLLABORATION RESEARCH PROPOSALS

Step 1 - Contact the Foundation

Sponsoring utilities are encouraged to contact the Foundation as early in the proposal development process as possible. Assistance is also available from staff as the proposal is developed. This will provide an opportunity to ask questions and obtain clarification on the TC proposal process. In addition, Foundation staff is available to review draft TC proposals and offer guidance to the sponsoring utility for their consideration on the technical approach of the project. Draft proposals and final proposals are the intellectual property of the submitter and are handled confidentially. For questions regarding the TC program, please contact Chris Rayburn at 303-347-6188, or by e-mail at CRayburn@WaterRF.org

Step 2 - Foundation Pre-Review of Concept and Funding Sources

Additional Foundation subscribers and qualifying organizations may partner with the **sponsoring utility** to help fund the research as a **co-funding organization**. The **contractor** is the organization that will be responsible for conducting the research and may or may not be the **sponsoring utility** or a **co-funding organization**.

A draft proposal budget, completed on the Foundation's Budget Form, and a project abstract should be sent to the Foundation for review before the final proposal and budget are extensively developed and submitted. It is strongly recommended that a conference call then be held to discuss project funding, potential contract concerns and other project related issues be held before the full proposal is submitted. This process has been established to maximize communication about the topics that can slow the contracting processes, reduce confusion about funding and contract matters and expedite contract negotiation should the proposal be approved for funding.

Step 3 - Contractor Selection

Sole Source – The sponsoring utility may pre-select a contractor without going through the Foundations RFP process.

RFP - If the sponsoring utility would like to have an RFP issued to select a contractor, the sponsor must first provide the Foundation the following documents:

- a) An overview of the project concept and proposed scope of work in a format suitable to provide ample information for an RFP to be easily written.
- b) Completed co-funding support forms from each organization providing cash to the project.
- c) Completed in-kind support form.

A Technical Review Committee will review the project concept and available funding and will provide the Tailored Collaboration Review Committee (TCRC) a recommendation for funding the project. The TCRC must approve funding the project before the Foundation will issue an

RFP. Once the TCRC has approved funding the project concept will be converted into a Water Research Foundation RFP and proposal will be accepted. Upon receipt of the proposals the Foundation, a Project Advisory Committee (PAC) and the Sponsoring Utility will review the proposals and work together to select a contractor for the project. Once a contractor is selected, the process moves to Step #6 – Project Funding and Co-Funding Agreement of these guidelines.

Step 4 - Proposal Submittal Requirements

After going through the initial review and funding considerations outlined in Step #2, the **sponsoring utility** should submit the full proposal with a cover letter that states its financial and conceptual support for the research. Proposals must include the following components with maximum page lengths shown in parentheses. The *Water Research Foundation Proposal Checklist* can be used to help the sponsoring utility submit a complete proposal.

A. Cover Letter

The sponsoring utility will provide a cover letter that states its financial and conceptual support for the research. The sponsoring utility and the principal investigator (e.g., the contractor or contractor's employee) should work together to prepare the proposal and to ensure that it meets the needs of all co-funders. The sponsoring utility must also submit a *Co-Funding Support Form*.

B. Co-Funding Support Form

The Sponsoring Utility and all co-funders must complete and provide the co-funding support form.

C. Proposal Cover Worksheet

Use the *Proposal Cover Worksheet* provided in the TC forms. Proposals cannot be accepted without this.

D. Project Abstract (one page)

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

E. Table of Contents

Pages should be numbered and shown in the Table of Contents.

F. Project Description (22 pages max.)

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

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.

G. Applications Potential

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

H. Summary of Related Research

Describe in detail the current state of knowledge related to the proposed research with special emphasis on previous and/or ongoing research related to the subject. Clearly delineate how the proposed research adds to the body of knowledge and is not redundant with ongoing or completed research efforts.

I. Quality Assurance/Quality Control (QA/QC)

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, and blind samples) must be included. If an EPA or AWWA standard method is not established for an analytical method a detailed quality assurance/quality control procedure must be submitted with the proposal. Note: Any requirements of the researcher by co-funding organizations regarding QA/QC procedures must be clearly identified in the proposal (e.g., co-funding from a Federal source that will require the researcher to submit a Quality Assurance Project Plan [QAPP]).

J. Schedule

Estimate the duration of the research phase and the time to prepare the draft final report. In general, the project start date should be within 6 months following award notification. Periodic progress reports every 3-6 months for technical review by the Project Advisory Committee (PAC) will be required. Submission of the draft final report should be within three months after the last periodic report, and the revised draft final report submitted within six months of the last periodic report (reference Project Funding Agreement Exhibit B for outline).

K. Management Plan and Statement of Qualifications (two pages max.)

Identify the individuals and organizations participating in the project, their specific roles and responsibilities and their time commitment to the project. Describe how the PI will maintain accountability for the individuals and organizations involved in the project. Include a concise organization chart showing the relationships and the lines of communication among the research team and all project participants.

L. Draft Communication Plan

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

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

The proposed budget should include the costs and resources associated with implementing the draft Communication Plan. Applicants are encouraged to review “Communication Strategies and Products for Water Research Foundation” at <http://www.waterrf.org/Research/Administration/ProposalGuidelines/> for information and considerations about various project communication tools and activities.

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

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

M. Licenses and Inventions (as required)

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

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

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

If the applicant’s budget includes third party contributions, these contributions must be confirmed by letters of commitment. The letter of commitment must identify the type (e.g. cash, labor, materials, and services) and estimated dollar value of the contribution, and must be signed by an authorized representative of the organization. E-mail will be accepted as a letter of commitment so long as the e-mail originates from an authorized representative and adheres to the requirements set forth above.

O. Budget

Foundation Research Project Budget Form must be used to show costs for salaries and wages, fringe benefits, expendable supplies, services, travel, subcontracts, other direct costs, and overhead. Instructions for Budget Preparation are provided within these guidelines. All

budgets must include an associated Budget Narrative. Please note: costs for preparing periodic reports at three to six month intervals, research team time and travel (if needed) for a one day PAC meeting, a final report (including responding to editor comments), and preparing a two to three page project profile should be accounted for in the budget. All budgets and payments are to be \$U.S.D.

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

Please send five (5) unbound hard copies and one (1) digital copy of the TC proposal to:

**Patricia Schrader
Water Research Foundation
6666 West Quincy Avenue
Denver, CO 80235
(303) 347-6128**

(Note: The Foundation's logo is copyrighted and cannot be displayed on proposals.)

Important:

- **Inventions**

If the research is likely to produce inventions, new products or processes (or improvements thereof), the proposal must include a statement defining the relationship between the proposed research and any pre-existing patents or patent applications owned or controlled by the applying organization, participants, or any subcontractor. The patent(s) or patent application(s) should be identified and copies attached along with a copy of a license granting use of such patent(s) or pending patent(s). If a patent application could result from the proposed project, the proposal should include a statement as to the proposed ownership of any resultant patent. Note: The Water Research Foundation does not endorse or product-test commercial products or processes.

- **Equipment Purchase**

In general, the Foundation will not pay for the purchase of major equipment for research tasks. Lease or rental of equipment needed solely for use on the project is considered on a case-by-case basis. The research team should have access to the appropriate equipment and instruments needed to complete the proposed research.

- **Scope of Work**

The project's scope of work must be based solely upon funds available from the Foundation, co-funders and in-kind contributions and for which the dollar value is confirmed.

- **Co-funding Support Forms and Letters of Commitment**

Each co-funding organization must provide a Co-Funding Support Form with the proposal. Letters of Commitment for all in-kind contributions that confirm the type and dollar value must be included in the proposal and shown on the In-Kind Contribution

Form (see Instructions for Budget Preparation). The sponsoring utility is not required to provide an In-Kind Contribution Form if a qualified representative signs the proposal.

Step 5 - Technical Review Committee (TRC) and Tailored Collaboration Review Committee (TCRC) Proposal Evaluation

The Foundation will form a committee with volunteer experts knowledgeable about the technical aspects of each proposal. The TRC will review the proposal for technical merit, adequacy of budget and schedule, and fit with the TC Program. The committee may determine after an initial review that some corrections or additions need to be made in order to ensure that the project will be successful and provide information that will be useful to a relatively broad cross section of utilities. The TRC review period may last anywhere from two to six weeks, depending on volunteer schedules and whether proposal revisions are requested. The review will conclude with the TRC either recommending either funding or denial of funding for the project to the TCRC.

During scheduled monthly meetings the TCRC will evaluate TC proposal submittals along with the associated TRC recommendations for funding. The TCRC may elect to fund or deny funding of a TC project upon the initial review or may suspend the funding decision contingent on the submittal of additional requested information. In any case, the TCRC will not meet more frequently than once a month to assess the funding submitted TC projects.

Important:

The Water Research Foundation expects projects to be completed within the timeframe specified in the proposal. Sponsoring utilities should be aware that the timeliness of the contractor's past performance on Foundation projects will be considered by the funding committee. Details on the Foundation's timeliness policy can be found on the Water Research Foundation's Web site at <http://www.waterrf.org/Research/Administration/Policies/>

Step 6 - Award Administration

Multi Funded Research Agreement

Proposals that are approved for funding by the TCRC will move into the contracting period. The Foundation will enter into a Multi Funded Research Agreement with the selected researcher and project co-funders. The selected researchers and their subcontractors will be expected to comply with the terms and conditions of the Multi Funded Research Agreement.

The terms of the Foundation's Multi Funded Research Agreement should be reviewed **prior to submitting a proposal** as acceptance of these contract conditions is a requirement for Foundation funding. The sponsoring utility should work with the research contractor to determine, **before submission of a proposal**, that contract provisions are likely to be acceptable to the research organization (contractor) and its subcontractors.

In addition, the sponsoring utility should determine whether the conditions of the Foundation's Multi Funded Research Agreement are acceptable to each co-funding organization prior to submission of a proposal.

Items requiring negotiation must be identified in the proposal on the Co-funding Support Form.

If the Multi Funded Research Agreement is not signed by all co-funders within 45 days, the Foundation may elect to cancel funding in favor of another project for which signed co-funding agreements can be put in place. The co-funding agreement must be signed by all co-funders before the Foundation will sign the research Funding Agreement with the contractor.

PAC Meeting

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

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

Project Deliverables

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

Scope of Work

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

Periodic Report

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

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

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

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

Project Report

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

The Project Report details the results of the project. The report shall include all relevant materials and methodology, results, innovations, inventions, conclusions, and recommendations resulting from the project. The target audience for the report is the drinking water community (i.e., water utilities, consultants, manufacturers, regulators and other water professionals); 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.waterrf.org/Research/Administration/ProjectReportGuidelines/>. A copy of the Format-Style Guide will also be provided to the researcher at the beginning of the project. A completed Copyright Permission Form as described in these guidelines is required.
2. A Draft Report shall be submitted for review at the completion of the research phase of the project. In addition to the CD ROM electronic version, one single-sided unbound original and six (6) copies of the Draft Report (bound or on three-hole drilled paper) are required. The Foundation will review the Draft Report as set forth in the "Review and Alteration of Project Deliverables" section below, and the Foundation may require additional drafts of the Draft Report.

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

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

3. The Final Report shall be the acceptable revised Draft Report. In addition to the CD ROM electronic version, one single-sided unbound original of the Final Report is required. This original must exactly match the CD ROM electronic version.
4. The Foundation reserves the right to determine which of several processes shall be used to publish the Final Report. If the Final Report is clearly organized and understandable, and has a neat and uniform appearance, then the quickest publishing process, the True-Camera Ready (TCR) process, shall be used. Adherence to the *Format-Style Guide for Preparing Research Reports* will improve chances that the Final Report will be published through the TCR process.

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

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.

Webcasts

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

Important: Intellectual Property provisions for Tailored Collaboration projects are set forth in the [Multi Funded Research Agreement](#). Each co-funding organization, the research contractor and subcontractors are required to review these requirements prior to the sponsoring utility submitting a Tailored Collaboration proposal.

IV. INSTRUCTIONS FOR BUDGET PREPARATION

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

Water Research Foundation Research Project Budget Form

The proposed budget should be specific and complete. Supporting schedules (as described below) which provide the basis for the project's cost should be provided. A cost breakdown summary including cash and in-kind contributions using the *Budget Form* is to be included with the proposal and present the total estimated cost for each cost element.

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.

Pages and columns A through J: Note that the form provides separate columns for *Award* and *Cost Share* of the estimated costs. Under *Award* and *Cost Share*, show the dollar value of each category's estimated costs that will be billed to the Foundation and provided as cost share by the applicant, respectively.

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

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

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

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

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

- B. Other Personnel. Other personnel include project personnel other than the PI and co-PIs who are employees of the applicant's organization(s). Follow the instructions provided above for Key Personnel.
- C. Equipment Rental and Special Equipment Purchase. Capability to perform the project with existing facilities and equipment is assumed.

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

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

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

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

- F. Subcontractors. List each subcontractor on the research team and the total value of each subcontract. The **Budget Narrative** must summarize the project roles and responsibilities for each subcontractor and must provide a cost breakdown for each subcontractor by the following categories: Labor, Equipment, Materials and Supplies, Travel, and Other Direct Costs.
- G. Other Direct Costs. Any other direct costs not specified in Sections A – F of the Foundation Research Project Budget form should be entered here. Such costs must be detailed and justified in the Budget Narrative.

- H. Indirect Costs. The applicant must substantiate their indirect cost rate in accordance with the requirements outlined in Section II — Instructions for Preparing Solicited Proposals under “Stand-Alone Items.

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

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

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

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

If the applicant’s proposed scope of work includes surveys or similar information collection activities that fall under the provisions of the PRA, provide the total estimated cost for these activities, including labor, travel, materials, equipment and supplies. The costs should be explained fully in the **Budget Narrative**.

Budget Narrative

The budget narrative must be provided as a document separate from the budget form and should provide additional detail to explain items written into the budget form. Please reference the [Sample Budget Narrative](#) (MS Word) which can be found on our website at: <http://www.waterrf.org/Research/Administration/ProposalGuidelines/>.

WORKSHEETS AND FORMS

The following worksheets and forms are provided in these guidelines for your information.

Downloadable, useable documents in Microsoft Word and Excel are provided on our Web site at:

<http://www.waterrf.org/Research/Administration/ProposalGuidelines/>

TAILORED COLLABORATION PROPOSAL COVER WORKSHEET

Proposal Title:

Sponsoring Utility (Foundation Subscriber submitting proposal):

Contact at Sponsoring Utility:

Name:

Address:

Phone:

e-mail:

Co-Funding and In-kind Summary: (attach additional sheet if needed)

Organization Name	Cash Co-fund Amount	Cost Share	In-Kind Contribution Amount
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1.

2.

3.

4.

5.

Total Cash \$

Cost Share \$

In-Kind \$

Foundation Funds Requested:

Amount of Funds eligible for 1:1 Foundation match:

Amount of Funds eligible for 2:1 Foundation match:

Amount of Funds not eligible for Foundation match:

Total Cash Budget (Foundation Funds + All Co-Funding Cash):

Total In-kind Contributions:

Total Project Budget (Cash + In-kind):

Project Personnel

Principal Investigator (i.e., researcher responsible for conducting research)

Name:

Organization:

Address:

Phone:

e-mail:

Co-Principal Investigator:

Name:

Organization:

Address:

Phone:

e-mail:

Person responsible and authorized for negotiating *Multi Funded Research Agreement* (i.e., research contract)

Name:

Address:

Phone:

e-mail:

Person responsible and authorized to sign *Multi Funded Research Agreement* (i.e., research contract)

Name:

Address:

Phone:

e-mail:

Are there any conditions of the Multi Funded Research Agreement that would prevent your organization from signing it as it is currently worded? Yes No (If yes, please attach a separate document specifying the issues identified)

Person responsible for accounting matters of contractor:

Name:

Address:

Phone:

e-mail:

Proposals with an incomplete Proposal Cover Worksheet will not be accepted.

RESEARCH PROJECT BUDGET FORM

The Research Project Budget Form must be used to show costs for salaries and wages, fringe benefits, expendable supplies, services, travel, subcontracts, other direct costs, and overhead. All budgets must include an associated Budget Narrative.

The Research Project Budget Form and an example Budget Narrative can be found at:

<http://www.waterrf.org/Research/Administration/ProposalGuidelines/>

TC CO-FUNDING SUPPORT FORM

Note: Each co-funding organization (including the sponsoring utility) must complete a separate Co-Funding Support Form and include it in the proposal.

Co-Funding Organization: _____

Address: _____

Type of Organization: ___ water utility ___ consulting firm ___ manufacturer ___ other (describe)

Is your organization eligible to participate in one of The Foundation's subscription programs? _____

Is your organization requesting that The Foundation match its funds? _____

Is your organization eligible for The Foundation matching funds? _____

Cash co-funding amount being provided by your organization (in USD) \$ _____

Person responsible and authorized for contract matters for your organization:

Name: _____

Physical Address: _____

Phone/ e-mail: _____

Person responsible for accounting matters for your organization:

Name: _____

Physical Address: _____

Phone/ e-mail: _____

What approvals will be required in order for your funds to be released to the Foundation? (e.g., City Council, Board of Commissioners)

Have these approvals been obtained? _____

Can approvals be obtained and co-funding agreements be signed within 45 days of draft agreement being sent? _____

(**Note:** 45 days after draft agreement sent the Foundation reserves the right to cancel the award--see TC proposal guidelines for details.)

Are there any conditions of the Foundation Multi Funded Research Agreement that would prevent you from signing it as it is currently worded? _____

If yes, please explain: (attach additional pages if required)

The person signing below acknowledges they are authorized to commit their organization to the proposed work.

Signature _____ Print Name _____

Title _____ Organization _____

Date _____ Phone _____

Mailing Address _____

IN-KIND SUPPORT FORM (FOR NON-CASH CONTRIBUTIONS)

Name of Organization	Name of Contact	Amount Specified in Letter of Commitment (USD\$)
Total Utility and other Organization In-kind (\$)		

*Please note: Letters of commitment that specify dollar amount must be included with proposal for all in-kind included on this worksheet.

FOUNDATION TC PROPOSAL CHECKLIST

Upon receipt of a proposal the Foundation reviews several items for accuracy, completeness, and the ability of the Foundation to accept proposals for funding consideration. This checklist is intended to help the sponsoring utility submit a proposal that meets the Foundation's guidelines and requirements.

- _____ Proposal includes signed cover letter from Sponsoring Utility. The Sponsoring Utility must be a fully subscribing Foundation subscriber.
- _____ *Proposal Cover Worksheet* is attached and completely filled out with budget totals that match the Budget Sheet, Co-Funding Support forms and in-kind contribution letters.
- _____ *Co-funding Support Forms* are complete and signed by each organization that will provide cash contributions to the project.
- _____ Co-funders requesting the Foundation match are eligible for the Foundation match. The maximum Foundation cash match is \$175,000 and requires \$200,000 in co-funds from eligible organizations. See TC proposal guidelines for information on organizations that qualify for Foundation matching funds.
- _____ The *In-Kind Support Form* is attached and a signed letter from each organization providing an in-kind contribution is included in the proposal. Check that the total of in-kind contributions in the letters matches the *Budget Sheet* and the *Proposal Cover Worksheet*.
- _____ Budget sheet sums correctly.
- _____ Sections of the proposal (e.g., scope of work) do not exceed the prescribed page length stated in the *Proposal Guidelines For Tailored Collaboration Proposals*.
- _____ No member of the proposed research team is on the Foundation's "Ineligible To Submit Proposals" list due to a lack of timeliness on other Foundation projects. Check with the Foundation if you have questions regarding a researcher's eligibility.

Please include this checklist with your proposal Cover Letter.