



Water Environment Research Foundation
Collaboration. Innovation. Results.

2015 UNSOLICITED RESEARCH PROGRAM INSTRUCTIONS FOR SUBMISSION OF PRE-PROPOSALS

Pre-proposal packages must be received at WERF offices no later than **5:00 p.m. U.S. EDT (Eastern Daylight Time) on Thursday, July 16, 2015**. Upon evaluation of the pre-proposals, a short list of proposers will be selected and invited to submit full proposals for review and consideration. Water Environment Research Foundation (WERF) will notify all proposers of the outcome of the selection process with regard to their pre-proposal submission.

I. GENERAL INFORMATION

a. Format and Page Limits

The main body of the pre-proposal **may not exceed five (5) pages** (excluding cover sheet and attachments) of single-spaced, 11-point font text with one-inch margins.

Specific page limits for all sections are provided below:

WERF Cover Sheet (template provided)	1 page
Main body of pre-proposal	5 pages
Allowed attachment (resume of Principal Investigator)	2 pages
Allowed attachment (resumes of Key personnel)	2 pages each

b. Submittal Instructions

The pre-proposal submission package must include:

1. A signed, clipped, not stapled, single-sided ORIGINAL of the complete pre-proposal (A complete pre-proposal is defined as your signed/completed WERF Cover Sheet, main body of your pre-proposal, and allowed attachments)
 2. Two (2) double-sided, stapled, photocopies of the complete pre-proposal
 3. Electronic version of your complete pre-proposal on CD or flash drive containing:
 - Single PDF document of the complete pre-proposal, AND
 - *For WERF administrative purposes* – completed WERF Cover Sheet only in Word format, editing enabled (signatures are not required on this Word document)
- Do NOT include a cover letter with your printed or electronic pre-proposal submission.
- Send the complete pre-proposal submission package to:
- WERF
Attn: 2015 Unsolicited Research Program
635 Slaters Lane
Suite G-110
Alexandria, Virginia 22314
- Your pre-proposal must first pass a preliminary WERF administrative check-in before being accepted for the first step evaluation by WERF's Research Council. A sample of the WERF check-in can be found on the last page of these instructions.

II. GUIDELINES FOR PRE-PROPOSAL PREPARATION – **WERF Cover Sheet**

The completed WERF Cover Sheet must include the following elements:

- **Proposer Information**

The legal name of the Principal Investigator (PI), position title, and organization must be included along with complete mailing address and contact numbers. This is the information that WERF uses to contact you regarding the status & evaluation of your pre-proposal.

- **Type of Organization**

The type of organization applying for funding should be specified for the PI only. See below for information regarding WERF's Disadvantaged Business Enterprise policies.

- **Project Information**

Title – A concise title should be used to describe the project. It is recommended that no more than 65 characters and spaces be used.

Project Period – The Project Period should designate starting and ending dates. It is expected that projects will begin during the first quarter of 2016.

Cost to WERF – The total cost to WERF (i.e., requested WERF funding necessary for project completion).

In-Kind / Other Support Amount – While WERF does not require matching funds, proposers are encouraged to demonstrate the provision of co-funding, in-kind contributions, and other relevant services if applicable.

Total Project Cost – The Total Project Cost should include all expenses required for project completion.

- **Research or Demonstration**

Please delineate whether you are requesting funding to conduct research or funding to conduct a demonstration of an innovative technology.

- **Does this Research Involve?**

Answer the questions on whether your research involves human subjects, vertebrate animals, and recombinant DNA.

- **Two Authorized Signatures**

Signatures are required by the Principal Investigator (PI), as well as an individual designated with contract responsibility within the organization if other than the Principal Investigator.

III. GUIDELINES FOR PRE-PROPOSAL PREPARATION – **MAIN BODY**

The main body of the pre-proposal should not exceed five (5) pages, and must include the following subsections. Tables, graphs and references essential to the presentation should be included in the 5-page limit. The pre-proposal must provide information for the following subsections:

- **Project Rationale, Originality and Technical Significance**

- Statement of Importance: Concisely state why the proposed research / technology demonstration is of importance and relevant to the mission of WERF.
- State-of-Knowledge Supporting the Project: Describe the current state-of-knowledge regarding the scientific and technological advances in the proposed area. Make a case for the originality and innovation of the proposed research / technology demonstration.



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- Science/Technology Outcomes Potential: Describe how the proposed research / technology demonstration, whether it is cutting-edge/breakthrough work, or it is an opportunity to complete existing lines of research, will advance our understanding in this area and how it could lead to a transformation in how WERF Subscribers perform their business.
- **Note:** References cited to support the pre-proposal must be provided within the 5-page limit. Do not attach a separate page of references if it exceeds the 5-page limit.
- **Project Objectives/Design**
Project Approach: Describe the specific objectives that will be addressed by the proposed research / technology demonstration. Briefly outline the experimental design and procedures to be used to achieve stated objectives.
- **Project Deliverables and Communications Plan**
Proposers should identify the target audience(s) of the research / technology demonstration and define the final product(s) they will develop that will clearly and concisely communicate the results to the audience(s). WERF expects all of its proposers to take an active role in communicating the value of their research / technology demonstration to WERF Subscribers and other potential users.
- **Qualification Statement**
Provide names of key individuals involved in the project. Relevant research and other professional experience, knowledge, and demonstrated ability should be highlighted.
 - A two-page (maximum) resume may also be attached for the PI and any other key members of the proposed project team. Resumes are not subject to the 5-page limit.
- **Timeline**
Indicate proposed duration of the project; identify key milestones in that timeline.
- **Proposed Budget**
 - Funds Requested: Indicate the total amount of funds requested from WERF and describe how they will be used for the proposed work.
 - Other Support: Provide a list of other entities that have committed funds (or services) for this research / technology demonstration or that are being pursued for collaboration. Include the additional and/or requested amount of funds (or services) from these entities.
 - Indirect Costs: WERF allows researchers to include the indirect cost rates of their university / organization. While WERF does not set an upper limit, note that some researchers / universities lower their rates (usually for non-governmental and not-for-profit organizations such as WERF) so more money goes directly to the actual research; this also allows them to demonstrate these as cost-share (in-kind) contributions to the total budget.
- **Attachments**
The only attachments allowed in the pre-proposal phase are resumes of the Principal Investigator (PI) and key personnel (if any). Each resume cannot exceed two (2) pages. Attachments are not subject to the 5-page limit.

IV. PROPOSER ORGANIZATION RESPONSIBILITIES

If a contract is awarded as a result of this pre-proposal and subsequent full proposal, the proposer's organization becomes a WERF contractor and assumes legal and financial accountability for the

awarded funds and for performance of the supported activities. The proposer's organization is responsible for verifying the accuracy, validity, and conformity with the most current institutional guidelines of all administrative, fiscal, and scientific information in the proposal. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of an application and/or the suspension or termination of an award.

V. ADDITIONAL INFORMATION

All proposals are privileged communications available only to WERF staff and volunteer personnel. Questions relating to proposal solicitations should be directed to Lola Olabode, MPH, Program Director, Water Environment Research Foundation, 635 Slaters Lane, Suite G-110; Alexandria, Virginia 22314; Phone: (571) 384-2109, email: lolabode@werf.org.

VI. WERF POLICIES AND CONTRACTUAL CONDITIONS

The following, among others, will apply to an eventual contract with WERF. If these policies and conditions cannot be met, then a pre-proposal should not be submitted for consideration.

Note: The project will be funded and conducted as a contract, not as a grant. An example of WERF's standard [university](#) and [non-university contracts](#) is available online. Any modifications to the funding agreement will be made during contract negotiations. It is expected that contracts will be signed and the project begun during the first quarter of 2016.

Deliverables

Interim and final deliverables are required. Frequency of reporting will depend on agreed-to milestones of the research being conducted or the demonstration being performed. WERF will establish a technical peer review committee to review and provide comment on all deliverables. Final deliverables must be provided following established WERF guidelines.

Copyrights

WERF requires assignment of all copyrights in the draft and final deliverables generated in connection with the research.

Disadvantaged Business

It is the goal of WERF that a minimum of fifteen percent (15%) of the total contract award be made available to business concerns or other organizations owned or controlled by socially and economically disadvantaged individuals within the meaning of Sections 8(a) (5), and (6) of the Small Business Act (15) U.S.C. 637 (a) (5) and (6) including women business enterprises (WBEs), minority business enterprises (MBEs), and historically black colleges and universities (HBCUs). Such business entities may participate as contractors, subcontractors, or procurers of supplies, equipment, or services. The U.S. Department of Commerce's Minority Business Development Agency (MBDA) and the U.S. Small Business Administration (SBA) provide services to identify DBEs. The SBA maintains an extensive database of DBEs at http://dsbs.sba.gov/dsbs/dsp_dsbs.cfm.

At the full proposal stage, if the proposal includes less than 15% DBE participation, sufficient justification must be provided that explains why the proposal has less than 15% DBE participation.

Equal Opportunity

WERF has a policy of non-discrimination and abides by all laws, rules, and executive orders governing equal opportunity. WERF contractors will be required to agree not to discriminate on the basis of age, sex, race, religion, color, national origin, handicap, or veteran status. WERF 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.

Drug Free Workplace

Proposer's organization will need to indicate they have a policy for maintaining a drug free work place.



Please visit our website for answers to **Frequently Asked Questions for 2015 Unsolicited Research RFP.**



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WERF Admin Pre-Proposal CHECKLIST

- Received by **5:00 p.m. Eastern Daylight Time**, due date of **Thursday, July 16, 2015**
(No fax transmissions accepted)
☐ Yes ☐ No
- Pre-proposal package contains:
Paper copy: One clipped, not stapled, single-sided original & two double sided stapled copies
Electronic copy: one pdf of entire proposal and cover sheet in word format on CD/flash
☐ Yes ☐ No
- First page of the pre-proposal (printed & electronic versions) is a completed **WERF cover sheet** with two (2) authorized signatures
☐ Yes ☐ No
- **Main body** of proposal does not exceed **5 pages** (excluding cover and attachments) AND contains the sub-sections below:
☐ Complies ☐ Does NOT comply Deviations _____

Main Body of Pre-Proposal must include the following sub-sections:
 - 1.) **Project Rationale, Originality, Technical Significance** included
☐ Yes ☐ No
 - 2.) **Project Objectives/Design** included
☐ Yes ☐ No
 - 3.) **Deliverables and Communication Plan** included
☐ Yes ☐ No
 - 4.) **Qualification Statement** included
(Additional 2-page maximum resume for PI & key personnel allowed as attachment)
☐ Yes ☐ No
 - 5.) **Timeline** included
☐ Yes ☐ No
 - 6.) **Proposed Budget** included
☐ Yes ☐ No
- **Attachments** included
(ONLY attachments allowed are PI & key personnel resumes; 2 page max ea.)
☐ Yes ☐ No Deviations _____
- **DBE** participation (minimum 15%)
☐ Yes ☐ No, see justification on page _____
- Check **System for Award Management** (SAM.gov) exclusion list
☐ Done