

### **III. Proposal and Submittal Requirements**

#### **A. Overview**

Successful proposals are those whose proponents thoroughly and accurately complete the application forms and follow the prescribed format for the proposal document. All proposals must be submitted electronically through the PSP web-site to be considered for funding; hard copies of proposals will not be accepted. Proposals will be accepted through the website from June 30 – August 31, 2006. Before applying, please make sure you are eligible to receive funds by carefully reading the information below. If you need assistance please contact the helpline at (877) 408-9310 or via e-mail: [help@solicitation.calwater.ca.gov](mailto:help@solicitation.calwater.ca.gov). A brief summary of differences between this PSP and the Science Program 2004 PSP is available through the PSP website at [http://science.calwater.ca.gov/psp/psp\\_package\\_2006.shtml](http://science.calwater.ca.gov/psp/psp_package_2006.shtml)

#### **B. Eligibility**

Any public agency or a nonprofit organization capable of entering into a grant agreement with the State or federal government may apply. This includes, but is not limited to: (1) local agencies; (2) private nonprofit organizations; (3) tribes; (4) universities; (5) State agencies; and (6) federal agencies. Individuals and private for-profit entities are not eligible for this PSP, and should not apply.

#### **C. Confidentiality and Conflict of Interest**

Applicants should be aware that the titles and executive summaries of all abstracts will be available for viewing on the Science Program website immediately after the solicitation has closed. Comments from all levels of the review process will also be posted on the website and distributed as part of the public comment process. After the Authority takes formal action on the Technical Synthesis Panel's final funding recommendations, the complete text of all funded proposals will be posted on the Science Program website. By submitting a proposal, the applicant agrees to waive any right to confidentiality of the proposal<sup>1</sup>. For more information on confidentiality, please contact the PSP helpline.

Both applicants and individuals who participate in reviews of submitted proposals are bound to State and federal conflict of interest laws. Any individual who has participated in planning or setting priorities for this PSP or who will participate in any part of the grant development and negotiation process on behalf of the public is ineligible to receive funds or personally benefit from funds awarded through this PSP. To help the Science Program manage potential conflicts, applicants should use the PSP Conflict of Interest Form (section III.E. below) to fully disclose individuals who participated in writing or who will benefit from the project if funded. Individuals who have participated in development of this PSP should not submit proposals.<sup>2</sup>

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<sup>1</sup> Although the Science Program will not post proposal documents for unfunded proposals on their website, all submitted proposals, whether funded or not, are considered public documents and subject to disclosure under California law.

<sup>2</sup> Failure to comply with these laws, including business and financial disclosure provisions, will result in the proposal being rejected and/or any subsequent grant being declared void. Before submitting a proposal, applicants are urged to seek legal counsel regarding potential conflict of interest concerns that they may have and requirements for disclosure. Applicable California statutes include (i.e., are not limited to) Government Code Section 1090 and Public Contract Code Sections 10365.5, 10410, and 10411.

Scientific reviewers and individuals participating in review panels are also subject to the same conflict of interest laws. Proposals may be reviewed and discussed by members of the public under public disclosure requirements. Applicants should also be aware that certain State and federal agencies may submit proposals that will compete for funding. Employees of State and federal agencies may participate in the review process as scientific/technical reviewers but are subject to the same State and federal conflict of interest laws.

#### **D. How to Submit a Proposal**

Proposals will be considered for funding only when all four steps outlined below have been completed. If you need assistance you may contact the helpline at (877) 408-9310 or via e-mail: [help@solicitation.calwater.ca.gov](mailto:help@solicitation.calwater.ca.gov)

1. *User Registration.* Prior to initiating a proposal, you must complete an online registration process available through the PSP website at <https://solicitation.calwater.ca.gov>. Registration does not obligate the registrant to submit a proposal, but you must be registered to submit your proposal and access detailed PSP information. As part of the registration process, you will choose a user ID and password that will let you access proposal forms and submit your proposal document. Registration will also facilitate communication between Authority staff and registered users.

2. *On-line Forms.* The application forms available on the website must be completed before your proposal can be considered for funding. Summary information on each form can be found below in section III.E. On-line Application Forms of this PSP. Detailed instructions for completing each form can be found on the forms themselves.

3. *Proposal and Budget Composition, Upload and Verification.* Proposals may be prepared using the word processing software of your choice. Proposal documents and detailed budgets must be converted to Adobe PDF prior to uploading. Instructions for .PDF conversion and uploading are available through the PSP website. Once the proposal document or budget have been accepted into the website, the registered user will be asked to verify the proposal or budget by viewing it directly from the website and checking the “Proposal Complete” or “Budget Complete” box to acknowledge that the document was submitted as intended.

4. *Fax Signature Page.* The signature page must be printed, signed, and faxed to the number on the page by the submittal deadline.

#### **E. On-line Application Forms**

Summary information on each of the on-line application forms is provided below. Detailed information and instructions can be found the forms themselves. The forms can be accessed by logging into the PSP web-site at <https://solicitation.calwater.ca.gov>. Forms may be completed incrementally; you need not complete the process during a single session, and may therefore provide information over multiple sessions as needed. The following on-line forms must be completed:

- Project Information and Executive Summary
- Contacts and Project Staff
- Conflict of Interest

- Task and Budget Summary
- Detailed Budget Upload and Justification
- Schedule of Deliverables
- Proposal Document Upload
- Signature Page

**Project Information and Executive Summary** - This form gathers basic information about the your project and its location, and requires you to insert an Executive Summary for your project. The Executive Summary needs to be a concise and informative stand-alone description of your proposed project.

**Contacts and Project Staff** – This form provides information on the principal and supporting project participants, including administrators, consultants, subcontractors, and vendors. This information is linked to and supports other forms, including the Conflict of Interest and Task and Budget Summary forms.

**Conflict of Interest** - This form assists the Science Program in assigning reviewers to avoid conflicts of interest between applicants, co-applicants, or subcontractors and reviewers (see section III.C. Confidentiality and Conflict of Interest for policy details).

**Task and Budget Summary** - List major tasks and the time to complete them (in months from the date the project’s grant agreement is executed), and a budget total for each task. Because funding may be awarded for only a portion of the proposal, you should organize tasks and subtasks that may be funded separately. The total of all task budgets should equal the total entered in the Project Information form and your uploaded Detailed Budget (described below).

**Detailed Budget Upload and Justification** – This form consists of two sections:

*Section 1 - Budget Format and Upload* - The first section provides information on what should be included in your detailed budget such as costs and pay rates of personnel, information on subcontractors, benefits, equipment, travel, operating expenses, etc. Use this information to construct a budget in the software of your choice. Some guidance on the budget, such as breaking it down into tasks, is included in this form and required in the format, but many format decisions are left up to you. However, if it is not abundantly clear to reviewers what project costs are commensurate with what efforts and benefits, the proposal may receive a poor review and denied funding. When you complete your budget you must convert it to .PDF and upload it to the website. The detailed budget total should exactly match the budget totals in the Task and Budget Summary and the Project Information forms.

*Section 2- Budget Justification and Matching Funds* – this section provides prompts to enter other funding commitments including matching funds (if any), and space to justify all aspects of your budget. Projects can be multiyear efforts but may not exceed three years.

**Schedule of Deliverables** - List key deliverables and the time to complete them (in months from the date the project’s grant agreement is executed). The required minimum deliverables are:

- Semi-annual reports
- Final Report
- 1 page project summary for public audience at beginning of project

- 1 page project summary for public audience upon project completion
- Project closure summary report or copy of draft manuscript
- Presentation at CALFED Science Conference
- Presentations at other events at request of CALFED Science Program staff
- Copy of all published material resulting from the grant

**Proposal Document Upload** - This form allows you to upload your .PDF version of your proposal document (described below) to the PSP website.

**Signature Page** - Your proposal will not be considered complete until a signature page is received. The signature page must be signed by a representative of your organization or agency who is authorized to enter into a contractual agreement with the State of California. Print this page from the website, sign it, and fax it to the number listed on the form by the proposal submittal deadline. (Other information faxed to the helpline will not be considered and will be discarded.) This page is used to verify that you intended to submit your proposal and that you agree to the conditions of the grant solicitation and review process.

## **F. Proposal Document Outline and Format**

**Proposal Document Outline** – The proposal document is comprised of the written text and images that will be uploaded to the website via the Proposal Document Upload form described above. Successful proposals will be well-written, accurate, and concise. The proposal document should follow the outline below. You need to make sure all of the components within the outline are clearly incorporated and identified in your proposal document to assist reviewers in evaluating your proposal; a table of contents in the proposal document might facilitate this review process. You should read the Proposal Review and Selection section of this PSP (section IV) prior to writing your proposals to familiarize yourself with the criteria that will be used for proposal evaluation.

*1. Project Purpose* — Describe the purpose of your project. This section should include:

- the identification of the problem, question(s) or critical unknown(s) that your proposed effort is designed to address;
- your project goals, objectives, and how they relate to the problem, question(s) or critical unknown(s) you propose to address;
- the clearly stated hypothesis you will be testing to achieve your goals and objectives;
- a description of relevant studies or other information that documents the problem and unknowns, substantiates the goals and objectives, and includes the ways this problem has been addressed locally and elsewhere.

*2. Background and Conceptual Models* – this section should include all necessary background information not covered in the Project Purpose section above. A conceptual model should be provided that clearly explains the underlying basis of the knowledge that will support the proposed work. Models can be presented graphically or as a narrative. A description of the project’s physical setting, with maps or photographs if appropriate, should be included.

*3. Approach and Scope of Work* — Describe the approach you will undertake to address your project’s objectives. Include specific information about methods and techniques, equipment and facilities, data collection, statistical analysis and quality assurance procedures as applicable. Provide narrative detail about the tasks and schedule listed on the Task and Budget Summary form (on-line). Clearly indicate which tasks are contingent upon other tasks and which tasks can be done separately; this information is necessary in case only part of the project is funded. Elaborate on expected deliverables that your project will produce and submit. Deliverables can include presentations, workshops, seminars, educational programs, project summaries, web-sites, reports, and publications. This section should fully describe the proposed deliverables you list in the Schedule of Deliverables form (on-line). (Some good examples of proposal approaches broken down by task are evident in successful proposals from the Science Program 2004 PSP available through the website at [http://science.calwater.ca.gov/psp/psp\\_package\\_2004.shtml](http://science.calwater.ca.gov/psp/psp_package_2004.shtml))

*4. Feasibility* — Show how your proposed project is both feasible and appropriate for the proposed work. Demonstrate how the work you’ve outlined in your proposal can be completed within no more than three years given reasonably foreseeable constraints (e.g. weather conditions or permitting). Thoroughly address any contingencies or requirements such as dependence upon the outcome or timing of other projects or programs, upon natural or operational conditions, and on environmental compliance or permitting processes. Explain the current status of each permit or agreement, as well as any other constraints that could impact the schedule and your ability to complete your project. Describe how project management decisions will be coordinated.

*5. Relevance to the CALFED Science Program*

*Relevance to this PSP* - Describe how your proposal directly meets one or more of the needs identified in the Priority Research Topic List of this PSP. Identify all “questions to be addressed by the research” and “key components” from the Topic List that your proposal addresses and incorporates. Summarize other questions your proposal may answer that, although not found in the Topic List, address a need from the Topic List. Describe how your proposal meets other priorities described in section II of this PSP such as the need for synthesis, integration, collaboration and models.

*Relevance to CALFED Issues Outside this PSP* - If applicable, explain how your proposal addresses Science Program needs not mentioned in this PSP. Describe how the project will link back to or complement larger CALFED goals and efforts. Identify any synergistic, CALFED-wide benefits, including how your proposal complements projects or programs in other areas within the Bay-Delta system. Explain any relationship between your proposal and past CALFED actions or investments.

*6. Qualifications* - Briefly describe how the participants identified in your Contacts and Project Staff form provide the range of experience and expertise needed for your project. (If appropriate, highlight relevant field experience, completed projects, published reports, or other materials not adequately captured in the Contacts and Project Staff form). Specify individual roles and responsibilities for technical, administrative, and project management activities that are not described in the Contacts and Project Staff form. Describe the organizational structure for the staff and other resources. For projects using consultants or subcontractors, briefly describe how they were selected and why. A subcontractor role exceeding a quarter of the total project budget should be fully explained and clearly justified.

*7. Literature Cited* - All proposals must include a list of references for all research studies, project reports, scientific reports or other supporting information cited in the proposal. Reference information should follow accepted scholarly practices.

**Proposal Document Format** – There are some formatting considerations that you need to keep in mind in order to successfully upload and submit your proposal document.

*Page limits* - The proposal text should be no more than 20 pages, excluding literature cited, maps, photographs, figures, and tables. You may *not* include attachments; it is essential that you present all critical information in the body of your proposal.

*File size* - The PSP website includes links to tools to help you manage the size of the file containing the proposal document. Please contact the helpline early if you anticipate submitting a file greater than 2 MB. Large files are difficult to upload and sometimes cannot be viewed readily by reviewers or others who lack high-speed Internet connections.

*Format* - Body text must be 12 point in a readable typeface; text in tables and figures must be no smaller than 10 point in a readable typeface. Headings must be at least 14 point, but no larger than 18 point, bold typeface, flush left. Page margins are to be between three-quarters and one inch on all sides. All proposal pages, including diagrams, must be readable when printed on 8.5 x 11-inch paper.

*Submission Format* - You must submit your proposal as a .PDF file.

*Maps, Photographs, Figures, and Tables.* Each map, photograph, figure, or table needs to be individually numbered and clearly titled. If you need help in incorporating these graphics into your proposal for submission as a .PDF, please ask for assistance through the helpline at (877) 408-9310 or by e-mailing [help@solicitation.calwater.ca.gov](mailto:help@solicitation.calwater.ca.gov)

*Page Numbering* - Each page of the proposal needs to be numbered sequentially.

## **G. Collaborative Proposals**

Grant agreements will be made with only one eligible lead applicant, so the proposal needs to clearly state which applicant will sign the agreement. This organization will be responsible for payments, reporting, and accounting. Other collaborators in the project will typically be subcontractors to the lead applicant but should be identified, if known, in the application forms and proposal document. You must document that the lead institution will be able to execute all subcontracts in a timely manner. Your proposal must explain how the collaboration will work, including how decision-making authority and liability is to be allocated. Your proposal must also identify the tasks or sub-tasks that will be performed by the different entities. The names of known subcontractors must be identified. When subcontractors are identified, explain briefly how they were selected, and why. The Science Program is aware that some subcontractors may not be known until after the proposal is selected for funding and subcontracts are put out for competitive bidding, as required by California State law. You should include the estimated costs of subcontract work and any costs for managing subcontractors in your proposal. A

subcontractor role exceeding a quarter of the total project budget should be fully explained and clearly justified.

#### **H. Deadline**

The deadline for completing and submitting your proposal to the website is 5:00 p.m. Pacific Daylight Time on August 31, 2006. Proposals submitted after this time will *not* be considered. You are strongly advised to submit your proposal well before the deadline; this deadline is firm and will not be extended due to the slow connections speeds or last minute questions that typically occur in the hours preceding the deadline.