

## RESOURCE MATCHING FOR RESEARCH

**Prepared For:**

Utah Department of Transportation  
Research Division

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This report was prepared by T. Y. Lin International for the Utah Department of Transportation Division of Research. Contributions were received from the UDOT Research Staff.

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## **INTRODUCTION**

This report outlines a process to leverage UDOT Research Division projects and programs by sharing (pooling) funding from other divisions, regions, and organizations. This includes hard match funding in the form of dollars, and soft match funding in the form of labor, materials, new products, software, and other project needs.

The process will include the required documents, such as a Memorandum of Understanding (MOU), to obtain commitments from all stakeholders to ensure that the resources promised for the project will be delivered. These memorandums could be with region personnel, division staff, university experts, private sector managers, or material suppliers.

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## TASKS

The following tasks were completed by T Y Lin International in conjunction with the UDOT Research Staff to fulfill the objectives of the project:

- Compile information from all key partners and stakeholders related to funding opportunities.
- Identify methods to solicit help from other groups to enhance research projects. This could include both hard funding and soft match contributions.
- Develop guidelines and create a process for assembling funds and other resources on research initiatives.
- Develop criteria and forms needed to establish MOUs between project stakeholders and the Research Division.
- Coordinate with UDOT Research Staff to develop a plan for implementing the processes developed in this study for the Regions and other Divisions.
- Establish and plan a demonstration project.

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# ADVANTAGES AND DISADVANTAGES OF USING MULTIPLE FUNDING SOURCES

## 1.1 Advantages

Compiling funds from various sources certainly can enable the UDOT Research Division to carry out an expanded program. More projects can be funded and/or larger scopes can be achieved using this strategy.

Specialists from a wider range of expertise can be focused on research initiatives. A more extensive and more informed Technical Advisory Committee (TAC) may be assembled when multiple funding sources are included.

Pooling funds from multiple sources can result in a more complete sense of ownership of the deliverables by the stakeholders and end-users. These experts and managers usually have a higher level of commitment when their resources are dedicated to the project.

## 1.2 Disadvantages

When multiple funding sources are used on a research initiative, the accounting processes can become somewhat complicated and time-consuming. For this reason, it is recommended that specific aspects of the work be funded with a specific funding source when possible. For example, the costs associated with the placement of a test section or laboratory testing could be funded from one funding source and the evaluation of the data from another. In this way, the funding does not become intermingled and complicated. Multiple stakeholders can confound the objectives of the project or result in scope creep during the course of the study. These experts often feel that their financial contribution to the project gives them the influence to add tasks to the work plan. The project manager should conduct a strong discussion about avoiding adding tasks and scope creep during the project. These discussions should be added to the agenda for the first few TAC meetings and during any subsequent meetings when needed.

The risk of losing resources dedicated to a project can be increased by relying on numerous contributors. If a fatal flaw in the project plan results from one of the partners defaulting on their commitment, the Research Division may lose the resources expended on the project up to that point. This risk may be reduced by obtaining MOUs from each stakeholder to formalize the commitment of funding, manpower, or materials for the project (see Appendix C for examples of MOUs). When the funding is very significant it is advisable to get a written commitment from more than one level of management within each organization.

Some funding agencies require matching funds from UDOT prior to project approval. This can impact the research budget.

During the concept development stage of each project, careful consideration should be given to whether a multiple-fund approach is practical for the undertaking. Care should be taken to minimize any disadvantages during the planning of the project. Increased accounting effort in some instances may override any benefits to a project when small amounts of funding are contributed by a stakeholder. Monitoring, transferring, and justifying transfers of small amounts of a group's budget may exceed the amount transferred. In these instances it is advisable to encourage the partner to contribute to the project through a soft match commitment. Getting the work completed without the actual exchange of funding often is much preferred to the project manager and research administrators. This is a form of bartering between stakeholders to meet the overall objectives of a project.

## **SOLICITATION OF NEW PARTNERS AND FUNDING SOURCES**

Some groundwork may be appropriate to establish working relationships with key partners in the transportation community. A few of the more prominent stakeholders are:

Region Personnel  
Division Experts  
Other DOTs  
Other State Agencies  
Federal Agencies  
Universities (UTCs and other)  
LTAP Center  
Metropolitan Planning Organizations (MPOs)  
Product Vendors and Suppliers  
Private Sector Partners

Annual visits to these partners can be beneficial to strengthen the relationships with these groups. It is important for the UDOT Research Division to be available when problems arise or desired advancements become evident for these stakeholders. Visits to national level partners can be planned during TRB or other national conferences.

Funding from cross-cutting sources is highly beneficial when dealing with cross-cutting topics. Over time, more and more issues are cropping up in transportation agencies in alternative areas than ever before. Some examples of these issues are as follows:

Wetland mitigation and banking  
Wildlife crossing management  
Air quality issues  
Multi-modal advancement  
Light rail issues  
Commercial vehicle safety and operations  
Rails to trails programs  
Noxious weeds mitigation  
Fiber optic routing  
River crossing hydrology

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## **FUNDING SOURCES- HARD MATCH**

Federal State Planning and Research (SPR) Funds

State Matching Funds

State Research Funds

NCHRP Funding

NCHRP Project

IDEA Funding

NCHRP Synthesis

TIG Topic

Safety Innovation Deployment Program

Congestion Exploratory Advanced Research

Special Federal Funds

University Transportation Center (UTC) Funds

Local Transportation Assistance Program (LTAP) Center Funds

Other Utah State Agency Funds

DOTs in Other States

Construction Project Funds

University Budgets

Contractor Contributions

Product Vendor Contributions

Materials Supplier Contributions

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## **FUNDING SOURCES- SOFT MATCH**

UDOT Division Labor  
UDOT Region Labor  
University Expert Labor  
Private Sector Labor  
Vendor Products  
Materials  
Software

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## **REGION AND DIVISION STAFF PROJECT MANAGER PROGRAM**

The Department should consider the use of region experts and division personnel to aid in the management of small research projects and experimental projects. This Region and Division Research Project Manager Program would have many benefits to both UDOT experts and the Research Division. Use of this concept will be more effective for projects that are very practical in nature, and are intended to develop applied research deliverables.

A long term goal of the Utah Department of Transportation is to expand the technical knowledge of its professional workforce. The Research Division has a role in achieving this goal through technology transfer, networking of experts, cross-training, and program team building.

One way to contribute to this goal is to encourage UDOT experts to invest a portion of their time learning state-of-the-practice techniques and improving the way they do business. A close relationship with the Research Division can aid in this effort.

For region personnel, close involvement with a new technology and on the job training are crucial in the implementation process. When new methods are needed, the Department should consider involving key personnel in the research effort. When full project manager duties are not practical, the expert may be asked to act as a co-manager for the project. This intimate involvement is the best way to introduce the end-users of the methods to the technology and create an attitude and environment of ownership.

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# **GUIDELINES FOR THE RESOURCE MATCHING**

## **1.3 Region Contributions**

When a region is being considered as a contributor to a project, the following questions should be asked:

- Is the topic of high interest to the Region?
- Are there project funds available in the region for pooling with Research funding for the evaluation of the topic?
- Are region experts willing to contribute manpower or other resources to the project using region budgets?

## **1.4 Division Contributions**

When a division is being considered as a contributor to a project, the following questions should be asked:

- Does the topic align with the goals of the Division?
- Are there funds in the division budget available for pooling with Research funding for the evaluation of the topic?
- Are division experts willing to contribute manpower to the project using division funding?

## **1.5 University Contributions**

When a university is being considered as a contributor to a project, the following questions should be asked:

- Does the topic align with the goals of the institution?
- Will the advancement of the state-of-the-art contribute to the university?
- Are there teaching opportunities related to the project or deliverables?
- Are there funds in the university budget available for pooling with Research funding for the evaluation of the topic?
- Are academic experts willing to contribute manpower to the project using institution funding?

## **1.6 Contractors, Consultants, and Product Vendor Contributions**

When a company from the private sector is being considered as a contributor to a project, the following questions should be asked:

- Are company funds available for pooling with Research funding for the evaluation and promotion of the topic?
- Is the company willing to contribute services, products or materials to for the evaluation of the topic?
- Are these experts willing to contribute manpower to the project using company funding?

## **USING PRODUCT EVALUATION TO OBTAIN SOFT MATCH CONTRIBUTIONS**

Successful projects and programs have been planned and completed using products from vendors or material suppliers to obtain resources for examination. Often suppliers will donate the products at no charge particularly when their competitors are committed to participating in the project. This is especially beneficial when big ticket items or safety related products are the focus of the project.

These product or materials evaluations present opportunities to assess innovative methods, materials, and products in a more efficient way. This is through the use of one test section or a single series of laboratory testing to evaluate many products or materials. This strategy provides a direct, side-by-side comparison of products. The use of these sub-programs within the research program can accomplish this in a number of ways:

1. Reduced manpower and travel time for both placement and evaluation.
2. Eliminate variation in factors such as traffic loading, environmental conditions, and various highway location issues.
3. Reduce laboratory testing costs by performing tests in a single series.
4. Treat highway facilities using private sector contributed products.

Some examples of these products and materials include the following:

- Pavement marking materials
- Delineator buttons
- Sign materials
- Chip seal binders and aggregates
- Bridge deck sealing systems
- Crack sealing materials
- Joint sealing systems
- Pavement texturing types
- Traffic control devices
- Crash attenuators
- Culvert types

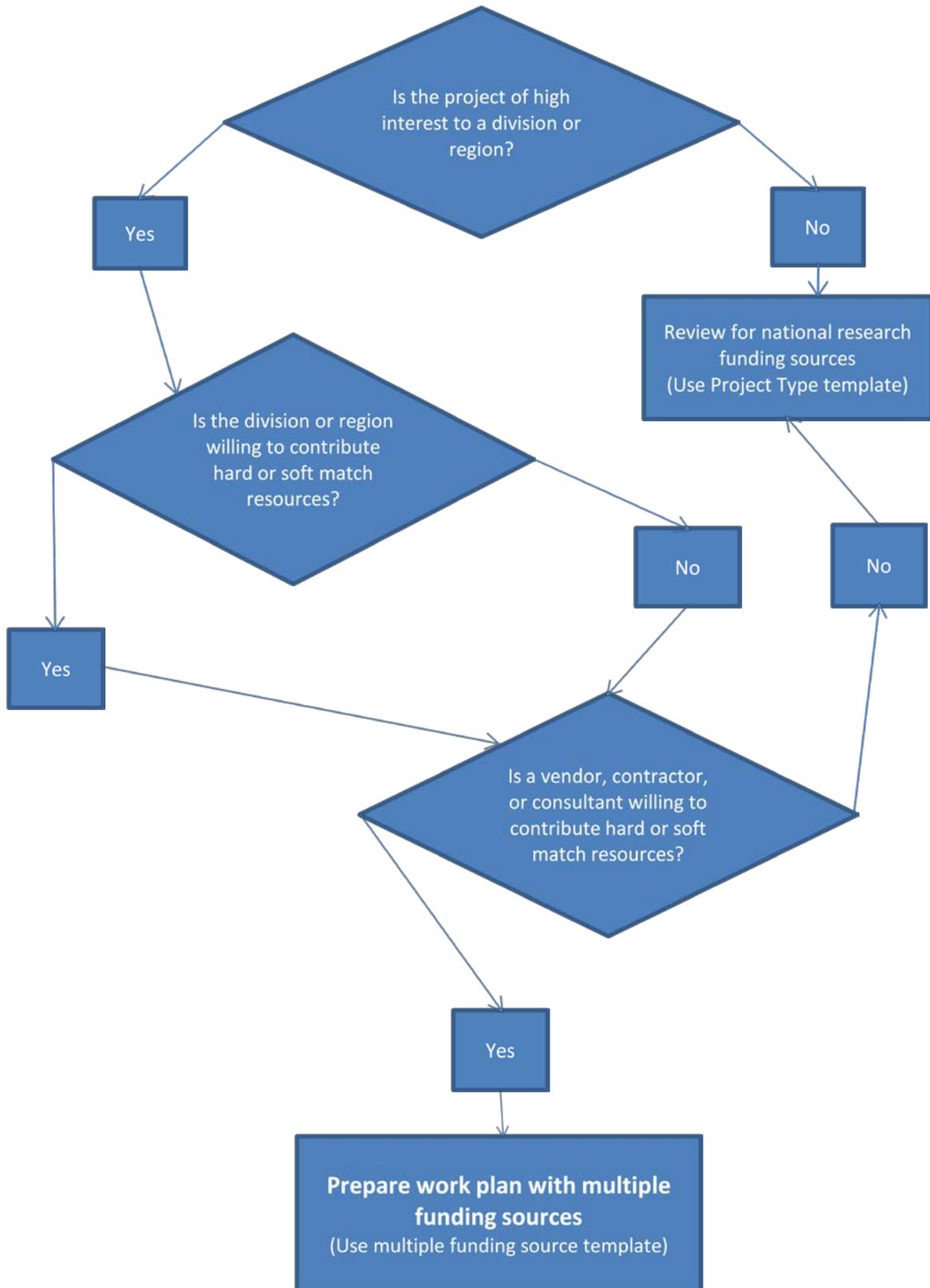
Getting a product listed on the Approved Product List has a high priority for these businesses and vendors. Material suppliers are very interested in the specifications that come from a research test section or laboratory testing that qualify their material for use on UDOT projects and facilities.

Calculations have shown that the value of donated products and materials can exceed the total hard dollar cost of the project. Some minimum standards for acceptance into the project are recommended to reduce the chance for very early failures of some products.

## **PROJECT FUNDING FLOW CHART**

A flow chart is provided on the following page to aid in the selection of funding and other resources from within UDOT groups and regions. If the criteria included in the chart indicate that pooling of funds, manpower or materials for research projects, a draft work plan for the project can be created using the Funding Selection Template provided

## PROJECT FUNDING SELECTION FLOW CHART



## **MULTIPLE FUNDING SOURCE WORK PLAN TEMPLATE**

A work plan template is provided in Appendix A to aid in the preparation of the detailed work plan when multiple funding sources are utilized. Use of this template and the instructions within the document should be used by the project manager or the principal investigator when preparing the plan for review by the TAC

This template offers instructions on how to assign the tasks outlined in the plan to various partners and stakeholders. It encourages a separation of funding, manpower, and materials for each partner. It also outlines separation of each deliverable and implementation plan for each expert contributing any resources to the project.

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## **NATIONAL AND STATE FUNDED TESTBEDS**

Innovative projects or products can have a wide scope of interest and implementation potential. The establishment of national, state level, or private sector funded testbeds is a valuable way to attract resources to a technology and promote the use of the concept nationwide.

These testbeds have been successful in the past. An example in Utah is the I-15 National Testbed in Salt Lake County. Approximately \$4.5 million was dedicated to 34 research projects on topics such as retrofit of bridge columns, innovative wall structures, rapid soil settlement methods, Geofoam fills, bridge pushover destructive testing, and many others. The Colorado DOT organized a testbed on retaining wall comparisons in Glenwood Springs Canyon on I-70.

The Research Division should look for opportunities to promote testbeds as part of innovative projects in the State. These initiatives often bring funding or other resources to the program for evaluation, demonstration, and implementation of the concepts.

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## **DEMONSTRATION PROJECT**

A demonstration project should be initiated to illustrate the benefits of a multiple resource project scenario. The project could combine resources from the Maintenance and Planning Divisions, for example, to provide crash data for use in maintenance program decision-making (see Appendix B). This demonstration will show how the methods described in this document can be employed.

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## CONCLUSIONS AND RECOMMENDATIONS

1. The administrators of the Research Division should explore adding supplemental funding sources whenever possible to enhance their capability to conduct research projects and promote development programs under their direction.
2. The pooling of resources to fund research initiatives can be beneficial under certain circumstances. The advantages and disadvantages of utilizing both hard match and soft match funding should be weighed when planning and programming projects. Some projects could be approved subject to the availability of alternative funding sources.
3. When multiple funding sources are used for a project, care should be taken to assign specific tasks to each funding partner where possible. This simplifies the accounting process significantly, and aids in monitoring the work throughout the project.
4. Annual visits should be planned with each major partnering group or agency. These visits can be used to determine the research needs of these groups, and strengthens the association with these potential stakeholders and funding sources.
5. The Research Division should investigate partnerships with non-transportation agencies that work in business areas that have similar objectives with UDOT's strategic goals. These potential partners can bring funding to a project that relates to a cross-cutting topic that is common to both agencies.
6. Consideration should be given to implementing a Region and Division Staff Project Manager Program. Utilizing experts from other groups to manager certain research projects can save funding from the research budget, aid in implementing the project findings, and promote cross-training within the Department workforce.
7. The Research Division should promote testbeds as part of innovative projects in the State. These initiatives often bring funding or other resources to the program for evaluation, demonstration, and implementation of the concepts.
8. The endorsement of projects that conduct the side-by-side comparison of products, materials, and methods should be encouraged. These sub-programs are very efficient, and encourage private sector companies to contribute resources to the Department.
9. Project managers should utilize the flow chart provided to determine if multiple funding is viable. This chart reflects the interest of region, division, university, and private sector experts.
10. If it is determined that more than one funding source is appropriate for a project, the work plan should be prepared using the Multiple Funding Source Project Work Plan Template.

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## **IMPLEMENTATION**

1. A formal presentation should be given to the Research Staff to fully explain the concepts described in this report, and foster an open discussion about their use.
2. A PowerPoint presentation will be prepared and delivered to the Research Key leaders for future use in implementing these concepts.
3. The demonstration project outlined in this document should be initiated to illustrate the use of the methods proposed in this document.

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# APPENDIX A

## PROJECT WORK PLAN TEMPLATE

### With Multiple Funding Sources

**Project Title:**

**Project Description:**

**Objectives of the Project:**

**Tasks:**

*Include responsible party for each task*

**Project Budget:**

*List only hard dollar funding in the budget summary*

	<b>Principal Investigator</b>	<b>Other Experts</b>	<b>Technician</b>	<b>Intern</b>	<b>Admin. Support</b>	<b>Totals</b>
Hours						
Hourly Rate	\$	\$	\$	\$	\$	
Direct Labor	\$	\$	\$	\$	\$	\$
Overhead						\$
<b>Subtotal</b>						<b>\$</b>
Direct Expenses						\$
<b>Total</b>						<b>\$</b>

<b>Budget</b>						
---------------	--	--	--	--	--	--

**Summary of Funding, Manpower and Materials Sources:**

*List all stakeholders- include all hard and soft match resources committed by each partner*

*The total of the hard match resources must equal the total in the budget table*

Research Division Funding Commitment: \$\_\_\_\_\_.

Division/Region Funding Commitment: \$\_\_\_\_\_ or \_\_\_\_\_ man-hours

Private Sector Funding Commitment: \$\_\_\_\_\_ or \_\_\_\_\_ man-hours or \_\_\_\_\_ Materials (include description)

**Schedule:**

*Where necessary define deadlines for each task- include in MOU*

**Project Deliverables:**

*List all deliverables and the responsible stakeholder for each product.*

*These could include:*

- |                               |                            |
|-------------------------------|----------------------------|
| Executive Summary             | Workshops & Demonstrations |
| User's Manual                 | Web page                   |
| Training Sessions & Materials | Experimental Feature       |
| Policy & Procedures           | Demonstration Projects     |
| Specifications                | Laboratory Test Methods    |
| Software                      | Performance Measures       |

**Implementation Strategy and Plan:**

*List the implementation commitments for each stakeholder*

**Sole Source Justification (when required)**

*List why the PI:*

*1-Is the best or only expert available,*

*2- The topic is intellectual property, and/or*

*3- The PI was selected from the Consultant Pool*

**Instruction and Guidelines for RFQ Solicitation (when required)**

*List the desired resources and proposed outcome for the project for a successful Principal investigator*

**APPENDIX B**

**DEMONSTRATION PROJECT WITH THE DIVISIONS**

**OF MAINTENANCE AND PLANNING**

**Concept and Objectives:**

This project has two major sets of objectives:

- 1- Deliver crash data to key maintenance personnel to aid in the planning of maintenance activities
  - a. Develop and deliver crucial crash type data for each pavement section for use at Semi-Annual Inspections
  - b. Develop and distribute snow and ice related data for use in preparing Snow Removal Plans for each Maintenance Station
- 2- Demonstrate the concept of utilizing multiple funding sources to accomplish research initiatives

**Tasks:**

The following tasks will be accomplished to meet the study objectives listed above:

- 1- Form a TAC to provide oversight to the project
- 2- Determine the key crash data needed for decision-making and activity planning at semi-annuals
- 3- Develop funding agreements to pool resources (hard and soft match) to complete the project. This could include the Research Division, Maintenance Division, Planning Division, and region personnel.
- 4- Develop a one page data sheet for each pavement section for use at semi-annual inspections
- 5- Deliver a set of potential actions that could be considered to reduce crashes at critical locations

- 6- Determine which data types and delivery formats needed to fine-tune snow removal plans in the regions
- 7- Develop a package of information using snow and ice crash data for use in planning snow removal programs in the regions. This information will identify clusters, accident rates, accident severities, and crash type summaries (run off the road, turning movements, objects hit, vehicle types, etc.)

**Schedule:**

The project will be started on July 1, 2011 and completed by December 31, 2012. This will insure that the deliverables will be available to maintenance personnel for three semi-annual inspections, and two winter maintenance planning cycles.

**Demonstration Project Deliverables:**

The following deliverables will be developed in the project:

- 1- A Final Report describing how the tasks were completed and how the deliverables were created
- 2- Software that will isolate the needed data sets for inclusion in the pavement section crash data tables
- 3- A Crash Data Table for each pavement section for use at Semi-Annual Inspections
- 4- A template for snow and ice data delivery for use in Snow Removal Plans
- 5- Snow and ice related information packages will be produced for each maintenance station

## **APPENDIX C- EXAMPLES OF MOUS**

# MEMORANDUM OF UNDERSTANDING (MOU)

Between

\_\_\_\_\_ *[insert name of Party A]*

And

\_\_\_\_\_ *[insert name of Party B]*

This is an agreement between “*Party A*”, hereinafter called \_\_\_\_\_ and “*Party B*”, hereinafter called \_\_\_\_\_.

## **I. PURPOSE & SCOPE**

The purpose of this MOU is to clearly identify the roles and responsibilities of each party as they relate to....

In particular, this MOU is intended to:

*Examples:*

- *Enhance*
- *Increase*
- *Reduce costs*
- *Establish*

## **II. BACKGROUND**

*Brief description of agencies involved in the MOU with mention of any current/historical ties to FSP nutrition education.*

## **III. [PARTY A] RESPONSIBILITIES UNDER THIS MOU**

*[Party A] shall undertake the following activities:*

*Examples:*

- *Develop*
- *Deliver*
- *Share*
- *Support*
- *Provide*
- *Promote*
- *Refer*
- *Review*
- *Comply*
- *Train*
- *Maintain records*
- *Sponsor*
- *Evaluate*

**IV. [PARTY B] RESPONSIBILITIES UNDER THIS MOU**

[Party B] shall undertake the following activities:

Examples:

- Develop
- Deliver
- Share
- Support
- Provide
- Promote
- Refer
- Review
- Comply
- Train
- Maintain records
- Sponsor
- Evaluate

**V. IT IS MUTUALLY UNDERSTOOD AND AGREED BY AND BETWEEN THE PARTIES THAT:**

1. Modification
2. Termination

**VI. FUNDING**

This MOU *does (does not)* include the reimbursement of funds between the two parties.

**VII. EFFECTIVE DATE AND SIGNATURE**

This MOU shall be effective upon the signature of Parties A and B authorized officials. It shall be in force from October 1, 2\_\_\_\_\_ to September 30, 2\_\_\_\_\_.

Parties A and B indicate agreement with this MOU by their signatures.  
Signatures and dates

[insert name of Party A] [insert name of Party B]

\_\_\_\_\_ Date

\_\_\_\_\_ Date

## **A Detailed List of Aspects to Include in an MOU**

- The date of the Memorandum of Understanding.
- Describing the situation of the parties involved and how they relate to each other.
- What services each party contributes to the deal before, during and after the arrangement.

### **Communication Details**

- The names and contact information of each party.
- Any probationary or trial period.
- Any set dates to review activity, performance, or satisfaction with the arrangement.
- What parts of this arrangement are open to change or negotiation and how.
- What aspects of the arrangement should require formal notification and how.
- How disputes will be settled.

### **Compensation Details**

- Who handles the money and how.
- How people are paid (who pays who, by what method, in what currency).
- When people are paid (the same day every month, immediately after the transaction).
- How much people are paid (flat fee, a percentage of the sale, if so, does this include tax, a percentage of the profit and if so, what are the applicable costs and how much are they, on all customers, on certain customers and if so, how is sales are tracked and reported).
- How long people are paid (for the initial sale of a customer, for the lifetime of the customer's business, for the duration of the contract, for 6 months after the contract ends).

### **Term of Agreement**

- When the agreement starts (on a certain date, during a limited event, as soon as a sale occurs).
- How long it lasts (for a certain period, indefinite until someone ends, at the end of an event).
- How the agreement is terminated (by one or both parties, under what circumstances, how the end is carried out.)
- What happens at the end of or after the agreement.

### **Miscellaneous**

- Any restrictions to either party
- Any disclaimer statements
- Any privacy statements (such as revealing the sales amount, but not information about the customers)

A place for all parties to sign the agreement.