

**UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE**

OMB Approved 0524-0022
Expires 5/31/98

FOR CSREES USE ONLY		APPLICATION FOR FUNDING	
PROGRAM AREA CODE	PROPOSAL CODE		
1. LEGAL NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE		3. NAME OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE	4. a. PHONE NUMBER (Include Area Code) b. FAX NUMBER c. INTERNET ADDRESS
2. ADDRESS (Give complete mailing address and Zip Code-including County)		5. ADDRESS OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE (If different from Item 2.)	
6. TITLE OF PROPOSED PROJECT (80-character Maximum, including spaces)			
7. PROGRAM TO WHICH YOU ARE APPLYING (Refer to Federal Register Announcement where applicable)		8. PROGRAM AREA AND NUMBER (Refer to Federal Register Announcement where applicable)	
9. IRS NO.	10. CONGRESSIONAL DISTRICT NO.	11. PERIOD OF PROPOSED PROJECT DATES From: Through:	12. DURATION REQUESTED
13. TYPE OF REQUEST (Check only one) <input type="checkbox"/> New <input type="checkbox"/> Renewal <input type="checkbox"/> Supplement <input type="checkbox"/> Resubmission <input type="checkbox"/> Continuing Increment <input type="checkbox"/> PI Transfer [PRIOR USDA Award No. _____]			14. FUNDS REQUESTED (From Form CSREES-55)
15. PRINCIPAL INVESTIGATOR(S)/PROJECT DIRECTOR(S) a. PI/PD #1 Name (First,Middle,Last) SS #* (Correspondent PI) b. PI/PD #2 Name (First,Middle,Last) SS #* c. PI/PD #3 Name (First,Middle,Last) SS #*		16. a. PI/PD #1 PHONE NUMBER (Include Area Code): b. FAX NUMBER: c. INTERNET ADDRESS: 17. PI/PD #1 BUSINESS ADDRESS (Include Department/Zip Code)	
*Submission of the Social Security Number is voluntary and will not affect the organization's eligibility for an award. However, it is an integral part of the CSREES information system and will assist in the processing of the proposal.			
18. TYPE OF PERFORMING ORGANIZATION (Check one only) 01 <input type="checkbox"/> USDA/S&E Laboratory 02 <input type="checkbox"/> Other Federal Research Laboratory 03 <input type="checkbox"/> State Agricultural Experiment Station (SAES) 04 <input type="checkbox"/> Land-Grant University 1862 05 <input type="checkbox"/> Land-Grant University 1890 or Tuskegee University 06 <input type="checkbox"/> Private University or College 07 <input type="checkbox"/> Public University or College (Non Land-Grant) 08 <input type="checkbox"/> Private Profit-making 09 <input type="checkbox"/> Private Non-profit 10 <input type="checkbox"/> State or Local Government 11 <input type="checkbox"/> Veterinary School or College 12 <input type="checkbox"/> 1994 Institution 13 <input type="checkbox"/> Individual 14 <input type="checkbox"/> Other (Specify) 15 <input type="checkbox"/> Hispanic-serving Institution		19. WILL THE WORK IN THIS PROJECT INVOLVE RECOMBINANT DNA? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, complete Form CSREES-662)	
		20. WILL THE WORK IN THIS PROJECT INVOLVE LIVING VERTEBRATE ANIMALS? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, complete Form CSREES-662)	
		21. WILL THE WORK IN THIS PROJECT INVOLVE HUMAN SUBJECTS? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, complete Form CSREES-662)	
		22. WILL THIS PROJECT BE SENT OR HAS IT BEEN SENT TO OTHER FUNDING AGENCIES, INCLUDING OTHER USDA AGENCIES? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, list Agency acronym(s) & program(s))	
SIGNATURE OF PRINCIPAL INVESTIGATOR(S)/PROJECT DIRECTOR(S) (All PI's/PD's listed in block 15 must sign if they are to be included in award document.)			DATE
SIGNATURE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE (Same as Item 3)		TITLE	DATE

**UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE
NATIONAL RESEARCH INITIATIVE COMPETITIVE GRANTS PROGRAM**

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UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE
NATIONAL RESEARCH INITIATIVE COMPETITIVE GRANTS PROGRAM

OMB Approved 0524-0033
Expires 5/00

PROPOSAL TYPE

Principal Investigator(s):

PI #1 _____ Institution _____
PI #2 _____ Institution _____
PI #3 _____ Institution _____
PI #4 _____ Institution _____

- ☐ Standard Research Proposal
- ☐ Conference
- ☐ AREA Award
- ☐ Postdoctoral
- ☐ New Investigator
- Strengthening:
- ☐ Career Enhancement
- ☐ Equipment
- ☐ Seed Grant
- ☐ Standard Strengthening

Project Title: _____

Key Words: _____

(Approximately 250 words)

PROJECT SUMMARY

UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE
NATIONAL RESEARCH INITIATIVE COMPETITIVE GRANTS PROGRAM

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Conflict of Interest List

Name: _____

For each investigator (and other personnel as described in the application kit or program description), list *ALPHABETICALLY* the full names of *only* the individuals in the following categories. Additional pages may be used as necessary. *A conflict of interest list for each investigator must be submitted before a proposal is considered complete. Inclusion of a C.V. or publication list in the proposal is not sufficient.*

- ☐ **All co-authors** on publications within the past four years, including pending publications and submissions
- ☐ **All collaborators** on research projects within the past four years, including current and planned collaborations
- ☐ **All** thesis or postdoctoral *advisees/advisors* within the past four years
- ☐ **All** persons in your field with whom you have had a *consulting/financial arrangement/other conflict-of-interest* within the past four years

Other investigators working in the applicant's specific research area are not in conflict of interest with the applicant unless those investigators fall within one of the listed categories.

CO-AUTHORS	CO-AUTHORS	COLLABORATORS	ADVISEES/ADVISORS
			OTHER - SPECIFY NATURE

INSTRUCTIONS FOR COMPLETING FORM CSREES-55, BUDGET



NOTE: Unless a particular program announcement provides otherwise, each application must contain a budget for each year of support requested and a **cumulative budget** for the full term of requested CSREES support. (Remarks and budget item justifications should be submitted on separate pages following the budget.)

A. Salaries and Wages-Salaries of the principal investigator and other personnel associated directly with the project should constitute direct costs in proportion to their effort devoted to the research. Charges by academic institutions for work performed by faculty members during the summer months or other period outside the base salary period are to be at a monthly rate not in excess of that which would be applicable under the base salary and other provisions of the applicable cost principles.

Award funds may not be used to augment the total salary or rate of salary of project personnel or to reimburse them for consulting or other time in addition to a regular full-time salary covering the same general period of employment.

The submitting organization may request that senior personnel salary data not be released to persons outside the Government. In this case, the item for senior personnel salaries in the formal proposal may be expressed as a single figure and the work-months represented by that amount omitted. If this option is exercised, however, senior personnel salaries and work-months must be itemized in a separate statement, two copies of which should accompany the proposal. This statement must include all of the information requested on CSREES-55 for each person involved. The detailed information will not be forwarded to reviewers and will be held privileged to the extent permitted by law.

Under the **CSREES Funded Work Months** on the Form CSREES-55, show the actual number of months for which salary is being paid by USDA to individuals listed in Items A.1.a & b. (e.g., 2 PI's listed in A.1.a. on a 12-month project. One will spend 100% of time (12 mos.) and one will spend 50% of time (6 mos.) Total workmonths for A.1.a. would be 18 months.)

For other personnel (graduate students, technical, clerical, etc.), only the total number of persons and total amount of salaries per year in each category are required. Salaries requested must be consistent with the regular practices of the institution.

B. Fringe Benefits-If the usual accounting practices of the performing organization provide that the organizational contributions to employee "benefits" (social security, retirement, etc.) be treated as direct costs, award funds may be requested to defray such expenses as a direct cost.

C. Total Salaries and Benefits-

D. Nonexpendable Equipment-Nonexpendable equipment is defined as an item of property which has an acquisition of \$500 or more per unit, an expected life of 2 years or more, and does not lose its identity when joined or made a part of another piece of equipment. Organizations performing research with the support of a CSREES award are expected to have appropriate facilities, suitably furnished and equipped. Only under very unusual circumstances may award funds be requested for office equipment and furnishings, air-conditioning, automatic data processing equipment (ADPE), or other "general purpose" equipment which is usable for other than research purposes. This type of equipment requires special justification and prior approval from Grants Management Branch (GMB), or Agreements, Special, Projects Branch (ASPB) CSREES, as appropriate.

E. Materials and Supplies-The types of expendable materials and supplies required should be indicated in general terms with estimated costs.

F. Travel-The type and extent of travel and its relationship to the research should be briefly specified. Funds may be requested for field work or for travel to scientific meetings.

Travel in Canada, Puerto Rico, or the United States or its possessions is considered domestic travel. All other travel is considered foreign. If foreign travel is planned in connection with the research, the proposal should include relevant information (including countries to be visited) and justification. Travel and subsistence should be in accordance with organizational policy. Irrespective of the organizational policy, allowances for airfare will not normally exceed round trip jet economy air accommodations. Persons traveling under Federal awards must travel by U.S. flag carriers, if available, unless:

1. The traveler, while enroute, has to wait 6 hours or more and no U.S. flag carrier is available during this period, and
2. The flight by a U.S. flag carrier takes 12 or more hours longer than a foreign air carrier. (Air freight must also be under U.S. flag carriers.)

G. Publication Costs/Page Charges-Costs of preparing and publishing the results of research conducted under the award, including costs of reports, reprints, page charges or other journal costs, and necessary illustrations, may be included.

H. Computer (ADPE) Costs-The cost of computer services, including computer-based retrieval of scientific and technical information may be requested. A justification based on the established computer service rates at the proposing organization should be provided. Reasonable costs of leasing automatic data processing equipment may be requested, if justified.

I. All Other Direct Costs-Other anticipated direct costs not included above should be itemized. Examples are subawards or subcontracts, space rental at research establishments away from the performing organization, and service charges. Reference books and periodicals may be charged to the award only if they are related specifically to the research project.

Proposed subawards or subcontracts should be disclosed in the proposal, including a detailed budget and work statement, so that the award instrument may contain prior USDA authorization, if appropriate.

Consultant services should be included in this section. Applicants normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the activities supported by awards. If the need for consultant services is anticipated, the proposal narrative should provide appropriate rationale and the proposal budget should estimate the amount of funds which may be required for this purpose. List the names of consultant(s), the name of their organization(s) and, to the extent possible, a breakdown of the amount being charged to the award (For example: services, per diem, etc.).

J. Total Direct Costs-

K. Indirect Costs-(if allowable) The indirect cost rate(s) negotiated by the awarding organization with the cognizant Federal negotiating agency cannot be exceeded in computing indirect costs for a proposal. Determination of the appropriate indirect cost rate(s) is dependent upon a combination of factors including, but not limited to, the physical location of the work and any statutory limit. The proposal official responsible for Federal business relations should review this part of the proposal to see that it properly describes any particular factors which may have a bearing upon the indirect cost rate(s) applicable to the project. Normally, the rate in effect on the date the proposal is recommended for award by the cognizant CSREES program manager will be used.

If an organization elects to charge a lesser amount or rate for indirect costs, the budget should be so noted. (For example: If a university's rate is 50% of Modified Total Direct Costs and the Total Direct Costs amount is \$20,000, then the university is entitled to \$10,000 for indirect costs, but it elects to only charge \$8,000 to the award. Line K. of the CSREES-55 would appear as follows: 50% of MTDC=\$10,000; Amount Requested=\$8,000). The organization may also elect to charge no indirect costs and utilize all award funds for direct costs. This option should also be indicated on the CSREES-55.

If an organization has not established an indirect cost rate and wishes to charge indirect costs, it should consult GMB/CSREES, which will establish liaison with the cognizant Federal negotiating agency for developing an acceptable indirect cost rate for the awardee.

L. Total Direct and Indirect Costs (J plus K)-

M. Other-Check specific program announcement for use of this line item.

N. Total Amount of This Request-

O. Cost Sharing-Check specific program announcement for its requirement on cost-sharing. A breakdown of the detailed costs which are considered cost shared or contributed should be provided.

**UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE
BUDGET**

OMB Approved 0524-0022
Expires 5/31/98

ORGANIZATION AND ADDRESS				USDA AWARD NO.	
PRINCIPAL INVESTIGATOR(S)/PROJECT DIRECTOR(S)				Duration Proposed Months: _____ FUNDS REQUESTED BY PROPOSER	Duration Awarded Months: _____ FUNDS APPROVED BY CSREES (If Different)

A. Salaries and Wages	CSREES FUNDED WORK MONTHS				
	Calendar	Academic	Summer		
1. No. of Senior Personnel				\$	\$
a. ____ (Co)-PI(s)/PD(s)					
b. ____ Senior Associates					
2. No. of Other Personnel (Non-Faculty)					
a. ____ Research Associates-Postdoctorate					
b. ____ Other Professionals					
c. ____ Graduate Students					
d. ____ Prebaccalaureate Students					
e. ____ Secretarial-Clerical					
f. ____ Technical, Shop and Other					
Total Salaries and Wages					
B. Fringe Benefits (If charged as Direct Costs)					
C. Total Salaries, Wages, and Fringe Benefits (A plus B)					
D. Nonexpendable Equipment (Attach supporting data. List items and dollar amounts for each item.)					
E. Materials and Supplies					
F. Travel					
1. Domestic (Including Canada)					
2. Foreign (List destination and amount for each trip.)					
G. Publication Costs/Page Charges					
H. Computer (ADPE) Costs					
I. All Other Direct Costs (Attach supporting data. List items and dollar amounts. Details of subcontracts, including work statements and budget, should be explained in full in proposal.)					
J. Total Direct Costs (C through I)					
K. Indirect Costs If Applicable (Specify rate(s) and base(s) for on/off campus activity. Where both are involved, identify itemized costs included in on/off campus bases.)					
L. Total Direct and Indirect Costs (J plus K)					
M. Other					
N. Total Amount of This Request					
O. Cost Sharing (If Required Provide Details)				\$	

NOTE: Signatures required only for Revised Budget		This is Revision No. →
NAME AND TITLE (Type or print)	SIGNATURE	DATE
Principal Investigator/Project Director		
Authorized Organizational Representative		

ASSURANCE STATEMENT(S)

STATEMENT OF POLICY - Safeguarding the rights and welfare of subjects at risk and the proper isolation security of research agents in activities supported by Cooperative State Research, Education, and Extension Service is the responsibility of the institution to which support is provided. In order to provide

for the adequate discharge of this responsibility, USDA policy requires a formal assurance that appropriate committees in each institution will carry out both initial review of proposals and continuing review of supported projects. The Department also requires certification of such reviews.

NOTE: Check appropriate statements, supplying additional information when necessary

1. INSTITUTION	2. TYPE <input type="checkbox"/> New <input type="checkbox"/> Extension <input type="checkbox"/> Revision
	3. CSREES PROJECT NUMBER OR AWARD NUMBER (If Known)
4. TITLE OF PROJECT	5. PRINCIPAL INVESTIGATOR(S)

A. RECOMBINANT DNA OR RNA RESEARCH

☐ Project does not involve recombinant DNA or RNA.

☐ Project involves recombinant DNA or RNA. (Check the applicable statement).

☐ This project has been determined by the local IBC to be exempt from the NIH Guidelines.

☐ This project is under review by the local IBC and a revised Form CSREES-662 will be submitted when the review is completed.

☐ This project has been reviewed by an IBC and was approved on _____ (Date).

This institution agrees to assume primary responsibility for complying with both the intent and procedures of the National Institutes of Health's (NIH) "Guidelines for Research Involving Recombinant DNA Molecules," as revised (see subsection 205(b)(3), Subpart U of the "Uniform Federal Assistance Regulations" (7 CFR Part 3015) and other applicable Federal/State guidelines and regulations.

This responsibility includes:

1. Ensuring that a standing Institutional Biosafety Committee (IBC) reviews proposed projects.
2. Registering with the IBC all experiments involving recombinant DNA and RNA Molecules conducted with the funds provided under this project/grant and complying with the requirements specified in Part II of the NIH Guidelines or any other pertinent guidelines and regulations. IBC's are required to keep records of this research in a form that is available to the U.S. Department of Agriculture (USDA) upon request.

In addition, principal investigators must report the following to the USDA and to their IBC's:

1. New Technical information relating to risks and safety procedures.
2. Serious accidents or releases involving recombinant DNA or RNA.
3. Serious illness of a laboratory worker which may be project related.
4. Other safety problems.

B. ANIMAL CARE

☐ Project does not involve use of vertebrate animals.

☐ Project involves use of vertebrate animals. (Check the applicable statement).

☐ a) The project is in compliance with the Animal Welfare Act of 1966 and 9 CFR Subchapter A (Laboratory Animals), as amended.

☐ b) This project is under review by the Institutional Care and Use Committee and a revised Form CSREES-662 will be submitted when the review is completed.

☐ c) This project has been approved by the Institutional Animal Care and Use Committee on _____ (Date).

C. PROTECTION OF HUMAN SUBJECTS

☐ Project does not involve use of human subjects.

☐ Project involves use of human subjects. (Check the applicable statement).

☐ a) This project includes activities involving human subjects but can in no way be considered at risk. (If this statement is checked, the person signing this form must also initial in the space at right.) _____ (Initial)

☐ b) This project is under review by an institutional committee as provided by our assurance and a revised Form CSREES-662 will be submitted when the review is completed.

☐ c) This project includes activities involving human subjects. Our institutional committee reviewed and approved it on _____ in accordance with our assurance approved by S&E/and/or DHHS. The project will be subject to continuing review as provided for in that assurance.

SIGNATURE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE	TITLE	DATE

CURRENT AND PENDING SUPPORT

Instructions:

1. Record information for active and pending projects. (Concurrent submission of a proposal to other organizations will not prejudice its review by CSREES)
2. All current research to which principal investigator(s) and other senior personnel have committed a portion of their time must be listed, whether or not salary for the person involved is included in the budgets of the various projects.
3. Provide analogous information for all proposed research which is being considered by, or which will be submitted in the near future to, other possible sponsors including other USDA programs.

NAME (List PI #1 first)	SUPPORTING AGENCY AND AGENCY NUMBER	TOTAL \$ AMOUNT	EFFECTIVE AND EXPIRATION DATES	% OF TIME COMMITTED	TITLE OF PROJECT
	Current:				
	Pending:				

National Environmental Policy Act Exclusions Form

Principal Investigator/Project Director Name	Institution
Address	

Under 7 CFR Part 3407 (CSREES's implementing regulations of the National Environmental Policy Act of 1969 (NEPA)), environmental data or documentation is required in order to assist CSREES in carrying out its responsibilities under NEPA, which includes determining whether proposed research requires the preparation of an environmental assessment or an environmental impact statement, or whether such research can be excluded from this requirement on the basis of several categories. Therefore, it is necessary for the applicant to advise CSREES whether the proposed research falls into one of the following Department of Agriculture or CSREES categorical exclusions, or whether the research does not fall into one of these exclusions (in which case the preparation of an environmental assessment or an environmental impact statement may be required). Even though the applicant considers that a proposed project may or may not fall within a categorical exclusion, CSREES may determine that an environmental assessment or an environmental impact statement is necessary for a proposed project should substantial controversy on environmental grounds exist or if other extraordinary conditions or circumstances are present that may cause such activity to have a significant environmental effect.

Please Read All of the Following and Check All Which Apply

☐ The proposed research falls under the categorical exclusion(s) indicated below:

Department of Agriculture Categorical Exclusions

(found at 7 CFR 1b.3 and restated at 7CFR 3407.6
(a)(1)(i) through (vii))

- ☐ (i) Policy development, planning and implementation which are related to routine activities such as personnel, organizational changes, or similar administrative functions
- ☐ (ii) Activities that deal solely with the functions of programs, such as program budget proposals, disbursements, and transfer or reprogramming of funds
- ☐ (iii) Inventories, research activities, and studies such as resource inventories and routine data collection when such actions are clearly limited in context and intensity
- ☐ (iv) Educational and informational programs and activities
- ☐ (v) Civil and criminal law enforcement and investigative activities
- ☐ (vi) Activities that are advisory and consultative to other agencies and public and private entities, such as legal counseling and representation
- ☐ (vii) Activities related to trade representation and market development activities abroad

CSREES Categorical Exclusions

(found at 7 CFR 3407.6(a)(2)(i) through (ii))

The following categories of CSREES actions are excluded because they have been found to have limited scope and intensity and to have no significant individual or cumulative impacts on the quality of the human environment:

- ☐ (i) The following categories of research programs or projects of limited size and magnitude or with only short-term effects on the environment:
 - ☐ (A) Research conducted within any laboratory, greenhouse, or other contained facility where research practices and safeguards prevent environmental impacts
 - ☐ (B) Surveys, inventories, and similar studies that have limited context and minimal intensity in terms of changes in the environment
 - ☐ (C) Testing outside of the laboratory, such as in small isolated field plots, which involves the routine use of familiar chemicals or biological materials
- ☐ (ii) Routine renovation, rehabilitation, or revitalization of physical facilities, including the acquisition and installation of equipment, where such activity is limited in scope and intensity

OR

☐ Proposed research does not fall into one of the above categorical exclusions

(NOTE: If checked, please attach an explanation of the potential environmental impacts of the proposed research.
May require completion of an environmental assessment or an environmental impact statement.)

U.S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

Instructions for Certification AD-1047

1. By signing and submitting this form, the prospective primary participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out on this form. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this form that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Form AD-1047 (1/92)

U.S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989 Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the proposed covered transaction.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS)

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s)

Date

U.S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

Instructions for Certification AD-1048

1. By signing and submitting this form, the prospective lower tier participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this form that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transaction and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

U.S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989, Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s)

Date

UNITED STATES DEPARTMENT OF AGRICULTURE

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS (GRANTS) ALTERNATIVE I - FOR GRANTEEES OTHER THAN INDIVIDUALS

INSTRUCTIONS FOR CERTIFICATION AD-1049

1. By signing and submitting this form, the grantee is providing the certification set out on pages 1 and 2.
2. The certification set out on pages 1 and 2 is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).
6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled" substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) all "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

UNITED STATES DEPARTMENT OF AGRICULTURE
CERTIFICATION REGARDING
DRUG-FREE WORKPLACE REQUIREMENTS (GRANTS)
ALTERNATIVE I - FOR GRANTEEES OTHER THAN INDIVIDUALS

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 *et seq.*), 7 CFR Part 3017, Subpart F, Section 3017.600, Purpose. The January 31, 1989, regulations were amended and

published as Part II of the May 25, 1990 Federal Register (pages 21681-21691). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the grant.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS)

Alternative I

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;**
- (b) Establishing an ongoing drug-free awareness program to inform employees about --**
 - (1) The dangers of drug abuse in the workplace;**
 - (2) The grantee's policy of maintaining a drug-free workplace;**
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and**
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;**
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);**
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --**
 - (1) Abide by the terms of the statement; and**
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;**
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;**

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted --

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

**UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE**

**NOTICE TO APPLICANTS - CERTIFICATION/DISCLOSURE REQUIREMENTS
RELATED TO LOBBYING**

Section 319 of Public Law 101-121 (31 U.S.C.), signed into law on October 23, 1989, imposes new prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans. Certain provisions of the law also apply to Federal commitments for loan guarantees and insurance; however, it provides exemptions for Indian tribes and tribal organizations.

Effective December 23, 1989, current and prospective recipients (and their subtier contractors and/or subgrantees) will be prohibited from using Federal funds, other than profits from a Federal contract, for lobbying Congress or any Federal agency in connection with the award of a particular contract, grant, cooperative agreement or loan. In addition, for each award action in excess of \$100,000 (or \$150,000 for loans) on or after December 23, 1989, the law requires recipients and their subtier contractors and/or subgrantees to: (1) certify that they have neither used nor will use any appropriated funds for payment to lobbyists; (2) disclose the name, address, payment details, and purpose of any agreements with lobbyists whom recipients or their subtier contractors or subgrantees will pay with profits or nonappropriated funds on or after December 23, 1989; and (3) file quarterly updates about the use of lobbyists if materials changes occur in their use. The law establishes civil penalties for noncompliance.

If you are a current recipient of funding or have an application, proposal, or bid pending as of December 23, 1989, the law will have the following immediate consequences for you:

- You are prohibited from using appropriated funds (other than profits from Federal contracts) on or after December 23, 1989, for lobbying Congress or any Federal agency in connection with a particular contract, grant, cooperative agreement, or loan;
- you are required to execute the attached certification at the time of submission of an application or before any action in excess of \$100,000 is awarded; and
- you will be required to complete the lobbying disclosure form if the disclosure requirements apply to you.

Regulations implementing Section 319 of Public Law 101-121 have been published as an Interim Final Rule by the Office of Management and Budget as Part III of the February 26, 1990, Federal Register (pages 6736-6746).

**UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE**

**CERTIFICATION REGARDING LOBBYING - CONTRACTS, GRANTS, LOANS
AND COOPERATIVE AGREEMENTS**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement;

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant,

loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date