



**U.S. Geological Survey
Department of the Interior**

**STATE WATER RESOURCES RESEARCH INSTITUTE PROGRAM
FISCAL YEAR 2004 (YEAR 4) REQUEST FOR APPLICATIONS**

**under Section 104 of the
Water Resources Research Act of 1984, as Amended**

ANNOUNCEMENT 01HQPA0010

November 6, 2000

Revised October 9, 2003

**CLOSING DATE
JANUARY 15, 2004**

U.S. Geological Survey

STATE WATER RESOURCES RESEARCH INSTITUTE PROGRAM FISCAL YEAR 2004 REQUEST FOR APPLICATIONS

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**STATE WATER RESOURCES RESEARCH INSTITUTE PROGRAM
REQUEST FOR APPLICATIONS
FY 2004**

ELECTRONIC FILING OF APPLICATIONS REQUIRED

Applications under this Announcement will be accepted only through the Internet site at <https://niwr.org/NIWR/>. Institute Directors or their designee(s) will be responsible for submitting their applications electronically. Preparation of each application must follow the instructions contained herein and on the Internet site.

I. INTRODUCTION

This Request for Applications (RFA) is issued under the provisions of section 104 of the Water Resources Research Act of 1984 (Public Law 98-242), as amended by Public Laws 101-397, 104-147, and 106-374. Section 104 of the Water Resources Research Act directs the Secretary of the Interior to administer program grants to Institutes and Centers established under the provisions of section 104(a) of the Act. Water Resources Institutes or Centers have been established in each of the 50 states, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, and Guam. The Institute in Guam also serves the Federated States of Micronesia and the Commonwealth of the Northern Mariana Islands. Responsibility for administration of this State Water Resources Research Institute program has been delegated to the U.S. Geological Survey (USGS).

The USGS contacts for this program are:

John Schefter
Chief, Office of External Research
MS 424, U.S. Geological Survey
12201 Sunrise Valley Drive
Reston, Virginia, 20192
Phone: 703-648-6800
email: schefter@usgs.gov

Pansy R. Yeatts
Office of Acquisition and Grants
MS 205G, U.S. Geological Survey
12201 Sunrise Valley Drive
Reston, Virginia, 20192
Phone: 703-648-7382
email: pyeatts@usgs.gov

II. PROGRAM OBJECTIVES

Section 104(b) of the Water Resources Research Act of 1984 requires the Institutes or Centers to:

- (1) "plan, conduct, or otherwise arrange for competent research that fosters (A) the entry of new research scientists into the water resources fields, (B) training and education of future water scientists, engineers, and technicians, (C) the preliminary exploration of new ideas that address water problems or expand understanding of water and water-related phenomena, and (D) the dissemination of research results to water managers and the public, and
- (2) "cooperate closely with other colleges and universities in the State that have demonstrated capabilities for research, information dissemination, and graduate training

in order to develop a statewide program designed to resolve State and regional water and related land problems." The Act also requires each institute to:

- (3) "cooperate closely with other institutes and other organizations in the region to increase the effectiveness of the institutes and for the purpose of promoting regional coordination."

Applications submitted under this Announcement are to be in furtherance of these objectives. Specific areas of emphasis are at the discretion of the individual Institute or Center Directors.

III. ELIGIBLE APPLICANTS

Applications will be accepted only from Institutes or Centers established pursuant to the provisions of Section 104 of the Water Resources Research Act of 1984, as amended. The applicant may consider project proposals only from faculty members or affiliates at institutions of higher education in its State.

IV. APPLICATIONS NOT ELIGIBLE FOR FUNDING

- A. Applications for research on health effects involving human subjects.
- B. Applications for research involving oceanography (estuarine research applications are acceptable).
- C. Applications submitted by an Institute or Center that has not met reporting requirements on a previous award by the USGS.

V. FEDERAL FUNDS

As of the date of this Announcement, there has not been a FY 2004 appropriation for this program. For planning purposes, the amount available to each Institute or Center in FY 2004 is estimated to be \$84,234, the same amount as in FY 2003. A total of \$252,703 is estimated to be available to the Institute in Guam, which serves Guam, the Federated States of Micronesia and the Commonwealth of the Northern Mariana Islands. The Government's obligation under this program is contingent upon the availability of appropriated funds.

VI. MATCHING FUNDS

- A. Each applicant must match each Federal dollar provided with not less than two dollars from non-federal sources.

Note: Guam, the Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, and the U.S. Virgin Islands are exempt from the matching requirement.

- B. The matching requirement applies to the overall application, not the individual projects within the application.
- C. Matching funds shall be obligated during the period of performance.

- D. The matching requirement should be met during each 12-month budget period.

Note: Matching funds in excess of the required 2:1, non-Federal:Federal, match are acceptable and can be credited against subsequent year matches during the period of the grant.

- E. Matching funds obligated shall be reflected on line 11.f. of each Request for Advance or Reimbursement, Standard Form 270, and on line 10.b. of each Financial Status Report, Standard Form 269A.
- F. Matching funds may contain indirect costs and non-federal salaries and benefits. The applicant's negotiated indirect cost rate (NICR) may be applied to **both** qualifying federal and non-federal direct costs, and the result used to satisfy part of the matching requirement under the non-federal share. The NICR shall not be applied to tuition and equipment costs. **Federal funds shall not be used to pay indirect costs.**

VII. APPLICATION DUE DATE

Applications must be filed on the Internet at <https://niwr.org/NIWR/> prior to **5:00 PM Eastern Standard Time, January 15, 2004.**

VIII. APPLICATION CONTENTS

Each application shall consist of the following items:

- A. Signed SF 424, Application for Federal Assistance [Attachment A]
- B. Signed Certifications [Attachment B]
- C. Signed Assurances [Attachment C]
- D. Signed Matching Funds Commitment Letter
- E. Program Administration/Management Description, including a Budget Breakdown (Attachment D) and Budget Justification (Attachment E) for Administration/Management
- F. Project Proposals, including a Budget Breakdown (Attachment D) and Budget Justification (Attachment E) for each Project
- G. Budget Summary (Attachment F)

Attachment D (Budget Breakdown), Attachment E (Budget Justification) and Attachment F (Budget Summary) should be considered worksheets. During the proposal submission process, data for Attachments D and E will be entered into a form on the website. Upon completion of the submission process, the actual Attachments will be generated from these form entries and bundled with your application package. The application system will generate Attachment F automatically by compiling information from the budget breakdown forms for all of the projects.

IX. APPLICATION INSTRUCTIONS

Each application must be submitted through the website at <https://niwr.org/NIWR/> and shall be prepared and submitted in accordance with the specific instructions provided at that site. Submission will require two distinctly different actions: (1) submission of specified information as text directly into a Web form and (2) "depositing" at the website document files containing detailed descriptions of the work being proposed. These files may be prepared using the word processing software of choice, but must be translated to PDF format prior to being deposited (**detailed instructions for preparing and submitting these files, and verifying their submission are provided at the website**).

Applications must contain the following sections and adhere to the following guidelines:

The first four sections of the application, below, (Application for Federal Assistance, Certifications, Assurances, and Matching Funds Commitment Letter) are to be signed and:

1. Faxed to the number provided at the website at the time of formal submission of the application to the website.
2. The original, signed, documents sent by mail or parcel delivery so as to be received at the following address within 5 business days of the formal submission to the website.

U.S. Geological Survey
Office of Acquisition and Grants
Attn: Pansy R. Yeatts, MS 205G
12201 Sunrise Valley Drive
Reston, Virginia 20192

A. Application for Federal Assistance, SF 424. (Attachment A) The SF 424 shall be signed by an authorized representative of the applicant.

B. Certifications (Attachment B). The Certifications shall be signed by an authorized representative of the applicant.

C. Assurances (Attachment C). The Assurances shall be signed by an authorized representative of the applicant.

D. Matching Funds Commitment Letter. The applicant shall provide an institutional cost-sharing agreement (letter) signed by an official authorized to commit the applicant to all or part of the matching share or a third party, in-kind contribution signed by an official authorized to commit the third party.

E. Description of Program Management and Administration

At this section of the website, please provide or correct the following information in the Web form presented by the site:

1. Institute Director. Name, academic rank, email address and phone number.
2. Administrative Personnel. Name, academic rank or title, email address and phone number of other principals involved in administration of the program, if any.
3. Budget Breakdown, as requested by the Web form (See Attachment D).
4. Budget Justification, as requested by the Web form (See Attachment E).
5. Program and Management Overview, in the space provided by the Web form.

F. Project Proposals. (Includes research, education, information transfer, and information management system proposals. "Graduate Fellowship" and "Seed Grant" projects must each be entered as separate research proposals if they support research.)

Each proposal shall consist of the following 19 elements. Items numbered 1 through 11 are to be entered in the Web form provided at the website.

1. Title. Concise but descriptive.
2. Project Type. Research, Information Transfer, Information Management System, Education, or Other (please specify).
3. Focus Categories. Choose a maximum of three focus categories from the list provided (Attachment G), with the most preferred focus category first.
4. Keywords. Enter keywords of your choice descriptive of the work.
5. Start Date. Enter the actual beginning date for the project.
6. End Date. Enter the estimated end date for the project.
7. Principal investigator(s). Provide name, academic rank, university, email address and phone number of the principal investigators.
8. Congressional District of the university where the work is to be conducted.
9. Abstract. Provide a brief (one-page) description of the problem, methods, and objectives in the space provided at the Internet site.
10. Budget Breakdown, as requested by the Web form (See Attachment D).
11. Budget Justification, as requested by the Web form (See Attachment E).

Items 12 through 19 are to be "deposited" as a file document in PDF format at the website. Note: This document shall not exceed 10 single-spaced pages - 12 point font, exclusive of resumes (item 19). Upon submission of your application components, the entire package will be available in PDF format for your inspection and final approval. You are responsible for verifying the approval, including compliance with the 10-page limit. If editing is required, you must edit the problem document(s) using your word processor and resubmit that application component.

12. Title. Please use the same title as was entered in the Web form under item 1, above.
13. Statement of critical regional or State water problem. Include an explanation of the need for the project, who wants it, and why.
14. Statement of results or benefits. Specify the type of information that is to be gained and how it will be used.
15. Nature, scope, and objectives of the project, including a timeline of activities.
16. Methods, procedures, and facilities. Provide enough information to permit evaluation of the technical adequacy of the approach to satisfy the objectives.
17. Related research. (Research projects only) Show by literature and communication citations the similarities and dissimilarities of the proposed project to completed or on-going work on the same topic.
18. Training potential. Estimate the number of graduate and undergraduate students, by degree level, who are expected to receive training in the project.
19. Investigator's qualifications. Include a resume(s) of the principal investigator(s). No resume shall exceed two pages or list more than 15 pertinent publications.

G. Budget Summary (See Attachment F) The application system will generate this form automatically by compiling information from the budget breakdown forms for all of the projects.

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, State, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <input type="text"/> <input type="text"/> - <input type="text"/>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other(specify): _____		A. State H. Independent School Dist. <input type="checkbox"/> B. County I. State Controlled Institution of Higher Learning C. Municipal J. Private University D. Township K. Indian Tribe E. Interstate L. Individual F. Intermunicipal M. Profit Organization G. Special District N. Other (Specify) _____	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>		9. NAME OF FEDERAL AGENCY:	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): TITLE: _____		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant	\$.00		
c. State	\$.00		
d. Local	\$.00		
e. Other	\$.00		
f. Program Income	\$.00		
g. TOTAL	\$.00		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
a. Type Name of Authorized Representative		<input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
d. Signature of Authorized Representative		b. Title	
		c. Telephone Number	
		e. Date Signed	

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | Item: | Entry: |
|-------|---|-------|--|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:

-- "New" means a new assistance award.

-- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.

-- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

**U.S. DEPARTMENT OF THE INTERIOR
CERTIFICATIONS FOR FEDERAL ASSISTANCE**

PART A: Certifications Regarding Debarment, Suspension and Other Responsibility Matters - Primary Covered Transactions, Applies to all grantees and cooperators.

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 43 CFR Part 12, Section 12.510, Participants' responsibilities. The regulations were published as Part VII of the May 25, 1988 Federal Register (pages 19160-19211). For further assistance in obtaining a copy of the regulations, contact the issuing office.

(a) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals: (1) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency; (2) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment 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; (3) 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 (a)(2) of this certification; and (4) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(b) 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.

The prospective primary participant further agrees by submitting this proposal that it will include the following clause, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions (see Appendix A of Subpart D of 43 CFR Part 12):

PART B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions.

(a) 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.

(b) 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.

PART C: Certification Regarding Drug-Free Workplace. Alternate I. Applies to grantees other than individuals.

This certification is required by the regulations implementing the drug-free workplace requirements for Federal grant recipients under the Drug-Free Workplace Act of 1988 (43 CFR Part 12, Subpart D). A copy of the regulation is available from the issuing office.

A. The grantee certifies that it will or 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 on-going 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 employee 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 or other designee 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.

PART D: Certification Regarding Drug-Free Workplace. Alternate II. Applies to grantees who are individuals.

This certification is required by the regulations implementing the drug-free workplace requirements for Federal grant recipients under the Drug-Free Workplace Act of 1988 (43 CFR Part 12, Subpart D). A copy of the regulation is available from the issuing office.

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

Part E: Certification Regarding Lobbying - Certification for Contracts, Grants, Loans, and Cooperative Agreements. Applies to recipients of awards exceeding \$100,000.

This certification is required by Section 1352, title 31, U.S. Code, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions."

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 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.

As the authorized certifying official, I hereby certify that the above specified certifications are true.

Signature

Typed name and title

Applicant/Recipient

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

BUDGET BREAKDOWN*

Project Number: (Number will be provided by the application system)

Project Title:

Cost Category		Federal	Non-Federal	Total
1.	Salaries and Wages	\$	\$	\$
	- <u>Principal Investigator</u>			
	- _____			
	- _____			
	- _____			
	Total Salaries and Wages	\$	\$	\$
2.	Fringe Benefits			
3.	Supplies			
4.	Equipment			
5.	Services or Consultants			
6.	Travel			
7.	Other direct costs			
8.	Total direct costs			
9a.	Indirect costs on federal share	XXXXXXXXXX XXXXXXXXXX		
9b.	Indirect costs on non-federal share	XXXXXXXXXX XXXXXXXXXX		
10.	Total estimated costs	\$	\$	\$
Total Costs at Campus of the University on which the Institute or Center is located.		\$	\$	\$
Total Costs at other University Campus Name of University:		\$	\$	\$

* This form is provided as a worksheet only

Budget Justification
BUDGET JUSTIFICATION*

Project Number: (Number will be provided by the application system)

Project Title

<p>Salaries and Wages. Provide estimated hours and the rate of compensation proposed for each individual. (Tuition remission and other forms of compensation paid as or in lieu of wages to students performing necessary work are allowable provided that the tuition or other payments are reasonable compensation for the work performed and are conditioned explicitly upon the performance of necessary work.)</p>
<p>Fringe Benefits. Provide the overall fringe benefit rate applicable to each category of employee proposed in the project.</p>
<p>Supplies. Indicate separately the amounts proposed for office, laboratory, computing, and field supplies.</p>
<p>Equipment. Identify non-expendable personal property having a useful life of more than one (1) year and an acquisition cost of more than \$5,000 per unit. If fabrication of equipment is proposed, list parts and materials required for each, and show costs separately from the other items.</p>
<p>Services or Consultants. Identify the specific tasks for which these services, consultants, or subcontracts would be used. Estimate amount of time required and the hourly or daily rate.</p>
<p>Travel. Provide purpose and estimated costs for all travel.</p>
<p>Other Direct Costs. Itemize costs not included elsewhere, including publication costs. Costs for services and consultants should be included and justified under "Services or Consultants (above)."</p>
<p>Indirect Costs. Provide negotiated indirect ("Facilities and Administration") cost rate.</p>

* This form is provided as a worksheet only.

BUDGET SUMMARY*

Project Number							All Projects	
Principal Investigator								
Cost Category	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal
Salaries and Wages								
Fringe Benefits								
Supplies								
Equipment								
Services or Consultants								
Travel								
Other Costs								
Total Direct Costs								
Indirect Costs								
Total Estimated Costs								

* This form is provided as a worksheet only. The application system will generate this form automatically by compiling information from the budget breakdown forms for all of the projects.

ACID DEPOSITION	ACD
AGRICULTURE	AG
CLIMATOLOGICAL PROCESSES	CP
CONSERVATION	COV
DROUGHT	DROU
ECOLOGY	ECL
ECONOMICS	ECON
EDUCATION	EDU
FLOODS	FL
GEOMORPOLOGICAL PROCESSES	GEOMOR
GEOCHEMICAL PROCESSES	GEOCHE
GROUNDWATER	GW
HYDROGEOCHEMISTRY	HYDGEO
HYDROLOGY	HYDROL
INVASIVE SPECIES	INV
IRRIGATION	IG
LAW, INSTITUTIONS, AND POLICY	LIP
MANAGEMENT AND PLANNING	M&P
METHODS	MET
MODELS	MOD
NITRATE CONTAMINATION	NC
NON POINT POLLUTION	NPP
NUTRIENTS	NU
RADIOACTIVE SUBSTANCES	RAD
RECREATION	REC
SEDIMENTS	SED
SOLUTE TRANSPORT	ST
SURFACE WATER	SW
TOXIC SUBSTANCES	TS
TREATMENT	TRT
WASTEWATER	WW
WATER QUALITY	WQL
WATER QUANTITY	WQN
WATER SUPPLY	WS
WATER USE	WU
WETLANDS	WL