



**United States  
Department of  
Agriculture**

# APPLICATION FORMS



Cooperative State  
Research, Education,  
and Extension Service

## PREFACE

Each applicant seeking an award from the Cooperative State Research, Education, and Extension Service (CSREES) must submit an application. This application kit provides the forms, instructions and other information to be used in applying for awards.

Applications are normally made in response to announcements in the *Federal Register* or through programmatic contact for special, competitive and other research, education, and extension awards. The requirements for the content of applications are contained in the individual program announcements. Careful adherence to guideline requirements facilitates the processing and review of proposals. Therefore, **CSREES encourages all applicants to read carefully the specific program announcement to determine eligibility and application requirements.**

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- Conflict of Interest List (for competitive programs only)..... Form CSREES-2007
- Assurance Statement(s) (for research projects only)..... Form CSREES-2008
- Certifications. Certifications are accomplished by signing Form CSREES-2002, Proposal Cover Page. The certification forms are provided for informational purposes only (do not submit with the proposal.)
  1. Certifications Regarding Drug-Free Workplace Requirements (Alternatives I and II)
  2. Debarment or Suspension Requirements (Primary and Lower Tier-Covered Transactions)
  3. Notice to Applicants - Certification/Disclosure Requirements Related to Lobbying

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0524-0039. The time required to complete this information collection is estimated to average 6 hours and 45 minutes per response, including the 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 this burden estimate and/or any other aspect of this collection of information, including suggestions for reducing this burden, to the Department of Agriculture, Office of the Chief Information Officer, STOP 7602, 1400 Independence Avenue, S.W., Washington, D.C. 20250-7602; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

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

OMB Approved 0524-0039

1. LEGAL NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE		3. NAME AND TITLE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE (AOR)		
2. ADDRESS (Give complete mailing address and Zip Code)		4. a. Telephone No.:	b. Fax Number:	c. E-mail Address:
		5. ADDRESS OF AOR (If different from Item 2.)		
6a. TYPE OF PERFORMING ORGANIZATION (Choose 1 only)  01 <input type="checkbox"/> USDA Agency 02 <input type="checkbox"/> Other Federal Agency/Department 03 <input type="checkbox"/> 1862 Land-Grant University 04 <input type="checkbox"/> 1890 Land-Grant University (including Tuskegee Univ.) 05 <input type="checkbox"/> 1994 Land-Grant University 06 <input type="checkbox"/> Private University or College 07 <input type="checkbox"/> Non-Land-Grant Public University or College		08 <input type="checkbox"/> Private For-Profit 09 <input type="checkbox"/> Private Non-Profit 10 <input type="checkbox"/> Public Secondary School 11 <input type="checkbox"/> State, Local or Tribal Government 12 <input type="checkbox"/> Individual 13 <input type="checkbox"/> Other		6b. In addition, PLEASE CHECK ANY OF THE FOLLOWING THAT APPLY:  <input type="checkbox"/> Alaska Native-Serving Institution <input type="checkbox"/> Cooperative Extension Service <input type="checkbox"/> Native Hawaiian-Serving Institution <input type="checkbox"/> Hispanic-Serving Institution <input type="checkbox"/> Historically Black College or University (other than 1890) <input type="checkbox"/> School of Forestry <input type="checkbox"/> State Agricultural Experiment Station <input type="checkbox"/> Tribal College (other than 1994) <input type="checkbox"/> Veterinary School or College
7. TITLE OF PROPOSED PROJECT (140-character maximum, including spaces)				
8. PROGRAM TO WHICH YOU ARE APPLYING (Include Program Area and Number: Refer to Federal Register announcement or program solicitation where applicable)		9. TAX IDENTIFICATION NO. (TIN)	10. CONGRESSIONAL DISTRICT NO.	
11. DUNS NO. (Data Universal Numbering System)		12. PROPOSED START DATE	13. DURATION REQUESTED (No. of months)	
14. 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"/> Resubmitted Renewal  <input type="checkbox"/> Continuing Increment <input type="checkbox"/> PD Transfer    [PRIOR USDA Award No. _____]			15. FEDERAL FUNDS REQUESTED (From Form CSREES-2004)	
16. PROJECT DIRECTOR (PD)		17. PD BUSINESS ADDRESS (INCLUDE DEPARTMENT/ZIP CODE)		
18. a. PD Phone No.:	b. PD Fax No.:	c. PD E-mail Address:		
19. CO-PD(S) NAME		TELEPHONE NUMBER	E-MAIL ADDRESS	
20. IF THIS IS A RESEARCH PROJECT, WILL IT INVOLVE RECOMBINANT DNA, HUMAN SUBJECTS, OR LIVING VERTEBRATE ANIMALS?  <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, complete Form CSREES-2008)		21. 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))		
By signing and submitting this proposal, the applicant is providing the required certifications set forth in 7 CFR Part 3017, as amended, regarding Debarment and Suspension and Drug-Free Workplace; and 7 CFR Part 3018 regarding Lobbying. Submission of the individual forms is not required. (Please read the Certifications included in this booklet before signing this form.) In addition, the applicant certifies that the information contained herein is true and complete to the best of its knowledge and accepts as to any award the obligation to comply with the terms and conditions of the Cooperative State Research, Education and Extension Service in effect at the time of the award.				
SIGNATURE OF PROJECT DIRECTOR(S) (All PDs listed in blocks 16 or 19 must sign if they are to be included in award documents.)			DATE	
SIGNATURE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE (Same as Item 3)			DATE	
SIGNATURE (OPTIONAL USE)			DATE	

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**Place this form after the last page of the signed original proposal only. Do not attach to the copies of the proposal!!!**

**PERSONAL DATA ON  
PROJECT DIRECTOR**

The Cooperative State Research, Education, and Extension Service (CSREES) has a continuing commitment to monitor the operation of its review and award processes to detect--and deal appropriately with--any instances of real or apparent inequities with respect to age, sex, race, or ethnicity of the proposed project director.

To provide CSREES with the information it needs for this important task, complete the form below and attach it after the last page of the signed original of the application. **Do not attach copies of this form to the duplicated copies of the application.**

Upon receipt of the application by CSREES, this form will be separated from the application. This form will **not** be duplicated, and it will **not** be a part of the review process. Data will be confidential. CSREES requests Social Security Numbers for accurate identification, referral, and for management of CSREES programs. Provision of the Social Security Number is voluntary. No individual will be denied any right, benefit, or privilege provided by law because of refusal to disclose his or her Social Security Number. All analyses conducted on the date of birth and race and/or ethnic origin data will report aggregate statistical findings only and will not identify individuals. CSREES requests the Social Security Number under 7 U.S.C. 3318.

If you decline to provide this information, it will in no way affect consideration of your application.

Your cooperation will be appreciated.

Project Director/Co-Project Director(s) (Last, First, Middle):	Date of Birth	Gender	Social Security No.

If additional space is needed for more co-PDs, please attach an additional sheet.

The following information refers only to the primary Project Director.

<p>Race of PD - Check all that apply (<i>for statistical purposes only</i>).</p> <p><input type="checkbox"/> American Indian or Alaska Native</p> <p><input type="checkbox"/> Asian</p> <p><input type="checkbox"/> Black or African American</p> <p><input type="checkbox"/> Native Hawaiian or Other Pacific Islander</p> <p><input type="checkbox"/> White</p> <p><input type="checkbox"/> Check here if you do not wish to provide some or all of the above information.</p>	<p>Ethnicity of PD (<i>for statistical purposes only</i>).</p> <p><input type="checkbox"/> Hispanic or Latino</p> <p><input type="checkbox"/> Not Hispanic or Latino</p>
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COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION  
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<p><b>Project Director(s) (PD):</b></p> <p>PD _____ Institution _____</p> <p>CO-PD _____ Institution _____</p> <p>CO-PD _____ Institution _____</p> <p>CO-PD _____ Institution _____</p>	<p align="center"><b>PROPOSAL TYPE</b></p> <p align="center"><b>For National Research Initiative Competitive Grants Program Proposals Only</b></p> <p><input type="checkbox"/> Standard Research Proposal</p> <p><input type="checkbox"/> Conference</p> <p><input type="checkbox"/> AREA Award</p> <p><input type="checkbox"/> Postdoctoral</p> <p><input type="checkbox"/> New Investigator</p> <p><b>Strengthening:</b></p> <p><input type="checkbox"/> Career Enhancement</p> <p><input type="checkbox"/> Equipment</p> <p><input type="checkbox"/> Seed Grant</p> <p><input type="checkbox"/> Standard Strengthening</p>
<p><b>Project Title:</b> _____</p>	<p align="center"><b>For Higher Education Program Proposals Only:</b></p> <p>Need Area: _____</p> <p>Discipline: _____</p>
<p><b>Key Words:</b> _____</p>	

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**BUDGET**

ORGANIZATION AND ADDRESS				USDA AWARD NO.			
PROJECT DIRECTOR(S)				DURATION PROPOSED MONTHS: _____	DURATION PROPOSED MONTHS: _____	Non-Federal Proposed Cost-Sharing/ Matching Funds (If required)	Non-federal Cost-Sharing/Matching Funds Approved by CSREES (If Different)
				<b>Funds Requested by Proposer</b>	<b>Funds Approved by CSREES (If different)</b>		
<b>A. Salaries and Wages</b> .....		<b>CSREES-FUNDED WORK MONTHS</b>					
		Calendar	Academic	Summer			
1. No. Of Senior Personnel							
a. ____ (Co)-PD(s).....							
b. ____ Senior Associates.....							
2. No. of Other Personnel (Non-Faculty)							
a. ____ Research Associates/Postdoctorates.....							
b. ____ Other Professionals.....							
c. ____ Paraprofessionals .....							
d. ____ Graduate Students .....							
e. ____ Prebaccalaureate Students .....							
f. ____ Secretarial-Clerical .....							
g. ____ Technical, Shop and Other .....							
<b>Total Salaries and Wages</b> ..... →							
B. Fringe Benefits (If charged as Direct Costs)							
<b>C. Total Salaries, Wages, and Fringe Benefits (A plus B)</b> →							
D. Nonexpendable Equipment (Attach supporting data. List items and dollar amounts for each item.)							
E. Materials and Supplies							
F. Travel							
G. Publication Costs/Page Charges							
H. Computer (ADPE) Costs							
I. Student Assistance/Support (Scholarships/fellowships, stipends/tuition, cost of education, etc. Attach list of items and dollar amounts for each item.)							
J. All Other Direct Costs (In budget narrative, list items and dollar amounts, and provide supporting data for each item.)							
<b>K. Total Direct Costs (C through J)</b> ..... →							
L. F&A/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.)							
<b>M. Total Direct and F&amp;A/Indirect Costs (K plus L)</b> →							
N. Other..... →							
<b>O. Total Amount of This Request</b> .....							
<b>P. Carryover -- (If Applicable) Federal Funds: \$</b>		<b>Non-Federal funds: \$</b>		<b>Total \$</b>			
<b>Q. Cost-Sharing/Matching (Breakdown of total amounts shown on line O)</b>							
Cash (both Applicant and Third Party) →							
- Non Cash Contributions (both Applicant and Third Party)							
NAME AND TITLE (Type or print)				SIGNATURE (required for revised budget only)		<b>DATE</b>	
<b>Project Director</b>							
<b>Authorized Organizational Representative</b>							
<b>Signature (for optional use)</b>							

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## INSTRUCTIONS FOR COMPLETING FORM CSREES-2004, BUDGET

**NOTE:** Unless a particular program announcement provides otherwise, each application must contain a budget for each year of funds requested and a cumulative budget for the full term of requested CSREES support.

**BUDGET NARRATIVE:** A narrative for each line item explaining both Federal and any required cost-sharing/matching funds along with any remarks and budget justifications must be submitted on separate pages following the budget form.

**A. Salaries and Wages** -- Salaries of the project director(s) and other personnel associated directly with the project should constitute direct costs in proportion to their effort devoted to the project. Charges by academic institutions for work performed by faculty members during the summer months or other periods 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. All salaries requested must be consistent with the regular practices of the institution.

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 the CSREES-2004 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 Form CSREES-2004, show the number of months that will be charged to the project for which salary is paid by USDA to individuals listed in Items A.1.a. & b. and A.2.a., b. & c. (e.g., 2 PDs listed in A.1.a. on a 12-month project. One will spend 100% of time (12 months) and one will spend 50% of time (6 months). Total work months for A.1.a. would be 18)).

Note: A paraprofessional is an individual who through formal education, work experience and/or training has the knowledge and expertise to assist a professional person.

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.

For institutions of higher education, requests for salaries of administrative and clerical staff as direct costs must be justified in the budget narrative in accordance with OMB Circular A-21, Cost Principles for Educational Institutions.

**B. Fringe Benefits** -- If the usual accounting practices of the performing organization provide that the organizational contributions to employee benefits (social

security, FERS, 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** -- Self-explanatory.

**D. Nonexpendable Equipment** Nonexpendable equipment is defined as tangible property, including exempt property, charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more. However, consistent with recipient policy, lower limits may be established. Organizations performing work with the support of a CSREES award are expected to have appropriate facilities, suitably furnished and equipped. General purpose equipment (equipment whose use is not limited only to research, medical, scientific, educational, or other technical activities; i.e., office equipment and furnishings, air conditioning equipment, reproduction and printing equipment, motor vehicles, and automatic data processing equipment) requires special justification and prior approval from the Office of Extramural Programs (OEP), CSREES.

In the budget narrative, list each item of equipment with cost and justify why it is needed for the project. If appropriate, provide a lease versus purchase cost analysis (e.g., motor vehicle).

**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 project should be specified. Funds may be requested for field work or for travel to professional meetings. In the budget narrative, for both domestic and foreign travel, provide the purpose, the destination, method of travel, number of persons traveling, number of days, and estimated cost for each trip. If details of each trip are not known at the time of proposal submission, provide the basis for determining the amount requested. For example, conduct 100 producer interviews in two States: 10 people, 4 days each, traveling by car = \$5,200.

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. Please note that 7 CFR Part 3015.205 is applicable to air travel.

**G. Publication Costs/Page Charges** -- Costs of preparing and publishing the results of a project conducted under the award, including costs of reports, reprints, page charges or other journal costs, and necessary illustrations, may be included. Photocopying should be included under Item I. All Other Direct Costs.

**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. Note that items of automatic data processing equipment should be included in D. Nonexpendable Equipment or E. Materials and Supplies, as appropriate.

Internet connection costs may be requested, as appropriate, in this category.

**I. Student Assistance/Support** -- Scholarships, stipends, tuition, etc. should be itemized with a dollar amount provided for each item. In addition, the number of students to be supported should be indicated for each item.

**J. All Other Direct Costs** -- Other anticipated direct costs not included above should be included in this category and itemized in the budget narrative. Examples are subcontracts, space rental at establishments away from the performing organization, service charges for use of equipment and user fees for procedures or processes charged to the grantee, lease of equipment, equipment maintenance, photocopying, and analyses. Reference books and periodicals may be charged to the award only if they are related specifically to the project.

Proposed subcontracts should be disclosed in the proposal, including a statement of the work to be performed, so that the award instrument may contain prior CSREES authorization, if appropriate. **For each subcontract, a separate CSREES-2004, "Budget," must be included to show the breakdown of costs, along with a budget narrative.**

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 a justification for the use of such services, a statement of work to be performed, and a resume or curriculum vita for each consultant. The proposal budget should indicate the amount of funds required for this purpose. The budget narrative should list the name(s) of the consultant(s), the name(s) of their organization(s), and a breakdown of the amount being charged to the award (e.g., number of days of service, rate of pay, travel, per diem, etc.). If this information is not available at the time of award, funds for this purpose will be withheld until the information is provided to and approved by CSREES.

If participant support costs at conferences/meetings are requested, indicate purpose, dates, and place of conference/meeting; number of participants; cost for each; speaker fees (include number of persons, number of days, and cost per person); cost of facilities rental, and other related expenses.

**K. Total Direct Costs** -- Self-explanatory.

**L. F&A/Indirect Costs (if allowable)** -- The F&A/indirect cost rate(s) established by the cognizant Federal negotiating agency cannot be exceeded in computing

F&A/indirect costs for a proposal. Determination of the appropriate F&A/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 F&A/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 F&A/indirect costs, the budget should be so noted (e.g., if an applicant's rate is 50% of Modified Total Direct Costs and the Modified Total Direct Costs amount is \$20,000, then the applicant is entitled to \$10,000 for F&A/indirect costs, but it elects to charge only \$8,000 to the award. Line K. of the CSREES-2004 would appear as follows: 50% of MTDC = \$10,000; Amount Requested = \$8,000). The organization may also elect to charge no F&A/indirect costs and utilize all award funds for direct costs. This option should also be indicated on Line K. of the CSREES-2004 with the statement, "None requested."

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

Many CSREES programs have statutory limits on the amount of F&A/indirect cost recovery. This limitation flows down to subcontracts. Check the program announcement for the limitations, if any, on F&A/indirect costs.

**M. Total Direct and F&A/Indirect Costs (K plus L)** -- Self-explanatory.

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

**O. Total Amount of this Request** -- Self-explanatory.

**P. Carryover (if applicable -- check the specific program announcement for use of this line item)** -- Report estimated balance at the end of the prior project period. Carryover funds must be reported and justified in the budget narrative. Carryover funds must be expended first before drawing down approved Federal funds for each line item on the budget.

**Q. Total Cost-Sharing/Matching (if required)** -- On the budget form, indicate the total amount (both cash and non-cash) of non-Federal cost-sharing or matching support that will be available to the proposed project. In the budget narrative, identify the source, the amount, and the nature (cash or third-party in-kind contribution) of the cost-sharing or matching funds. To be used as matching support, a cost must be allowable under the authorizing legislation, the applicable Federal cost principles, and the program guidelines.

Check the program announcement for the requirement of cost-sharing/matching funds; only required cost-sharing/matching should be included on the budget form. Additional contributions may be addressed in the proposal. Definitions of cash and non-cash contributions can be found at section 2. of 7 CFR Part 3019.2.

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

**Instructions:**

1. Record information for active and pending projects, including this proposal. (Concurrent submission of a proposal to other organizations will not prejudice its review by CSREES.)
2. All current efforts to which project director(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 work which is being considered by, or which will be submitted in the near future to, other possible sponsors including other USDA programs.

NAME (List/PD #1 first)	SUPPORTING AGENCY AND AGENCY ACTIVE AWARD/PENDING PROPOSAL NUMBER	TOTAL \$ AMOUNT	EFFECTIVE AND EXPIRATION DATES	% OF TIME COMMITTED	TITLE OF PROJECT
	Active:				
	Pending:				

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<b>National Environmental Policy Act Exclusions Form</b>	
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 the proposed activity requires the preparation of an environmental assessment or an environmental impact statement, or whether such activity 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 activity falls into one of the following Department of Agriculture or CSREES categorical exclusions, or whether the activity 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 activity falls under the categorical exclusion(s) indicated below:**

**Department of Agriculture Categorical Exclusions**  
(found at 7 CFR 1b.3 and restated at 7 CFR 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 activity 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 activity. May require completion of an environmental assessment or an environmental impact statement.)

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ASSURANCE STATEMENT(S)**

OMB approved 0524-0039

**STATEMENT OF POLICY** - Institutions receiving CSREES funding for research are responsible for protecting human subjects, providing humane treatment of animals, and monitoring use of recombinant DNA. To provide for the adequate discharge of this responsibility, CSREES policy requires an assurance by the institution's Authorized

Organizational Representative (AOR) that appropriate committees in each institution have carried out the initial reviews of protocol and will conduct continuing reviews of supported projects. CSREES also requires AOR certification by citing a timely date that an appropriate committee issued an approval or exemption.

**NOTE:** Check appropriate statements, supplying additional information when necessary.

1. INSTITUTION	2. CSREES PROJECT NUMBER OR AWARD NUMBER (if known)
	3. PROJECT DIRECTOR(S)

4. TITLE OF PROJECT

**A. BIOSAFETY OF RECOMBINANT DNA**

- Project does not involve recombinant DNA.
- Project involves recombinant DNA and was either approved ( ) or determined to be exempt ( ) from the NIH Guidelines by an Institutional Biosafety Committee (IBC) on \_\_\_\_\_ (Date).

This performing organization agrees to assume primary responsibility for complying with both the intent and procedures of the National Institutes of Health (NIH), DHHS Guidelines for Research Involving Recombinant DNA Molecules, as revised.

**B. CARE AND USE OF ANIMALS**

- Project does not involve vertebrate animals.
- Project involves vertebrate animals and was approved by the Institutional Animal Care and Use Committee (IACUC) on \_\_\_\_\_ (Date).

This performing organization agrees to assume primary responsibility for complying with the Animal Welfare Act (7 USC, 2131-2156), Public Law 89-544, 1966, as amended, and the regulations promulgated thereunder by the Secretary of Agriculture in 9 CFR Parts 1, 2, 3, and 4. In the case of domesticated farm animals housed under farm conditions, the institution shall adhere to the principles stated in the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching, Federation of Animal Science Societies, 1999.

**C. PROTECTION OF HUMAN SUBJECTS**

- Project does not involve human subjects.
- Project involves human subjects and
  - Was approved by the Institutional Review Board (IRB) on \_\_\_\_\_ (Date). Performing Institution holds a Federalwide assurance number \_\_\_\_\_; if not, a Single Project Assurance is required.
  - Is exempt based on exemption number \_\_\_\_\_.
  - Specific plans involving human subjects depend upon completion of survey instruments, prior animal studies, or development of material or procedures. No human subjects will be involved in research until approved by the IRB and a revised Form CSREES-2008 is submitted.

This performing organization agrees to assume primary responsibility for complying with the Federal Policy for Protection of Human Subjects as set forth in 45 CFR Part 46, 1991, as amended, and USDA regulations set forth in 7 CFR 1c, 1992. All nonexempt research involving human subjects must be approved and under continuing review by an IRB. If the performing organization submits a Single Project Assurance, supplemental information describing procedures to protect subjects from risks is required.

SIGNATURE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE	TITLE	DATE
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According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0524-0039. The time required to complete this information collection is estimated to average .50 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

## Instructions for Completing Assurance Statements and Certifications of Protection from Research Risks

STATEMENT OF POLICY - Institutions receiving CSREES funding for research are responsible for protecting human subjects, providing humane treatment of animals, and monitoring the use of recombinant DNA. To provide for the adequate discharge of this responsibility, CSREES policy requires an assurance by the institution's Authorized Organizational Representative (AOR) that appropriate committees in each institution have carried out the initial review of protocols and will conduct continuing reviews of supported projects. CSREES also requires AOR certification by citing a timely date that an appropriate committee issued an approval or exemption.

If a research proposal covers multiple projects in which experimental protocols vary, the AOR must provide documentation of certification, through multiple copies of Form CSREES-2008, by the appropriate committee(s) for each specific protocol utilized in the projects. Examples of multiple project/proposals may include large multi-faceted special grants, multi-institutional consortia, multi-state research projects and some large umbrella Hatch proposals.

Formula funded activities require a certification of action taken by appropriate committees, which necessitates inclusion of the date of the action; the designation of 'pending' is not an option. The designation of 'pending' may be inserted for other grant proposals in lieu of reporting a date of certification that an appropriate committee took action. However, a subsequent approval must be obtained, and a revised Form CSREES-2008 must be submitted before a final award can be made.

### A. BIOSAFETY OF RECOMBINANT DNA

If the project involves the use of recombinant DNA molecules, the performing organization shall assume primary responsibility for complying with both the intent and procedures of the National Institutes of Health (NIH), DHHS, Guidelines for Research Involving Recombinant DNA Molecules, as revised:

<http://www4.od.nih.gov/oba/rac/guidelines/guidelines.html>

This responsibility includes:

1. Ensuring that a standing Institutional Biosafety Committee (IBC) is maintained in accordance with Part IV of the NIH Guidelines and also ensuring that the research plan is reviewed and approved by the IBC prior to commencing substantive work under the project. Actions by the IBC must be documented in Section A of the Form CSREES-2008.
2. Registering with the IBC all experiments involving recombinant DNA molecules conducted with funds provided under the project and complying with the containment requirements specified in Part III of the NIH Guidelines. Records of this research must be kept in a form that is available to CSREES upon request.

In addition, the funded recipient must report the following supplemental data to CSREES and to the reviewing IBC:

- a. New technical information relating to risks and safety procedures.
- b. Serious accidents or releases involving recombinant DNA.
- c. Serious illness of a laboratory worker which may be project related.
- d. Other safety problems.

For serious adverse events, see Appendix M-I-C-4 Safety Reporting of the NIH, DHHS Guidelines for Research Involving Recombinant DNA Molecules, as revised, at:

[http://www4.od.nih.gov/oba/rac/guidelines\\_02/APPENDIX\\_M.htm](http://www4.od.nih.gov/oba/rac/guidelines_02/APPENDIX_M.htm)

IBC review and approval or exemption must be documented in Section A of the Form CSREES-2008. The approval date should reflect a timely review and not older than 36 months.

### B. CARE AND USE OF ANIMALS

The responsibility for the humane care and treatment of vertebrate animals used in any research project supported with CSREES funds rests with the performing organization. If a project involves animals, except farm animals used for food and fiber research, the personnel identified with the project, and the endorsing officials of the recipient's organization must comply with the Animal Welfare Act (AWA). The AWA (7 USC 2131-2156; Public Law 89-544, 1966, as amended) and the regulations promulgated thereunder by the Secretary of Agriculture (9 CFR Parts 1, 2, 3, and 4, and subsequent rules and regulations) that pertain to the care, handling, and treatment of vertebrate animals held or used for research, teaching, or other activities supported by Federal awards are published at:

<http://www.nal.usda.gov/awic/legislat/awicregs.htm>

In the case of laboratory animals used or intended for use in research, the institution shall adhere to the principles enunciated in the Guide for the Care and Use of Laboratory Animals, (ILAR, National Academy of Sciences); 1996:

<http://www.nap.edu/readingroom/books/labrats/>

and to the USDA regulations and standards issued under the public laws stated above. In case of a conflict between the guidelines, the higher standard of care shall be used.

When domesticated farm animals are used or intended for use in agricultural food and fiber production research, teaching or other activities and housed under farm conditions, the institution shall adhere to the principles stated in the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching, 1999 which is available from the Federation of Animal Science Societies, 1111 N Dunlap, Savoy, IL 61874.

<http://www.fass.org/publications.asp>

Prior to commencing research activities with vertebrate animals, all protocols involving animals in CSREES funded projects must be approved by the Institutional Animal Care and Use Committee (IACUC):

<http://grants.nih.gov/grants/olaw/olaw.htm>

IACUC review and approval must be documented in Section B of the Form CSREES-2008. The approval date should reflect a timely review and not older than 36 months.

### C. PROTECTION OF HUMAN SUBJECTS

The performing organization is responsible for protecting the rights and welfare of any human subject involved in CSREES sponsored research and related activities. If a research project protocol involves the use of human subjects, the institution must agree to comply with the Department of Health and Human Services' (DHHS) regulations on the protection of human subjects:

<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>

as set forth in 45 CFR Part 46, 1991, as amended (formally adopted as The 'Common Rule'), and USDA regulations set forth in 7 CFR 1c, 1992. If a research project protocol involves the use of human subjects, one and only one of the three options outlined under section C of Assurance Form 2008 must be completed.

Definitions pertaining to this regulation include:

Human subject means a living individual about whom the investigator (whether professional or student) conducting research obtains data through intervention or interaction with the individual, or identifiable private information.

Research means a systematic investigation, including research development, testing and evaluation, designed to develop generalizable knowledge. For example, some demonstration and service programs may include research activities.

Intervention includes both physical procedures by which data are gathered and manipulations of the subject that are performed for research purposes.

Interaction includes communication or interpersonal contact (e.g., surveys) between investigator and subject.

Private information includes information which is individually identifiable and the individual can reasonably expect will not be made public.

All research protocols involving human subjects must be approved and undergo continuing review by an Institutional Review Board (IRB). If the performing organization qualifies for Federalwide Assurance (FWA) status and has been approved by the Office for Human Research Protections (OHRP), DHHS, then report the assurance number along with the approval date. A list of IRBs with FWA status is available at:

<http://ohrp.cit.nih.gov/search/asearch.asp>

If the performing organization does not have FWA status, a Single Project Assurance (SPA) form may be obtained from OHRP, DHHS at:

<http://www.hhs.gov/ohrp/humansubjects/assurance/asur.htm>

and must be submitted. A SPA is a document to assure compliance and continuing review of the project being proposed, and it is limited in use and duration to this individual research activity. A SPA signed by the IRB Chairperson, AOR, and Project Director of the research project must be submitted. Also, provide additional information regarding the recruitment and selection of subjects, the proposed processes of informed consent and maintenance of confidentiality, and risk and benefit assessments for review by CSREES staff. An institution submitting a SPA may utilize its own IRB or the IRB of a neighboring institution.

The IRB approval date should reflect a timely review. The date reported in section C of the Assurance Form 2008 should not be older than twelve months, because the 'Common Rule' requires annual review.

Research activities in which the only involvement of human subjects is in one or more of the following categories are exempt from IRB review:

1. Research conducted in established or commonly accepted educational settings.
2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless information obtained is recorded in such a manner that human subjects can be identified, and any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk or be damaging.
3. Research not exempt in #2 may be exempt if, in the use of educational tests, the subjects are elected or appointed officials, or federal statutes require that confidentiality will be maintained.
4. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens.
5. Research and demonstration projects which are designed to study, evaluate, or otherwise examine public benefit or service programs.
6. Taste and food quality evaluation and consumer acceptance studies.

It is typically the responsibility of the IRB or AOR, and not the Program Director, to determine whether research activities qualify for an exemption. A complete explanation of these exemptions can be found at:

<http://www.hhs.gov/ohrp/humansubjects/guidance/basics.htm>

A project may be funded but temporarily excused from IRB approval if specific protocols involving human subjects depend upon the development of survey instruments, procedures or materials, or completion of animal studies. However, human subjects may not be involved in research activities until IRB approval is obtained and a revised Form CSREES-2008 is submitted.

## **Certifications**

The following instructions and forms are included for informational purposes only. Certifications are accomplished by signing Form CSREES-2002, Proposal Cover Page. Please read the following certification statements located in this kit:

1. Certifications Regarding Drug-Free Workplace Requirements (Alternatives I and II)
2. Debarment or Suspension Requirements (Primary and Lower Tier-Covered Transactions)
3. Notice to Applicants - Certification/Disclosure Requirements Related to Lobbying

**U.S. DEPARTMENT OF AGRICULTURE**

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

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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 ON REVERSE)**

- (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.

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Organization Name

PR/Award Number or Project Name

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

**DO NOT SIGN THIS FORM - CERTIFICATION IS PROVIDED WHEN THE APPLICANT SIGNS THE CSREES-2002,  
"PROPOSAL COVER PAGE."**

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Signature(s)

Date

## Instructions for Certification

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.

U.S. DEPARTMENT OF AGRICULTURE

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

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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 ON REVERSE)**

- (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.

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Organization Name

PR/Award Number or Project Name

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

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Signature(s)

Date

### Instructions for Certification

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.











