



**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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- Proposal Cover Page..... Form CSREES-2002
- Project Summary..... Form CSREES-2003
- Budget..... Form CSREES-2004
- Current and Pending Support..... Form CSREES-2005
- National Environmental Policy Act Exclusions Form..... Form CSREES-2006
- 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:
			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			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

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 3.00 hours 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.

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COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION
SERVICE**

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<p>Project Director(s) (PD):</p> <p>PD _____ Institution _____</p> <p>CO-PD _____ Institution _____</p> <p>CO-PD _____ Institution _____</p> <p>CO-PD _____ Institution _____</p>	<p align="center">PROPOSAL TYPE</p> <p align="center">For National Research Initiative Competitive Grants Program Proposals Only</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><u>Strengthening:</u></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>Project Title: _____</p> <p>Key Words: _____</p>	<p align="center">For Higher Education Program Proposals Only:</p> <p>Need Area: _____</p> <p>Discipline: _____</p>

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

OMB Approved 0524-0039

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)
				Funds Requested by Proposer	Funds Approved by CSREES (If different)		
A. Salaries and Wages		CSREES-FUNDED WORK MONTHS					
		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							
Total Salaries and Wages →							
B. Fringe Benefits (If charged as Direct Costs)							
C. Total Salaries, Wages, and Fringe Benefits (A plus B) →							
D. Nonexpendable Equipment (Attach supporting data. List items and dollar amounts for each item.)							
E. Materials and Supplies							
F. Travel							
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.)							
K. Total Direct Costs (C through J) →							
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.)							
M. Total Direct and F&A/Indirect Costs (K plus L) →							
N. Other..... →							
O. Total Amount of This Request							
P. Carryover -- (If Applicable) Federal Funds: \$		Non-Federal funds: \$		Total \$			
Q. Cost-Sharing/Matching (Breakdown of total amounts shown on line O)							
Cash (both Applicant and Third Party) →							
- Non Cash Contributions (both Applicant and Third Party)							
NAME AND TITLE (Type or print)				SIGNATURE (required)		DATE	
Project Director							
Authorized Organizational Representative							
Signature (for optional use)							

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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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