

**2018**

**Request for**

**Full Applications**

**Release Date:**

**September 25, 2017**

**Submission Deadline:**

**Monday, November 13, 2017 at 4PM EST**

**REQUEST FOR FULL PROPOSALS TO THE NORTHEASTERN REGIONAL AQUACULTURE CENTER**

**(Fall 2017 for 2018 funding)**

**Introduction**

The Northeastern Regional Aquaculture Center (NRAC), one of five regional aquaculture centers in the US, is requesting proposals to address this funding round priority area. NRAC is funded by the USDA, NIFA and has available approximately $500,000 to fund proposals that address the priority area. This request for Applications (RFA) is in response to priorities identified by the Northeastern Regional Aquaculture Industry. **Only invited full proposals** **or proposals designated by NRAC will be accepted.** The problem statements were passed through NRAC problem development process and are now the basis of this request for proposals. The identified priority area is as follows:

**TRA-18-1**

**Research and demonstrate opportunities for increased profitability**

**TRA-18-2**

**Co-production between industry and NRAC extension network leads to targeted outputs, technology transfer, and workshops that disseminate existing technology underutilized on northeast farms yielding outcomes that result in overall growth of the industry in the Northeast.**

**Proposals must be received by NRAC no later than 4:00 p.m. (Eastern Standard Time) on Monday, November 13, 2017 at the address below.**  NRAC must receive one signed electronic copy in WORD or PDF format. All proposals must follow the format given in this RFA and address the stated priority area. Proposals not meeting the format requirements (see checklist in this package), proposals arriving after the deadline, or proposals that do not address the priority area will not be accepted. **NRAC is not requiring printed copies for the 2018 submissions.**

Address all submissions to:

 Sharon Adams/ RFA 2018

 Northeastern Regional Aquaculture Center

 2113 Animal Sciences Building, Bldg. #142

 University of Maryland

College Park, Maryland 20742-2317

Electronic copies can be submitted on a CD or can be submitted as an electronic file via e-mail to Mrs. Sharon Adams at ssadams@umd.edu. Electronic copies sent to NRAC must be in WORD or PDF format.

**Background and Authorization**

The NORTHEASTERN REGIONAL AQUACULTURE CENTER (NRAC) was created in 1987 to “*support aquaculture research, development, demonstration and extension education to enhance viable and profitable U.S. aquaculture production which will benefit consumers, producers, service industries, and the American economy.”* NRAC, located at the University of Maryland in College Park, Maryland, is one of five Regional Aquaculture Centers established by the U.S. Congress and administered by the U.S. Department of Agriculture (USDA), National Institute of Food and Agriculture (NIFA), formerly Cooperative State Research, Education, and Extension Service (CSREES). NRAC is supported by yearly grants from USDA, which is authorized under Federal legislation (Agriculture and Food Act of 1981, title IV, Subtitle L, §1440, Pub. L. 97-98) to coordinate efforts in the implementation of the National Aquaculture Act of 1980 and extensions thereof.

 NRAC comprises the geographical region of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Washington, D.C., and West Virginia. Qualified individuals within the region associated with any state agricultural experiment station, college, university, other research institution or organization, federal agency, private organization or corporation are eligible to participate. Because there was a pre-proposal step, full proposals will be accepted only from investigators invited to submit based on their competitive pre-proposal or from a designated Project Team.

 There is approximately $500,000 available from NRAC grants to fund the development and implementation of the one NRAC Aquaculture priority. Individual proposals **should not exceed $200,000 and two years** **in length**. Any project exceeding these guidelines must strongly justify the deviations from these guidelines. All proposals will be reviewed by the NRAC Executive Committee and at least three external reviewers. Recommendations will be made to the NRAC Board of Directors for final approval. Funding awards will be based on the competitive position of each proposal and will be awarded to the extent of available funds. **Successful proposals are expected to receive funding summer or fall of 2018. NRAC Fall 2018 REQUEST FOR FULL PROPOSALS**

1

2

**CRITERIA & SUGGESTIONS**

Research and extension-demonstration project proposals are judged against seven principal criteria. Please provide sufficient work plan details, qualified collaborating team members (or advisory panel members), and an appropriate budget to meet these criteria.

**YOUR PROPOSED RESEARCH OR PROJECT SHALL:**

**#1 SUPPORT AQUACULTURE INDUSTRY DEVELOPMENT** in the northeastern United States (U.S.) Your full proposal should explain how your project is both relevant to the priority research areas as determined by industry and listed in the 2018 RFA. It should demonstrate the benefits and/or potential impacts to farm-gate prices or profitability.

**#2 HAVE THE ASSISTANCE, SUPPORT, OR ENDORSEMENT OF INDUSTRY** in the northeastern U.S. Industry-funded or non-funded collaborators are encouraged; letters of endorsement from industry members or industry associations can provide additional evidence (see Full Proposal Format, Section 5.2). Letters of support from industry members that are not involved in the project are also encouraged.

**#3 BE REGIONAL**: Team members, advisory panel members, research and/or demonstration-outreach sites must be from two or more states and/or the District of Columbia in the NRAC region. The project should clearly address how it is adaptable to the wider regional industry being targeted. The proposal will be viewed more favorably if you have broad regional participation and/or can clearly demonstrate adoption potential

**#4 ALL RESEARCH PROPOSALS SHALL CLEARLY IDENTIFY OBJECTIVES, HYPOTHESES, AND STATISTICAL DESIGN WITH IDENTIFIED SIGNIFICANCE LEVEL.** The key point here is that the research protocol must withstand appropriate critique for scientific and statistical rigor.

**#5 HAVE AN INTEGRATED EXTENSION OR OUTREACH COMPONENT** that will facilitate information dissemination, technology transfer or training to the aquaculture industry throughout the Northeastern U.S.

* Details of extension-outreach goals and objectives, design, work plan, and budget must be included in the proposal.
* A plan to reach the intended audience, participants, locations, must be provided as well as costs and approximate dates of presentations, demonstrations, or workshops, etc. are required.
* An outcomes-based logic model with appropriate description of categories is to be appended to the document.
* **All projects must clearly define expected outcomes and impacts (a training session, publication, meeting, etc., is not considered an outcome but an output) – please carefully address these issues in the body of the text.** NRAC requires 10 printed copies of Extension Bulletins, Fact Sheets, or Special Reports that result from the project. The project budget shall budget for production & distribution of these.
* All written materials shall also be submitted to NRAC electronically (PC compatible format).
* NRAC wishes to encourage the use of and development of services for its website. At a minimum, planned extension publications should be formatted for downloading from the NRAC website. A budget shall be included in the project for these tasks.

**#6 HAVE A HIGH PROBABILITY OF BEING COMPLETED SUCCESSFULLY AND ON-TIME GIVEN THE QUALIFICATIONS OF THE PARTICIPANTS, AVAILABILITY OF EQUIPMENT, REQUESTED FUNDING, AND PROPOSED TIMELINE.**

**#7 ALL PIs ON THE PROJECT WHO HAVE HAD PREVIOUS FUNDING ARE TO COMPLETE THE REPORTING FORM ATTACHED TO THIS DOCMENT AND INCLUDED AS PART OF AN APPENDIX** – This information is to identify success, documented impacts to the industry, publications, and additional funding support that resulted from previous NRAC funding. This category does not apply to first-time applicants, but does apply to any previously funded participants.

**FORMAT REQUIREMENTS:** See the NRAC RFA 2018 Full Proposal Format pageattached to this RFA for proposal format requirements, number of copies and other requirements.

**REPORTING REQUIREMENTS**

There will be Semi-Annual Progress Reports and a Project Completion Report as well as, where appropriate, an annual oral presentation, provided at an appropriate venue, and the Project Team should include costs of these in their project. **Impact statements will be requested for several years post-award to track the return on investment of all NRAC projects.** Refer to Reporting Requirements in the appendix of this RFA.

**NRAC REQUIREMENTS:** NRAC reserves the right, based on reviewers' comments, applicability to NRAC published priorities and available funding, to fund only those proposals meeting the criteria and for which funds are available.

3

**PROBLEM STATEMENTS**

 **TRA-18-1**

**Goal: Research and demonstrate opportunities for increased profitability**

**Statement of the Problem:** A number of limitations affect the development and growth of aquaculture in the northeast. NRAC seeks proposals to increase profitable production by:

 Lowering input costs (e.g., labor, energy, capital equipment, feeds, and space) related to the production of aquatic organisms. For example, high-energy costs for pumping, heating, and cooling water, reduce the competitiveness of the industry. Handling activities such as grading and counting aquatic crop species tends to be inefficient as practiced in the Northeast and needs engineering to reduce labor costs and increase consistency of the end product.

 Developing value-added products from aquaculture and aquaculture waste materials.

 Creating potential for bioremediation, ecological services, and/or ecological restoration using aquaculture products and/or methods.

 Improving methods for reducing labor associated with biofouling and predator control, especially for predators that are invasive, novel, non-endemic, or emergent.

 Demonstrate the effectiveness of breeding for improving production efficiency and/or product quality in the commercial sector.

 Improving feeds that result in reduced rearing costs, lowered fish-meal protein inputs, increased survivability, and improved health.

 Research leading to the elimination of knowledge gaps related to closing the life cycle of targeted species.

 Developing the knowledge-base of pathogenic and non-pathogenic health strategies that lead to improved health management and improved production **on the farm**.

 Market research on how to penetrate and/or expand into markets more efficiently using targeted social, economic, and ethnic factors. Determine expectancy of success by investing aspects of “grow-local, buy-local” demand for producers and marketers to service currently non- or underserved populations with aquaculture products. Examine the value of “USA Produced” products and the depth of available markets.

* Modifying farming and production strategies in response to environmental change.

**Collaboration with industry and/or extension is essential. These individuals must be identified and their participation/support in the project specified with budget as appropriate.**

Examples may include:

 Novel marketing or value-added strategies

 Control of predators

 Energy-efficient systems and alternative energy sources

 Engineering of more efficient, labor-reducing systems

 More effective spatial production techniques, *i.e.*, multitrophic aquaculture including aquaponics, especially in urban areas

 Development of domesticated broodstock

 Reduction in biofouling effects

 Use of novel or sustainable protein/oil sources

 Nutritional requirements research

4

**TRA-18-2**

**Goal: Co-production between industry and NRAC extension network leads to targeted outputs, technology transfer, and workshops that disseminate existing technology underutilized on northeast farms yielding outcomes that result in overall growth of the industry in the Northeast.**

**Statement of the Problem**: NRAC has generated novel and important solutions for aquaculture in the northeast. NRAC seeks proposals that will increase the on-farm utilization and implementation of successful science-based solutions generated by its previously funded projects. These can include, but are not limited to:

 Workshops that target training industry groups about beneficial, but underutilized technology, that was generated through NRAC research

 On-farm training/demonstration programs that help drive technological solutions

 Multi- and social-media content that effectively and professionally describes NRAC products

**Explicit collaboration with previous researchers and current industry members is essential for the success of these projects.**

**NRAC RFA 2018 Full Proposal Format**

**Electronic Copy of Proposals in WORD or PDF format in one single file must be received by no later than 4:00 p.m. (Eastern Standard Time)**

**Monday November 13, 2017**

**No Printed Copies of the Proposal are Required**

Grant proposals submitted to the Northeastern Regional Aquaculture Center in application for collaborative and regional research, development or extension education funds shall adhere to the following content and formatting instructions. **Proposals which are incomplete, which do not adhere to content and formatting instructions, which do not include the completed forms listed below or whose budgets do not balance will not be considered for funding**.

# NRAC Project Summary (Fall 2017 Solicitation for 2018 Funds) Form

**Section 1**

1.1 Project Coordinator Signature Page: one page, single-sided

1.2 Principal Investigator & Cooperating and/or Non-funded Participants Form

1.3 Previous funding impacts – one page per P.I. who has received previous funding

**Section 2 / Body of Proposal (not to exceed 15 pages)**

2.1 Objectives– include hypotheses if appropriate

2.2 Justification

2.3 Related Activities and Other Work (include Literature Cited)

2.4 Proposed Methods, Experimental and Statistical Design and Proposed Activities

2.5 Project Schedule

2.6 Anticipated Products and Projected Outcomes

2.7 Supporting Facilities

**Section 3 / Budget Information**

3.1 Budget: Schedule A (NIFA-2004) Form, Section J All Other Direct Costs Worksheet (Optional)

3.2 Budget Justification

3.3 Current and Pending Support: Schedule C (NIFA-2005) Form

5

**Section 4**

* 1. Letters of Intent (include funded and non-funded participants) (One signed original)
	2. Conflict of Interest Disclosure Letter
	3. Conflict of Interest List: (NIFA-2007) Form

**Section 5 / Supporting Documents**

5.1 Two-Page Resumes (include funded and non-funded participants)

* 1. Support Materials – including completed Logic Model (enclosed)
	2. List of Thee Potential Reviewers

**Attachments**

Refer to **Forms and Format** (see below) for required forms that shall be completed and submitted.

6

7

**CHECKLIST FOR SUBMISSION OF FULL PROPOSALS**

 Font size not smaller than 12 point Times New Roman

 All Hard copies must be single-sided only

 All margins will be not less than 0.75 inches except for forms

**⁯** Cover page must be a separate page, single-sided

**⁯** Limit Section 2 (Body of Proposal) to 15 pages

**⁯** All copies must be stapled (upper-left corner)

**⁯** Submit 1 signed original hard copy, and 1 electronic copy in WORD or .pdf format.

**⁯** All copies shall be signed (original signature only required on the one original hard copy)

**⁯** Budgets shall balance (and total from cumulative summary budget shall match Cover Page)

**⁯** DO NOT submit in binders/folders, etc.

**FORMS AND FORMAT**

The following forms are required. Copies of the forms are attached to this RFA for your use.

USDA Proposal Cover sheet ------------Form NIFA - 2002

Project Summary -------------------------Form NIFA - 2003

 Budget --------------------------------------Form NIFA - 2004

 Current and Pending Support -----------Form NIFA – 2005

 Conflict of Interest List ------------------Form NIFA - 2007

**Please note that NRAC has changed the requirement on when the following forms are to be submitted. The following forms are no longer required with the initial submission of Full Proposals. PIs of approved Full Proposals will be contacted and at that time NRAC will request the forms be completed and submitted.**

 Only 1 copy with the original signature shall be required of the forms listed below:

 Assurance Statement(s)-------------------Form NIFA – 2008

 Certification Regarding Debarment, Suspension, and Other Responsibility Matters----Forms AD-1047 & AD-1048

 Certification Regarding Drug-Free Workplace Requirements (Grants)----Forms AD-1049 & AD-1050

 Certification Regarding Lobbying – Contracts, Grants, Loans and Cooperative Agreements

Instructions for completing these forms are also included in the RFA.

7

8

5

|  |
| --- |
| NRAC Project Summary**(2016 Solicitation for 2018 Funds)** |
| Project Title: |
| Project Status/Duration: | New\_ \_  | Con’t.\_ \_ \_ \_ \_ | Project Period:\_ \_ \_ \_ \_ months |
| Name, Address, and Telephone Number of Project Coordinator  |
| Principal Investigator(s) and Brief Statement of Qualifications: |
| Project Objective(s): |
| Specific Priority(ies) in Solicitation to Which Project Responds: |
| Keywords: |
| Summary of Work: (for continuing projects, include progress to date) |
| Project Funding: Year 1 %NRAC $ %Match $ %Total $ 100 % |  Year 2 %NRAC $ %Match $ %Total $ 100 % |  Total %NRAC $ %Match $ %Total $ 100 % |

8

**2018 Proposal to the Northeastern Regional Aquaculture Center (NRAC) for USDA**

**National Institute of Food and Agriculture (NIFA) Funding**

# Section 1.1

**Proposal Code** (See cover letter)**:**

**Project Title:**

**[ Y N ]** Please circle Y (yes) or N (no) to indicate if the title is the same as the Pre-proposal

**Total Funding Requested from NRAC:** $ **Total Match:** $

**Project Duration (total):**   **Months**

**Resubmission Information:**

[If this proposal is a resubmission from (a) previous year(s), please give the year(s)

 submitted and whether a preproposal (PP) and a Full Proposal (FP) were submitted.]

**Preferred Start Date (circle/list): (funding will be available Fall 2017)**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**States with Participants in Project (circle/list):**

CT DE ME MD MA NH NJ NY PA RI VT WV Wash., DC / Other:

**Project Coordinator** (Lead Principal Investigator) (one name only)

 (name/position/address/phone/fax/Email)**:**

**Does this Project Request rental for space or use fees □ Yes □ No**

**If yes the institutions authorized signature on this proposal attests that this space rental or these fees are not included in the institution’s normal over head calculations.**

**Project Coordinator’s Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:**

 **University Approving Official: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

9

**Section 1.2**

**Principal Investigator(s)** (name/position/address/phone/fax/Email)**:**

**Cooperating, Non-funded Participants** (name/position/address/phone/fax/Email)**:**

**Section 1.3**

10

**One page per P.I. – Co P.I.**

1. **Please list the titles, co-P.I.s and years funded of any previous NRAC competitive grant(s) in the last five years.**
2. **If any previously funded grants led to successful awards of larger grants from other agencies by you or your co-P.I.s please list them below by linking which NRAC grant led to a new larger grant, what agency funded it, and at what level.**
3. **If any industry/stakeholder have adopted and put into practice the results from previous NRAC funding please list the name of the company/agency/stakeholder that has adopted the practice and estimate the value-added result of adoption.**

11

## Section 2

**2.1 Objectives** (itemize)

This section should present a clear, complete and logically arranged statement of the project's overall objectives and related specific objectives. Use a clear, concise, one-sentence statement for each objective and arrange in a logical sequence. State hypothesis (ses) clearly.

**2.2 Justification**

Present a statement of the problem and its background, the extent of the problem, and the importance of the expected results to the aquaculture industry.

**2.3 Related Activities and Other Work**

Present a brief review, using information from Current Research Information System (CRIS) reports (CRIS website: <http://cris.csrees.usda.gov/menu.html>), published literature and other sources of related research on the problem, how it falls short of meeting current and future requirements, and how the proposed work will supplement and extend our understanding towards a solution of the problem. Essential literature citations shall be listed at the end of this section under the heading Literature Cited. If it is for a continuing project, include progress to date.

**2.4 Proposed Methods and Activities**

This section should describe what the investigators propose to do, including milestones to be achieved, for each of the stated objectives as listed above in Section 2.1. There should be a numbered statement of procedure to correspond with each numbered objective. Describe the work plans (experimental and statistical design where appropriate) and methods to be used in attaining each stated objective. The responsibilities and work assignment of each participating investigator must be stated in the procedure for each objective. Sufficient information should be included to enable the reader to evaluate the approach and to discern joint planning and coordination by the cooperating investigators, possible pooling of data, regional summarization of findings, and plans for publications, extension education, outreach program(s), demonstration projects.

**2.5 Project Schedule**

This schedule interrelates with all project milestones and objectives on a common time scale (shown in months). The project schedule (bar chart or Gantt chart) should contain the following information:

 1. Milestones that will be achieved during the project (link with stated objectives);

 2. Names of the individuals responsible for each milestone;

 3. Starting date, expected duration, and completion date for each milestone;

 4. Completion date for each numbered objective

Although multiple-year projects are approved for the duration of the project, and total project funds are appropriated when the project is approved, funding for each year (after year one) is only released annually, after a public presentation and a favorable review of the progress, performance and merits of the project and approval of a detailed Annual Progress Report.

**2.6 Anticipated Products/Outcome**

Briefly describe what "deliverables" are expected from this project and budget accordingly (e.g. DVDs [20 CD/DVDs are required. These are only required if information is not compatible to be placed on the NRAC website.]; 10 copies required of: fact sheets, extension bulletins, special reports, etc.). Specifically state who is responsible for these contributions (note: an electronic copy of all publications will be required). Project must include avenues of information/outreach (publications, workshops, extension activities, website contributions, etc.) and how the products of this project will be delivered to, used by, or serve to support the aquaculture industry of the northeastern U.S., and how you plan to evaluate the success of the project for transferring the information to the industry (see Logic Model) For assistance, contact NRAC at 301-405-6917.

**2.7 Supporting Facilities**

A statement of facilities to be used should be given for each objective listed in Section 2.1; statements should be numbered to correspond to their respective objectives. Describe the facilities available, the institutional location of each facility, and specific procedures to be conducted at that location. Sufficient information should be included to enable the reader to assess the suitability of facilities, to discern alternatives considered, and to evaluate the joint planning and coordination by the participating investigators. [Reminder: USDA does not allow overhead costs, tuition, indirect costs, and brick and mortar expenditures.]

12

## Section 3

**3.1 Budget (Schedules A Form and Section J Worksheet)**

The Project Coordinator shall provide a budget for each year of the project (matching funds are not required, but if included they need to be shown in the budget) and a summary budget for the project showing total funding requested from NRAC for each line item (and total matching funds). Budgeted line items must reflect programmed expenditures needed to implement the activities enumerated in Sections 2.4, 2.5 and 2.6. Also include in the budget, estimated funding for the presentation of project results in an NRAC-sponsored public forum. Use Schedule A (form NIFA-2004 Budget) and Section J—All Other Direct Costs Worksheet (Optional) which are provided under the Attachments section of this document. Schedule A (Form NIFA-2004) and Instructions for completing Form NIFA-2004 are provided by the USDA and must be followed, as proposals accepted by NRAC are submitted to the USDA for final approval.

For those projects meeting final approval, a subcontract will be issued to the Project Coordinator’s institute, which will issue subcontracts to the PI’s of the project. PI’s who do not desire a separate subcontract from the Project Coordinator’s institute should incorporate their budget information in another PI’s budget.

Principal Investigators submitting separate budgets shall submit a budget for each year of support (circle appropriate year in the upper left corner of Schedule A) and a cumulative budget for multi-year funded projects (circle “T” for “total” in the upper left corner of Schedule A). Additionally, the Project Coordinator must include a summary budget for each year of requested project funding and a grand total budget (cumulative summary) for the full term of requested support for all participants in the total project. Enter the grand total of requested NRAC funding (NIFA-2004 Budget Item O. “Total Amount of This Request”) and if included the grand total match funding (NIFA-2004 Budget Item Q. “Cost Sharing/Matching”) on the Cover Page.

**\* Note: Indirect costs (overhead), tuition remission, and capital expenditures are not allowed and may not be included in matching funding.**

**3.2 Budget Justification**

Include written justification for budget expenditures. Salary and benefits for Principal Investigators must be itemized separately, and requires additional written justification. **Travel budget must identify the purpose of travel, how it serves the project, who is traveling, the destination, and estimated cost of each trip planned.**

**3.3. Current and Pending Support (Schedule C)**

Each investigator shall complete a Current and Pending Support form (use Schedule C, NIFA-2005 Form) listing all sources of support for active and pending projects including this proposal.

**Section 4**

**4.1 Letters of Intent and AOR Letters**

 Each funded and non-funded investigator (including the Project Coordinator), participant, and consultant shall submit two copies of a signed letter of intent indicating his/her willingness to participate in the project, the expected level of funding or financial contribution, which of the objectives (s)he will participate in, and the specific activities/tasks (s)he will perform. **Any proposal submitted without letters of intent from all investigators, participants and consultants will be considered incomplete**. Authorized Organizational Representative (AOR) letters must be signed by AOR and submitted with the proposal. (See attached template at the end of this RFA)

**4.2 Conflict of Interest Disclosure Letter**

Participation of TIAC members as **funded** participants of projects may be deemed possible if project PIs can provide evidence that the services/role of the TIAC member is not otherwise available throughout the northeast region and that every attempt was made to locate the indicated services elsewhere. The PIs need to specify all potential conflict of interests and indicate how they will be addressed.

13

**4.3 Conflict of Interest List**

Refer to NIFA-2007 Form as instructed under Attachments. This form shall be completed and submitted with the proposal.

**Section 5**

**5.1 Resumes**

Include a short (no more than 2 pages) resume for each investigator and participant. General formatting instructions must be adhered to (see attached checklist).

**5.2 Supporting Materials**

Include any **pertinent** support materials (e.g., letters from industry, etc.). Letters from industry members not involved in the project indicating their support for the project are also encouraged. Include a Logic Model for planning and evaluating extension-outreach efforts (enclosed at the end of this document).

**5.3List of Potential Reviewers**

P.I.’s are requested to provide a list of three to five individuals that are technically competent to review their proposal. It would be helpful if there were research, industry, and extension people in the list. They should be from outside of the Northeast region and they should not be collaborators with project personnel. Please supply the potential reviewer’s names, affiliation, mailing address, telephone numbers, and e-mail address.

 **Reporting Requirements**

14

the Project Coordinator shall submit the following reports to the Director of the Northeastern Regional Aquaculture Center (NRAC), University of Maryland.

A hard copy and electronic copy of the reports shall be submitted, and in a format or program compatible with computer equipment and programs at the Northeastern Regional Aquaculture Center office. The reports requirements are as follows:

**One-Year Projects:**

1. Semi-Annual Progress Reports: The first Semi-Annual Progress Report shall be due 6 months after the start of the project. (The Semi-Annual Progress Reports will be used by the NRAC to assess the ongoing scientific/technical, educational or extension merit of the project).
2. Project Completion Report: In addition to the Semi-Annual Progress Reports, the Project Coordinator shall be required to submit a Project Completion Report four weeks prior to the project end date. The Project Completion Report will include a detailed final report with descriptions of activities, results, data analysis, tables, graphic representations (as appropriate), discussion, final conclusions and recommendations. A public presentation is also required. The public presentation will take place during the Annual Board of Directors meeting or at another appropriate venue. This Project Completion Report and public presentation will be used to determine successful completion of the project, including acceptance of all project deliverables, reports, publications, and any other items related to award closeout.
3. Follow-up Impact Statements: Annually for at least three years post project completion all Project PIs will be expected to submit an Outcomes-Impact statement about the adoption of the information developed during the life of the project. Therefore it is important for the PIs to plan on tracking and reporting this information. Annual requests will come from the NRAC office.

**Two and Three-Year Projects:**

1. Semi-Annual Progress Reports: The first Semi-Annual Progress Report shall be due 6 months after the start of the project. Pending approval of ongoing funding for the second year of the award, the second Semi-annual Progress Report will be due six months after the start date of Year 2. (The Semi-Annual Progress Reports will be used by the NRAC to assess the ongoing scientific/technical, educational or extension merit of the project).
2. Annual Progress Report: The Annual Progress Report shall be due 11 months after the start of the project and each 12 month-interval thereafter for 2 or more year projects. Funding for the second year and subsequent years if appropriate, will be contingent upon NRAC approval of the Annual Progress Report.
3. Project Completion Report: In addition to the Semi-Annual Progress Reports, the Project Coordinator will be required to submit a Project Completion Report four weeks prior to the project end date. The Project Completion Report shall include a detailed final report with descriptions of activities, results, data analysis, tables, graphic representations (as appropriate), discussion, final conclusions and recommendations. A public presentation is also required. Usually this public presentation will take place during the Annual Board of Directors meeting or other appropriate venue. This Project Completion Report and public presentation will be used to determine successful completion of the project, including acceptance of all project deliverables, reports, publications, and any other items related to award closeout.
4. Follow-up Impact Statements: Annually for at least three years post project completion all Project PIs will be expected to submit an Outcomes-Impact statement about the adoption of the information developed during the life of the project. Therefore it is important for the PIs to plan on tracking and reporting this information. Annual requests will come from the NRAC office with the appropriate form to complete.

15

 **2018 NRAC Request For Full Applications**

# Attachments

**• Section J--All Other Direct Costs Worksheet (Optional); included with RFP.**

**• USDA Cover Sheet ( Form NIFA 2002)**

**• Summary Form ( Form NIFA 2003)**

**• Budget (Form NIFA-2004)**

**• Instruction For Completing NIFA-2004 Budget Form**

**• Current and Pending Support (Form NIFA-2005)**

**• Conflict of Interest List (Form NIFA-2007)**

**• Assurance Statement(s) (Form NIFA-2008) (only required after approval of Full Proposal)**

**• Certification Regarding Debarment, Suspension, and Other Responsibility Matters (Forms AD-1047 & AD-1048) (only required after approval of Full Proposal)**

**• Certification Regarding Drug-Free Workplace Requirements (Grants)**

 **(Forms AD-1049 & AD-1050) (only required after approval of Full Proposal)**

**• Certification Regarding Lobbying – Contracts, Grants, Loans and Cooperative Agreements(only required after approval of Full Proposal)**

**• Outcomes Based Logic Model Template (required with Full Proposal submission)**

 These forms are attached for your use.

16

14

**Section J--All Other Direct Costs Worksheet (Optional)**

**Schedule B**

**Year 1 2 3 T**

|  |  |  |
| --- | --- | --- |
| Organization and Address |   |   |
|   |  |  |   |
|   |  |  |   |
|   |  |   |   |
| Principal Investigator(s) | Requested from |   |
|   |   |  NRAC/USDA | Match |
| All Other Direct Costs |   |   |
| 1. | Space Rental |   |   |
|   |  Service Charge for above rental |   |   |
| 2. | Postage |   |   |
| 3. | Telephone |   |   |
| 4. | Fax |   |   |
| 5. | Photocopy  |   |   |
| 6. | Reference Books |   |   |
| 7. | Periodicals |   |   |
| 8. | Consultant Services (see below) |   |   |
| 9. | Other (Maintenance Agreement) |   |   |
|   |  |   |   |
|   |   |   |   |
|   |  |  |   |
| Total (enter in item I. CSREES-55) |   |   |
|  |  |  |  |
| Consultant Services |   |   |
|   | Name: |   |   |
|   | Organization: |   |   |
|   | Rate of Pay (hourly basis) |   |   |
|   | Services |   |   |
|   | Travel |   |   |
|   | Per Diem |   |   |
|  |  |  |  |
|   | Name: |   |   |
|   | Organization: |   |   |
|   | Rate of Pay (hourly basis) |   |   |
|   | Services |   |   |
|   | Travel |   |   |
|   | Per Diem |   |   |
|  |  |  |  |
| Total for Consultant Services (enter in item 8 above) |   |   |

16

|  |  |
| --- | --- |
| UNITED STATES DEPARTMENT OF AGRICULTURECOOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE**PROPOSAL COVER PAGE** | OMB Approved 0524-0039 |
| 1. LEGAL NAME OF ORGANIATION 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 [ ]  USDA Agency 02 [ ]  Other Federal Agency/Department03 [ ]  1862 Land-Grant University04 [ ]  1890 Land-Grant University (including Tuskegee Univ.)05 [ ]  1994 Land-Grant University06 [ ]  Private University of College07 [ ]  Non-Land-Grant Public University or College04 [ ]  1890 Land-Grant University | 08 [ ]  Private For-Profit09 [ ]  Private Non-Profit10 [ ]  Public Secondary School11 [ ]  State, Local or Tribal Government12 [ ]  Individual13 [ ]  Other | 6b. In addition, PLEASE CHECK ANY OF THE FOLLOWING THAT APPLY:[ ]  Alaska Native-Serving Institution[ ]  Cooperative Extension Service[ ]  Native Hawaiian-Serving Institution[ ]  Hispanic-Serving Institution[ ]  Historically Black College or University (other than 1890)[ ]  School of Forestry[ ]  State Agricultural Experiment Station[ ]  Tribal College (other than 1994)[ ]  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)[ ]  New [ ]  Renewal [ ]  Supplement [ ]  Resubmission [ ]  Resubmitted Renewal[ ]  Continuing Increment [ ]  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?[ ]  No [ ]  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?[ ]  No [ ]  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) | DATE18 |
| 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. |
| Form CSREES-2002 (12/2000)  | Page A |
|  |  |
|  |  |

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

OMB Approved 0524-0039

**PROPOSAL TYPE**

**Project Director(s) (PD): For National Research Initiative**

**Competitive Grants Program Proposals**

PD Institution CO-PD Institution CO-PD Institution CO-PD Institution

**Only**

[ ] Standard Research Proposal

[ ] Conference

[ ] AREA Award

[ ] Postdoctoral

[ ] New Investigator

Strengthening:

[ ] Career Enhancement [ ] Equipment

[ ] Seed Grant

[ ] Standard Strengthening

**Project Title:**

**For Higher Education Program Proposals Only:**

Need Area:

19

**Key Words:**

Discipline:

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. Form NIFA-2003 (12/2000)

20

|  |  |
| --- | --- |
| UNITED STATES DEPARTMENT OF AGRICULTURECOOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICEBUDGET (Year 1 2 3 T) | OMB Approved 0524-0039 |
| ORGANIZATION AND ADDRESS | USDA AWARD NO. |
| DURATIONPROPOSEDMONTHS: \_\_\_\_\_**Funds Requested by Proposer** | DURATIONPROPOSEDMONTHS: \_\_\_\_\_**Funds Approved by NIFA** (If different) | Non-Federal Proposed Cost-Sharing/Matching Funds(If required) | Non-federal Cost-Sharing/Matching Funds Approved by NIFA(If Different) |
| PROJECT DIRECTOR(S) |
| **A. Salaries and Wages**  | **CSREES-FUNDED WORK MONTHS** |  |  |  |  |
| 1. No. Of Senior Personnel | Calendar | Academic | Summer |
| 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 I)**  |  |  |  |  |
| **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** (J plus K)  |  |  |  |  |
| **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)** |  |  |
| **AME AND TITLE** (Type or print) | **SIGNATURE** (required for revised budget only) | **DATE** |
| Project Director |  |  |
| Authorized Organizational Representative |  | 21 |

#### INSTRUCTIONS FOR COMPLETING FORM NIFA-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 NIFA 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 NIFA-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 NIFA-Funded Work Months on Form NIFA-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 NIFA 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), NIFA.

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.

22

**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 NIFA authorization, if appropriate. **For each subcontract, a separate NIFA-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 NIFA.

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 NIFA 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 NIFA-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 NIFA-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/NIFA, which will establish liaison with the cognizant Federal negotiating agency to develop an acceptable F&A/indirect cost rate for the awardee.

Many NIFA 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.

23

|  |  |
| --- | --- |
| **UNITED STATES DEPARTMENT OF AGRICULTURE****National Institute of Food and Agriculture** | OMB Approved 0524-0039 |
|  **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 NIFA.)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: |  |  |  |  |

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 1.00 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.

Form NIFA-2005 (12/2000)

24

|  |  |
| --- | --- |
| **UNITED STATES DEPARTMENT OF AGRICULTURE****National Institute of Food and Agriculture** | OMB Approved 0524-0039 |
|  **CONFLICT OF INTEREST LIST** **FOR COMPETITIVE PROGRAMS ONLY**Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_For each project director (PD) and other personnel that are required based on the specific program guidelines, list alphabetically by last name (and with last name first), the full names of individuals in the following categories and mark each category which applies with an x. Additional pages may be used as necessary. A conflict of interest list for each PD must be submitted before a proposal is considered complete. Inclusion of a C.V. or publication list in the proposal is not sufficient.* All co-authors on publications within the past four years, including pending publications and submissions
* All collaborators on projects within the past four years, including current and planned collaborations
* All thesis or postdoctoral *advisees/advisors*
* All persons in your field with whom you have had a consulting/financial arrangement/other conflict-of-interest in the past four years

Note: Other individuals working in the applicant's specific area are not in conflict of interest with the applicant unless those individuals fall within one of the listed categories.  |
| Name | Co-Author | Collaborator | Advisees/Advisors | Other – Specify Nature |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

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 .5 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.

Form NIFA 2007

25

|  |  |
| --- | --- |
| **UNITED STATES DEPARTMENT OF AGRICULTURE****National Institute of Food and Agriculture** | OMB approved 0524-0039 |
|  **ASSURANCE STATEMENT(S)** |
| STATEMENT OF POLICY - Institutions receiving NIFA 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,NIFA 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. NIFA 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. NIFA PROJECT NUMBER OR AWARD NUMBER (if known) |
| 3. PROJECT DIRECTORT(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, 1996, 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 Federal-wide 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 NIFA-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 |

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.

NIFA-2008 (12/02/00)

26

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

STATEMENT OF POLICY - Institutions receiving NIFA 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, NIFA 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. NIFA 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 NIFA-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 NIFA-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 NIFA-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 NIFA upon request.

In addition, the funded recipient must report the following supplemental data to NIFA 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.

The NIH Guide for Reporting the Occurrence of Serious Adverse Events is published at:

http://grants.nih.gov/grants/policy/recombinentdnaguidelines.htm

IBC review and approval or exemption must be documented in Section A of the Form NIFA-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 NIFA 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, 1996, 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:

27

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 NIFA 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 NIFA-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 NIFA 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://ohrp.osophs.dhhs.gov/polasur.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.

If the performing organization does not have FWA status, a Single Project Assurance (SPA) form may be obtained from OHRP, DHHS 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 NIFA staff. An institution submitting a SPA may utilize its own IRB or the IRB of a neighboring institution.

28

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.

1. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens.
2. Research and demonstration projects which are designed to study, evaluate, or otherwise examine public benefit or service programs.
3. 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 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 NIFA-2008 is submitted.

#### Certifications

29

Only one copy of the following forms are needed with each proposal. These are usually provided by the Grants Office at the institution submitting the forms.

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**

30

**Certification Regarding Debarment, Suspension, and Other**

#### Responsibility Matters - Primary Covered Transactions

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

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)**

(1) 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 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;
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 (1)(b) of this certification; and
4. have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name PR/Award Number or Project Name

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

Signature(s) Date

31

 **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**

32

#### Certification Regarding Debarment, Suspension, Ineligibility

**and Voluntary Exclusion - Lower Tier Covered Transactions**

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

 **(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS 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.

Organization Name PR/Award Number or Project Name

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

Signature(s) Date

33

**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.

**UNITED STATES DEPARTMENT OF AGRICULTURE**

34

**CERTIFICATION REGARDING**

**DRUG-FREE WORKPLACE REQUIREMENTS (GRANTS)**

ALTERNATIVE I - FOR GRANTEES OTHER THAN INDIVIDUALS

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 *et seq*.), 7 CFR Part 3017, Subpart F, Section 3017.600, Purpose. The January 31, 1989, regulations were amended and published as Part II of the May 25, 1990 **Federal Register** (pages 21681-21691). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the grant.

***(Before completing Certification, read instructions on page 2)***

**Alternative I**

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

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about --

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

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

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

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

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

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

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

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

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

Signature Date

35

**INSTRUCTIONS FOR CERTIFICATION**

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

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

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

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

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

36

# U.S. DEPARTMENT OF AGRICULTURE

#### CERTIFICATION REGARDING

**DRUG-FREE WORKPLACE REQUIREMENTS (GRANTS)**

**ALTERNATIVE II - FOR GRANTEES WHO ARE INDIVIDUALS**

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 *et seq*.), 7 CFR Part 3017, Subpart F, Section 3017.600, Purpose. The January 31, 1989, regulations were amended and published as Part II of the May 25, 1990 Federal Register (pages 21681-21691). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the grant.

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS BELOW)**

**Alternative II**

(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.

Organization Name Award Number or Project Name

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

Signature(s) Date

37

**INSTRUCTIONS FOR CERTIFICATION**

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

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

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

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

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

**UNITED STATES DEPARTMENT OF AGRICULTURE**

38

**National Institute of Food and Agriculture**

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

**RELATED TO LOBBYING**

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

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

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

[ ]  You are prohibited from using appropriated funds (other than profits from Federal contracts) on or after December 23, 1989, for lobbying Congress or any Federal agency in connection with a particular contract, grant, cooperative agreement, or loan;

[ ]  you are required to execute the attached certification at the time of submission of an application or before any action in excess of $100,000 is awarded; and

[ ]  you will be required to complete the lobbying disclosure form if the disclosure requirements apply to you.

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

 **UNITED STATES DEPARTMENT OF AGRICULTURE**

39

 **National Institute of Food and Agriculture**

 **CERTIFICATION REGARDING LOBBYING - CONTRACTS, GRANTS, LOANS**

 **AND COOPERATIVE AGREEMENTS**

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

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

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

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

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

Organization Name Award Number or Project Name

Name and Title of Authorized Representative

Signature Date

40

Date

Dr. Reginal Harrell, Director

Northeastern Regional Aquaculture Center

University of Maryland

2113 Animal Sciences Bldg. 142

College Park, MD 20742-2317

**SUBJECT: Project entitled “title”**

Dear Dr. Harrell:

As the Authorized Organizational Representative (AOR) I would like to inform you [name of institution/organization] (acronym for institution/organization) wishes to participate in the above referenced project as a subcontractor to the University of Maryland. Dr.(Drs.)/Mr.(Messrs.)/Mrs.(Mmes.)/Ms.(Mses.) [name of PI(s)] will serve as the Principal Investigator(s) of the subcontract and he/she/they have access to all of the necessary equipment, laboratory, and office space to successfully undertake this project. I also approve the budget as submitted for Dr.(s.)/Mr.(Messrs.)/Mrs.(Mmes.)/Ms.(Mses.) [name of PI(s)] involvement in this project. Upon issuance of approval to the Northeastern Regional Aquaculture Center for this project, [name of institution/organization or acronym for institution/organization] will enter into a formal agreement with your institution.

Sincerely,

Signature

Name and title of the AOR

\*\*\*Please note: This is the general format that the AOR letter should be in from the Project Coordinator’s sponsoring institution. The PC will also need to have letters with similar formatting from his/her subcontractors’ sponsoring institutions’ AORs (if any) that are addressed to the PC at his/her sponsoring institution. Contact Sharon Adams with questions. ssadams@umd.edu or 301-405-6917 \*\*\*

41

|  |
| --- |
| NRAC-logo sm **Logic Model of:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_****Situation Statement:** **Outcome Summary:**  |
| **Inputs** |  | **Outputs****Activities Participation** |  | **Outcomes – Impact** **Short Term Medium Term Long Term** |
| **What we invest:** |  | **What we do:** | **Who we reach:** |  | **What the short term results are:** | **What the medium term results are:** | **That the ultimate results are:** |
| **Assumptions** |  | **External Factors** |
| **Evaluation - How will you measure and report your outcomes?**  |

Layout courtesy of University of Wisconsin-Extension Cooperative Extension

Logic Model Revision 9/26/05 da

42