Connecticut Institute of Water Resources
U.S. Geological Survey 104B Grant Application
FY 2021-2022

Full Proposal Preparation Guidelines

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- **Official USGS 104B Program RFP**.

  o The USGS FY2021 104B RFP is **NOT** available at this time, but the previous year's RFP can be used as the "official" guide. It can be downloaded from the USGS Water Resources Research Institutes website.
  o This RFP is mainly for CTIWR Program use, but it does contain some information related to proposal content, budget categories, etc.
  o *Your Office of Sponsered Programs will need a copy of this RFP*.
  o Check the CTIWR website or USGS WRRI website regularly for the availability of the USGS FY2021 104B RFP.

- **Deadline**:
  o The CTIWR Imposed Deadline for submission of proposals is

  ## Monday, November 2, 2019 5:00PM

- **Proposal Submission Contact**:

  James Hurd, Associate Director
  Connecticut Institute of Water Resources
  W.B. Young Building, UNIT 4018
  Storrs, CT 06269-4018

  phone: (860) 803-7406 (cell)
  email:james.hurd_jr@uconn.edu

  Due to the COVID-19 pandemic, James is working at home. Email is the best form of communication.

I.   Application Process Overview

The CTIWR annual statewide grant competition for universities and colleges is funded through the USGS 104B (Base Grant) program. The general process is as follows:

1. The CTIWR puts out a request for pre-proposals in late summer. These are reviewed by the CTIWR staff to determine which investigators will be invited to submit full proposals.

2. For invited full proposals, investigators submit **ALL** required documents directly to CTIWR.
   a. Complete Budgets for your proposal must go through the appropriate Grants Office at your university or college for approval before submitting full proposal to CTIWR. The 2:1 match requirement must be approved by your institution.

3. The CTIWR sends full proposals out for technical reviews to solicit unbiased evaluations of the proposals based on their scientific merit.

4. Typically the USGS posts it's official 104B RFP in November. This RFP will be made available on the CTIWR website or USGS WRRI website. You need to check for an update periodically. The previous year's USGS 104b RFP is available to assist in preparing your current full proposal.

5. The Advisory Board of the Institute meets in December to consider the results of the technical reviews, and to evaluate the proposals with respect to their relevance to state water research and information needs, and the priorities of the 104B program (*e.g.* support of new investigators and/or innovative work and the training of future water scientists). ***The Advisory Board makes the final decisions on proposals to be submitted for funding in the CTIWR's 104b program application to the USGS.***

6. By late December, CTIWR announces the selection of proposals approved for funding through the USGS 104B program.

   a. If approved for funding and depending on funding levels, CTIWR might request an adjustment to budgets to accommodate for the allowed maximum funds CTIWR can request from the USGS 104B Program.
   b. PIs from outside UConn will need to submit additional subaward forms required by UConn's Office of Sponsored Programs Services.

7. CTIWR staff prepares the overall grant application to the USGS 104B program in response to the official RFP.
   a. The University of Connecticut Office of Sponsored Programs Services submits the final grant application through grants.gov, ***due to USGS by mid January 2021.***

8. The USGS administrative office reviews the proposal package submitted by the CTIWR, and notifys us of any additional information needed. CTIWR will contact you if additional information or adjustments are needed.

9. **The official project funding period is FOR ONE YEAR**, with an anticipated start date of March 1, 2021.

10. **IMPORTANT NOTE:** Funding for selected proposals is contingent upon Congressional approval of the USGS budget item for the 104B program. In most years this has not been a problem, but occasionally there are delays in funding and/or reductions imposed during the congressional budget process.

II.   Proposal Submission Checklist

Below is a checklist of required information to help you during your proposal preparation and submission. **Please note the various deadline dates listed in the table**.

Done?	Item	Description	Deadline
	1.	**NOTICE OF INTENT:** Email notice of intent to CTIWR as soon as possible: * Click here for *Details on the Notice of Intent.*	ASAP (Email to CTIWR)
	2.	**POTENTIAL REVIEWERS:** Email the names and contact information, including email addresses, of 3 potential technical reviewers. * Click here for *Details on Potential Reviewers*	Oct 28, 2019 5:00 PM (Email to CTIWR)
	3.	**BUDGET AND MATCH APPROVAL:** You must submit evidence that your office of sponsored programs has approved your budget, and document any matching funds that you are claiming. * Click here for more *Details on the Required 2:1 Match*	Nov. 2, 2020 5:00 PM (Email to CTIWR)
	4.	**PROPOSAL SUBMISSION:** Submit complete proposal directly to CTIWR via email: * Click here for *Details on Proposal Content*	Nov. 2, 2020 5:00 PM (Email to CTIWR)
	5.	**DATA MANAGEMENT PLAN:** Submit a separate WORD document describing how your project will conform to USGS policy on dissemination and sharing of research results and associated data. * Click here for *Details on Data Management Plan*	Nov. 20, 2020 5:00 PM (Email to CTIWR)
	6.	**LETTERS OF SUPPORT:** These are not required, but may help you document the relevance of your proposed work to state water research and information needs. * Click here for more *Details on Letters of Support*	Nov. 20, 2020 5:00 PM (Email to CTIWR)

III. Advice and Details

Details on Notice of Intent

Since you have been invited to submit a full proposal based on the content of your pre-proposal, the purpose of the Notice of Intent is to let CTIWR know that you still plan to submit a full proposal. This will also allow us to alert you to any potential difficulties, changes in deadlines, procedures, etc.

Please include the following in the body of your email:

- **Proposal Title**
- **Contact Info**: Provide name, academic rank/title, university, email address and phone number for EACH PI.
    - Indicate the designated corresponding PI.

Email to: james.hurd_jr@uconn.edu

Detail on Potential Reviewers

To assist us in recruiting technical reviewers for proposals, we request you provide us with the names and contact information (including emails) of three individuals that would have expertise with the type of research you are proposing. CTIWR tries to solicit at least three technical reviews per proposal from recommended and other identified individuals. Technical reviews are used by the CTIWR Advisory Board to assist them in determining which proposals are to be funded.

Please email three potential reviewer names and contact information by **Oct. 28, 2020.**

Email to: james.hurd_jr@uconn.edu

Details on Required 2:1 Match

All dollars awarded from this grant must be matched 2:1 with non-federal funds. (e.g. if you are requesting $10K, you must document non-federal matching funds for this project in the amount of $20K or more). This is not as difficult as it may seem. Some suggestions follow:
- First, because the USGS does not allow universities to charge overhead (F&A) on these projects, you may claim any OVERHEAD THAT WOULD HAVE BEEN CHARGED on this project as a match. **This includes overhead on the federal share and non-federal share.**
- You can also use a portion of the PI's salary and fringe benefits toward the match (*provided that it is not coming from federal funds*).
- You may also use any tuition waivers granted by your university for students working on the proposed project.

Match must be documented either through memos from relevant department heads and/or through your university's grants and contracts office.

Details of Proposal Content and Requirements

The USGS requires the following 20 proposal elements be included in each individual proposal (these can also be found in the USGS 104b RFP, section IX part E). Click HERE to download the proposal template (in WORD format). **Please submit propsal in WORD format** (please **do not** submit proposal to CTIWR in PDF format).

Please enter the following in the table on the FIRST PAGE of the Proposal (see proposal template):

1. **Title.** Concise but descriptive.
2. **Project Type.** Choose from the following: Research, Information Transfer, Information Management System, Education, or Other (please specify).
3. **Focus Categories.** Choose a maximum of three focus categories from the list provided (USGS 104b RFP Attachment D), with the most preferred focus category first.
4. **Research Category.** Choose from the following the one category that most closely applies: Social Sciences, Ground-water Flow and Transport, Water Quality, Biological Sciences, Engineering, or Climate and Hydrologic Processes.
5. **Keywords.** Enter keywords of your choice that are descriptive of the work.
6. **Start Date.** Enter the actual beginning date for the project 3/1/2021.
7. **End Date.** Enter the end date for the project (for one year project 2/28/2022).
8. **Principal Investigator(s).** Provide name, academic rank/title, university, email address and phone number of all principal investigators.
9. **Congressional District** of the university where the work is to be conducted. Choose one of the following CT-001, CT-002, CT-003, CT-004, CT-005.

Please enter the following on the SECOND PAGE of the Proposal (see proposal template):

10. **Abstract.** Provide a brief (less than one-page) description of the problem, methods, and objectives of the project.

Please enter the following starting on the THIRD PAGE of the proposal (see proposal template):

> **Note:** Sections 11 - 16 shall not exceed 10 single-spaced pages - 12 point font.

Title. Please use the same title as was entered on the first page under item 1 above.
11. **Statement of regional or State water problem.** Include an explanation of the need for the project, who wants it, and why.
12. **Statement of results or benefits.** Specify the type of information that is to be gained and how it will be used.
13. **Nature, scope, and objectives of the project, including a timeline of activities.**

14. **Methods, procedures, and facilities.** Provide enough information to permit evaluation of the technical adequacy of the approach to satisfy the objectives.
15. **Related research.** (Research projects only) Show by literature and communication citations the similarities and dissimilarities of the proposed project to completed or on-going work on the same topic.
16. **Training potential.** Estimate the number of graduate and undergraduate students, by degree level, who are expected to receive training in the project.

<u>**Note:**</u> The following sections are exclusive of the 10 page limit.

17. **Budget Breakdown**, please use format found in the proposal template.
18. **Budget Justification,** please use format found in the proposal template.
19. **Investigator's qualifications.** Include resume(s) of the principal investigator(s). Resumes <u>not to exceed</u> two pages or list more than 15 pertinent publications.

References

PLEASE SAVE AND SUBMIT THE PROPOSAL USING THE FOLLOWING NAMING CONVENTION:

[PI Last Name]_CTIWR_FY2021_104B. DOC

SUBMIT PROPOSAL AND ALL REQUIRED INFORMATION and DOCUMENTS TO:

Email to: james.hurd_jr@uconn.edu

Details on Data Management Plan

The final grant application submitted to USGS by CTIWR must include up to a two page Data Management Plan for all projects. Please provide a separate WORD document (*no more than half a page*) that addresses the following:

- **Data Inputs** (*Types of data, samples, physical collections, software, curriculum materials, and other materials to be produced in the course of the project*)
- **Data and Metadata Standards** (*format and content*)
- **Data Access, Sharing Policies and Distribution** (*provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements*)
- **Data Archiving** (*plans for archiving data, samples, and other research products, and for preservation of free public access to them*)

NOTE: The brief Data Management Plan document can be submitted to CTIWR after the proposal deadline (**Data Management Plan due Nov. 20, 2020**).

PLEASE SAVE AND SUBMIT THE DATA MANAGEMENT PLAN USING THE FOLLOWING NAMING CONVENTION:

[PI Last Name]_CTIWR_FY2021_104B-DMP. DOC

Email to: james.hurd_jr@uconn.edu

Details on Letters of Support

Letters of support are documents separate from the proposal. CTIWR relies on its Advisory Board to help us assess the state need for the proposed research. Proposals are evaluated on the basis of 1. technical merit, 2. state need and 3. relevance to CTIWR program priorities (new faculty and/or innovative projects and student training potential. Letters of Support help CTIWR to evaluate the importance of the proposed research. You may also document the relevance of your proposed work to the needs of the state through Letters of Support. While Letters of support for your project are optional, we strongly encourage you to contact people in relevant state agencies or other organizations who can advise you on problems relevant to their mission, and who may provide letters of support for your proposed work.

NOTE: These documents can be submitted to CTIWR after the proposal deadline (**Letters of Support due Nov. 20, 2020**).

If you have any questions or difficulties with the application process, please contact:

James Hurd, Associate Director
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W.B. Young Building, UNIT 4018
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APPENDIX A

EXAMPLE: Budget Breakdown Sheet (see proposal template).

Cost Category	Federal	Non-Federal	Total
Principal Investigator(s) Salaries and Wages:	$0	$0	$0
Graduate Student(s) Salaries and Wages:	$0	$0	$0
Undergraduate Student(s) Salaries and Wages:	$0	$0	$0
Others:	$0	$0	$0
Total Salaries and Wages:	$0	$0	$0
Principal Investigator(s) Fringe Benefits:	$0	$0	$0
Graduate Student(s) Fringe Benefits:	$0	$0	$0
Undergraduate Student(s) Fringe Benefits:	$0	$0	$0
Others:	$0	$0	$0
Total Fringe Benefits:	$0	$0	$0
Graduate Student(s) Tuition:	$0	$0	$0
Undergraduate Student(s) Tuition:	$0	$0	$0
Total Tuition:	$0	$0	$0
Supplies:	$0	$0	$0
Equipment:	$0	$0	$0
Services or Consultants:	$0	$0	$0
Travel:	$0	$0	$0
Other Direct Costs:	$0	$0	$0
Total Direct Costs:	$0	$0	$0
Indirect costs on federal share:	**XXXXX**	$0	$0
Indirect costs on non-federal share:	**XXXXX**	$0	$0
Total Estimated Costs:	$0	$0	$0
Total Costs at Institute host The University of Connecticut:	$0	$0	$0
Total Costs at other University Name of University:	$0	$0	$0

APPENDIX B

EXAMPLE: Budget Justification Worksheet (see proposal template).
It is important to include as much detail as possible. Please provide breakdown for estimated costs of supplies, equipment and travel. If a budget category is not used, please enter N/A.

Salaries and Wages for PIs. Provide personnel, title/position, estimated hours and the rate of compensation proposed for each individual.
Salaries and Wages for Undergraduate Students. Provide personnel, title/position, estimated hours and the rate of compensation proposed for each individual. (Other forms of compensation paid as or in lieu of wages to students performing necessary work are allowable provided that the other payments are reasonable compensation for the work performed and are conditioned explicitly upon the performance of necessary work. Also, note that tuition has its own category below and that health insurance, if provided, is to be included under fringe benefits.)
Salaries and Wages for Others. Provide personnel, title/position, estimated hours and the rate of compensation proposed for each individual.
Fringe Benefits for PIs. Provide the overall fringe benefit rate applicable to each category of employee proposed in the project. . Note: include health insurance here, if applicable.
Fringe Benefits for Graduate Students. Provide the overall fringe benefit rate applicable to each category of employee proposed in the project. Note: include health insurance here, if applicable.
Fringe Benefits for Undergraduate Students. Provide the overall fringe benefit rate applicable to each category of employee proposed in the project. Note: include health insurance here, if applicable
Fringe Benefits for Others. Provide the overall fringe benefit rate applicable to each category of employee proposed in the project. . Note: include health insurance here, if applicable.
Tuition for Graduate Students.
Tuition for Undergraduate Students
Supplies. Indicate separately the amounts proposed for office, laboratory, computing, and field supplies. Provide a breakdown of the supplies in each category.
Equipment. Identify non-expendable personal property having a useful life of more than one (1) year and an acquisition cost of more than $5,000 per unit. If fabrication of equipment is proposed, list parts and materials required for each, and show costs separately from the other items. A detailed breakdown is required.
Services or Consultants. Identify the specific tasks for which these services, consultants, or subcontracts would be used. Provide a detailed breakdown of the services or consultants to

include personnel, time, salary, supplies, travel, etc.
Travel. Provide purpose and estimated costs for all travel. A breakdown should be provided to include location, number of personnel, number of days, per diem rate, lodging rate, mileage and mileage rate, airfare (whatever is applicable).
Other Direct Costs. Itemize costs not included elsewhere, including publication costs. Costs for services and consultants should be included and justified under "Services or Consultants (above). Please provide a breakdown for costs listed under this category.
Indirect Costs. Provide negotiated indirect ("Facilities and Administration") cost rate.