

BLM # PAA 03 7029  
USGS-BRD # 03HQAG0075  
NPS # H60000030300

**UPPER AND MIDDLE MISSISSIPPI VALLEY  
COOPERATIVE ECOSYSTEM STUDIES UNIT**

**COOPERATIVE AGREEMENT**

between

**DEPARTMENT OF THE INTERIOR  
Bureau of Land Management  
U.S. Geological Survey–Biological Resources Division  
National Park Service**

and

**The Curators of the  
UNIVERSITY OF MISSOURI (HOST)**

**Drake University  
Indiana University  
Iowa State University  
Lincoln University  
Southern Illinois University  
Southwest Missouri State University  
University of Illinois  
University of Iowa  
University of Kansas  
University of Minnesota  
Audubon of Missouri  
Audubon – Upper Mississippi River Campaign  
Conservation Federation of Missouri  
Missouri Botanical Garden  
National Mississippi River Museum and Aquarium**

## ARTICLE I - BACKGROUND AND OBJECTIVES

- A. This Cooperative Agreement (hereinafter called agreement) between the Bureau of Land Management, U.S. Geological Survey–Biological Resources Division, and National Park Service, (hereinafter called Federal Agencies), and the Curators of the University of Missouri and its partner institutions is to establish and maintain the Upper and Middle Mississippi Valley Cooperative Ecosystem Studies Unit (CESU). The Upper and Middle Mississippi Valley CESU is associated with a national network of CESUs.
- B. The objectives of the Upper and Middle Mississippi Valley Cooperative Ecosystem Studies Unit are to:
- Provide research, technical assistance and education to federal land management, environmental and research agencies and their potential partners;
  - Develop a program of research, technical assistance and education that involves the biological, physical, social, and cultural sciences needed to address resources issues and interdisciplinary problem-solving at multiple scales and in an ecosystem context at the local, regional, and national level; and
  - Place special emphasis on the working collaboration among federal agencies and universities and their related partner institutions.
- C. The Bureau of Land Management (hereinafter called BLM) administers public lands within a framework of numerous laws. The most comprehensive of these is the Federal Land Policy and Management Act of 1976 (FLPMA). All Bureau policies, procedures and management actions must be consistent with FLPMA and the other laws that govern use of the public lands. It is the mission of the Bureau of Land Management to sustain the health, diversity and productivity of the public lands for the use and enjoyment of present and future generations (43 U.S.C. 1701 et seq.). In accordance with 43 U.S.C. 1737(b), the BLM is authorized to enter into a cooperative agreement to establish the Upper and Middle Mississippi Valley CESU to assist in providing research, technical assistance and education.
- D. The U.S. Geological Survey–Biological Resources Division (hereinafter called BRD) works with others to provide scientific understanding and technologies needed to support the sound management and conservation of our Nation's biological resources (Secretarial Order No. 3202). In accordance with 16 U.S.C.1a-2j, 16 U.S.C. 5933 and Secretarial Order No. 3202, the BRD is authorized to enter into a cooperative agreement to establish the Upper and Middle Mississippi Valley CESU to assist in providing research, technical assistance and education.

- E. The National Park Service (hereinafter called NPS) is responsible for the management of areas in the National Park System to conserve the scenery, the natural and historic objects, and the wildlife therein and to provide for the enjoyment of the same in such a manner and by such means as will leave them unimpaired for the enjoyment of future generations (16 U.S.C. 1 et seq.). In accordance with 16 U.S.C.1a-2j and 16 U.S.C. 5933, the NPS is authorized to enter into a cooperative agreement to establish the Upper and Middle Mississippi Valley CESU to assist in providing research, technical assistance and education.
- F. The University of Missouri–Columbia’s (hereinafter called Host University) primary mission in research and doctoral education provides enhanced opportunities and challenges in areas of humanities, arts, and sciences and in selected professional fields. The Host University aspires to achieve national and international prominence for its research and educational contributions by building on its research strengths in basic and applied biological and biomedical sciences; related physical and engineering sciences; and selected social and behavioral sciences. Its duty is to acquire, create, transmit, and preserve knowledge, and promote understanding.
- G. The partner institutions to the Host University include Drake University, Indiana University, Iowa State University, Lincoln University, Southern Illinois University, Southwest Missouri State University, University of Illinois, University of Iowa, University of Kansas, University of Minnesota, Audubon of Missouri, Audubon – Upper Mississippi River Campaign, Conservation Federation of Missouri, Missouri Botanical Garden, and National Mississippi River Museum and Aquarium.

## **ARTICLE II - STATEMENT OF WORK**

### **A. Each Federal Agency agrees to:**

1. Provide administrative assistance, as appropriate, necessary to execute this agreement and subsequent modifications;
2. Conduct, with the Host University and Partner Institutions, a program of research, technical assistance and education related to the Upper and Middle Mississippi Valley CESU objectives to the extent allowed by each Federal Agencies’ authorizing legislation;
3. Provide opportunities for research on federal lands or using federal facilities in cooperation with Federal Agencies, as appropriate, and according to all applicable laws, regulations and Federal Agencies’ policies;
4. Provide funds for basic support and salary for participating Host University and Partner Institution faculty, as appropriate;
5. Provide project funds and/or collaboration to support specific research, technical assistance and education projects, as appropriate;
6. Make available managers to serve on the Upper and Middle Mississippi Valley CESU Manager’s Committee;
7. Comply with the Host University’s and Partner Institutions’ rules, regulations, and policies regarding professional conduct, health, safety, use of services

- and facilities, use of animals, recombinant DNA, infectious agents or radioactive substances, as well as other policies generally applied to Host University and Partner Institution personnel;
8. Ensure its employees follow the Code of Ethics for Government Employees;
  9. Allow Federal Agency employees to participate in the activities of the Host University and Partner Institutions, including serving on graduate committees and teaching courses, in accordance with the respective policies of the Host University or Partner Institutions, and as specifically determined in modifications to the agreement; and
  10. Be individually responsible for their agency's role in administering the agreement, transferring funds, and supervision of agency employees, as appropriate.

B. The Host University agrees to:

1. Establish, in consultation with the Federal Agencies and Partner Institutions, the Upper and Middle Mississippi Valley CESU;
2. Conduct, with participating Federal Agencies and Partner Institutions, a program of research, technical assistance and education related to the Upper and Middle Mississippi Valley CESU objectives;
3. Allow and encourage faculty to engage in participating Federal Agencies' research, technical assistance and education activities related to the Upper and Middle Mississippi Valley CESU objectives, as appropriate;
4. Provide basic administrative and clerical support as appropriate;
5. Provide access for Federal Upper and Middle Mississippi Valley CESU staff to campus facilities, including library, laboratories, computer facilities on the same basis or costs as other faculty members of the Host University to the maximum extent allowable under state laws and regulations;
6. Provide suitable office space, furniture and laboratory space, utilities, computer network access and basic telephone service for Federal Agencies' personnel to be located at the Host University, as appropriate;
7. Offer educational and training opportunities to participating Federal Agency employees, in accordance with the respective policies of the Federal Agencies and the Host University;
8. Encourage its students to participate in the activities of the Upper and Middle Mississippi Valley CESU;
9. Coordinate activities, as appropriate, with the Partner Institutions and develop administrative policies for such coordination; and
10. Establish an Upper and Middle Mississippi Valley CESU Manager's Committee and convene a meeting of this committee, at least annually, to provide advice and guidance, review of the annual work and multi-year strategic plans, and assist in evaluating the Upper and Middle Mississippi Valley CESU.

C. Each Partner Institution agrees to:

1. Conduct, with participating Federal Agencies and the Host University, a program of research, technical assistance, and education related to the

- Upper and Middle Mississippi Valley CESU objectives and allow and encourage faculty to participate in the program as appropriate;
2. Offer educational and training opportunities to participating Federal Agency employees, as appropriate; and
  3. Encourage students and employees to participate in the activities of the Upper and Middle Mississippi Valley CESU.
- D. All Federal Agencies, the Host University and Partner Institutions agree to:
1. Establish and maintain the Upper and Middle Mississippi Valley CESU closely following the CESU Introduction (June 2001), adapting key elements to local and regional needs, as appropriate;
  2. Develop and adopt a Upper and Middle Mississippi Valley CESU role and mission statement;
  3. Develop a multi-year strategic plan;
  4. Make modifications, as appropriate, to this agreement that individually include a specific “scope of work” statement and a brief explanation of the following:
    - (a) the proposed work and what is being modified in the agreement;
    - (b) the project contribution to the objectives of the CESU;
    - (c) the methodology of the project;
    - (d) the substantial involvement of each party;
    - (e) the project budget and schedule;
    - (f) the specific deliverables;
  5. Coordinate in obtaining all necessary state, federal, and tribal permits and/or permissions from private landowners in order to conduct projects occurring under this agreement;
  6. Follow OMB Circulars A-21, A-87, A-102, A-110, A-122, and A-133, as appropriate, and specifically 43 CFR Part 12 (Department of the Interior).

### **ARTICLE III – TERM OF AGREEMENT**

- A. This agreement shall continue for a period of five (5) years from the effective date of execution. The effective date of this agreement shall be determined from the date of the last signature.
- B. The expiration of this agreement will not affect the validity or duration of projects which have been initiated under this agreement prior to such expiration.
- C. By mutual consent and at the end of this agreement, a new agreement, for a separate and distinct five (5) year period, can be entered into to continue the activities of the Upper and Middle Mississippi Valley CESU.
- D. For the purposes of this agreement, amendments are changes (edits, deletions, or additions) to the agreement that do not involve the transfer of funds. Amendments may be proposed by any of the Federal Agencies, the Host University or by the Host University on behalf of any of the Partner Institutions. Amendments shall be in

writing, signed and agreed to by all signatories to this agreement, except in cases described in Article III. D. 1.

1. For amendments whose sole purpose is to add a Partner Institution and/or Federal Agency to this agreement, each Partner Institution and Federal Agency currently participating in this agreement will have forty-five (45) days from receipt of the amendment to either sign the amendment or object in writing to the Host University. If a Partner Institution or Federal Agency has not responded after forty-five (45) days from receipt of the amendment, its signature will not be required to make the amendment effective. The Partner Institution and/or Federal Agency being added to the agreement and the Host University shall sign the amendment.
- E. For the purposes of this agreement, modifications are specific two-party agreements between one of the Federal Agencies and the Host University and/or a Partner Institution in support of the goals of this broad agreement. Modifications will be issued by a Federal Agency, will transfer funds to support the statement of work, and will conform to each Federal Agency's respective procedures.
- F. A separate interagency agreement is required to facilitate transfer of funds from one federal agency to another federal agency.

#### **ARTICLE IV - KEY OFFICIALS**

A. The technical representatives for the Federal Agencies are as follows:

1. Bureau of Land Management  
Geoff Walsh  
BLM Eastern States Office  
7450 Boston Boulevard  
Springfield, VA 22153  
Phone: 703-440-1668  
Fax: 706-546-2109  
gwalsh@es.blm.gov
2. U.S. Geological Survey-Biological Resources Division  
Carl Korschgen  
U.S. Geological Survey  
4200 New Haven Road  
Columbia, MO 65201  
Phone: 573-876-1901  
Fax: 573-876-1896  
carl\_korschgen@usgs.gov

3. National Park Service

Gary Willson  
NPS Research Coordinator, Great Plains CESU  
314A Biochem Hall  
University of Nebraska  
Lincoln, NE 68583-0759  
Phone: 402-472-5047  
Fax: 402-472-8390  
Gary\_Willson@nps.gov

B. The technical representative for the Host University is:

Dr. Tony Prato  
Professor, Agricultural Economics and  
Coordinator UMMV CESU  
The University of Missouri  
130 Mumford Hall  
Columbia, MO 65211-6200  
Phone: 573-882-0147  
Fax: 573-884-2199  
prato@missouri.edu

C. The technical representatives for the Partner Institutions are:

1. Drake University

James L. Christiansen  
Professor  
Department of Biology  
Drake University  
Des Moines, IA 50311-4505  
Phone: 515-271-2821  
Fax: 515-271-3016  
james.christiansen@drake.edu

2. Indiana University

Steve Wolter  
Director  
The Eppley Institute for Parks and Public Lands  
HPER Building, Room 133  
Indiana University  
Bloomington, IN 47405-4801  
Phone: 812-855-7083  
Fax: 812-855-9943  
sawolter@indiana.edu

3. Iowa State University  
Gerald Miller  
Associate Dean for Extension Programs and Outreach  
133 Curtiss Hall  
Iowa State University  
Ames, IA 50011  
Phone: 515-294-4333  
Fax: 515-294-5745  
soil@iastate.edu
  
4. Lincoln University  
Dr. Thomas R. Omara-Alwala  
Professor and Head  
Department of Agriculture and Natural Sciences  
Lincoln University  
131 Founders Hall  
Jefferson City, MO 65102  
Phone: 573-681-5120  
Fax: 573-681-5944  
omarat@lincolnu.edu
  
5. Southern Illinois University  
Christopher C. Kohler  
Professor and Director  
Fisheries & Illinois Aquaculture Center  
Southern Illinois University  
SIUC Mailcode 6511  
Carbondale, IL 62901-6511  
Phone: 618-453-2890  
Fax: 618-453-6095  
ckohler@siu.edu
  
6. Southwest Missouri State University  
Dr. Robert Pavlowsky  
Associate Professor  
Department of Geography, Geology, and Planning  
Southwest Missouri State University  
Southwest Missouri State University  
901 S National Avenue  
Springfield, MO 65804-0089  
Phone: 417-836-8473  
Fax: 417-836-6006  
rtp138f@smsu.edu



7. University of Illinois  
Richard E. Warner  
Associate Vice Chancellor for Research  
University of Illinois  
350 NSRC  
1101 W. Peabody Drive  
Urbana, IL 61801  
Phone: 217-333-6444  
Fax: 217-333-8046  
dickw@uiuc.edu
  
8. University of Iowa  
Tatsuaki Nakato  
Associate Director of IIHR - Hydroscience & Engineering  
for Lucille A. Carver Mississippi Riverside Environmental Research Station  
(LACMRERS)  
University of Iowa  
3388 Highway 22 LACMRERS  
Muscatine, IA 52761  
Phone: 563-288-2888  
Fax: 563-288-2889  
tatsuaki-nakato@uiowa.edu
  
9. University of Kansas  
Dr. James Thorp  
Senior Scientist  
Kansas Biological Survey  
University of Kansas  
2335 Irving Hill Road  
Lawrence, KS 66045-7612  
Phone: 785-864-7791  
Fax: 785-864-0392  
jthorp@ku.edu
  
10. University of Minnesota  
Dorothy H. Anderson  
Professor  
Department of Forest Resources  
University of Minnesota  
115 Green Hall, 1530 Cleveland Ave N  
St. Paul, MN 55108  
Phone: 612-624-2721  
Fax: 612-625-5212  
dha@umn.edu

11. Audubon of Missouri  
Roger Still  
Executive Director  
2620 Forum Blvd. Suite C-1  
Columbia, MO 65203  
Phone: 573-447-2249  
Fax: 573-447-2428  
rstill@audubon.org
  
12. Audubon – Upper Mississippi River Campaign  
Dan McGuinness  
Director  
Audubon – Upper Mississippi River Campaign  
25 E. Exchange Street, Suite 110  
St. Paul, MN 55102  
Phone: 651-290-1695  
Fax: 651-312-1210  
dmcguinness@audubon.org
  
13. Conservation Federation of Missouri  
Dave Murphy  
Executive Director  
Conservation Federation of Missouri  
728 West Main Street  
Jefferson City, MO 65101  
Phone: 573-634-2322  
Fax: 573-634-8205  
confedmo@socket.net
  
14. Missouri Botanical Garden  
Dr. James Solomon  
Curator of the Herbarium  
Missouri Botanical Garden  
P.O. Box 299  
St. Louis, MO 63166-0299  
Phone: 314-577-9507  
Fax: 314-577-0820  
jim.solomon@mobot.org

15. National Mississippi River Museum and Aquarium

Mark Wagner  
Director of Education  
National Mississippi River Museum and Aquarium  
P. O. Box 266  
Dubuque, IA 52001  
Phone: 563-557-9545  
Fax: 563-583-1241  
mdwagner@rivermuseum.com

**ARTICLE V – AWARD**

A. Award under this agreement is as specified in the incorporated proposal and budget (Article XI 1. and 2.).

B. Upon signature of all parties and upon satisfactory submission of a budget and related documentation from the Host University, the Federal Agencies will obligate funds as follows:

Bureau of Land Management

\$10,000 is awarded to the Host University to carry out this agreement.

U.S. Geological Survey–Biological Resources Division

\$10,000 is awarded to the Host University to carry out this agreement.

National Park Service

\$10,000 is awarded to the Host University to carry out this agreement.

C. Payments will be made by the Federal Agencies for work in accordance with OMB Circulars A-21, A-110, A-87, A-102, A-122, A-133, and specifically, 43 CFR Part 12 (Department of the Interior).

D. A 15% indirect cost rate will be paid on work covered by the agreement and all its modifications.

No indirect cost will be charged by the Host University for funds transferred directly from a participating Federal Agency to a Partner Institution via a modification to the agreement.

E. Award of additional funds or in-kind resources will be made through modifications to the agreement subject to the rules, regulations, and policies of the individual Federal Agency proposing the modification. Copies of all modifications to the agreement shall be kept on file with the Host University.

F. Nothing herein shall be construed as obligating the Federal Agencies to expend, or as involving the Federal Agencies in any contract or other obligation for the future

payment of money, in excess of appropriations authorized by law and administratively allocated for specific work.

#### **ARTICLE VI - PRIOR APPROVAL**

Prior approvals are in accordance with OMB Circulars A-110 or A-102, specifically 43 CFR Part 12 (Department of the Interior).

#### **ARTICLE VII - REPORTS AND/OR DELIVERABLES**

- A. OMB Circulars A-110 or A-102, specifically 43 CFR Part 12 (Department of the Interior) establish uniform reporting procedures for financial and technical reporting.
- B. As appropriate, the Host University will convene periodic meetings of Upper and Middle Mississippi Valley CESU Federal Agencies and Partner Institutions for the purpose of collaboration and coordination of CESU activities. The first meeting will be convened within 90 days from the date this agreement is executed. Five (5) copies of the meeting minutes will be delivered to each Federal Agency.
- C. A role and mission statement for the Upper and Middle Mississippi Valley CESU will be prepared, adopted and agreed to by all CESU Federal Agencies, the Host University, and Partner Institutions within 120 days from the date this agreement is executed. Five (5) copies of the adopted mission statement will be delivered to each Federal Agency.
- D. Annual work plans will be developed to guide the specific activities of the Upper and Middle Mississippi Valley CESU and will:
  - 1. Describe the Upper and Middle Mississippi Valley CESU's ongoing and proposed research, technical assistance and education activities;
  - 2. Describe anticipated projects and products; and
  - 3. Identify faculty, staff and students involved in the Upper and Middle Mississippi Valley CESU during the year.The first annual work plan (for FY2004) will be delivered 120 days from the date this agreement is executed. Five (5) copies of the annual work plan will be delivered to each Federal Agency.
- E. A multi-year strategic plan will be developed to generally guide the Upper and Middle Mississippi Valley CESU and will be delivered within 12 months from the date this agreement is executed. Five (5) copies of the multi-year strategic plan will be delivered to each Federal Agency.

#### **ARTICLE VIII - PROPERTY UTILIZATION AND DISPOSITION**

Property utilization and disposition is in accordance with OMB Circulars A-110 or A-102, specifically 43 CFR Part 12 (Department of the Interior).

## **ARTICLE IX - TERMINATION**

Termination of this agreement is in accordance with OMB Circulars A-110 or A-102, specifically 43 CFR Part 12 (Department of the Interior). Any party to this agreement may terminate its participation by delivery of thirty (30) days advance written notice to each of the Federal Agencies and the Host University.

## **ARTICLE X – REQUIRED/SPECIAL PROVISIONS**

### **A. REQUIRED PROVISIONS:**

1. **NON-DISCRIMINATION:** All activities pursuant to this agreement and the provisions of Executive Order 11246; shall be in compliance with requirements of Title VI of the Civil Rights Act of 1964 (78 Stat. 252 42 U.S.C. § 2000d et seq.); Title V, Section 504 of the Rehabilitation Act of 1973 (87 Stat. 394; 29 U.S.C. § 794); the Age Discrimination Act of 1975 (89 Stat. 728; 42 U.S.C. § 6101 et seq.); and with all other Federal laws and regulations prohibiting discrimination on grounds of race, color, national origin, handicap, religious or sex in providing of facilities and service to the public.
2. **CONSISTENCY WITH PUBLIC LAWS:** Nothing herein contained shall be deemed to be inconsistent with or contrary to the purpose of or intent of any Act of Congress establishing, affecting, or relating to the agreement.
3. **APPROPRIATIONS (Anti-Deficiency Act, 31 U.S.C. 1341):** Nothing herein contained in this agreement shall be construed as binding the Federal Agencies to expend in any one fiscal year any sum in excess of appropriations made by Congress, for the purposes of this agreement for that fiscal year, or other obligation for the further expenditure of money in excess of such appropriations.
4. **OFFICIALS NOT TO BENEFIT:** No Member of, Delegate to, Resident Commissioner in, Congress shall be admitted to any share or part of this agreement or to any benefit to arise therefrom.
5. **LOBBYING PROHIBITION:** The parties will abide by the provisions of 18 U.S.C. 1913 (Lobbying with Appropriated Moneys), which states:

No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law, ratification, policy, or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy, or appropriation; but this shall not prevent officers or employees of the United States or of its departments or agencies from communicating to any such Member or official, at his request, or to Congress or such official, through the proper official channels, requests for any legislation, law, ratification, policy, or appropriations which they deem necessary for the efficient conduct of the public business, or from making any communication whose prohibition by this section might, in the opinion of the Attorney General, violate the Constitution or interfere with

the conduct of foreign policy, counter-intelligence, intelligence, or national security activities.

## 6. LIABILITY PROVISION:

### Governmental Parties

The Federal Agencies, Host University and Partner Institutions which are governmental parties, each accept responsibility for any property damage, injury, or death caused by the acts or omissions of their respective employees, acting within the scope of their employment, to the fullest extent permitted by their respective applicable laws, including laws concerning self-insurance.

To the extent work by governmental parties is to be performed through sub-contract by non-governmental entities or persons, the governmental party sub-contracting work will require that subcontracted entity or person to meet provisions (a), (b), and (c) for non-governmental parties stated below.

### Non-governmental Parties

Work provided by non-governmental entities or persons, will require that entity or person to:

- (a) Have public and employee liability insurance from a responsible company or companies with a minimum limitation of one million dollars (\$1,000,000) per person for any one claim, and an aggregate limitation of three million dollars (\$3,000,000) for any number of claims arising from any one incident. In subsequent modifications, the parties may negotiate different levels of liability coverage, as appropriate. The policies shall name the United States as an additional insured, shall specify that the insured shall have no right of subrogation against the United States for payments of any premiums or deductibles due thereunder, and shall specify that the insurance shall be assumed by, be for the account of, and be at the insured's sole risk; and
- (b) Pay the United States the full value for all damages to the lands or other property of the United States caused by such person or organization, its representatives, or employees; and
- (c) Indemnify, save and hold harmless, and defend the United States against all fines, claims, damages, losses, judgments, and expenses arising out of, or from, any omission or activity of such person or organization, its representatives, or employees.

Non-governmental Partner Institutions shall provide the Federal Agencies confirmation of such insurance coverage, prior to beginning specific work authorized herein and specified in subsequent modifications.

## B. SPECIAL PROVISIONS:

1. Joint publication of results is encouraged; however, no party will publish any results of joint effort without consulting the other. This is not to be construed as applying to popular publication of previously published technical matter. Publication may be joint or independent as may be agreed upon, always giving

due credit to the cooperation of participating Federal Agencies, the Host University, and Partner Institutions, and recognizing within proper limits the rights of individuals doing the work. In the case of failure to agree as to the manner of publication or interpretation of results, either party may publish data after due notice (not to exceed 60 days) and submission of the proposed manuscripts to the other. In such instances, the party publishing the data will give due credit to the cooperation but assume full responsibility of any statements on which there is a difference of opinion. Federal agencies reserve the right to issue a disclaimer if such a disclaimer is determined to be appropriate.

2. The results of any cooperative studies may be used in developing theses in partial fulfillment of requirements for advanced degrees and nothing herein shall delay publication of theses.
3. Individual modifications shall include specific plans for data management, sharing, and archiving, as appropriate.

#### **ARTICLE XI – DOCUMENTS INCORPORATED BY REFERENCE**

- A. The following are to be incorporated into this agreement:
  1. Budget for funds awarded in this agreement (including Application for Federal Assistance, SF424)
  2. Upper and Middle Mississippi Valley CESU Proposal (including addendums)
  3. DI-2010, Certifications for the Host University regarding debarment, suspension and other responsibility matter, drug-free workplace requirements and lobbying.

#### **ARTICLE XII - ATTACHMENTS**

- A. The following are attached:
  1. ATTACHMENT 1 – Financial Status Report, SF 269A
  2. ATTACHMENT 2 – Request for Advance or Reimbursement, SF 270
  3. ATTACHMENT 3 – Federal Cash Transactions Report, SF272
  4. ATTACHMENT 4 – ACH Payment, SF3881
  5. ATTACHMENT 5 – Example Modification Template

#### **ARTICLE XIII - AUTHORIZING SIGNATURES**

The following authorizing signatures are attached:

U.S. DEPARTMENT OF THE INTERIOR

- A. Bureau of Land Management
- B. U.S. Geological Survey – Biological Resources Division
- C. National Park Service

D. THE CURATORS OF THE UNIVERSITY OF MISSOURI

- E. Drake University
- F. Indiana University
- G. Iowa State University
- H. Lincoln University
- I. Southern Illinois University
- J. Southwest Missouri State University

- K. University of Illinois
- L. University of Iowa
- M. University of Kansas
- N. University of Minnesota
- O. Audubon of Missouri
- P. Audubon – Upper Mississippi River Campaign
- Q. Conservation Federation of Missouri
- R. Missouri Botanical Garden
- S. National Mississippi River Museum and Aquarium



**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

A. Bureau of Land Management

\_\_\_\_\_  
Mike Nedd  
State Director  
BLM Eastern States Office

\_\_\_\_\_  
Date

\_\_\_\_\_  
Modestenia Bush  
Assistance Officer

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

B. U.S. Geological Survey – Biological Resources Division

\_\_\_\_\_  
Pansy R. Yeatts  
Contracting Officer

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

C. National Park Service

\_\_\_\_\_  
Theora McVay  
Contracting Officer

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

D. The Curators of the University of Missouri

\_\_\_\_\_  
Dona R. McKinney  
Associate Director, OSPA

\_\_\_\_\_ Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

E. Drake University

\_\_\_\_\_  
Dr. Ronald Troyer  
Provost

\_\_\_\_\_ Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

F. Indiana University

\_\_\_\_\_  
Steven A. Martin  
Assistant Vice President for Research

\_\_\_\_\_ Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

G. Iowa State University

\_\_\_\_\_  
James R. Bloedel  
Vice Provost for Research and Advanced Studies

\_\_\_\_\_ Date

\_\_\_\_\_  
Thane Peterson  
Director, Sponsored Programs Administration

\_\_\_\_\_ Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

H. Lincoln University

\_\_\_\_\_  
Dr. David B. Henson  
President

\_\_\_\_\_

Date



**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

I. Southern Illinois University

\_\_\_\_\_  
Prudence M. Price  
Acting Associate Vice Chancellor for Research

\_\_\_\_\_ Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

J. Southwest Missouri State University

\_\_\_\_\_  
Dr. Frank Einhelig  
Associate Vice President for Academic Affairs

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

K. University of Illinois

\_\_\_\_\_  
Stephen K. Rugg  
Vice President

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

L. University of Iowa

\_\_\_\_\_  
Brian Lee Harvey  
Assistant Vice President, Division of Sponsored Programs

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

M. University of Kansas

\_\_\_\_\_  
Joanne Altieri  
Contract Negotiations and Research Compliance

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

N. University of Minnesota

\_\_\_\_\_  
Kevin McKoskey  
Grants Manager

\_\_\_\_\_ Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

O. Audubon of Missouri

\_\_\_\_\_  
Roger Still  
Executive Director

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

P. Audubon – Upper Mississippi River Campaign

\_\_\_\_\_  
Dan McGuiness  
Director

\_\_\_\_\_  
Date



**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

Q. Conservation Federation of Missouri

\_\_\_\_\_  
Dave Murphy  
Executive Director

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

R. Missouri Botanical Garden

\_\_\_\_\_  
Dr. Robert Magill  
Director of Research

\_\_\_\_\_  
Date

**ARTICLE XIII - AUTHORIZING SIGNATURES (cont.)**

S. National Mississippi River Museum and Aquarium

\_\_\_\_\_  
Jerry Enzler  
Executive Director

\_\_\_\_\_  
Date

# FINANCIAL STATUS REPORT

(Short Form)

(Follow instructions on the back)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned By Federal Agency	OMB Approval No. <b>0348-0038</b>	Page of  pages
3. Recipient Organization (Name and complete address, including ZIP code)			
4. Employer Identification Number	5. Recipient Account Number or Identifying Number	6. Final Report <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Basis <input type="checkbox"/> Cash <input type="checkbox"/> Accrual
8. Funding/Grant Period (See instructions) From: (Month, Day, Year)	To: (Month, Day, Year)	9. Period Covered by this Report From: (Month, Day, Year)	To: (Month, Day, Year)
10. Transactions:	I Previously Reported	II This Period	III Cumulative
a. Total outlays			
b. Recipient share of outlays			
c. Federal share of outlays			
d. Total unliquidated obligations			
e. Recipient share of unliquidated obligations			
f. Federal share of unliquidated obligations			
g. Total Federal share(Sum of lines c and f)			
h. Total Federal funds authorized for this funding period			
i. Unobligated balance of Federal funds(Line h minus line g)			
11. Indirect Expense	a. Type of Rate(Place "X" in appropriate box) <input type="checkbox"/> Provisional <input type="checkbox"/> Predetermined <input type="checkbox"/> Final <input type="checkbox"/> Fixed		
	b. Rate	c. Base	d. Total Amount
	e. Federal Share		
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.			
13. Certification: <b>I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.</b>			
Typed or Printed Name and Title		Telephone (Area code, number and extension)	
Signature of Authorized Certifying Official		Date Report Submitted	

## FINANCIAL STATUS REPORT

(Short Form)

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0038), Washington, DC 20503.

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

Please type or print legibly. The following general instructions explain how to use the form itself. You may need additional information to complete certain items correctly, or to decide whether a specific item is applicable to this award. Usually, such information will be found in the Federal agency's grant regulations or in the terms and conditions of the award. You may also contact the Federal agency directly.

Item	Entry
<p>1, 2 and 3. Self-explanatory.</p> <p>4. Enter the Employer Identification Number (EIN) assigned by the U.S. Internal Revenue Service.</p> <p>5. Space reserved for an account number or other identifying number assigned by the recipient.</p> <p>6. Check <i>yes</i> only if this is the last report for the period shown in item 8.</p> <p>7. Self-explanatory.</p> <p>8. Unless you have received other instructions from the awarding agency, enter the beginning and ending dates of the current funding period. If this is a multi-year program, the Federal agency might require cumulative reporting through consecutive funding periods. In that case, enter the beginning and ending dates of the grant period, and in the rest of these instructions, substitute the term "grant period" for "funding period."</p> <p>9. Self-explanatory.</p> <p>10. The purpose of columns I, II, and III is to show the effect of this reporting period's transactions on cumulative financial status. The amounts entered in column I will normally be the same as those in column III of the previous report in <i>the same funding period</i>. If this is the first or only report of the funding period, leave columns I and II blank. If you need to adjust amounts entered on previous reports, footnote the column I entry on this report and attach an explanation.</p> <p>10a. Enter total program outlays less any rebates, refunds, or other credits. For reports prepared on a cash basis, outlays are the sum of actual cash disbursements for direct costs for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subrecipients. For reports prepared on an accrual basis, outlays are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expense incurred,</p>	<p>the value of in-kind contributions applied, and the net increase or decrease in the amounts owed by the recipient for goods and other property received, for services performed by employees, contractors, subgrantees and other payees, and other amounts becoming owed under programs for which no current services or performances are required, such as annuities, insurance claims, and other benefit payments.</p> <p>10b. Self-explanatory.</p> <p>10c. Self-explanatory.</p> <p>10d. Enter the total amount of unliquidated obligations, including unliquidated obligations to subgrantees and contractors.</p> <p>Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an outlay has not yet been recorded.</p> <p>Do not include any amounts on line 10d that have been included on lines 10a, b, or c.</p> <p>On the final report, line 10d must be zero.</p> <p>10e. f, g, h, h and i. Self-explanatory.</p> <p>11a. Self-explanatory.</p> <p>11b. Enter the indirect cost rate in effect during the reporting period.</p> <p>11c. Enter the amount of the base against which the rate was applied.</p> <p>11d. Enter the total amount of indirect costs charged during the report period.</p> <p>11e. Enter the Federal share of the amount in 11d.</p> <p>Note: If more than one rate was in effect during the period shown in item 8, attach a schedule showing the bases against which the different rates were applied, the respective rates, the calendar periods they were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date.</p>

# REQUEST FOR ADVANCE OR REIMBURSEMENT

*(See instructions on back)*

OMB APPROVAL NO. <b>0348-0004</b>	PAGE _____ OF _____ PAGES
--------------------------------------	---------------------------

1. TYPE OF PAYMENT REQUESTED a. "X" one or both boxes <input type="checkbox"/> <b>ADVANCE</b> <input type="checkbox"/> <b>REIMBURSEMENT</b> b. "X" the applicable box <input type="checkbox"/> <b>FINAL</b> <input type="checkbox"/> <b>PARTIAL</b>	2. BASIS OF REQUEST <input type="checkbox"/> <b>CASH</b> <input type="checkbox"/> <b>ACCRUAL</b>
---	--

3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED

4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY

5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST

6. EMPLOYER IDENTIFICATION NUMBER

7. RECIPIENT'S ACCOUNT NUMBER OR IDENTIFYING NUMBER

8. **PERIOD COVERED BY THIS REQUEST**  
 FROM (month, day, year) \_\_\_\_\_ TO (month, day, year) \_\_\_\_\_

9. RECIPIENT ORGANIZATION

*Name:* \_\_\_\_\_

*Number and Street:* \_\_\_\_\_

*City, State and ZIP Code:* \_\_\_\_\_

10. PAYEE (Where check is to be sent if different than item 9)

*Name:* \_\_\_\_\_

*Number and Street:* \_\_\_\_\_

*City, State and ZIP Code:* \_\_\_\_\_

**11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED**

PROGRAMS/FUNCTIONS/ACTIVITIES ►	(a)	(b)	(c)	
a. Total program outlays to date <small>(As of date)</small>	\$	\$	\$	<b>TOTAL</b> \$
b. Less: Cumulative program income				
c. Net program outlays (Line a minus line b)				
d. Estimated net cash outlays for advance period				
e. Total (Sum of lines c & d)				
f. Non-Federal share of amount on line e				
g. Federal share of amount on line e				
h. Federal payments previously requested				
i. Federal share now requested (Line g minus line h)				
j. Advances required by month, when requested by Federal grantor agency for use in making prescheduled advances	1st month			
	2nd month			
	3rd month			

**12. ALTERNATE COMPUTATION FOR ADVANCES ONLY**

a. Estimated Federal cash outlays that will be made during period covered by the advance	\$
b. Less: Estimated balance of Federal cash on hand as of beginning of advance period	
c. Amount requested (Line a minus line b)	\$

I certify that to the best of my knowledge and belief the data on the reverse are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.	SIGNATURE OR AUTHORIZED CERTIFYING OFFICIAL	DATE REQUEST SUBMITTED
	TYPED OR PRINTED NAME AND TITLE	TELEPHONE (AREA CODE, NUMBER, EXTENSION)

This space for agency use

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0004), Washington, DC 20503.

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

**INSTRUCTIONS**

Please type or print legibly. Items 1, 3, 5, 9, 10, 11e, 11f, 11g, 11i, 12 and 13 are self-explanatory; specific instructions for other items are as follows:

- | <i>Item</i>   | <i>Entry</i>   |
|---|--|
| 2   | Indicate whether request is prepared on cash or accrued expenditure basis. All requests for advances shall be prepared on a cash basis.  |
| 4   | Enter the Federal grant number, or other identifying number assigned by the Federal sponsoring agency. If the advance or reimbursement is for more than one grant or other agreement, insert N/A; then, show the aggregate amounts. On a separate sheet, list each grant or agreement number and the Federal share of outlays made against the grant or agreement. |
| 6   | Enter the employer identification number assigned by the U.S. Internal Revenue Service, or the FICE (institution) code if requested by the Federal agency.   |
| 7   | This space is reserved for an account number or other identifying number that may be assigned by the recipient.  |
| 8   | Enter the month, day, and year for the beginning and ending of the period covered in this request. If the request is for an advance or for both an advance and reimbursement, show the period that the advance will cover. If the request is for reimbursement, show the period for which the reimbursement is requested.  |
| <b>Note:</b> The Federal sponsoring agencies have the option of requiring recipients to complete items 11 or 12, but not both. Item 12 should be used when only a minimum amount of information is needed to make an advance and outlay information contained in item 11 can be obtained in a timely manner from other reports. |  |
| 11  | The purpose of the vertical columns (a), (b), and (c) is to provide space for separate cost breakdowns when a project has been planned and budgeted by program, function, or   |

- | <i>Item</i> | <i>Entry</i>  |
|-------------|---|
|             | activity. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page.  |
| 11a         | Enter in "as of date," the month, day, and year of the ending of the accounting period to which this amount applies. Enter program outlays to date (net of refunds, rebates, and discounts), in the appropriate columns. For requests prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expenses charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subcontractors and subrecipients. For requests prepared on an accrued expenditure basis, outlays are the sum of the actual cash disbursements, the amount of indirect expenses incurred, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contracts, subgrantees and other payees. |
| 11b         | Enter the cumulative cash income received to date, if requests are prepared on a cash basis. For requests prepared on an accrued expenditure basis, enter the cumulative income earned to date. Under either basis, enter only the amount applicable to program income that was required to be used for the project or program by the terms of the grant or other agreement.  |
| 11d         | Only when making requests for advance payments, enter the total estimated amount of cash outlays that will be made during the period covered by the advance.  |
| 13          | Complete the certification before submitting this request.  |

# FEDERAL CASH TRANSACTIONS REPORT

(See instructions on the back. If report is for more than one grant or assistance agreement, attach completed Standard Form 272A.)

1. Federal sponsoring agency and organizational element to which this report is submitted

## 2. RECIPIENT ORGANIZATION

Name:  
  
Number and Street:  
  
City, State and ZIP Code:

4. Federal grant or other identification number

5. Recipient's account number or identifying number

6. Letter of credit number

7. Last payment voucher number

**Give total number for this period**

8. Payment Vouchers credited to your account

9. Treasury checks received (whether or not deposited)

## 10. PERIOD COVERED BY THIS REPORT

## 3. FEDERAL EMPLOYER IDENTIFICATION NO.

FROM (month, day, year)

TO (month, day, year)

## 11. STATUS OF FEDERAL CASH

(See specific instructions on the back)

a. Cash on hand beginning of reporting period

\$

b. Letter of credit withdrawals

c. Treasury check payments

d. Total receipts (Sum of lines b and c)

e. Total cash available (Sum of lines a and d)

f. Gross disbursements

g. Federal share of program income

h. Net disbursements (Line f minus line g)

i. Adjustments of prior periods

j. Cash on hand end of period

\$

## 12. THE AMOUNT SHOWN ON LINE 11j, ABOVE, REPRESENTS CASH REQUIREMENTS FOR THE ENSUING

Days

## 13. OTHER INFORMATION

a. Interest income

\$

b. Advances to subgrantees or subcontractors

\$

## 14. REMARKS (Attach additional sheets of plain paper, if more space is required)

## 15.

### CERIFICATION

I certify to the best of my knowledge and belief that this report is true in all respects and that all disbursements have been made for the purpose and conditions of the grant or agreement.	AUTHORIZED	SIGNATURE	DATE REPORT SUBMITTED
	CERTIFYING OFFICIAL	TYPED OR PRINTED NAME AND TITLE	TELEPHONE (Area Code, Number, Extension)

THIS SPACE FOR AGENCY USE



## INSTRUCTIONS

Public reporting burden for this collection of information is estimated to average 120 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0003), Washington, DC 20503.

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

Please type or print legibly. Items 1, 2, 8, 9, 10, 11d, 11e, 11h, and 15 are self explanatory, specific instructions for other items are as follows:

<i>Item</i>	<i>Entry</i>	<i>Item</i>	<i>Entry</i>
3	Enter Employer Identification Number (EIN) assigned by the U.S. Internal Revenue Service or the FICE (institution) code.		benefits if treated as a direct cost, interdepartmental charges for supplies and services, and the amount to which the recipient is entitled for indirect costs.
4	If this report covers more than one grant or other agreement, leave items 4 and 5 blank and provide the information on Standard Form 272A, Report of Federal Cash Transactions - Continued.  Enter Federal grant number, agreement number, or other identifying numbers if requested by sponsoring agency.	11g	Enter the Federal share of program income that was required to be used on the project or program by the terms of the grant or agreement.
5	This space reserved for an account number or other identifying number that may be assigned by the recipient.	11i	Enter the amount of all adjustments pertaining to prior periods affecting the ending balance that have not been included in any lines above. Identify each grant or agreement for which adjustment was made, and enter an explanation for each adjustment under "Remarks." Use plain sheets of paper if additional space is required.
6	Enter the letter of credit number that applies to this report. If all advances were made by Treasury check, enter "NA" for not applicable and leave items 7 and 8 blank.	11j	Enter the total amount of Federal cash on hand at the end of the reporting period. This amount should include all funds on deposit, imprest funds, and undeposited funds (line e, less line h, plus or minus line i).
7	Enter the voucher number of the last letter-of-credit payment voucher (Form TUS 5401) that was credited to your account.	12	Enter the estimated number of days until the cash on hand, shown on line 11j, will be expended. If more than three days cash requirements are on hand, provide an explanation under "Remarks" as to why the drawdown was made prematurely, or other reasons for the excess cash. The requirement for the explanation does not apply to prescheduled or automatic advances.
11a	Enter the total amount of Federal cash on hand at the beginning of the reporting period including all of the Federal funds on deposit, imprest funds, and undeposited Treasury checks.	13a	Enter the amount of interest earned on advances of Federal funds but not remitted to the Federal agency. If this includes any amount earned and not remitted to the Federal sponsoring agency for over 60 days, explain under "Remarks." Do not report interest earned on advances to States.
11b	Enter total amount of Federal funds received through payment vouchers (Form TUS 5401) that were credited to your account during the reporting period.	13b	Enter the amount of advance to secondary recipients included in item 11h.
11c	Enter the total amount of all Federal funds received during the reporting period through Treasury checks, whether or not deposited.	14	In addition to providing explanations as required above, give additional explanation deemed necessary by the recipient and for information required by the Federal sponsoring agency in compliance with governing legislation. Use plain sheets of paper if additional space is required.
11f	Enter the total Federal cash disbursements, made during the reporting period, including cash received as program income. Disbursements as used here also include the amount of advances and payments less refunds to subgrantees or contractors; the gross amount of direct salaries and wages, including the employee's share of		

**ACH VENDOR/MISCELLANEOUS PAYMENT  
ENROLLMENT FORM**

OMB No. 1510-0056  
Expiration Date 01/31/2000

This form is used for Automated Clearing House (ACH) payments with an addendum record that contains payment-related information processed through the Vendor Express Program. Recipients of these payments should bring this information to the attention of their financial institution when presenting this form for completion.

**PRIVACY ACT STATEMENT**

The following information is provided to comply with the Privacy Act of 1974 (P.L. 93-579). All information collected on this form is required under the provisions of 31 U.S.C. 3322 and 31 CFR 210. This information will be used by the Treasury Department to transmit payment data, by electronic means to vendor's financial institution. Failure to provide the requested information may delay or prevent the receipt of payments through the Automated Clearing House Payment System.

**AGENCY INFORMATION**

FEDERAL PROGRAM AGENCY

AGENCY IDENTIFIER:

AGENCY LOCATION CODE (ALC):

ACH FORMAT:

CCD+

CTX

CTP

ADDRESS:

CONTACT PERSON NAME:

TELEPHONE NUMBER:

(       )

ADDITIONAL INFORMATION:

**PAYEE/COMPANY INFORMATION**

NAME

SSN NO. OR TAXPAYER ID NO.

ADDRESS

CONTACT PERSON NAME:

TELEPHONE NUMBER:

(       )

**FINANCIAL INSTITUTION INFORMATION**

NAME:

ADDRESS:

ACH COORDINATOR NAME:

TELEPHONE NUMBER:

(       )

NINE-DIGIT ROUTING TRANSIT NUMBER:

— — — — —

DEPOSITOR ACCOUNT TITLE:

DEPOSITOR ACCOUNT NUMBER:

LOCKBOX NUMBER:

TYPE OF ACCOUNT:

CHECKING

SAVINGS

LOCKBOX

SIGNATURE AND TITLE OF AUTHORIZED OFFICIAL:  
(Could be the same as ACH Coordinator)

TELEPHONE NUMBER:

(       )

## Instructions for Completing SF 3881 Form

1. Agency Information Section - Federal agency prints or types the name and address of the Federal program agency originating the vendor/miscellaneous payment, agency identifier, agency location code, contact person name and telephone number of the agency. Also, the appropriate box for ACH format is checked.
2. Payee/Company Information Section - Payee prints or types the name of the payee/company and address that will receive ACH vendor/miscellaneous payments, social security or taxpayer ID number, and contact person name and telephone number of the payee/company. Payee also verifies depositor account number, account title, and type of account entered by your financial institution in the Financial Institution Information Section.
3. Financial Institution Information Section - Financial institution prints or types the name and address of the payee/company's financial institution who will receive the ACH payment, ACH coordinator name and telephone number, nine-digit routing transit number, depositor (payee/company) account title and account number. Also, the box for type of account is checked, and the signature, title, and telephone number of the appropriate financial institution official are included.

## Burden Estimate Statement

The estimated average burden associated with this collection of information is 15 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Financial Management Service, Facilities Management Division, Property and Supply Branch, Room B-101, 3700 East West Highway, Hyattsville, MD 20782 and the Office of Management and Budget, Paperwork Reduction Project (1510-0056), Washington, DC 20503.

# TEMPLATE/EXAMPLE

**[ insert biogeographic name ] Cooperative Ecosystem Studies Unit  
Cooperative Agreement Modification**

[some federal agencies may use a "task order" or "task agreement," etc. instead of "modification"]

**[ insert agency ]**

MODIFICATION NO.: [ insert # ]

COOPERATIVE AGREEMENT NO.: [insert #]

EFFECTIVE DATES: \_\_/\_\_/\_\_ through \_\_/\_\_/\_\_

COOPERATOR(S): [ insert contact information ]

PROJECT TITLE: [ insert title ]

FISCAL YEAR FUNDING: [ insert FY# ]

ACCOUNT #: [ insert # ]

NOT TO EXCEED: [ insert \$ ]

PROJECT ABSTRACT: [ Insert short description of project. ]

**SCOPE OF WORK:**

**[ Provide or attach a brief explanation of the following:**

- (a) the proposed work and what is being modified in the Cooperative Agreement;**
- (b) the project contribution to the objectives of the CESU;**
- (c) the methodology of the project;**
- (d) the substantial involvement of each party;**
- (e) the project budget and schedule; and**
- (f) the specific deliverables.**

**All other terms and conditions remain the same.]**

This Modification is subject to all the provisions included in the Cooperative Agreement, dated [ insert date ].

[ insert cooperator(s) ]:

[ insert agency ]:

\_\_\_\_\_  
[insert appropriate name(s) & title(s)] DATE

\_\_\_\_\_  
[insert appropriate name(s) & title(s)] DATE

*Use as many signature blocks as needed.*

*Attach any supporting material as necessary.*