

**Instructions for Applying for
FY 2020 Section 106 Monitoring Initiative Funds
and the National Wetland Condition Assessment 2021**

March 2020



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**Water Quality Monitoring Program Enhancements
and the National Wetland Condition Assessment 2021**

Contents

I. Summary of Important Items	3
II. Introduction.....	5
III. Options for Disbursing Monitoring Initiative Funds	6
IV. The Monitoring Initiative Application Process.....	7
A. <i>Implementing the Monitoring Strategy (Part A)</i>	7
1. General Information	7
2. Part A: Checkbox.....	8
B. <i>Participating in the National Aquatic Resource Survey (Part B)</i>	9
1. General Information:	9
2. Contractor Assistance via in-kind services or associated program support	10
3. Other Information	11
4. Grant Terms & Conditions	12
Checklist	12

ATTACHMENTS

- A. Part A. Implementation of Monitoring Strategies Excel Worksheet
- B. Part B. Participation in National Aquatic Resource Survey Table Excel Worksheet
- C. Example email/letters for request of Associated Program Support

**Instructions for Applying for FY 2020 Section 106 Monitoring Initiative
Funds
Water Quality Monitoring Program Enhancements and the National Wetland
Condition Assessment 2021**

I. Summary of Important Items

Under the Section 106 Monitoring Initiative grant funds, states will receive \$161,755 for implementing enhancements to their water quality monitoring and assessment programs in FY 2020, and each territory and the District of Columbia will receive \$80,875. Additionally, for each National Wetland Condition Assessment 2021 site visit, the applicable recipient will receive \$8,000.

A summary of key dates is included in the following table.

Activity	Summary	Key Dates
Laboratory Analysis Costs Available	EPA will provide states and tribes with the breakdown of field and laboratory funding including individual laboratory analysis costs.	February 2020
States/Tribes request Associated Program Support for Field and/or Lab Work	States/tribes that request field and lab services for the NWCA 2021 under EPA’s associated program support (APS) authority must make their request pre-allotment (see Section IV.B.2). Please let Sarah Lehmann know if additional time is needed. The Part B form is not required if all survey work is being conducted through APS	April 10, 2020
Final Monitoring Initiative Funding Allotment Distributed	EPA will distribute the final state and tribal funding allotment (enhancement and NWCA)	April-May 2020
Monitoring Initiative Application Submissions	States, tribes, territories, and other recipients submit applications for the monitoring initiative funds.	As set by Regions; discuss with Regional contacts (recommended date May 2020)
Monitoring Initiative Application Period of Performance with In-kind Service Requests	Field Work: The period of performance for grants that include in-kind services requests for NWCA 2021 field work must be sufficient to ensure that all contract field work and post field processing work is complete and funds drawn down. (Note this is not necessary if the state opts for APS to secure contractor support.)	The grant period of performance must end no earlier than December 31, 2021
	Lab Work: The period of performance for grants that include in-kind services requests for NWCA 2021 lab work must be sufficient to ensure that all contract work is completed and funds drawn down under the national lab contracts. (Note this is not necessary if the state opts for APS to secure contractor support.)	The period of performance must end no earlier than December 31, 2022
Monitoring Initiative Application Period of Performance with APS Requests	For states and tribes that request APS, the grant work plan does not include those activities, so the period of performance does not have to account for the completion of national contractor services.	The period of performance should reflect the time needed by the state or tribe to complete the activities included in the work plan

Use of Grants.gov

Applicants must apply for the Monitoring Initiative grants using <https://www.grants.gov>. States and tribes can either type in the Funding Opportunity Number (EPA-CEP-01) or the CFDA Number (Section 106 CFDA # 66.419 or PPG CFDA # 66.605) then select the link to the appropriate CFDA's application forms. For standalone Monitoring Initiative grants, applicants would use the Section 106 CFDA 66.419 application and indicate that it is for the Monitoring Initiative grant.

New application requirements in effect as of October 1, 2018 require grantees to submit all mandatory forms as part of the initial application submission through Grants.gov. The mandatory forms for applications for Monitoring Initiative funds are:

- SF-424
- SF-424A
- SF-424B
- EPA Form 4700-4
- EPA Key Contacts Form
- Project Narrative Attachment Form. In addition to the six forms identified above, applications for Monitoring Initiative funds must also include the Project Narrative Attachment Form (for the Monitoring Initiative the Workplan and Forms A and B Worksheets are equivalent to the Project Narrative Attachment Form) as part of the initial application submission through Grants.gov. Please note: the Project Narrative Attachment Form is listed under "Optional Forms" in Grants.gov, but must be submitted with the other five forms listed under "Mandatory Forms".

Contact your regional representative if you have questions. Additional guidance regarding the full application requirement is available at <https://www.epa.gov/grants/rain-2018-g07>

II. Introduction

Since FY 2005, Congress has specifically dedicated a portion of the Clean Water Act (CWA) Section 106 annual appropriation for water quality monitoring enhancements. The goal of EPA's Monitoring Initiative is to provide resources to enhance existing state and tribal monitoring programs, and to establish a nationwide statistical survey program to answer broader water quality questions. These Monitoring Initiative funds are a supplement to the base Section 106 grant and have two components, funds for states and other eligible entities to enhance their water monitoring and assessment programs consistent with their monitoring strategies, and funds for states, tribes and other eligible entities to participate in statistically-valid surveys of the Nation's waters.

These instructions are intended to assist Regions and Section 106 eligible grant recipients in preparing applications for the FY 2020 grant cycle. It is important to note that to receive these funds grant recipients must submit a workplan on the use of Monitoring Initiative funds as described in these instructions, apart from base Section 106 funds.

This year EPA requests that Monitoring Initiative workplans include:

- 1) *Part A Narrative and Form A Worksheet*: The narrative should be a one to two-page description of the activities associated with enhancements to the state Monitoring Strategy for the FY 2020 funding. Grantees should also complete and submit the Part A worksheet (see the attached Excel spreadsheet).

Included in the Part A worksheet is a checkbox for specifying the implementation of statewide statistical surveys. The checkbox at the bottom of the form is in lieu of submitting a separate certification form as specified in the 2008 *Amendment to the Guidelines for the Award of Monitoring Initiative Funds under Section 106 Grants to States, Interstate Agencies, and Tribes* (Guidelines) available at <http://www.gpo.gov/fdsys/pkg/FR-2008-07-17/pdf/E8-16385.pdf>

- 2) *Part B Worksheet*: Grantees will provide information on how they intend to participate in the NWCA 2021. Note, the FY 2020 Monitoring Initiative funding is used to support the NWCA field/lab work conducted in 2021.
 - a. Grantees that request funds to conduct the NWCA 2021 must complete Part B.
 - b. Grantees that request contractor assistance as traditional in-kind services must complete Part B.
 - c. Activities requested as APS are not included in Part B. Information on the APS policy for 106 can be found at <https://www.epa.gov/water-pollution-control-section-106-grants/final-guidance-use-associated-program-support-costs>. For states/tribes that would like to use APS for contractor assistance with **all** NWCA field and lab work, no Part B workplan is required. Recipients requesting APS should provide written documentation requesting the specified associated program support activities by April 10, 2020 (if more time is needed, please let Sarah Lehmann and Gregg Serenbetz know). The statement

must include the amount of funding to be withheld and acknowledgment that EPA will be directing the funding for the specified purpose. See Section IV.B.2 for instructions on preparing this statement.

III. Options for Disbursing Monitoring Initiative Funds

There are several options for disbursing the Monitoring Initiative funds as a separate categorical grant, part of a base Section 106 categorical grant, or part of a Performance Partnership Grant (PPG). The table below has more information and a list of key features of these options. States, tribes and other eligible entities are encouraged to discuss these options with their EPA Regional offices to determine which is most appropriate for their situation. Additionally, special requirements associated with tracking and reporting on the Monitoring Initiative funds remain the same regardless of which grant option is selected.

When NWCA field or lab work is conducted directly by the recipient or through in-kind services, the project and budget periods for the Section 106 Monitoring Initiative grant must be synchronized with the tasks and deliverables for NWCA 2021. For example, project performance periods must extend to the end of calendar year 2022 to ensure final deliverables, particularly those associated with laboratory in-kind services requests, are completed within the timeframe of the grant. If the recipient requests NWCA field or lab work under associated program support (see Section IV), the project and budget periods need only cover the recipient activities included within the grant workplan.

Raw data from the national survey will not be available until QA/QC is completed by the EPA. States/tribes should not include tasks in their grant that would require data back from the national labs prior to allowing QA/QC to be completed. Please contact the Region and the EPA NWCA project leader to discuss when data are likely to be available.

Options for Disbursing Monitoring Initiative Funds	Key Features
Separate Categorical Grant	<ul style="list-style-type: none"> • Direct link between monitoring funds and monitoring activities improves ability to track and report on specific activities accomplished and the outcomes related to Monitoring Initiative funds • State and EPA can track funds easily (special grant code) • Period of performance may be tailored to scope of monitoring activities, e.g., two or three years of Monitoring Initiative funds could be put into one grant.
Part of Base Section 106 Categorical Grant	<ul style="list-style-type: none"> • Monitoring Initiative funds become commingled with base funds making it difficult to link expenditure of these funds with specific monitoring activities without imposing additional tracking and reporting requirements on states. • Period of Performance for Section 106 base grant activities may not be consistent with the Monitoring Initiative funds (for example, in-kind lab services generally need to extend two years out).

<p>Added to Performance Partnership Grant</p>	<ul style="list-style-type: none"> • Monitoring Initiative funds become commingled with base Section 106 funds and other state grant funds. Regions need to ensure that Monitoring Initiative tasks within a PPG are consistent with the amount of funding provided. Special reporting, whether within or separate from the final PPG report, required to demonstrate how funds were used. • Period of performance for the PPG may not be consistent with the Monitoring Initiative funds (for example, in-kind lab services requests generally need to extend two years out).
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IV. The Monitoring Initiative Application Process

A separate workplan must be submitted for Monitoring Initiative funds regardless of the grant mechanism chosen. Attached to these instructions are two Excel Spreadsheet Workplan Forms (Attachments A and B) to assist in documenting and reporting activities (including statewide survey activities). A one to two-page narrative description of Part A activities and information requested in the workplan forms must be provided to and approved by the Regional office to receive funds. Part B does not need to be completed for activities accounted for through associated program support. In addition to these instructions, applicants are encouraged to read the [2008 Guidelines](#) prior to preparing their application package. **Grant applications are due to EPA by May 2020 (or as identified by the regional office).** Tribes participating in the national survey should discuss with their Region when grant applications are due. As in the past, the five percent match requirement for Tribes is waived for any Part B (NARS) funds received. For a copy of the deviation, please contact Robyn Delehanty (Delehanty.Robyn@epa.gov) or Sarah Lehmann (Lehmann.Sarah@epa.gov).

Part A: Implementing the Monitoring Strategy

The Part A workplan consists of the following:

- A narrative description of monitoring initiative activities (required by all applicants except tribes)
- Part A Form (Attachment A)

Monitoring Initiative funds for tribes are included within the tribe’s Section 106 grant allocation and no separate workplan is required.

1. General Information

Part A funds must be used to enhance the state’s current monitoring program, *i.e.*, to address gaps or other deficiencies identified in the Monitoring Strategy. Monitoring Initiative funds cannot be used for ongoing or routine monitoring and assessment activities. EPA encourages states to include activities associated with continuation of state-scale surveys or intensifications of the NWCA (*i.e.*, sampling additional sites in the state’s NWCA draw using national NWCA protocols). EPA also encourages states to consider including appropriate requests for travel to national meetings to present findings from state monitoring activities.

For Part A of the Monitoring Initiative, states will receive \$161,755 in FY 2020, and each territory and the District of Columbia will receive \$80,875. For this section of the workplan, states must provide a one to two-page narrative description of the monitoring and assessment activities that will be undertaken to enhance their monitoring programs and complete the Part A

spreadsheet. If the state expects to have unused monies left over from the Part B those funds must be used for monitoring enhancements and included in the Part A workplan and budget. Interstate agencies will also receive funds to implement monitoring program enhancements as part of their monitoring strategies (or member state monitoring strategies) and assist in building state monitoring and assessment capacity. Interstate agencies should submit a Project Narrative and Part A workplan and budget.

Additional instructions for Part A of the workplan include:

- Proposed activities must be consistent with 40 CFR 130.4¹ and the 2008 *Guidelines*.
- The information provided in the workplan on monitoring activities and schedules must be sufficient for EPA to understand what work will be completed, at what cost and what deliverable is to be expected by what date. If most of the major activities will only be completed by the end of the overall grant period, additional milestones for tracking progress must be provided (consult with the Region for more information.)
- Proposed activities must address gaps identified in the state's Monitoring Strategy as called for in the 2003 guidance [The Elements of a State Monitoring and Reporting Program](#).
- As requested in the Part A worksheet, appropriate information on environmental outcomes, information connecting these activities to the state's Monitoring Strategy, and costs must be provided. Interstate agencies supporting state monitoring strategies should also provide information connecting activities to enhancing the states monitoring strategy or their own.
- If the workplan includes intensification of the NWCA, the state must include and account for the costs associated with laboratory analysis and supplies for sampling additional sites. Contact your regional coordinator and the NWCA lead for more information.

2. State Scale Survey Certification Checkbox

To streamline and reduce the burden of submitting individual certifications, states can use the checkbox at the bottom of the Part A workplan to fulfill the certification requirement in the 2008

¹ 130.4 - Water quality monitoring.

(a) In accordance with section 106(e)(1), States must establish appropriate monitoring methods and procedures (including biological monitoring) necessary to compile and analyze data on the quality of waters of the United States and, to the extent practicable, ground-waters. This requirement need not be met by tribes. However, any monitoring and/or analysis activities undertaken by a tribe must be performed in accordance with EPA's quality assurance/quality control guidance.

(b) The State's water monitoring program shall include collection and analysis of physical, chemical and biological data and quality assurance and control programs to assure scientifically valid data. The uses of these data include determining abatement and control priorities; developing and reviewing water quality standards, total maximum daily loads, wasteload allocations and load allocations; assessing compliance with National Pollutant Discharge Elimination System (NPDES) permits by dischargers; reporting information to the public through the section 305(b) report and reviewing site-specific monitoring efforts.

Guidelines (this takes the place of submitting a certification letter). The basic criteria for a state-scale survey program are outlined as follows:

- The state-scale survey is designed so that it provides condition estimates for a population of waters of the state based on an unbiased, representative sample of a subset of those waters
 - a) the assessment is based on a core set of indicators for at least one designated use. This set of indicators may be tailored to specific water quality issues within the state (e.g., biological integrity, recreation, fish consumption, nutrient pollution, etc.)
 - b) the statistical survey may span more than one year. States may use a rotating basin approach and survey a different watershed over time, or spread the sampling over several years²
 - c) either state or national methods and protocols may be used
 - d) states should strive for 90% confidence levels (+/- 10%). This typically requires at least 50 sites
 - e) at least one water body type is assessed
 - f) a commitment to continuing its statewide statistical survey program

- State agrees to continue to participate in the national survey, unless the state-scale survey is fully consistent with the national survey design and methods and all sampling data are reported.

- State survey results are reported to the Agency as a component of their 305(b)/303(d) Integrated Report through the web tool designed for this purpose.

Part B: Participating in the National Aquatic Resource Survey

The Part B workplan consists of the following:

- Part B Monitoring Initiative Form (required by applicants participating directly or via in-kind services in the NWCA) (Attachment B); and/or
- Email or letter to Regions by end of March 2020 (or earlier if possible) (estimated pre-allotment date) is required for NWCA activities requested under associated program support.

1. General Information:

Applicants must provide details on how they will participate in the NWCA 2021. For FY 2020 funds, States and participating Tribes will receive \$8,000 for each NWCA site to conduct the survey. The breakdown of costs will be \$6,175 per site for field sampling and \$1,825 per site for laboratory analysis. EPA is in the process of gathering more information related to costs of implementing NWCA 2021. Additional breakdown of costs for individual laboratory analyses is shown in the table below.

² Please note, national lab contracts associated with the NARS will not typically be available in years outside the survey cycle.

NWCA 2021 Costs

Indicator	Cost per site - Lab
Plants (vouchers and unknowns)	\$350
Soils	\$1,025
Water Chemistry	\$400
Microcystins	\$50
Overall Split	Total Cost per Site
Lab	\$1,825
Field	\$6,175
Final Cost per Site	\$8,000

There are several approaches a state/tribe may use to participate in the national surveys. A delegated Section 106 Agency may:

- use the grant funds to conduct all the field and lab work;
- conduct some portion of the field and/or lab work, and request EPA provide national contract support for the rest of the work (discuss options with your regional coordinator and the NWCA lead); or
- request EPA contractor support for all the field and lab work.

States and tribes conducting field and/or lab work themselves must complete Part B of the Monitoring Initiative Workplan.

2. Contractor assistance via In-kind Services or Associated Program Support

EPA is providing two options for provision of contractor support in completing field and lab work: *in-kind services* and *associated program support*. As noted previously, Part B of the workplan does not need to be completed for activities accounted for through associated program support. However, EPA encourages states and tribes with the capacity to conduct field and/or lab work themselves.

In-kind Services: As part of the National Aquatic Resource Surveys, EPA has made field and laboratory services available to states and tribes via national or regional contracts and interagency agreements. For in-kind services requests, the delegated Section 106 agency must include the request for in-kind services in their grant application for the National Aquatic Resource Surveys. The grant must include the Part B Form with both the services requested and the funding amounts. The state, tribe or other organization must take into consideration when in-kind services will be completed by the contractor (December 2021 for field work and December 2022 for lab work) when identifying the project period for the grant.

Associated Program Support: EPA is offering national contract support as APS. This reduces the direct award level (allotment) to that agency and **the eligible Section 106 agency would not include the APS tasks or funding in the Part B Form (if needed) or in their grant**. EPA will retain the applicable funding to provide the requested service (lab analysis and/or field sampling). EPA will continue to work with states and tribes on planning and implementation of the surveys. As required by the APS provisions, EPA will work with states and tribes in advance to identify APS needs on a national basis and target funds for the APS *before* determining the final state-by-state allocation of grant funds (i.e. pre-allotment). The APS option is provided to promote administrative efficiency and cost savings to the recipients.

Process for Obtaining Prior Approval for Associated Program Support Activities: To request APS, each Section 106 agency receiving a share of the National Survey funds needs to provide written documentation to the Regional office requesting the specified associated program support activities. The statement must include the amount of funding to be withheld, as applicable, and acknowledgment that EPA will be directing the funding for the specified purpose. Two examples are provided in Attachment C that could be used in an email or letter.

Associated Program Support:

Since FY 1999, Congress has included language in the State and Tribal Assistance Grant (STAG) account for “multi-media and single media pollution prevention, control and abatement, and related activities”, authorizing EPA to use a portion of the funds available for those programs to fund activities that benefit all or a portion of the state and tribal grant recipients – the associated program support costs authority.

Please see

<http://www.epa.gov/water-pollution-control-section-106-grants/final-guidance-use-associated-program-support-costs> for more information.

State requests for Associated Program Support must be received by the Region no later than April 10, 2020. Once Regions have obtained written confirmation from the state, the Region will forward this information to Sarah Lehmann, NARS team leader (lehmann.sarah@epa.gov) no later than April 15, 2020. Once state APS requests are received, a final Monitoring Initiative allocation table will be distributed. All decisions related to APS must be made pre-allotment. States and tribes that request contractor support after final allotment will be provided with in-kind services.

3. Other Information

Sampling Support:

- Supplies - EPA will provide some supplies required for field sampling including field kits and shipping forms. A list of EPA-provided supplies for NWCA 2021 will be supplied.

Recipients will provide all other supplies, equipment and/or materials needed.

- Training - EPA will provide field training during the spring of 2021 prior to the sampling season. **Training is mandatory for the field crew.** EPA does not cover the cost of travel to training. Monitoring Initiative funds may be used toward travel. If Monitoring Initiative funds will be used, these costs should be reflected in the state's workplan as part of Part A or Part B.
- Repeat sampling – Each recipient will receive an additional \$8,000 per site to conduct the field sampling and laboratory work for sites designated as revisits.

Redirecting Survey Funds: In cases where the delegated Section 106 Agency does not have the appropriate waterbody monitoring expertise, or otherwise prefers that another state agency or organization conduct the national survey work, the delegated Section 106 agency may invoke state procedures, *e.g.*, an MOU, to redirect the Section 106 funds to another state agency. While the above approach is preferred, a state can request EPA redirect the survey funds to another state agency. For this approach, the delegated Section 106 agency must obtain a letter signed by the Governor requesting EPA to set up a separate grant directly with another state agency (*e.g.* Department of Natural Resources, Fish and Game Agency, Natural Heritage Program, Coastal Zone Management Program).

4. Grant Terms & Conditions

In addition to other terms and conditions from the Region, the following quality assurance term and condition should be included for states/tribes conducting NWCA field/lab work.

Quality assurance - EPA will develop and provide to all partners the Quality Assurance Project Plan (QAPP), Field and Laboratory Standard Operating Procedures (SOPs), and other necessary documents for participation in the National Aquatic Resource Surveys. All active participants must verify that they will abide by the EPA protocols. If the state or tribe is planning to conduct some or all the laboratory work, Part B of the workplan should indicate that the state or tribe will work with the Agency to document, establish, and implement appropriate quality assurance and data management consistent with the national QAPP/SOPs. For states and tribes that request support through APS or in-kind services for all aspects of the survey, no certification is required. (Applicable to Part B)

Checklist for Monitoring Initiative Funds Grant Application

Check	Required Items
<input type="checkbox"/>	Grant Application Package (separate grant application, part of the Section 106 grant, or as a PPG)
<input type="checkbox"/>	Workplan – Part A Implementing Monitoring Strategy including a 1-2 page narrative format describing monitoring and assessment activities and the Part A Form
<input type="checkbox"/>	Workplan – Part B Form - Participation in the National Wetland Condition Assessment (do not include activities supported through APS)

Attachments A and B

The attached workplan consists of two parts. In Part A of the workplan, states and interstates must identify in table and narrative format the activities the Section 106 Monitoring Initiative enhancement funds will support. At the bottom of the form, states must also indicate their commitment to conducting state-scale statistical surveys. This must include the upcoming work on implementing a state-scale statistical survey. In Part B of the workplan, states must identify how they will be participating in the NWCA 2021, that is: a) conduct all of the field and lab work; b) conduct some portion of the field and/or lab work, and request in-kind EPA-contractor services for the rest of the work, or c) request in-kind EPA-contractor services for all of the field and lab work. If option b is selected, the state must identify the work it will perform, that is, the number of sites it will sample or the specific laboratory analyses it will conduct. States that request associated program support are not required to include their APS request as part of their Part B submission.

See excel worksheets.

Attachment C

Example email/letters for request of APS

Example 1

To: Regional contact

Subject: Reserving FY 2020 Monitoring Initiative Funding for the National Wetland Condition Assessment work under the Associated Program Support Authority

_____ (state/tribal name) requests the following Section 106 Monitoring Initiative National Wetland Condition Assessment work be implemented under the Associated Program Support Authority. The total funding amount that _____ (state/tribal name and agency) requests EPA reserve under the Associated Program Support Authority for NWCA work is \$ _____ for the (collection/analysis) of partial/all laboratory samples. The state will not include a request for these funds in the state/tribe Monitoring Initiative grant. For NWCA activities for which Associated Program Support is not requested/agreed to, the state/tribe intends to include the activities and funds in the Monitoring Initiative grant application.

(Example numbers only)

Activity	Requested Associated Program Support (yes/no)	# of sites	Per site cost (EPA estimates)	Total Amount of Requested Associated Program Support (# of sites * per site cost)
Field Work	No	N/A	N/A	0
Lab work (all)	Yes	10	\$1825	\$18,250
Total Associated Program Support Request				\$18,250

cc:

Sarah Lehmann

Gregg Serenbetz

Example 2

To: Regional contact

Subject: Reserving FY 2020 Monitoring Initiative Funding for National Wetland Condition Assessment work under the Associated Program Support Authority

_____ (state/tribal name) requests the following Section 106 Monitoring Initiative National Wetland Condition Assessment work be implemented under the Associated Program Support Authority. The total funding amount that _____ (state/tribal name and agency) requests EPA reserve under the Associated Program Support Authority for NWCA work is \$ _____ for the (collection/analysis) of samples. The state will not include a request for these funds in the state/tribe Monitoring Initiative grant. For NWCA activities for which Associated Program Support is not requested/agreed to, the state/tribe intends to include the activities and funds in the Monitoring Initiative grant application.

(Example numbers only)

Activity	Consent to Associated Program Support (yes/no)	# of sites	Per site cost (EPA estimates)	Total amount of Requested Associated Program Support (# of sites * per site cost)
Field Work	No			
Lab work - selected analyses				
- Water Chemistry	No			
- Soil Analysis	Yes	10	1025	\$10,250
- Plant Vouchers and Unknowns	No			
- Microcystin	Yes	10	50	\$500
Total Associated Program Support Funding Request				\$15,250

cc:

Sarah Lehmann

Gregg Serenbetz