

# **Animal Health and Disease Research Program**

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***FY 2011 Formula Grant Opportunity (FGO)- Initial***

**APPLICATION DEADLINE:     January 13, 2011**



**U.S. Department of Agriculture  
National Institute of Food and Agriculture**

**NATIONAL INSTITUTE OF FOOD AND AGRICULTURE;  
U.S. DEPARTMENT OF AGRICULTURE**

**ANIMAL HEALTH AND DISEASE RESEARCH PROGRAM**

**INITIAL ANNOUNCEMENT**

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE:** This program is listed in the Catalog of Federal Domestic Assistance under 10.207.

**DATES:** Applications must be received by close of business (COB) on January 13, 2011 at 5:00 p.m. Eastern Time.

**EXECUTIVE SUMMARY:** The National Institute of Food and Agriculture (NIFA) requests applications for the FY 2011 formula grants authorized under section 1433 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) for the Animal Health and Disease Research (AHDR) Program. These grants are used to assist all states in carrying out a program of research activities designed to (1) to meet expenses of conducting animal health and disease research, publishing and disseminating the results of such research, and contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 39–40, as amended; 7 U.S.C. 331); (2) for administrative planning and direction; and (3) to purchase equipment and supplies necessary for conducting such research. NIFA anticipates the amount available for this program in FY 2011 is approximately \$2,735,240.

This notice identifies the objectives for AHDR projects, the eligibility criteria for AHDR projects and applicants, and the application forms and associated instructions needed to apply for a FY 2011 AHDR formula grant allocation. NIFA additionally requests stakeholder input from any interested party for use in the development of the next Formula Grant Opportunity (FGO) for this program. Please send questions or comments to Formula Grants Branch of the Office of Grants and Financial Management, NIFA/USDA, Stop 2271, 1400 Independence Avenue, SW, Washington, DC 20250-2271; fax: (202) 690-3002; or e-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov).

## What's New for FY 2011?

The FY 2011 formula grant awards will be disbursed through the Automated Standard Application for Payment System (ASAP) operated by the Department of Treasury's Financial Management Service. All FY 2009 and prior formula grant awards will continue to be disbursed via the Payment Management System (PMS) operated by the Department of Health and Human Services (DHHS). Applicants can receive instructions on how to access ASAP and how to inform NIFA, Financial Operations Division(FOD) of their account number to use to make disbursements, by emailing the ASAP Customer Service email box at [ASAPCustomerService@nifa.usda.gov](mailto:ASAPCustomerService@nifa.usda.gov).

- There will be two submissions in FY 2011:
  - Initial – For an estimated amount (see Appendix A) based on the FY 2010 allocation amounts.
  - Final – Based on the actual appropriated amount for FY 2011 and actual formula distribution for FY 2011. The tentative release date is within 45 days of the enactment of the FY 2011 Appropriations Act.
- No Standard Form (SF) 424-A, Budget Information for Non-Construction Programs, and no Budget Narrative Attachment Form are required for either the initial or final submissions for FY 2011.
- The Application Package for the initial or final submissions will include:
  - Application for Federal Assistance, Standard Form (SF) 424(Research and Related (R&R)) (Required)
  - NIFA Supplemental Information Form (Required)
  - NIFA will use the Supplemental Information Form to capture all necessary attachments for this initial submission of the SF 424 R&R application (i.e., matching waiver requests, Key Contacts (via pdf attachment)).
  - NIFA will **NOT** be using the Key Contacts Form. That information will be captured through the SF 424 R&R. Please refer to instructions in this FGO for more detailed information. NIFA will be capturing the information for three key contacts, and each organization will determine who those individuals are.
    - Block 5 should reflect the person responsible for fiscal/financial issues.
    - The AOR must have the authority to represent and bind the organization for any agreement.
    - The name of the Project Director will be reflected on the NIFA-2009, and it is suggested that the Research Director would be an appropriate person.
  - NIFA plans to issue all FY-2011 Formula Grants on the NIFA-2009 form. This form is also used to issue non-formula grants.
- Effective October 1, 2010, formula grantees are not required to submit a quarterly SF-425, (previously SF 272) Federal Financial Report to NIFA. Formula grantees ARE required to submit an annual SF 425 (previously SF-269), Financial Status Report.

However, formula grantees ARE required to adhere to the Department of Health and Human Services, Payment Management System quarterly reporting requirements (SF 425) for FY 2009 and prior year funds.

- On October 1, 2009, all authorities of the Cooperative State Research, Education, and Extension Service (CSREES) were transferred to the National Institute of Food and Agriculture per section 7511 of the Food, Conservation, and Energy Act of 2008 (Pub. L. 110-246).

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## **PART I—FUNDING OPPORTUNITY DESCRIPTION**

### **A. Legislative Authority and Background**

Section 1433 of the National Agricultural Research, Extension, and Teaching Policy Act Of 1977, enacted as Title XIV of Public Law 95–113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977 is also known as the Animal Health and Disease Research (AHDR) Program. This law provides the basis for Federal funding for research activities into animal health and diseases at accredited State schools or colleges of veterinary medicine or agricultural experiment stations that conduct animal health and disease research.

States are eligible for funds appropriated under this Act according to the following formula: One half of the State allotment will be distributed among the States in the proportion that the value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in each State bears to the total value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in all the States, based on the most current inventory of all cattle, sheep, swine, horses, poultry, and commercial aquaculture species published by the Department of Agriculture. The remainder of the State allotment will be distributed among the States in the proportion that the animal health research capacity of the eligible institutions in each State bears to the total animal health research capacity in all the States, as determined by NIFA.

In FY 2007, the former CSREES conducted a Grants.gov pilot for the solicitation of one of the CSREES Formula Programs, the McIntire-Stennis Cooperative Forestry Program. Under this pilot the institutions were required to submit a SF-424M Application (Cover Page Form), CSREES Supplemental Form, and Key Contacts Form through Grants.gov. Please note that this application package replaced the forms/information solicited each year by the CSREES Office of Extramural Programs and did not duplicate the information being collected under the Current Research Information System (CRIS). CSREES implemented this process for all CSREES Formula Programs in FYs 2008 and 2009 thereafter by NIFA due to the mandated reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA). Under this law, the U.S. Office of Management and Budget (OMB) was required to develop and maintain a public searchable data base for all Federal financial assistance awards, and Federal agencies are required to report specific data elements which will be collected via these applications (e.g., Dun and Bradstreet data Universal Numbering (D-U-N-S®) numbers, legal names of institutions, legal addresses, and congressional districts). OMB makes this information available at <http://www.usaspending.gov>.

In FY 2011, although NIFA will require both an initial submission (based on the estimated FY 2010 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act) and a final submission (based on the actual appropriated amount for FY 2011 and the actual formula distribution for FY 2011), NIFA will not require the following forms for FY 2011 for either submission:

- Standard Form (SF) 424-A, Budget Information for Non-Construction Programs
- Budget Narrative Attachment Form

Please note that the submission of this application package does not change the following:

- Delegated authorities of the Dean or Director;
- How funds are managed at your institution; and
- Indirect costs and tuition remission are unallowable costs.

Guidelines for the administration of this program are published as The Administrative Manual for the Continuing Animal Health and Disease Research Program, which may be accessed at <http://www.nifa.usda.gov/business/awards/formula/manuals/animalhealth.pdf>. Please note that any instructions in this FGO supersede policies and procedures identified in this manual. In 2011, NIFA will be revising this manual and promulgate administrative provisions for this program through rulemaking which includes a public comment period.

The 2010 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act (Pub. L. 111-80) provides \$2,735,240 for the AHDR Program under NARETPA section 1433.

## **B. Purpose and Priorities**

The purpose of this funding is to increase animal health and disease research activities at accredited State veterinary schools or colleges or agricultural experiment stations that conduct animal health and disease research.

## **PART II—AWARD INFORMATION**

### **A. Available Funding**

Subject to any 2011 Continuing Resolutions, funds will be distributed to the institutions on a quarterly basis and according to the amounts allocated in FY 2010. Adjustments will be made to the allocations for FY 2011 once the FY 2011 appropriations are finalized. See Appendix A for the specific allocation.

AHDR funds must be fully expended in the fiscal year of appropriation; no waiver requests may be considered and approved as no carryover authority is provided in the authorizing legislation.

### **B. Types of Submission**

In FY 2011, pre-award form submissions must be submitted to the AHDR Program as a “new” application on the [www.grants.gov](http://www.grants.gov) website.

Specific project details and pertinent information should be entered in the Current Research Information System (CRIS) as in prior years. CRIS is the U.S. Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State land-grant colleges and universities,

State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part VI.C. for specific CRIS requirements.

### **C. Project Types**

Applicants should request funding at the same level as stated in Appendix A to this announcement. NIFA will fund the AHDR program in FY 2011 for approved AHDR projects.

## **PART III—ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

Applications may be submitted by accredited State veterinary schools or colleges or agricultural experiment stations that conduct animal health and disease research in accordance with NARETPA section 1433(c): Auburn University, Agricultural Experiment Station; Auburn University, School of Veterinary Medicine; Tuskegee University, School of Veterinary Medicine; University of Alaska, Agricultural Experiment Station; University of Arizona, Agricultural Experiment Station; University of Arkansas, Agricultural Experiment Station; University of California-Oakland, Agricultural Experiment Station; University of California-Davis, School of Veterinary Medicine; Colorado State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Connecticut-Storrs, Agricultural Experiment Station; University of Delaware, Agricultural Experiment Station; University of Florida, Agricultural Experiment Station; University of Florida, College of Veterinary Medicine; University of Georgia, Agricultural Experiment Station; University of Georgia, College of Veterinary Medicine; University of Hawaii, Agricultural Experiment Station; University of Idaho, Agricultural Experiment Station; University of Illinois, Agricultural Experiment Station and College of Veterinary Medicine; Purdue University, Agricultural Experiment Station and College of Veterinary Medicine; Iowa State University, Agricultural and Home Economics Experiment Station; Iowa State University, College of Veterinary Medicine; Kansas State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Kentucky, Agricultural Experiment Station; Louisiana State University, Agricultural Experiment Station; Louisiana State University, College of Veterinary Medicine; University of Maine, Agricultural Experiment Station; University of Maryland, Agricultural Experiment Station; University of Massachusetts, Agricultural Experiment Station; Tufts University, School of Veterinary Medicine; Michigan State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Minnesota, Agricultural Experiment Station; University of Minnesota, College of Veterinary Medicine; Mississippi State University, Agricultural and Forestry Experiment Station and College of Veterinary Medicine; University of Missouri, Agricultural Experiment Station; University of Missouri, College of Veterinary Medicine; Montana State University, Agricultural Experiment Station; University of Nebraska, Agricultural Experiment Station; University of Nevada, Agricultural Experiment Station; University of New Hampshire, Agricultural Experiment Station; Rutgers University, Agricultural Experiment Station; New Mexico State University, Agricultural Experiment Station; Cornell University, Agricultural Experiment Station; Cornell University, College of Veterinary Medicine; North Carolina State University, Agricultural Experiment Station; North Carolina State University, College of

Veterinary Medicine; North Dakota State University, Agricultural Experiment Station; Ohio State University, Ohio Agricultural Research & Development Center; Ohio State University, College of Veterinary Medicine; Oklahoma State University, Agricultural Experiment Station and College of Veterinary Medicine; Oregon State University, Agricultural Experiment Station; Pennsylvania State University, Agricultural Experiment Station; University of Pennsylvania, College of Veterinary Medicine; University of Puerto Rico, Agricultural Experiment Station; University of Rhode Island, Agricultural Experiment Station; Clemson University, Agricultural Experiment Station; South Dakota State University, Agricultural Experiment Station; University of Tennessee, Agricultural Experiment Station; University of Tennessee, College of Veterinary Medicine; Texas A&M University, Agricultural Experiment Station and College of Veterinary Medicine; Utah State University, Agricultural Experiment Station; University of Vermont, Agricultural Experiment Station; Virginia Polytechnic Institute and State University, Agricultural Experiment Station and College of Veterinary Medicine; Washington State University, Agricultural Experiment Station and College of Veterinary Medicine; West Virginia University, Agricultural and Forestry Experiment Station; University of Wisconsin, Agricultural Experiment Station and College of Veterinary Medicine; and University of Wyoming, Agricultural Experiment Station.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project or activity.

## **B. Cost Sharing or Matching**

7 U.S.C. 3200 provides that “No funds in excess of \$100,000 ... shall be paid by the Federal Government to any State under this subchapter during any fiscal year in excess of the amount from non-Federal sources made available to and budgeted for expenditure by eligible institutions in the State during the same fiscal year for animal health and disease research. The Secretary is authorized to make such payments in excess of \$100,000 on the certificate of the appropriate official of the eligible institution having charge of the animal health and disease research for which such payments are to be made. If any eligible institution certified for receipt of matching funds fails to make available and budget for expenditure for animal health and disease research in any fiscal year sums at least equal to the amount for which it is certified, the difference between the Federal matching funds available and the funds made available to and budgeted for expenditure by the eligible institution shall be reapportioned by the Secretary among other eligible institutions of the same State, if there are any which qualify therefor, and, if there are none, the Secretary shall reapportion such difference among the other States.”

## **PART IV—SUBMISSION INFORMATION**

### **A. Address to Request Formula Grants Opportunity Package**

Only electronic applications may be submitted via Grants.gov to NIFA in response to this FGO.

Prior to preparing an application, it is suggested that the Dean of the School or College of Veterinary Medicine (Dean) or Director of the Agricultural Experiment Station (Director) first

contact an Authorized Representative (AR) to determine if the organization is prepared to submit electronic applications through Grants.gov. If the organization is not prepared, the AR should see [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) for steps for preparing to submit applications through Grants.gov.

The Dean or Director, or his or her designee, also must contact the institution's AR in order to be granted permission for the submission of applications through Grants.gov. Once that permission is granted, the Dean or Director, or his or her designee, can obtain a login and password.

The steps to access application materials are as follows:

1. In order to access, complete and submit applications, applicants must download and install a version of Adobe Reader compatible with Grants.gov. This software is essential to apply for NIFA Federal assistance awards. For basic system requirements and download instructions, please see [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). To verify that you have a compatible version of Adobe Reader, Grants.gov established a test package that will assist you in making that determination. Grants.gov Adobe Versioning Test Package: <http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp>.
2. The application package must be obtained via Grants.gov, go to <http://www.grants.gov>, click on "Apply for Grants" in the left-hand column, click on "Step 1: Download a Grant Application Package and Instructions," enter the funding opportunity number "USDA-NIFA-AHFP-003390" in the appropriate box and click "Download Package." From the search results, click "Download" to access the application package.

**If assistance is needed to access the application page** (e.g., downloading or navigating PDF forms, using Adobe with a Macintosh computer), refer to the resources available on the Grants.gov Web site first (<http://www.grants.gov>). Grants.gov assistance is also available as follows:

Grants.gov customer support  
Toll Free: 1-800-518-4726  
Business Hours: 24 hours a day, 7 days a week. Closed on [Federal Holidays](#).  
Email: [support@grants.gov](mailto:support@grants.gov)

See <http://www.nifa.usda.gov/funding/electronic.html> for additional resources for applying electronically.

## **B. Content and Form of Formula Grants Opportunity Package Submission**

### **General**

Each grant application must contain an "Application for Federal Assistance," Form SF-424(R&R) and the NIFA Supplemental Information Form. These forms should be completed in accordance with the instructions accompanying the form on the grants.gov website. The

following are the government-wide instructions followed by *agency specific guidelines*, if any, for each data element for each form:

## Grant Application Package

Verify that the information shown corresponds to the grant for which the applicant wishes to apply. Grants.gov will auto-populate the following information:

- Opportunity Title
- Offering Agency
- Catalog of Federal Domestic Assistance (CFDA) Number
- CFDA Description
- Opportunity Number
- Competition ID
- Opportunity Open Date
- Opportunity Close Date
- Agency Contact

Enter a name for the application in the \* ***Application Filing Name*** field. This field is required. This name is for use solely by the applicant for you to track through the Grants.gov submission process. It is not used by the receiving agency.

Open and complete all of the documents listed in the “Mandatory Documents” box. Complete the SF-424 first. Data entered on the SF-424 will populate other mandatory and optional forms where possible.

To access a form or document, click the form/document name to select it, and then click the => button. This will move the form/document to the “Mandatory Documents for Submission” box. To open an item to complete it, simply click on it to select the item and then click on the “Open Form” button. To remove a form/document from the “Mandatory Documents for Submission” box, click the form/document name to select it, and then click the <= button. This will return the form/document to the “Mandatory Documents” or “Optional Documents” box.

### **1. SF424 (R&R) - Cover Page**

- **Open and complete document SF424 (R&R) first** as this page will pre-populate information on pages where the same information is requested;
  - **Box 1** – Type of Submission:
    - Pre-application – unless specified in a program announcement this field is NOT used by NIFA.
    - *Application* – check application (all applications are new; the type of application – New, Resubmission, Renewal or Revision is collected and identified in box 8).
  - *Changed/Corrected Application* – N/A
  - **Box 2** – Date Submitted and Applicant Identifier
    - Leave the “Date Submitted” box blank.

- Applicant Identifier – If you wish to use a unique identification number for your own purpose, enter it here. Applicant use only. *Use or leave blank.*
- **Box 3** – Date Received by State and State Application Identifier
  - Enter the date received by the State, if applicable. Enter in format mm/dd/yyyy. State use only. *Use or leave blank.* Enter the identifier assigned by the State, if applicable. State use only. *Use or leave blank.*
- **Box 4a** - Federal Identifier
  - Enter the number assigned to your organization by the Federal agency. This field is for use when an institution has its own system for tracking application. This field allows the applicant to enter its application identifier on the application. *Leave blank.*
- **Box 4b** Agency Routing Number
  - To be entered only if agency specific instructions indicate. *Leave blank.*
- **Box 5** – Applicant Information
  - Organizational DUNS Number: Enter the Organization’s D-U-N-S number (received from D&B) or the D-U-N-S +4 number (if available);  
 Legal Name: Enter the name of the institution.  
 Address: Enter complete address of applicant. Enter the institution’s mailing address.  
 Person to be contacted on matters involving this application – For the person to contact on matters related to this submission: name, organizational affiliation (if affiliated with an organization other than the applicant organization, e-mail address, phone number, and fax number. *Enter the contact information for the person responsible for fiscal/financial issues.*
- **Box 6** – Employer Identification: Enter either the Employer Identification Number (EIN) or Taxpayer Identification Number (TIN) as assigned by the Internal Revenue Service.
- **Box 7** – Type of Applicant. From the drop down menu select the appropriate code letter and enter in the space provided. Code letters **O, P, Q, R, S, T, U, V, and W** are not applicable.

- A. State Government
- B. County Government
- C. City or Township Government
- D. Special District Government
- E. Regional Organization
- F. U.S. Territory
- G. Independent School District
- H. Public/State Controlled Institution of Higher Education
- I. Indian/Native American Tribal Government (Federally Recognized)

- J.** Indian/Native American Tribal Government (Other than Federally Recognized)
- K.** Indian/Native American Tribally Designated Organization
- L.** Public/Indian Housing Authority
- M.** Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)
- N.** Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)
- X.** Other (specify in accordance with agency instructions)

- **Box 8 – Type of Application**
  - New - application being submitted for the first time or is considered an “initial” application. Check new for the initial FGO submission.
  - Resubmission – Select “Resubmission” when your institution has filed an accepted “New/Initial” or “Update” package and now desires to revise any of the information on those applications, such as its key contact personnel or matching funds available. Any matching waiver requests would be attached to this package, as well.
  - Renewal - application requesting continued funding (*previously known as competing continuation*) *N/A Leave Blank*
  - Continuation - non-competing application (*previously known as Progress Report*) - *N/A Leave Blank*
  - Revision – Select “Revision” if your institution discovers an error or omission in the “New/Initial”, or “Resubmission” application, or if you are requested to do so by NIFA as the result of its review of the application. Leave Blank
  
- **Box 8. A-E: N/A**
  - A.** Increase Award
  - B.** Decrease Award
  - C.** Increase duration
  - D.** Decrease duration
  - E.** Other - provide written explanation, i.e., any other change in the terms and conditions of the existing award
- **Box 9** - Name of Federal Agency - will be pre-filled
- **Box 10** - Do not complete Catalog of Federal Domestic Assistance. Number (CFDA) - will be pre-filled or left blank.
- **Box 11** - Descriptive Title of Applicant’s Project - fill in with the Project Title
- **Box 12** - Enter proposed start and end dates – use format: MM/DD/YYYY. *Enter 10/1/2010- 09/30/2011.*
- **Box 13** - Congressional district of the Applicant Organization - Enter Applicant: Applicant-Enter the applicant’s congressional district. Enter the

congressional district. *Enter the Congressional district where the main campus is located.*

- **Box 14** - Project Director/Principal Investigator – complete all boxes in this section. Note that the nine digit zip code is required. It is suggested that the name and information of the Research Director be included in this box. This name will appear on the official document that NIFA anticipates using for FY 2011.
- **Box 15** - Estimated Project Funding –
  - **15.a**-Enter the amount requested from the Federal agency. If the agency has specified an amount, enter that amount. *Enter your institution's actual FY 2010 allocation as listed in Appendix A to this announcement.*
  - **15.b.** Total Non-Federal Funds Requested: Enter the amount of funds from all other sources (i.e., match).
  - **15.c.** Total Federal & Non-Federal Funds: Enter total amount of Federal funds requested plus the non-federal (i.e. match) amounts.
  - **15.d.** Estimated Program Income: Enter amount of estimated program income to be generated from this project. Leave Blank
- **Box 16** - *Select “Program is not covered by E.O. 12372”.*
- **Box 17** - **By signing this application, I certify (1) to the statements contained in this list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any Administrative and National Policy requirements (as identified under Part VI, B) if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**  
*Application is to be signed by the State Research Director or 1890 Administrator, or his or her designee, of the applicant organization. The required assurances designated here includes the institutions compliance with all Federal laws and regulations associated with receipt of Federal Domestic Assistance for this program, including the matching certification and certification regarding lobbying activities. By hitting the submit button of the application, the State Research Director or 1890 Administrator, or his or her designee, certifies to the above.*
- **Be sure to click on the “I agree” button.** Although this box is for the AO to certify, if this box is not checked, an error message will result.
- **Box 18** - If applicable, attach the SFLLL (Standard Form LLL, Disclosure of Lobbying Activities). N/A
- **Box 19** - Authorized Organizational Representative (AR) - Also known as Signing Official. To be signed by the State Extension Director or 1890 Administrator, or his or her designee, of the applicant organization. Enter

the name, title, phone number, e-mail address, and fax number of the State Extension Director or 1890 Administrator, or his or her designee.

- **Box 20** - Pre-Applications - Unless specifically noted in a program announcement, do not use pre-applications - *leave blank*

## **2. NIFA Supplemental Information Form (Required)**

1. **Funding Opportunity Name:** *No entry required. This is pre-populated from the opportunity package.*  
**Funding Opportunity Number:** *No entry required. This is pre-populated the opportunity package.*
2. **Program Code Name:** Enter the name of the program to which you are applying exactly as instructed in the full announcement. This field is required. *Enter “Animal Health Formula.”*  
**Program Code:** Enter the program code to which you are applying exactly as instructed in the full announcement. This code is used to route proposals within the agency. *Enter “AHF.”*
3. **Type of Applicant:** *No entry required. This will be pre-populated from your entry on the application cover sheet.*
4. **Additional Applicant Types:** Select one of the following options if it is applicable to the legal applicant of this application. *If you are a Land-Grant Institution, select the appropriate institution type from the drop down menu in this block. If you are NOT a Land-Grant Institution, skip this block.*
5. **Supplemental Applicant Types:** *Please check all that apply.*
6. **DHHS Account Information:** *This information will no longer be utilized as payments will be made via the Automated Standard Application System (ASAP) operated by the Department of Treasury’s Financial Management Service. Provide your institutions ASAP recipient ID number.*
7. **Key Words:** Enter the most relevant key words which describe the proposed project. This field is required. *Enter “Not applicable.”*
8. **Conflict of Interest List:** *Do not attach a conflict of interest list. NIFA will use this field to capture all necessary attachments for this submission on the initial SF 424 R&R application (i.e., matching waiver requests, key contacts (via pdf attachment)).*

## **Saving the Application**

The application package can only be saved from the Grant Application Package screen. It is recommended that after the applicant completes each form/document that they click on the “Close Form” button to close the form and then save the application package by clicking on the

“Save” button at the top of the Grant Application Package Screen. It is important to note that the application package will be saved to the last active directory on the applicant’s computer. Therefore, the applicant should save the application package to their hard drive where it can be easily accessed. The applicant may save their application package at any time and should save the application package with the same file name each time. An error message will occur each time that the applicant saves the form before completing all of the mandatory fields on the mandatory forms or the optional forms are moved to the Optional Completed Documents for Submission column on the application package. The applicant may ignore this warning. This warning will not appear when all of the mandatory fields have been completed on all of the forms/documents in the application package.

### **Check Package for Errors**

To initiate the Grants.gov edit check process, simply click on the “Check Package for Errors” button at the top of the screen. This process will identify all mandatory fields that have not been completed by the applicant. These errors will be displayed one at a time. No checks against NIFA business rules will take place at this time.

### **Submitting the Application**

The AR must open the browser, open the application and then press the Submit button. To submit the application:

1. Close all open browser(s) and running applications.
2. Open the internet browser.
3. Navigate to the physical location where the application file is located. Select the application to open.
4. The internet browser will open the application. This may take a few moments. Please be patient.
5. Once the application is completely open, click the **Save and Submit** button. (The Save and Submit button will not become active until all mandatory documents have been properly completed and there are no errors in the application.) You are required to save the application again at this point in order to begin the application submission process.
6. Click **Save and Submit**.
7. A dialog box will appear and you will need to enter your Grants.gov username and password.
8. Lastly, click **Login**.

Only the AR has the authority and user rights to **Save and Submit** an application to Grants.gov. Additional submission tips may be found at the Grants.gov website.

Grants.gov Submission Tips: [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp)

### **C. Certifications**

**Important Note:** By signing the application, Form SF-424(R&R) the applicant is providing the required assurances noted below:

Certifications required by 7 CFR Part 3017, regarding Debarment and Suspension, 7 CFR 3021, Drug-Free Workplace, and 7 CFR Part 3018, regarding Lobbying, and compliance with the provisions of Administrative Manual for the Continuing AHDR Program, including 7 CFR 3015, Uniform Federal Assistance Regulations; 7 CFR 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR 3016, Uniform Administration Requirements for Grants and Cooperative Agreements to States and Local Governments; and OMB Circulars A-21, Cost Principles for Educational Institutions (now codified at 2 CFR Part 220), and A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations (now codified at 2 CFR Part 215). If the project will involve a subcontractor or consultant, the subcontractor and/or consultant should submit a Form AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions, to the grantee organization for retention in their records. This form should not be submitted to USDA.

#### **D. Submission Dates and Times**

The application package containing an “Application for Federal Assistance,” Form SF-424 (R&R) and the NIFA Supplemental Information Form should be submitted online at the [www.grants.gov](http://www.grants.gov) website by COB on January 13, 2011 (5:00 p.m. Eastern Time).

The receipt of all applications will be acknowledged by e-mail. Therefore, applicants are strongly encouraged to provide accurate e-mail addresses via the [www.grants.gov](http://www.grants.gov) website.

**If an applicant has not received an acknowledgment within 60 days of the submission, the applicant must contact the Agency contact (see Part VII) immediately and ask for the application number assigned to the application. Failure to do so may result in the application not being processed and funding being held.** Once the application has been assigned an application number, this number should be cited on all future correspondence.

#### **E. Funding Restrictions**

##### **(1) Approved NIFA AHDR Projects**

AHDR Federal funding must be used on AHDR approved projects.

##### **(2) Matching**

7 U.S.C. 3200 provides that “No funds in excess of \$100,000 ... shall be paid by the Federal Government to any State under this subchapter during any fiscal year in excess of the amount from non-Federal sources made available to and budgeted for expenditure by eligible institutions in the State during the same fiscal year for animal health and disease research. The Secretary is authorized to make such payments in excess of \$100,000 on the certificate of the appropriate official of the eligible institution having charge of the animal health and disease research for which such payments are to be made. If any eligible institution certified for receipt of matching

funds fails to make available and budget for expenditure for animal health and disease research in any fiscal year sums at least equal to the amount for which it is certified, the difference between the Federal matching funds available and the funds made available to and budgeted for expenditure by the eligible institution shall be reapportioned by the Secretary among other eligible institutions of the same State, if there are any which qualify therefore, and, if there are none, the Secretary shall reapportion such difference among the other States.”

### **(3) Indirect Costs and Tuition Remission**

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as AHDR formula grant expenditures.

### **F. Other Submission Requirements**

Program information for the AHDR Program should be submitted to the CRIS office as in previous years. See the website at: <http://cwf.uvm.edu/cris>. Required submissions include:

- 1) Program of Research
- 2) Project Listing\*
- 3) Work Unit Description (AD-416)\*
- 4) Project Classification (AD-417)\*
- 5) Assurance Form (NIFA-2008)\*
- 6) Accomplishments Report (AD-421)
- 7) Financial and Staff Support Report (AD-419)

\*Submitted at program initiation.

## **PART V—SUBMISSION REVIEW REQUIREMENTS**

The National Program Leader and the OGF M Formula Grants Branch will be reviewing submitted documents to determine if all program, financial, and administrative requirements have been met and are current.

## **PART VI—AWARD ADMINISTRATION**

### **A. General**

The CRIS Office will notify the OGF M Formula Grants Branch regarding institutions submitting a Program of Research, which has subsequently been approved by NIFA for the current fiscal year. Once all program and administrative requirements have been met by the eligible institution, funding will be released on a quarterly basis.

## **B. Administrative and National Policy Requirements**

Several Federal statutes and regulations apply to grant applications considered for review and to project grants awarded under this program. These include, but are not limited to:

7 CFR Part 1, subpart A — USDA implementation of the Freedom of Information Act.

7 CFR Part 3 — USDA implementation of OMB Circular No. A-129 regarding debt collection.

7 CFR Part 15, subpart A — USDA implementation of Title VI of the Civil Rights Act of 1964, as amended.

7 CFR Part 331 and 9 CFR Part 121 — USDA implementation of the Agricultural Bioterrorism Protection Act of 2002.

7 CFR Part 3015 — USDA Uniform Federal Assistance Regulations, implementing OMB directives (i.e., OMB Circular Nos. A-21 and A-122, now codified at 2 CFR Parts 220 and 230) and incorporating provisions of 31 U.S.C. 6301-6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Pub. L. No. 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance.

7 CFR Part 3017 — USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement).

7 CFR Part 3018 — USDA implementation of Restrictions on Lobbying.

7 CFR Part 3019 — USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations (now codified at 2 CFR 215).

7 CFR Part 3021—USDA implementation of Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).

7 CFR Part 3052 — USDA implementation of OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations.

7 CFR Part 3407 — NIFA procedures to implement the National Environmental Policy Act of 1969, as amended.

29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute) —prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.

35 U.S.C. 200 et seq. —Bayh Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

### **C. Expected Program Outputs and Reporting Requirements**

Institutions are expected to submit an annual Program of Research, a listing of all approved AHDR projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each AHDR project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421, Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1, 2011 for the preceding calendar year. Reports from institutions reporting on a fiscal year shall be submitted by February 1, 2011 for the preceding fiscal year.

An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Funding and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and are to be submitted by February 1, 2011.

Financial reporting via the SF-425, Federal Financial Report for FY 2011 is due to the Formula Grants Branch of OGF on December 31, 2011, for the period October 1, 2010, through September 30, 2011, and annually thereafter until the award is closed out. AHDR funds must be fully expended in the fiscal year of appropriation; no waiver requests may be considered and approved as no carryover authority is provided in the authorizing legislation

### **PART VII—AGENCY CONTACT**

For questions regarding AHDR projects and the AHDR Program, please contact: Dr. Gary Sherman, National Program Leader, Veterinary Science, NIFA/USDA, Stop 2220, 1400 Independence Avenue, SW, Washington, DC 20250-2220; Telephone: (202) 401-4952; Fax: (202) 401-6156; E-mail: [gsherman@nifa.usda.gov](mailto:gsherman@nifa.usda.gov).

For questions relating to the completion of the grants.gov forms, please contact: Brenda Barnett, Office of Grants and Financial Management, NIFA/USDA, Stop 2271, 1400 Independence Avenue, SW, Washington, DC 20250-2271; Telephone: (202) 401-6520; Fax: (202) 690-3002; E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov)

For questions relating to CRIS forms and submissions, please contact the Current Research Information System Office, NIFA/USDA, Stop 2270, 1400 Independence Avenue, SW, Washington, DC 20250-2250; Telephone: (202) 690-0009; Fax: (202) 690-0634; E-mail: [cris@nifa.usda.gov](mailto:cris@nifa.usda.gov).

If help is needed with the Grants.gov registration process for the applicant organization, downloading or navigating PDF forms, using Adobe Reader with a Macintosh computer or with the technical aspects of submitting to the Grants.gov system, check the resources available on the Grants.gov Web site first (<http://www.grants.gov>).

Grants.gov assistance is also available as follows:

Grants.gov customer support  
Toll Free: 1-800-518-4726  
Business Hours: 24 hours a day, 7 days a week. Closed on [Federal Holidays](#).  
Email: [support@grants.gov](mailto:support@grants.gov)

If the Authorized Representative (AR) has not received a confirmation message from Grants.gov within 48 hours of submission of an application, please contact Grants.gov customer support.

When Grants.gov is contacted, a ticket number is issued to track the response. The applicant should maintain the ticket number as documentation of electronic issues associated with the application.

Grants.gov Help Desk Operations Process is described below:

Tier 1: Grants.gov Contact Center Operator

- Handles the initial contact and attempts to resolve the call.
- If not, files a research request (escalation).

Tier 2: Research Analyst

- Escalations go to the research analyst who does further research on the issue.
- Unable to resolve, issue escalated to Grants.gov Program management Office.

Tier 3: Grants.gov PMO

- Research Analyst works with PMO to resolve the issue.
- Typical escalations: Policy questions/System bugs/Training or Meeting Requests.

**Appendix A  
Animal Health**

**Authorized Under Public Law 95-113, Section 1433, September 29, 1977, As Amended  
FY 2011 Initial FGO**

STATE	INSTITUTION	Grant Number	Payee Code	FY 2011 SECTION 1433 FORMULA FUNDS	MATCHING OFFSET REQUIRED
ALABAMA	AL-Auburn University, Agricultural Experiment Station	2011-36100-06001	6001R	\$ 17,894	
	AL-Auburn University, School of Veterinary Medicine	2011-36100-01401	1401R	\$ 44,553	
	AL-Tuskegee University, School of Veterinary Medicine	2011-36100-08918	8918R	\$ 391	
ALASKA	AK-University of Alaska, Agricultural Experiment Station	2011-36100-06002	6002R	\$ -	
ARIZONA	AZ-University of Arizona, Agricultural Experiment Station	2011-36100-06004	6004R	\$ 30,848	
ARKANSAS	AR-University of Arkansas, Agricultural Experiment Station	2011-36100-06005	6005R	\$ 55,735	
CALIFORNIA	CA-University of California-Oakland, Agricultural Experiment Station	2011-36100-06006	6006R	\$ 43,573	25,855
	CA-University of California-Davis, School of Veterinary Medicine CO-Colorado State Univ., Agric. Exper. Station & College of Vet. Medicine	2011-36100-00629	0629R	\$ 202,351	120,069
COLORADO	2011-36100-06008	6008R	\$ 170,596	70,596	
CONNECTICUT	CT-University of Connecticut-Storrs, Agricultural Experiment Station	2011-36100-06009	6009R	\$ 18,512	
DELAWARE	DE-University of Delaware, Agricultural Experiment Station	2011-36100-06010	6010R	\$ 9,930	
FLORIDA	FL-University of Florida, Agricultural Experiment Station	2011-36100-06012	6012R	\$ 44,225	
	FL-University of Florida, College of Veterinary Medicine	2011-36100-06921	6291R	\$ 1,171	
GEORGIA	GA-University of Georgia, Agricultural Experiment Station	2011-36100-06013	6013R	\$ 10,232	
	GA-University of Georgia, College of Veterinary Medicine	2011-36100-01304	1304R	\$ 69,291	
HAWAII	HI-University of Hawaii, Agricultural Experiment Station	2011-36100-06015	6015R	\$ 1,733	
IDAHO	ID-University of Idaho, Agricultural Experiment Station	2011-36100-06016	6016R	\$ 40,715	
ILLINOIS	IL-Univ. of Illinois, Agric. Exper. Station & College of Vet. Medicine	2011-36100-06017	6017R	\$ 60,892	
INDIANA	IN-Purdue Univ, Agric. Exper. Station & College of Veterinary Medicine	2011-36100-06018	6018R	\$ 43,195	
	IA-Iowa State University, Agricultural & Home Economics Experiment Station	2011-36100-06019	6019R	\$ 42,736	
IOWA	IA-Iowa State University, College of Veterinary Medicine	2011-36100-01904	1904R	\$ 53,948	
	KS-Kansas State Univ., Agric. Exper. Station & College of Vet. Medicine	2011-36100-06020	6020R	\$ 86,782	
KANSAS	2011-36100-06021	6021R	\$ 45,308		
KENTUCKY	KY-University of Kentucky, Agricultural Experiment Station	2011-36100-06021	6021R	\$ 45,308	
LOUISIANA	LA-Louisiana State University, Agricultural Experiment Station	2011-36100-06022	6022R	\$ 13,727	
	LA-Louisiana State University, College of Veterinary Medicine	2011-36100-06293	6293R	\$ 15,680	
MAINE	ME-University of Maine, Agricultural Experiment Station	2011-36100-06023	6023R	\$ 5,362	
MARYLAND	MD-University of Maryland, Agricultural Experiment Station	2011-36100-06024	6024R	\$ 20,015	
MASSACHUSETTS	MA-University of Massachusetts, Agricultural Experiment Station	2011-36100-06025	6025R	\$ 3,152	
	MA-Tufts University, School of Veterinary Medicine MI-Michigan State Univ., Agricultural Exper. Station & College of Vet. Med.	2011-36100-01423	1423R	\$ 35,735	
MICHIGAN	2011-36100-06026	6026R	\$ 62,260		
MINNESOTA	MN-University of Minnesota, Agricultural Exper. Station	2011-36100-06027	6027R	\$ 32,757	13,995
	MN-Univ. of Minnesota, College of Veterinary Medicine MS-Miss. State Univ., Agricultural and Forestry Exper. Sta. & Coll. of Vet. Med.	2011-36100-06292	6292R	\$ 141,837	60,598
MISSISSIPPI	2011-36100-06028	6028R	\$ 50,061		
MISSOURI	MO-University of Missouri, Agricultural Experiment Station	2011-36100-06029	6029R	\$ 7,812	
	MO-University of Missouri, College of Veterinary Medicine	2011-36100-09607	9607R	\$ 82,332	
MONTANA	MT-Montana State University, Agricultural Experiment Station	2011-36100-06030	6030R	\$ 32,823	
NEBRASKA	NE-University of Nebraska, Agricultural Experiment Station	2011-36100-06031	6031R	\$ 93,449	

<b>NEVADA</b>	NV-University of Nevada, Agricultural Experiment Station	2011-36100-06032	6032R	\$	4,468	
<b>NEW HAMPSHIRE</b>	NH-University of New Hampshire, Agricultural Exper. Station	2011-36100-06033	6033R	\$	2,927	
<b>NEW JERSEY</b>	NJ-Rutgers University, Agricultural Experiment Station	2011-36100-06034	6034R	\$	8,131	
<b>NEW MEXICO</b>	NM-New Mexico State University, Agricultural Exper. Station	2011-36100-06035	6035R	\$	22,112	
<b>NEW YORK</b>	NY-Cornell University, Agricultural Experiment Station	2011-36100-06036	6036R	\$	16,378	1,154
	NY-Cornell University, College of Veterinary Medicine	2011-36100-03618	3618R	\$	91,199	6,423
<b>NORTH CAROLINA</b>	NC-North Carolina State University, Agricultural Experiment Station	2011-36100-06037	6037R	\$	28,348	2,236
	NC-North Carolina State University, College of Veterinary Medicine	2011-36100-03717	3717R	\$	80,215	6,327
<b>NORTH DAKOTA</b>	ND-North Dakota State University, Agricultural Experiment Station	2011-36100-06038	6038R	\$	19,073	
<b>OHIO</b>	OH-Ohio State University, Ohio Agricultural Research & Development Center	2011-36100-06039	6039R	\$	19,238	
	OH-Ohio State University, College of Veterinary Medicine	2011-36100-06083	6083R	\$	27,334	
	OK-Oklahoma State Univ., Agric. Exper. Station and College of Vet. Med.	2011-36100-06040	6040R	\$	67,354	
<b>OKLAHOMA</b>						
<b>OREGON</b>	OR-Oregon State University, Agricultural Experiment Station	2011-36100-06041	6597R	\$	35,758	
<b>PENNSYLVANIA</b>	PA-Pennsylvania State University, Agricultural Experiment Station	2011-36100-06042	6042R	\$	54,538	6,420
	PA-University of Pennsylvania, College of Veterinary Medicine	2011-36100-06148	6148R	\$	58,803	6,922
<b>PUERTO RICO</b>	PR-University of Puerto Rico, Agricultural Experiment Station	2011-36100-06093	6093R	\$	7,144	
<b>RHODE ISLAND</b>	RI-University of Rhode Island, Agricultural Experiment Station	2011-36100-06044	6044R	\$	1,688	
<b>SOUTH CAROLINA</b>	SC-Clemson University, Agricultural Experiment Station	2011-36100-06045	6045R	\$	15,065	
<b>SOUTH DAKOTA</b>	SD-South Dakota State University, Agricultural Experiment Station	2011-36100-06046	6046R	\$	34,325	
<b>TENNESSEE</b>	TN-University of Tennessee, Agricultural Experiment Station	2011-36100-06047	6047R	\$	16,845	
	TN-University of Tennessee, College of Veterinary Medicine	2011-36100-06047	6047R	\$	15,899	
	TX-Texas AgriLife Research., Agricultural Experiment Station and College of Vet. Med.	2011-36100-06048	6048R	\$	193,590	93,590
<b>TEXAS (1)</b>						
<b>UTAH</b>	UT-Utah State University, Agricultural Experiment Station	2011-36100-06049	6049R	\$	17,996	
<b>VERMONT</b>	VT-University of Vermont, Agricultural Experiment Station	2011-36100-06050	6050R	\$	6,201	
	VA-VA Polytechnic Institute, Agric. Exper. Station and College of Vet. Med.	2011-36100-06051	6051R	\$	36,050	
<b>VIRGINIA</b>						
<b>WASHINGTON</b>	WA-Washington State University, Agricultural Experiment Station	2011-36100-06053	6053R	\$	3,672	
	WA-Washington State University, College of Veterinary Medicine	2011-36100-05307	5307R	\$	75,305	
	WV-West Virginia University, Agricultural & Forestry Experiment Station	2011-36100-06054	6054R	\$	5,388	
<b>WEST VIRGINIA</b>						
<b>WISCONSIN</b>	WI-University of Wisconsin, Agric. Exper. Station & College of Vet. Med.	2011-36100-06055	6055R	\$	61,384	
<b>WYOMING</b>	WY-University of Wyoming, Agricultural Experiment Station	2011-36100-06056	6056R	\$	17,200	
	Total Payments to States			\$	<b>2,735,240</b>	<b>414,184</b>
	Small Business Set-Aside			\$	70,800	
	Biotech Risk Assessment			\$	25,960	
	Federal Administration			\$	118,000	
	Total Appropriation			\$	<b>2,950,000</b>	