

# Cooperative Extension Programs at 1862 Land-grant Institutions

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**FY 2010 Formula Grant Opportunity (FGO) - Initial**

**APPLICATION DEADLINE: November 30, 2009**



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

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

**COOPERATIVE EXTENSION PROGRAMS AT 1862 LAND-GRANT INSTITUTIONS**

**INITIAL ANNOUNCEMENT**

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE:** This program is listed in the Catalog of Federal Domestic Assistance under 10.500.

**DATES:** Applications must be received by close of business (COB) on November 30, 2009 at 5:00 p.m. Eastern Time.

**EXECUTIVE SUMMARY:** The National Institute of Food and Agriculture (NIFA) requests applications for the FY 2010 formula grants authorized under sections 3(b) and 3(c) of the Smith-Lever Act for cooperative extension programs. These funds are used by institutions eligible to receive funds under the Act of Congress approved July second, eighteen hundred and sixty-two, entitled “An Act donating public lands to the several States and Territories which may provide colleges for the benefit of agriculture and the mechanic arts” (Twelfth Statutes at Large, page five hundred and three) (“1862 Land-grant Institutions”), for the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending or resident in 1862 Land-grant Institutions in the several communities, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects. No portion of these funds may be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in this Act. NIFA anticipates the amount available for this program in FY 2010 is approximately \$265,925,640.

This notice identifies the objectives of the cooperative extension program authorized under sections 3(b) and 3(c) of the Smith-Lever Act, the eligibility criteria for programs and applicants, and the application forms and associated instructions needed to apply for a FY 2010 formula grant authorized under the sections 3(b) and 3(c) of the Smith-Lever Act for cooperative extension programs. 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 Section of the Office of Extramural Programs, NIFA/USDA, Stop 2298, 1400 Independence Avenue, SW, Washington, DC 20250-2298; fax: (202) 690-3002; or e-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov).

## What's New for FY 2010?

- The FY 2010 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 will receive instructions on how to access ASAP and how to inform NIFA, Formula Grant Section, Financial Operations Branch (FGS/FOB) of their account number to use to make disbursements.
- There will be two submissions in FY 2010:
  - Initial – For an estimated amount (see Appendix A) based on the FY 2009 allocation amounts.
  - Final – Based on the actual appropriated amount for FY 2010 and actual formula distribution for FY 2010. The tentative release date is within 45 days of the enactment of the FY 2010 Appropriations Act. The Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2010 (Pub. L. 111-80) was signed October 21, 2009 therefore the final FGO will be released by December 5, 2009.
- 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 2010.
- The Application Package for the initial or final submissions will include:
  - Application for Federal Assistance, Standard Form (SF) 424-M (Mandatory) (Required)
  - NIFA Supplemental Information Form (Required)
  - Key Contacts Form (Required)
- Effective October 1, 2009, formula grantees are required to submit a SF-425, Federal Financial Report, which replaces the SF-272, Federal Cash Transaction Report and the SF-269, Financial Status Report. NIFA will be providing additional guidance on the implementation of the SF-425, Federal Financial Report, within 60 days of this announcement.
- 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**

Sections 3(b) and 3(c) of the Smith-Lever Act provide funding for agricultural extension programs at 1862 Land-grant universities.

States are eligible for funds appropriated under this Act according to the following formula: Out of each annual allocation, each State will be entitled to receive a sum of money equal to the sums available from Federal cooperative extension funds for the fiscal year 1962, and subject to the same requirements as to furnishing of equivalent sums by the State, except that amounts heretofore made available to the Secretary for allotment on the basis of special needs shall continue available for use on the same basis. Further, the University of Guam and the University of the Virgin Islands will receive \$100,000 each in addition to the sums appropriated for the several States of the United States and Puerto Rico under the provisions of sections 3(b) and 3(c) of the Smith-Lever Act. Of the remainder so appropriated for each fiscal year 20 per cent will be paid to the several States in equal proportions, 40 per cent will be paid to the several States in the proportion that the rural population of each bears to the total rural population of the several States as determined by the census, and the balance will be paid to the several States in the proportion that the farm population of each bears to the total farm population of the several States as determined by the census. Any appropriation made under sections 3(b) and 3(c) of the Smith-Lever Act will be allotted in the first and succeeding years on the basis of the decennial census current at the time the appropriation is first made, and as to any increase, on the basis of decennial census current at the time such increase is first appropriated.

In FY 2007, the former CSREES conducted a Grants.gov pilot for the solicitation of one of the 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 (DUNS) numbers, legal name of institution, legal address, and congressional district). OMB makes this information available at <http://www.usaspending.gov>.

In FY 2010, although NIFA will require both an initial submission (estimated amounts based on the 2009 Omnibus Appropriations Act) and final submission (based on the actual appropriated

amount for FY 2010 and the actual formula distribution for FY 2010) NIFA will not require the following forms for FY 2010 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 Extension Director;
- How funds are managed at your institution;
- Indirect costs and tuition remission are unallowable costs; and
- Matching waiver authority of Smith-Lever section 3(b) and 3(c) funds for 1862 Land-grant Institutions in the Insular Areas.

Guidelines for the administration of this program are published as Chapter III, Financial Operations, of the Administrative Handbook for Cooperative Extension Work, which may be accessed at <http://www.nifa.usda.gov/business/awards/formula/manuals/coopextension.pdf>. Please note that any instructions in this FGO supersede policies and procedures identified in this manual. In 2010 NIFA will be revising this manual and will promulgating administrative provisions for this program through rulemaking which includes a public comment period.

The 2009 Omnibus Appropriations Act (Public Law 111-8) provides \$265,925,640 for this program under the Smith-Lever Act.

## **B. Purpose and Priorities**

The purpose of this funding is to conduct agricultural extension work.

## **PART II—AWARD INFORMATION**

### **A. Available Funding**

Subject to any 2010 Continuing Resolutions, funds will be disturbed to the institutions on a quarterly basis and according to the amounts allocated in FY 2009. Adjustments will be made to the allocations for FY 2010 once the FY 2010 appropriations are finalized. See Appendix A for the specific allocation.

Funds appropriated under sections 3(b) and 3(c) of the Smith-Lever Act are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to four years after the end of the year for which they were appropriated.

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

In FY 2010, pre-award form submissions must be submitted to the Cooperative Extension Programs at 1862 Land-grant Institutions program as a “new” application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the

information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-grant Institution must submit both a 5-Year Plan of Work Update for FYs 2011-2015 (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports are due by April 1, 2010.

### **C. Project Types**

Applicants should request funding at the amounts listed in Appendix A to this announcement. Cooperative extension programs at 1862 Land-grant Institutions are identified in approved 5-Year Plans of Work. These activities should consist of the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending or resident in 1862 Land-grant Institutions in the several communities, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

## **PART III—ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

Applications may be submitted by the following 1862 Land-grant Institutions: Auburn University, University of Alaska-Fairbanks, American Samoa Community College, University of Arizona, University of Arkansas, University of California, Colorado State University, University of Connecticut, University of Delaware, University of Florida, University of Georgia, University of Guam, University of Hawaii, University of Idaho, University of Illinois, Purdue University, Iowa State University, Kansas State University, University of Kentucky, Louisiana State University, University of Maine, University of Maryland-College Park, University of Massachusetts, Michigan State University, College of Micronesia, University of Minnesota, Mississippi State University, University of Missouri, Montana State University, University of Nebraska, University of Nevada-Reno, University of New Hampshire, Rutgers University, New Mexico State University, Cornell University, North Carolina State University, North Dakota State University, Northern Marianas College, Ohio State University, Oklahoma State University, Oregon State University, Pennsylvania State University, University of Puerto Rico, University of Rhode Island, Clemson University, South Dakota State University, University of Tennessee, Texas A & M University, Utah State University, University of Vermont, Virginia Polytechnic Institute & State University, University of the Virgin Islands, Washington State University, West Virginia University, University of Wisconsin, and University of Wyoming.

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

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

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. §343(e)(1)) states, with regard to institutions in the 50 states, “no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work.” However, section 3(e)(4) of the Smith-Lever Act (U.S.C. §343(e)(4)) provides that “Effective beginning for fiscal year 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section..... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.”

## **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 State Extension Director, or his or her designee, first contact an Authorized Representative (AR) to determine if the organization is prepared to submit electronic applications through Grant.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 State Extension 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 State Extension 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-SLBCD-002656**” 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-M; “Supplemental Information Form,” and “Key Contacts Form”. If applicable, use “Application for Federal Assistance” to submit a matching waiver request. See E(2) of this part for more details. 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. Application for Federal Assistance (Standard Form (SF)-424 M (Mandatory))**

- 1a. **Type of Submission:** Select one Type of Submission with agency instructions. *Select “Application.”*
- 1b. **Frequency:** Select applicable frequency for the Type of Submission in 1.a. *Select “Annual.”*
- 1c. **Consolidated Application/Plan/Funding Request?** Indicate if the submission is a consolidated application/plan/funding request. *Select “No.”*
- 1d. **Version:** Select the applicable version for the Type of Submission in 1.a:

*Initial: Select “Initial” in response to this FGO. Use it to submit your institution’s application package, including its estimated Federal funds per Appendix A and available matching funds based upon the latest information available from NIFA. This option will be used in FY 2010.*

*Resubmission: Select “Resubmission” when your institution has filed an accepted “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.*

*Revision: Select “Revision” if your institution discovers an error or omission in the “Initial,” “Update,” or “Resubmission” application, or if you are requested to do so by NIFA as the result of its review of the application.*

Update: *Select “Update” when the fiscal year’s final allocation is published. Use this submission to revise your institution’s “initial” application to reflect its actual Federal funds and matching funds, as well any other changes to the application data (e.g., D-U-N-S® number, address, Key Contact information). Any matching waiver requests would be attached to this package, as well.*

***For your first submission via Grants.gov in FY 2010 under this FGO, please indicate “initial”.***

2. **Date Received:** Completed by Grants.gov upon submission
3. **Applicant Identifier:** If you wish to use a unique identification number for your own purpose, enter it here. *This field is for use when an institution has its own system for tracking applications. This field allows the applicant to enter its application identifier on the application. Applicant use only. Use or leave blank.*
- 4a. **Federal Entity Identifier:** Enter the number assigned to your organization by the Federal agency. *Leave blank.*
- 4b. **Federal Award Identifier:** Enter Federal award identifier assigned by agency (if applicable). Enter **“USDA-NIFA-SLBCD-002656”**.
5. **Date Received by State:** Enter the date received by the State, if applicable. Enter in the format mm/dd/yyyy. *State use only. Use or leave blank.*
6. **State Application Identifier:** Enter the identifier assigned by the State, if applicable. *State use only. Use or leave blank.*
- 7a. **Legal Name:** Enter the following: Legal name of applicant. *Enter the name of the institution.*
- 7b. **Employer/Taxpayer Identification Number (EIN/TIN):** Enter either the Employer Identification Number (EIN) or Taxpayer Identification Number (TIN) as assigned by the Internal Revenue Service.
- 7c. **Organizational DUNS:** Enter: Organization’s D-U-N-S® number (received from D&B) or the D-U-N-S +4 number® (if available).
- 7d. **Address:** Enter: Complete address of applicant. *Enter the institution’s mailing address.*
- 7e. **Organizational Unit:** Enter the name of primary organizational department, service, laboratory, or equivalent level within the organization, which will undertake the

assistance activity. *Leave the "Division Name" blank. Enter the office where the State Extension Director is located.*

- 7f. **Name and contact information of 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 performing this electronic submission.*
- 8a. **Type of Applicant:** Select the appropriate letter and enter in the space provided. Letters O, P, Q, R, S, T, U, V, and W are not applicable and therefore, are not included in the following list.
- 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)

*Please select the appropriate code for your institution.*

9. **Name of Federal agency:** *No entry required. This field is pre-populated from the opportunity package.*
10. **Catalog of Federal Domestic Assistance Number and CFDA Title:** *No entry required. This field is pre-populated from the opportunity package.*
11. **Areas Affected by Funding (Cities, Counties, States, etc. Use continuation sheet on page 5 if necessary):** List areas or entities affected using categories specified in agency instructions. Use the continuation sheet to enter multiple entities beyond the space provided. *Enter cities, counties, states, etc. anticipated to be affected by the FY 2010 allocation you will receive.*

- 12a. **Congressional Districts of Applicant:** Enter the congressional district in the following format: 2 characters State abbreviation, 3 characters District Number. Examples: CA-005 for California’s 5<sup>th</sup> district, CA-012 for California’s 12<sup>th</sup> district. If outside of the US, enter 00-000. This field is required. Enter the congressional district. *Enter the Congressional district where the main campus is located.*
- 12b. **Congressional Districts of (Use continuation sheet on page 5 if necessary), Program/Project:** Enter the congressional district in the following format: 2 characters State abbreviation, 3 characters District Number. Examples: CA-005 for California’s 5<sup>th</sup> district, CA-012 for California’s 12<sup>th</sup> district. If all districts in a state are affected, enter “all” for the district number. Example: MD-all for all congressional districts in Maryland. If nationwide (all districts in all states), enter US-all. If the program/project is outside the US, enter 00-00. *(Note: If this application is being completed by someone other than the State Extension Director, or his or her designee, the State Extension Director, or his or her designee, may need to be consulted on this question.)*
- 13a. **Funding Period, Start Date:** Enter the start date of the funding period for this submission. *Enter “10/01/2009.”*
- 13b. **Funding Period, End Date:** Enter the end date of the funding period for this submission. *Enter “09/30/2010.”*
- 14a. **Estimated Funding, Federal:** Enter the dollar amount. This field is required. *Enter your institution’s estimated FY 2010 allocation as it is listed in Appendix A to this announcement.*
- 14b. **Estimated Funding, Match:** Enter the dollar amount. This field is required. *Enter the amount your institution will match.*
15. **Is Submission Subject to Review By State Under Executive Order 12732 Process?** *Select “c. Program is not covered by E.O. 12732.”*
- a. State Review Available: Select if this submission was made available to the State Executive Order 12732 process for review.
  - b. State Review not selected: Select if the program is subject to E.O. 12732 but has not been selected by State for review.
  - c. State Review not needed: Select if the program is not covered by E.O. 12732.
16. **Is the Applicant Delinquent On Any Federal Debt?** Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans, and taxes. This question applies to the applicant (institution) organization.

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 resulting terms (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)** *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 Extension Director, or his or her designee, certifies to the above.*

*To be signed by the State Extension Director, 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 his or her designee.*

## **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 “Smith-Lever 3(b) and 3(c) 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. This field is required. Enter “SLBC.”*
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. Select “1862 Land-grant Institution” from the drop down menu in this block.*
5. **Supplemental Applicant Types:** *Please check all that apply.*
6. **HHS Account Information:** *If the legal applicant has a HHS account select yes. If it does not select no. This field is required. 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.*

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:** *Leave blank. Do not attach a conflict of interest list.*

### **3. Key Contacts Form (Required)**

**Applicant Organization Name:** Enter the complete legal name of the institution.

**Contact 1 Project Role:** *Enter the contact information for the State Extension Director.*

**Contact 2 Project Role:** *Enter the contact information for the State Extension Director’s designee.*

**Contact 3 Project Role:** *Enter the contact information for the Business Office Manager/Administrator for this program.*

**Contact 4 Project Role:** *Enter the contact information for the person responsible for drawdowns.*

### **4. Matching funds Waiver Request (Optional)**

This form may only be applicable to Insular 1862 Land-grant Institutions. Please include the following elements in the request:

- (a) a request for the waiver by grant,
- (b) a statement of the fiscal year(s) for which the waiver is requested,
- (c) a statement of the amount of waiver being requested by fiscal year and how the amount was computed (by matching fund category),
- (d) a statement of why the waiver is required,
- (e) documentation supporting the need for a waiver and
- (f) the university’s efforts to meet future matching needs.

The documentation should include the university’s approved budget for the program for both the current and previous budget cycles. It may also submit items such as a statement from the State asserting what portion of the required match amount the State contribution to the institution will cover, a schedule of projected cash flows showing what portion of the matching funds the university will have available or other documents such as letters from State or institution budget personnel or newspaper articles. In requesting the waiver, the institution must consider the availability of all permissible forms of matching in detail.

Please attach the matching waiver request to the “Application for Federal Assistance”. To attach the waiver request to the form, go to “1) Please add Attachment 1,” click on “Add Attachment,” and follow the instructions.

### **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 Form SF-424-M, the applicant is providing the 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 Chapter III, Financial Operations, of the CSREES Administrative Handbook for Cooperative Extension Work, 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 Mandatory; “NIFA Supplemental Information Form,” and “Key Contacts Form,” should be submitted online at the [www.grants.gov](http://www.grants.gov) website by COB on November 30, 2009 (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 on the Key Contacts Form on 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) Program and Extension Activities

Smith-Lever Act sections 3(b) and 3(c) Federal funding must be used for extension programs and activities identified in the institution’s approved 5-Year Plan of Work.

### (2) Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. §343(e)(1))states, with regard to institutions in the 50 states, “no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work.” However, section 3(e)(4) of the Smith-Lever Act (& U.S.C. §343(e)(4)) provides that “Effective beginning for fiscal year 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Mariana Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section..... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.”

NIFA may consider and approve matching waivers submitted by Insular 1862 Land-grant Institutions (American Samoa, Guam, Micronesia, Northern Marianas Islands, Puerto Rico, and the Virgin Islands).

### **(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 Sections 3(b) and 3(c) of the Smith-Lever Act formula grant expenditures.

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

Plan of Work reporting requirements should be submitted to the Office of Planning and Accountability through the website established for this purpose (<http://pow.nifa.usda.gov>). Required submissions include the 5-Year Plan of Work Update for FYs 2011-2015 and the Annual Report of Accomplishments and Results. These reports are due April 1, 2010.

Form CSREES-REPT (Revised) Supplement to Annual Report of Accomplishments and Results, Multistate Extension Activities and Integrated Activities, must be submitted to the OEP Formula Grants Section for fiscal year 2009. These reports are due April 1, 2010.

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

The Office of Planning and Accountability and the OEP Formula Grants Section 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 Office of Planning and Accountability will notify the OEP Formula Grants Section and the institution regarding each institution's compliance with the Plan of Work reporting requirements (i.e., 5-Year Plan of Work Update and an Annual Report of Accomplishments and Results). If all program and administrative requirements have been met by the eligible institution, funding will be released on a quarterly basis. The OEP Formula Grants Section will notify the institutions when all requirements have been met or approved.

## **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 — CSREES procedures to implement the National Environmental Policy Act of 1969, as amended.

7 CFR Part 3419—Matching funds requirement for agricultural research and extension formula funds at 1890 Land-grant Institutions, including Tuskegee University and West Virginia State University, and at 1862 Land-grant Institutions in insular areas

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**

The Plan of Work Update for FYs 2011-2015 and Annual Report of Accomplishments and Results are due by April 1, 2010 and should have been online at the web address:  
<http://pow.nifa.usda.gov>.

Financial reporting via the SF-425, Federal Financial Report, for FY 2010 is due to the Formula Grants Section of the Office of Extramural Programs on April 1, 2010, for the period October 1, 2009, through September 30, 2010, and annually thereafter until the award is closed out. DCPPERA funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for four years after the end of the year for which they were appropriated. Reports should be submitted to [formulagrants@nifa.usda.gov](mailto:formulagrants@nifa.usda.gov).

### **PART VII—AGENCY CONTACT**

For questions regarding the Smith-Lever Act sections 3(b) and 3(c) Program, please contact: Dr. Michael Fitzner, Director, Plant and Animal Systems, NIFA/USDA, Stop 2220, 1400 Independence Avenue, SW, Washington, DC 20250-2220; Telephone: (202) 401-4939; Fax: (202) 401-4888; E-mail: [mfitzner@nifa.usda.gov](mailto:mfitzner@nifa.usda.gov).

For questions relating to the completion of the grants.gov forms and funding release, please contact: Patricia Myers, Office of Extramural Programs, NIFA/USDA, Stop 2298, 1400 Independence Avenue, SW, Washington, DC 20250-2298; Telephone: (202) 205-0453 ; Fax: (202) 690-3002 ; E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov).

For questions relating to the 5-Year Plan of Work Update for FY 2011-2015 or the Annual Report of Accomplishments and Results, please contact Bart Hewitt, Office of Planning and Accountability, NIFA/USDA, Stop 2214, 1400 Independence Avenue, SW, Washington, DC 20250-2214; Telephone: (202) 720-0747; Fax: (202) 720-7714; E-mail: [bhewitt@nifa.usda.gov](mailto:bhewitt@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.

**UNITED STATES DEPARTMENT OF AGRICULTURE  
NATIONAL INSTITUTE OF FOOD AND AGRICULTURE**

**Estimated FY 2010 Distribution of Funds to Eligible Institutions for Extension Activities  
Authorized under the Smith-Lever Act and the D.C. Postsecondary Education Re-Organization Act  
Award #2010 - 41100 (Smith-Lever 3(b) and 3(c), 2010-42000 (DCPPERA), 2010-41200 (Special Needs))**

**Appendix A- Initial**

<u>State</u>	<u>Institution</u>	<u>Grant Number</u>	<u>Estimated FY 2010 Allocation</u>	<u>Matching Requirement</u>
Alabama	Auburn University	2009-41100-00100	\$6,667,901	\$6,667,901
Alaska	University of Alaska-Fairbanks	2009-41100-00200	1,074,347	1,074,347
American Samoa	American Samoa Community College	2009-41100-05500	888,487	444,244
Arizona	University of Arizona	2009-41100-00300	1,852,576	1,852,576
Arkansas	University of Arkansas	2009-41100-00400	5,591,486	5,591,486
California	University of California	2009-41100-00500	7,317,596	7,317,596
Colorado	Colorado State University	2009-41100-00600	2,923,080	2,923,080
Connecticut	University of Connecticut	2009-41100-00700	2,070,458	2,070,458
Delaware	University of Delaware	2009-41100-00800	1,236,699	1,236,699
District of Columbia	University of the District of Columbia	2009-41100-05400	1,120,278	-
Florida	University of Florida	2009-41100-00900	4,368,128	4,368,128
Georgia	University of Georgia	2009-41100-01000	7,588,373	7,588,373
Guam	University of Guam	2009-41100-05301	947,884	473,942
Hawaii	University of Hawaii	2009-41100-01100	1,274,815	1,274,815
Idaho	University of Idaho	2009-41100-01200	2,613,303	2,613,303
Illinois	University of Illinois	2009-41100-01300	9,167,594	9,167,594
Indiana	Purdue University	2009-41100-01400	8,456,771	8,456,771
Iowa	Iowa State University	2009-41100-01500	8,974,327	8,974,327
Kansas	Kansas State University	2009-41100-01600	5,225,408	5,225,408
Kentucky	University of Kentucky	2009-41100-01700	8,771,447	8,771,447
Louisiana	Louisiana State University	2009-41100-01800	4,939,449	4,939,449
Maine	University of Maine	2009-41100-01900	2,187,051	2,187,051
Maryland	University of Maryland at College Park	2009-41100-02000	3,170,379	3,170,379

Massachusetts	University of Massachusetts	2009-41100-02100	2,565,713	2,565,713
Michigan	Michigan State University	2009-41100-02200	8,512,523	8,512,523
Micronesia	College of Micronesia	2009-41100-05600	989,758	494,879
Minnesota	University of Minnesota	2009-41100-02300	8,404,773	8,404,773
Mississippi	Mississippi State University	2009-41100-02400	6,676,428	6,676,428
Missouri	University of Missouri	2009-41100-02500	8,342,169	8,342,169
Montana	Montana State University	2009-41100-02600	2,472,166	2,472,166
Nebraska	University of Nebraska	2009-41100-02700	4,764,447	4,764,447
Nevada	University of Nevada-Reno	2009-41100-02800	1,087,613	1,087,613
New Hampshire	University of New Hampshire	2009-41100-02900	1,597,075	1,597,075
New Jersey	Rutgers University	2009-41100-03000	2,541,911	2,541,911
New Mexico	New Mexico State University	2009-41100-03100	1,960,364	1,960,364
New York	Cornell University	2009-41100-03200	7,865,908	7,865,908
North Carolina	North Carolina State University	2009-41100-03300	11,169,401	11,169,401
North Dakota	North Dakota State University	2009-41100-03400	3,213,187	3,213,187
Northern Marianas	Northern Marianas College	2009-41100-05700	871,374	435,687
Ohio	Ohio State University	2009-41100-03500	10,336,252	10,336,252
Oklahoma	Oklahoma State University	2009-41100-03600	5,276,481	5,276,481
Oregon	Oregon State University	2009-41100-03700	3,517,198	3,517,198
Pennsylvania	Pennsylvania State University	2009-41100-03800	9,847,402	9,847,402
Puerto Rico	University of Puerto Rico	2009-41100-03900	6,249,970	3,124,985
Rhode Island	University of Rhode Island	2009-41100-04000	1,044,646	1,044,646
South Carolina	Clemson University	2009-41100-04100	5,493,359	5,493,359
South Dakota	South Dakota State University	2009-41100-04200	3,419,152	3,419,152
Tennessee	University of Tennessee	2009-41100-04300	8,275,433	8,275,433
Texas	Texas A&M University	2009-41100-04400	12,011,684	12,011,684
Utah	Utah State University	2009-41100-04500	1,597,174	1,597,174
Vermont	University of Vermont	2009-41100-04600	1,722,198	1,722,198
Virginia	Virginia Polytech Institute & State Univ.	2009-41100-04700	6,894,326	6,894,326
Virgin Islands	University of the Virgin Islands	2009-41100-05200	917,612	458,806
Washington	Washington State University	2009-41100-04800	4,021,977	4,021,977
West Virginia	West Virginia University	2009-41100-04900	3,953,080	3,953,080
Wisconsin	University of Wisconsin	2009-41100-05000	8,417,865	8,417,865
Wyoming	University of Wyoming	2009-41100-05100	1,467,184	1,467,184
<b>Total</b>			\$265,925,640	\$ 259,372,820