RREA Planning and Reporting Guide

RREA
2012–2016

Sustaining the Nation's Forest & Rangeland Resources for Future Generations

RENEWABLE RESOURCES EXTENSION ACT STRATEGIC PLAN FOR THE STATE-FEDERAL PARTNERSHIP

Section 1
Introduction

This Program Guide has been prepared in order to provide RREA Principle Investigators with the background, guidelines and content for RREA planning and reporting.

It contains the following sections:

The processes described in this guide provide important information for RREA institutions regarding the goals and issues that RREA funds should be focused on, process and content for plans and reports to document program accomplishments and impacts, the Formula Grant Opportunity process, and Frequently Asked Questions.

NIFA RREA Program Staff are available to provide any necessary assistance to RREA institutions in developing their plans and reports.

Section 2

Overview – Plan of Work Content and Structure

<u>Planning Your RREA Program: Goals, Strategic Issues and Crosscutting Issues</u>

The FY 2012-2106 Strategic Plan is organized in a similar manner as the FY 2005-2011 Plan, with a couple of exceptions:

- What is the <u>same</u> as in the FY 2005-2011 plan:
    - Strategic Issues – the strategic issues, with the exception of public policy and diverse audiences, have been retained.
    - The National Quantitative Indicators for the issues have been retained.
- What is **<u>new</u>** in the FY 2012-2016 plan:
    - The previous strategic issues have been supplemented with crosscutting issues:
        - Climate Variability
        - Biomass for Energy
        - Ecosystem Services
        - Food Production, Safety, and Security
        - Intergenerational Land Transfer
    - The RREA Strategic Plan team has developed indicators for the crosscutting issues.
    - The previous issues and the crosscutting issues have been placed with the context of broad goals:
        - Goal1 – Ensuring Healthy Ecosystems
            - Invasive Species
            - Land Conversion, Fragmentation, and Parcelization
            - Climate Variability
            - Forest and Rangeland Water and Wetland Resources
        - Goal 2 – Enhancing Economic Benefits
            - Economic Opportunities for Individuals and Communities
            - Biomass for Energy
            - Ecosystem Services
        - Goal 3 – Enhancing Resource Management on Working Forests and Rangelands
            - Forest Stewardship and Health
            - Rangeland Stewardship and Health
            - Forest and Rangeland Wildlife and Fisheries Resources
            - Food Production, Safety, and Security
            - Intergenerational Land Transfer
        - Goal 4 – Building Capacity Through Enhanced Connections

Focus, Scale and Impact: Planning Your 5-Year RREA Program

Since the launch of NIFA, a guiding program principle has been:

- Focus – identify and focus on problems that programs can make a difference in;
- Scale – carry out programs on broad enough scales to make a difference, and;
- Impact – with sufficient focus on specific problems that programs can make a difference in, and working at them on a broad enough scale, the likelihood of significant impacts is present.

NIFA encourages RREA recipients to plan and conduct programs that are focused and scaled to have impact. Thus, as institutions develop their FY 2012-2016 Plan of Work, there is no expectation or desire on the part of NIFA that institutions work on all the issues in all the goals. Focus on a limited number of issues within one or more goals and concentrate on making impacts.

Plan of Work Content

To achieve FOCUS, SCALE, and IMPACT described above, institutions may approach the plan of work in a variety of ways:

- Identify 1-2 broad **goals (Goals 1, 2, 3)** that best align with the state needs, and work on one or more of the issues in each of the goals selected. In writing the narrative for the Plan of Work for CRIS, state the Goal by name and provide narrative for each of the several issues in the Goal to be addressed.
- Identify 2-4 **issues** (without regard to the broad goals) and focus the plan of work on each of the issues. In writing the narrative for the Plan of Work for CRIS, state the Goal by name, then the issue and provide the narrative for each issue.
- Goal 4 – There are no specific issues associated with this goal. Institutions that are or plan to: pursue significant research-extension partnerships and/or external collaborations; expand or continue peer-to-peer programs; and focus on distance education and social media program delivery methods, are encouraged to utilize Goal 4 to capture and report on those efforts. Goal 4 does not suffice as a single goal for the Plan or Work; it is a program delivery goal. Goals 1, 2, and 3 are program content goals.

Writing up the Plan

Section 4 of this guide describes how to format the plan of work to be entered in the Current Research Information System (CRIS)

Section 3

National Quantitative Indicators (Outputs and Outcomes) for Annual Reporting, By Goal

Instructions

- Report indicator data on all Extension projects for which RREA funds were **directly** used for **partial** or **total** program costs.
- Report **as much indicator data as possible** under the issues you have identified and described in the 5-year Plan of Work. You may not immediately have access to all indicator data requested, but begin collecting such data to report in the future.
- If you have additional data that does not match the national-level indicators, do not hesitate to include it in the narrative section of the annual accomplishment report, Popular Report, and/or add it to the National Indicators spreadsheet provided by NIFA.
- RREA institutions are strongly encouraged to allocate 8-10% of RREA funds for program evaluation.

Definitions

- **Direct contacts** are people reached through:
    - Face-to-face contact (workshops, field days, conferences, demonstrations, etc.)
    - One-on-one education (office and field visits, phone conversations, e-mail and other electronic consultations)
- **Indirect contacts** are people reached through:
    - Newsletters (electronic, print)
    - Website “hits” and downloads
    - DO NOT INCLUDE: public service announcements, mass media (radio, TV, newspapers, magazines, or billboard announcements.
- **Awareness**: The individual is conscious of something that is relevant but may not have a full understanding of it. For RREA purposes, awareness will be documented through counts of direct and indirect contacts.
- **Knowledge:** The individual has a clear understanding of explicit factual information about a particular topic that they did not have before. For RREA purposes, knowledge is best documented through evaluation with direct contacts.
- **Implementation:** The individual has put into practice on a regular basis, a new technique or innovation that they had not done before. For RREA purposes, intent to implement is not equivalent to implementation. Implementation is best documented through evaluation with direct contacts.

GOAL 1: Ensuring Healthy Ecosystems

Issue: Invasive Species

1. Number of educational events conducted for forest and range landowners and managers on the environmental and economic impacts of invasive species.
2. Number of direct and indirect contacts who increased awareness of exotic invasive species.
3. Number of forest and range landowners and managers who increased knowledge of at least one exotic invasive species and its control.
4. Number of private landowners and managers and public land users and managers who implemented at least one management program to prevent or control exotic invasive species.
5. Number of acres that received management to prevent or control exotic invasive species on private land.
6. Number of acres that received management to prevent or control exotic invasive species on public land.
7. Number of invasive species related social media products, web-based products, and communication tools.

Issue: Land Conversion, Fragmentation, and Parcelization

1. Number of educational events conducted for landowners and managers on options to minimize land-use conversion of forest and rangelands.
2. Number of direct and indirect contacts who increased awareness of options to minimize land-use conversion of forest and rangelands.
3. Number of direct contacts who increased knowledge about options to minimize land-use conversion of forest and rangelands.
4. Number of landowners who implemented at least one new practice to ensure the retention of current land uses.
5. Number of acres protected from conversion to ensure retention of current forest and rangeland uses.
6. Number of land conversion, fragmentation and parcelization related social media products, web-based products, and communication tools.

Issue: Climate Variability

1. Number of educational events for forest and range landowners, natural resource managers, and/or industry clients related to climate science, mitigation and/or adaptation.
2. Number of direct and indirect contacts who increased awareness of climate variability.
3. Number of direct and indirect contacts who increased knowledge of climate variability.
4. Number of climate variability related social media products, web-based products, and communication tools.

5. Number of forest and range landowners, natural resource managers, and/or industry clients who adopt at least one climate adaptation or mitigation strategy.
6. Number of acres of forest and rangeland managed to adapt to or mitigate effects of climate-related disturbances.

Issue: Forest and Rangeland Water and Wetland Resources

1. Number of educational events conducted for forest and range landowners and managers on the value, importance and management implications of wetland resources.
2. Number of direct and indirect contacts who increased awareness of wetland resources.
3. Number of forest and range landowners and managers who increased knowledge of wetland resources.
4. Number of private landowners and managers and public land users and managers who implemented at least one management practice or program with regard to wetland resources.
5. Number of new acres under management for wetland resources on private land.
6. Number of new acres under management for wetland resources on public land.
7. Number of wetland resources related social media products, web-based products, and communication tools.

GOAL 2: Enhancing Economic Benefits

Issue: Economic Opportunities for Individuals and Communities

1. Number of educational events conducted for forest and range landowners and managers on forest, range, fish, and wildlife based income-generating opportunities.
2. Number of direct and indirect contacts who increased awareness of forest, range, fish, and wildlife based income-generating opportunities.
3. Number of direct and indirect contacts with citizens, landowners, and community leaders who increased awareness of the contribution of forest, range, fish, and wildlife resources to local and regional economies.
4. Number of forest, range, fish, and wildlife income-generating businesses created or expanded.
5. Number of new jobs created in forest, range, fish, and wildlife resources.
6. Estimated number of dollars earned or saved by forest, range, fish, and wildlife income-generating businesses.
7. Number of economic opportunity related social media products, web-based products, and communication tools.

Issue: Biomass for Energy

1. Number of educational events for forest and range landowners, natural resource managers, and/or industry clients related to the production and use of biomass for energy.
2. Number of direct and indirect contacts who developed an awareness of biomass and bioenergy.
3. Number of direct and indirect contacts who increased knowledge of biomass and bioenergy.
4. Number of new bioenergy enterprises developed, based on biomass use from forest or rangelands.
5. Number of forest or range landowners who have implemented at least one biomass-related management practice.
6. Number of existing companies who have adopted bioenergy as a new energy source, or who have produced energy from forest and range biomass sources.
7. Number of new jobs created as a result of bioenergy enterprises.
8. Number of biomass and bioenergy related social media products, web-based products, and communication tools.

Issue: Ecosystem Services

1. Number of educational events conducted for forest and range landowners and managers on ecosystem services opportunities and barriers.
2. Number of direct and indirect contacts who increased awareness of ecosystem services.
3. Number of forest and range landowners and managers who increased knowledge of ecosystem services.
4. Number of private landowners and managers and public land users and managers who implemented at least one management activity with regard to ecosystem services.
5. Number of new acres under production for ecosystem services on private land.
6. Number of new acres under production for ecosystem services on public land.
7. Number of new forest, range, fish, and wildlife ecosystem services businesses created or expanded.
8. Number of new jobs created in forest, range, fish, and wildlife resources based on ecosystem services.
9. Estimated number of dollars earned or saved by forest, range, fish, and wildlife ecosystem service income-generating businesses.
10. Number of ecosystem services related social media products, web-based products, and communication tools.

GOAL 3: Enhancing Resource Management on Working Forests and Rangelands

Issue: Forest Stewardship and Health

1. Number of educational events conducted for forest landowners and managers on the benefits and opportunities of forest stewardship practices.
2. Number of forest landowners and managers trained to develop forest stewardship plans.
3. Number of direct and indirect contacts who increased awareness of the benefits and opportunities of forest stewardship practices.
4. Number of direct contacts who increased knowledge of the benefits and opportunities of forest stewardship practices.
5. Number of forest stewardship plans initiated, supported or developed with Extension support/involvement.
6. Number of forest landowners who implemented at least one new forest stewardship practice.
7. Number of acres on which forest management was improved.
8. Number of forest stewardship and health related social media products, web-based products, and communication tools.

Issue: Rangeland Stewardship and Health

1. Number of educational events conducted for rangeland owners and managers on vegetation, water, and animal management on rangelands.
2. Number of direct and indirect contacts who increased awareness of vegetation, water, and animal management on rangelands.
3. Number of direct contacts who increased knowledge of vegetation management, water management, and animal management on rangelands.
4. Number of acres on which rangeland management was improved.
5. Number of range landowners and managers who implemented at least one new range management practice.
6. Number of rangeland stewardship and health related social media products, web-based products, and communication tools.

Issue: Forest and Rangeland Wildlife and Fisheries Resources

1. Number of educational events conducted for forest and range landowners and managers on wildlife and/or fish habitat management principles and practices.
2. Number of direct and indirect contacts who increased awareness of wildlife and/or fish habitat management principles and practices.
3. Number of direct contacts who increased knowledge of wildlife and/or fish habitat relationships.
4. Number of landowners who implemented at least one new wildlife and/or fish habitat management practice.
5. Number of acres/and or stream miles on which wildlife and/or fish habitat is improved.

6. Number of wildlife and fisheries related social media products, web-based products, and communication tools.

Issue: Food Production, Safety, and Security

1. Number of educational events conducted for forest and range landowners and managers on forest/range related food production (e.g. agroforestry, maple syrup, game fowl, etc.), safety and security principles and opportunities.
2. Number of direct and indirect contacts who increased awareness of forest/range related food production (e.g. agroforestry, maple syrup, game fowl, etc.), safety and security issues.
3. Number of direct and indirect contacts who increased knowledge of forest/range related food production (e.g. agroforestry, maple syrup, game fowl, etc.), safety and security issues.
4. Number of landowners and managers who implemented at least one new forest/range related food production practice(e.g. agroforestry, maple syrup, game fowl, etc.), safety and security practice.
5. Number of food production, safety and security related social media products, web-based products, and communication tools.

Issue: Intergenerational Land Transfer

1. Number of educational events conducted for forest and range landowners and managers related to intergenerational land transfer and estate planning.
2. Number of direct and indirect contacts who increased awareness of forest and rangeland intergenerational land transfer and estate planning.
3. Number of direct and indirect contacts who increased knowledge of forest and rangeland intergenerational land transfer and estate planning.
4. Number of private landowners and managers who prepared plans and/or implemented at least one new practice addressing the threats and opportunities associated with intergenerational land transfer.
5. Number of acres protected from conversion following intergenerational land transfer and estate planning.
6. Number of intergenerational land transfer related social media products, web-based products, and communication tools.

GOAL 4: Building Capacity through Enhanced Connections

1. Number of distinct project/program collaborations with research programs.
2. Number of distinct project/program collaborations with external public and private entities.
3. Number of distance education events (e.g. webinars, podcasts).
4. Number of social media sites developed and managed.
5. Number of multi-state and regional programs and projects.
6. Number of peer-to-peer programs (not individual events), such as Master Woodland Stewards/Managers, Master Naturalist, Covert or other forest and rangeland resource peer-to-peer programs.

Section 4

RREA 5-Year Plan of Work: Process, Format, Content and Due Dates

The Renewable Resources Extension Act program is one of several formula grant programs that are currently documented in CRIS. The others include: Hatch Act of 1887 (Regular Research Fund), Hatch Act of 1887 (Multistate Research Fund), McIntire-Stennis Cooperative Forestry Research Program, Agricultural Research at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University (also referred to the Evans-Allen Program), and Animal Health and Disease Research Program. Formula-funded grant information is submitted by authorized representatives at the eligible RREA .The RREA project that is submitted to CRIS is the 5-year Plan or Work and Annual Progress reports. Upon submission of the plan of work it is reviewed NIFA program staff to determine its alignment with the RREA Strategic Plan, FY 2012-2016 and compliance with the RREA legislation. The plan of work and annual reports must be approved by RREA Program Staff before the institution is authorized to expend funds from the requested formula grant program.

Plan or Work Background and Framework

A five-year plan of work for FY 2012-FY 2016 is required for all institutions receiving RREA funds. The plan of work should be framed in the context of the Goals and the Issues contained in the RREA Strategic Plan: FY 2012-FY 2016. The first RREA Strategic Plan (FY 2005-2009) was developed jointly by the Cooperative Extension System partners and CSREES, at the request of the CSREES Administrator and the Extension Directors Forestry Task Force. In 2005 a set of national level reporting indicators were developed by a working group of state partners and RREA Program staff. These indicators were reviewed and revised as the new strategic plan was being developed. Institutions are expected to provide quantitative data for the Issue indicators contained within the overall Goals that the institution intends to focus on for FY 2012-2016. Institutions are strongly encouraged to focus RREA funding on 1-3 issues (within and across the Goals, as appropriate for the state) and to allocate 8-10 percent of the RREA funds to program evaluation in order to be able to provide the data for the National Quantitative Indicators.

Steps in Filing the RREA Plan of Work for FY 2012 – FY 2016

After determining the goals and issues to be focused on and the programs to be developed, delivered, and evaluated, enter the Plan of Work in the Current Research Information System (CRIS)

Step 1: Access to CRIS

Contact your CRIS Site Administrator at your institution to get access to CRIS so you can input your plan of work for RREA for FY 2012-2016. Your site Administrator may simply provide password access, or may provide technical assistance as you prepare and enter your plan.

Step 2: Browse the CRIS Forms

Before writing you FY2012-2016 RREA plan of work, we highly recommend that you review: 1) the strategic plan with your stakeholders and get input regarding priority issues, 2) this Planning and Reporting Guide, and 3) all of the accompanying attachments and consult the web-based document that explains each of the CRIS forms and provides information on each of the required fields. This document can be found at http://cwf.uvm.edu/cris:

Step 3: Prepare and complete the Plan of Work using CRIS Form AD-416

Using the RREA Strategic plan for FY 2012- FY 2016, outline your plans in the context of one or more of the Crosscutting Issues. All RREA funds must be allocated to one or more of the issues described in the plan that was prepared jointly by the state and federal partners. Institutions are strongly discouraged from spreading the limited RREA funds too thin across multiple issues; programming in 1-3 issues may be all that is possible given the limited funding currently appropriated by Congress.

Using the following outline, go to the CRIS website (http://cwf.uvm.edu/cris) and begin entering your plan in the form "AD-416 / AD-417/ 2008". You can access the form by selecting the "Work Unit Description (AD-416 / AD-417/ 2008)" link in the "Enter Forms" section located on the left side of the home page.

Outline for Preparing the AD-416 – Plan of Work

- Proceed to the CRIS Forms Assistance web site (http://cwf.uvm.edu/cris)
- Select the "Work Unit Description (AD-416 / AD-417/ 2008)" link in the "Enter Forms" section located on the left side of the home page.
- Select your state or territory on the map or text link provided.
- Participating site information is available on the web page displayed. Participating site information includes institution information, the CRIS site administrator's name and email address.
- Select your institution. You will need your institution's password from your site administrator to continue
- Enter PI's last name and initials and click "Proceed".
- On the left side of the screen, select AD-416 Research Resume and below select Renewable Resources Extension and click "New".
- To complete the form, enter the following information:

- **Date:** System generated field
- **Field 1: Accession Number:** New projects will receive a unique accession number subsequent to project submission. This field is not available via the CRIS Web Forms interface.
- **Fields 2, 3: Agency Identification:** The agency identification identifies up to three levels of organizational structure for the contributing agency or institution. These fields are not available via the CRIS Web Forms interface.
  - **Field 2: Agency/Institution Type-** System generated field
  - **Field 3: Institution Code-** System generated field
- **Field 5: Work Unit/Project Number-** You will receive instructions from your CRIS Site Administrator at your institution on what to enter in this field. It is usually a number or code that your site administrator will determine for you.
- **Field 6: Status – Approved projects-** A = NEW Projects
- **Field 7: Project Title – Title should be "(name of institution) RREA Program"**
- **Field 8: Performing Organization-** Choose Cooperative Extension Service, unless you fall under another department.
- **Field 9: Cooperating Departments within Performing Institution-** Leave fields blank.
- **Field 10: Multistate Project Number-** Leave Blank
- **Field 11: Cooperating States-** Leave Blank
- **Field 12: Investigator Name(s)-** List the Principal Investigator/Director on Line 1. Lines 2 through 12 are used for co-investigators/directors. Use upper/lowercase as customary for proper names.
  - Examples: Brown J R
  - Johnson III J R
  - Smith Jr A C
- **Field 13: Project Contact-** Enter PI name and contact information. This is the person that NIFA will contact for all matters regarding RREA.
- **Field 14: Project Type-** Choose Renewable Resources Extension
  - N- RREA
- **Field 15: Contract/Grant/Agreement No.-** Not available for data entry.
- **Field 16: Amount-** Enter your allocation for the current fiscal year (2012) as shown in the Formula Grant Opportunity - Initial
- **Field 17: FY-** Enter "2012"
- **Field 18: Award Date-** Not available for data entry.
- **Field 19: Start Date-** Enter "10/01/2011"
- **Field 20: Termination Date-** Enter "9/30/2016"
- **Field 21: Goals, Objectives, Expected Outputs-** Provide a clear, concise statement of the goals and objectives of the project as stated in the approved application or as approved by NIFA. The goals and objectives should be specific and attainable within the duration of the project and with the available resources. If the application lists milestones/target dates for important activities or phases of the project include this information. Include a description of the expected outputs from the project:

  - **Outputs** are activities, events, services, and products that reach people.
  - **Activities** include conducting and analyzing experiments or surveys, assessments, facilitating, teaching, or mentoring.
  - **Events** include conferences, demonstration sites, field days, symposia, workshops, and trainings.
  - **Services** include consulting, counseling, and tutoring.
  - **Products** include: audio or video products; curricula; networks and/or collaborations fostered by the project or activity; software; technology, methods, or techniques; train-the-trainer manuals; website(s) with the appropriate URL(s); information, skills, and technology for individuals, communities, and programs.

- **Field 22: Methods-** Describe the ways in which the project will be conducted with emphasis on the extension program delivery methods and any unique aspects or significant departures from usual methods. Include a description of how the programs will be evaluated and how the results will be used. Describe the efforts that will be used to cause a change in knowledge, actions, or conditions of a target audience. Include a description of how the output(s) will be evaluated and/or quantified for its impact on the intended audience(s).
  - Efforts include acts or processes that deliver science-based knowledge to people through extension education programs.
  - Describe the plan to be used to evaluate the success of the project. Include evaluation studies planned and types of data collected emphasizing key milestones and measurable or quantitative indicators of success. The project evaluation plan should relate milestones and indicators of success to expected project outcomes and impacts.

- **Field 23: Nontechnical Summary** - This information is designed to enhance the usefulness of the CRIS database, especially to legislative and other public audiences. Enter the situation or problem the program will address over the 5-year period and describe the program purposes in complete sentences. Address both the SITUATION that creates a need for this RREA extension program and the PURPOSE of the program.

- **Field 24: Keywords-** For the RREA Issues that you will be working on for the 5-year period, at a minimum, use the following phrases that equate to the issues in the plan: biomass; climate variability; economic opportunities, ecosystem services, fish and wildlife; food production/security; forest stewardship; fragmentation; land ownership changes; rangeland stewardship; invasive species; and forest and rangeland water and wetlands. Add additional keywords if desired. Keywords are mandatory.

- **Signature Blocks-** CRIS Web Forms site administrators maintain a profile of authorized signature designees for state partner institutions. Electronically submitted forms are verified by Web Forms.

- **If there is not a submit button at the bottom of your form, please contact your CRIS administrator.**

Step 4: Prepare and complete the Classification of Research using the worksheet below and the CRIS Form AD-417

Complete CRIS Form AD-417, Classification of Research, to classify your RREA work plan by Knowledge Area (KA), Subject of Investigation (SOI), Field of Science (FOS) and Percent Effort. All of the work in the various knowledge areas should add up to 100%. Use the Subject of Investigation and Field of Science you believe best fits your program. The Manual of Classification for Agricultural and Forestry Research, Education, and Extension provides descriptions for each of the KAs and can be found at:
http://www.nifa.usda.gov/business/reporting/planrept/pdf/knowledge_area_class_05.pdf

Below are the RREA-specific entries to use for KA, SOI and FOS.

RREA Strategic Goals and Issues and Corresponding Knowledge Areas
(NOTE: Some of these KA's are not the best match but will suffice for the purpose of summing up effort across all programs.)

- GOAL 1: Ensuring Healthy Ecosystems
  - Invasive Species
    - KA 211 – Insects, Mites, and Other Arthropods Affecting Plants
    - KA 213 – Weeds Affecting Plants
    - KA 214 – Vertebrates, Mollusks, and other Pests Affecting Plants
    - KA 215 – Biological Control of Pests Affecting Plants
    - KA 216 – Integrated Pest Management Systems
  - Land Conversion, Fragmentation and Parcelization
    - KA 131 – Alternative Uses of Land
  - Climate Variability
    - KA 132 – Weather and Climate
  - Forest and Rangeland Water and Wetland Resources (water and wetlands on forests and rangelands only)
    - KA 111 – Conservation and Efficient Use of Water4
    - KA 112 – Watershed Protection and Management
- GOAL 2: Enhancing Economic Benefits
  - Economic Opportunities for Individuals and Communities
    - KA 134 – Outdoor Recreation (forest- and rangeland-based)
    - KA 511 – New and Improved Non-Food Products and Processes (e.g., wood products, Christmas trees, non-timber forest products)

    - KA 602 – Business Management, Finance, Taxation, and Estate Planning
    - KA 604 – Marketing and Distribution Practices
    - KA 608 – Community Resource and Development Economics

  - Biomass for Energy
    - KA 501 – New and Improved Non-Food Products and Processes

  - Ecosystem Services
    - KA 605 – Natural Resources and Environmental Economics

- <u>GOAL 3: Enhancing Resource Management on Working Forests and Rangelands</u>
  - Forest Stewardship and Health
    - KA 112 – Watershed Protection and Management
    - KA 122 – Management and Control of Forest and Range Fires
    - KA 123 – Management and Sustainability of Forest Resources
    - KA 124 – Urban Forestry
    - KA 133 – Pollution Prevention and Mitigation (e.g., forestry BMPs)
    - KA 212 – Diseases and Nematodes Affecting Plants
    - KA 213 – Weeds Affecting Plants
    - KA 214 – Vertebrates, Mollusks, and other Pests Affecting Plants
    - KA 215 – Biological Control of Pests Affecting Plants
    - KA 216 – Integrated Pest Management Systems

  - Rangeland Stewardship and Health
    - KA 121 – Management of Range Resources
    - KA 122 – Management and Control of Forest and Range Fires
    - KA 136 – Conservation of Biological Diversity
    - KA 212 – Diseases and Nematodes Affecting Plants
    - KA 213 – Weeds Affecting Plants
    - KA 214 – Vertebrates, Mollusks, and other Pests Affecting Plants
    - KA 215 – Biological Control of Pests Affecting Plants
    - KA 216 – Integrated Pest Management Systems
    - KA 302 – Nutrient Utilization in Animals
    - KA 306 – Environmental Stress in Animals

  - Wildlife and Fisheries Resources (on forests and rangelands only)
    - KA 112 – Watershed Protection and Management
    - KA 135 – Aquatic and Terrestrial Wildlife
    - KA 136 – Conservation of Biological Diversity
    - KA 605 – Natural Resources and Environmental Economics

  - Food Production, Safety and Security
    - KA 125 – Agroforestry

    - KA 502 – New and Improved Food Products
  - Intergenerational Land Transfer
    - KA 801 – Individual and Family Resource Management

- <u>GOAL 4: Building Capacity Through Enhanced Connections</u>
    - KA 903 – Communication, Education, and Information Delivery

<u>Subject of Investigation (SOI)</u>
Use: 0699 (Trees, forests, and forest product, general) for programs focused on forest lands or 0799 (Rangelands and grasslands, general) for programs focused on range lands. DO NOT USE ANY OTHER SOI codes.

<u>Field of Science (FOS)</u>
Use: 3020 (Education). DO NOT USE ANY OTHER FOS codes.

The following worksheet is an optional planning tool and will not be submitted to NIFA. Using the Plan of Work that you have prepared for the AD-416, now classify your plan and estimated percentage of effort for each line of classification. Enter a line of classification for each unique Knowledge Area-Subject of Investigation-Field of Science combination. After completing this worksheet, transfer the information to the AD-417 online and submit through the CRIS website. You can access the AD-417 after completing the AD-416.

EXAMPLE: State "A"

Knowledge Area	Subject of Investigation (use: 0699 for forestlands; 0799 for rangelands)	Field of Science (use: 3020)	Percent effort (in 10% increments)
123	0699	3020	70
135	0699	3020	30
			TOTAL= 100%

YOUR Program

Knowledge Area	Subject of Investigation (use: 0699 for forestlands; 0799 for rangelands)	Field of Science (use: 3020)	Percent effort (in 10% increments)

After completing the AD-416, you will verify your data and then be taken to a screen that will allow you to choose to fill out the AD-417. Click that option and then click “Proceed” to access the screen where you will complete the classification information in the form AD-417.

<u>Step 5</u>: Submit to CRIS for NIFA review

This step is completed at NIFA. The AD-416 and AD-417 forms will be reviewed for:

- Alignment with RREA Strategic Plan for FY2012-2016.
- Program focus- Does the plan demonstrate FOCUS, SCALE, and IMPACT potential (e.g., 1-3 issues)? Or does the plan spread the RREA funding across so many issues that the potential for program impact is negligible, or Is the program tightly focused around 1-3 strategic issues?
- Program evaluation- Does the plan address how the RREA program will be evaluated, what data will be collected, and how?
- Accuracy and completeness of the AD-416 and AD-417.
- The outcome of the review will be either: Accepted or Deferred. RREA Principle Investigators whose work plans are deferred will be notified by e-mail of any questions or deficiencies and asked to resubmit the forms.

DUE DATE
The FY2012 Plan of Work, in the form of the AD-416 and AD-417 should be submitted by **JANUARY 25, 2012. An extension of up to three weeks may be requested.**

<u>Annual Updates to the Plan of Work</u>

Institutions will be asked to review the plan of work on an annual basis and to make any updates as needed.

Section 5

RREA Annual Reports:
Process, Content, Format, and Due Dates

Process

Annual reports are required on a fiscal year basis for each institution that receives RREA funds. NIFA will issue the request for a fiscal year annual report to RREA Contacts/Project Directors approximately 4-6 weeks prior to the due date. Upon receipt of all parts of an annual report from an institution, RREA Program Staff will commence a review of the annual report. Annual reports will be either APPROVED or DEFERRED. In the case of DEFERRED, NIFA will indicate any additional information that needs to be included or deleted in the report. Once the information is received, the review process will continue until an APPROVED report can be accepted. Notification of the report's acceptability will be provided to the institution's RREA Contact.

Annual Report Content and Format

The fiscal year annual report consists of three parts:

1. CRIS AD-421 Annual Progress Report

This report describes in narrative and quantitative form the program impacts that have been achieved during the year. It is submitted electronically to the Current Research Information System (CRIS) using the AD-421 form. It should include:

- Narrative summarizing significant results, accomplishments, conclusions and recommendations, and program impacts.
- Quantitative data on the most significant performance indicators for the strategic issues that have been described in your FY 2012-1016 year plan of work.
- Brief 2-3 sentence non-technical summary of the program's economic, environmental, and/or social impact.
- List of significant RREA funding-supported publications issued during the reporting period.
- Submission – The report is submitted electronically to the CRIS. NOTE: Unless you have complete access to CRIS, your CRIS Site Administrator must submit the report into CRIS. You may have the ability to enter the report into CRIS but final submission is done by your Site Administrator.

2. Popular Report – Deviations from the prescribed format and content below will result in the annual report being DEFERRED until the necessary corrections are made.

   This is a one-page fact sheet submitted by each institution that receives RREA funding. It should provide convincing and compelling evidence that your institution offers high quality educational programs focused on one or more the RREA Goals and Crosscutting Issues. This report will be used in a variety of ways: posted on the RREA web site; provided to USDA officials in advance of trips to individual states and institutions; distributed to other USDA agencies and other departments whose program goals include outreach and possible collaboration with the Cooperative Extension System; provided to stakeholders, including funders, as appropriate. The Popular Report should also have utility for the institution in demonstrating to university and extension administrators and program partners how extension reaches target audiences with impactful programs.

   Format

   - Overall length – one page maximum
   - Use the file name: [institution]_RREA_[fiscal year]
   - Use Times New Roman, regular 12-point font, for all text
   - Margins: Top: 1.0" preferred, 0.75" minimum
Bottom: 1.0" preferred, 0.50" minimum
Right & Left: 1.0"
   - Save the document in Word format **ONLY**

   Content

   - One report per institution – If there is more than one RREA institution in your state and if the RREA program is a combined program, one Popular Report may be submitted, but it must contain the names and logos of all institutions (see below).

   - University logo: Insert your university/Extension logo/s (graphic image) at the top of the page

   - Importance of RREA:
In 1 or 2 sentences summarize the primary educational programs and audiences targeted by RREA funds during the reporting period

   - Dollars leveraged by RREA:
In one sentence describe the total dollars leveraged by RREA during the reporting period (or estimate an average over a period of years) and the sources of funds leveraged (e.g., state, county, corporate, nonprofit). RREA funds are often used to match non-federal grants or are blended with other funds to conduct programs. Count all funds associated with projects in which RREA funds were directly involved.

- Success stories:
  Describe 2 to 5 successful Extension programs (1 or 2 sentences each) in which RREA funds were used during the reporting period. Describe the educational content you delivered, audience you targeted, and measured outcomes or impacts. Format each success story as a “bullet point.”

- Quotes from program participants or collaborators:
  Show one or more quotes from Extension program participants or collaborators from other organizations that testify to the value of the educational program supported by RREA funds. Look for quotes on evaluation forms from Extension programs. For each quote, provide the person’s name and title or a phrase describing the educational program in which the person participated (e.g., Participant at Woodland Advisor Training, May, 2007)

- 1 or 2 digital photos with captions:
  Insert 1 or 2 digital photos showing educational activities funded by RREA. Write a caption for each photo. Place photos on the page to create a visually balanced, pleasing layout.

- RREA contact:
  At the bottom of the page, show contact information for one person (preferably the RREA PI) who can answer questions about how RREA funds are being spent in your state.
  [State name] RREA Contact: Name, title, address, phone, e-mail

3. National Quantitative Indicator Data

Quantitative data is required for the indicators for the specific Crosscutting Issues that you identified in the FY 2012-2016 Plan of Work. Data for some indicators may not be available to you, such as outcome data that has not yet been collected. At a minimum, <u>output data must be reported</u>. This data is submitted via a spreadsheet provided by NIFA and will accompany the plan of work approval e-mail notice. You should retain the spreadsheet for use throughout the five-year plan of work period.

<u>Due Dates</u>
All three parts of the Annual Report are due 60 days following the end of the reporting year (<u>fiscal year</u>, NOT calendar year):

- FY 2012 (October 1, 2011 – September 30, 2012) – DUE December 3, 2012
- FY 2013 (October 1, 2012 – September 30, 2013) – DUE December 2, 2013
- FY 2014 (October 1, 2013 – September 30, 2014) – DUE December 1, 2014
- FY 2015 (October 1, 2014 – September 30, 2015) – DUE December 1, 2015

- FY 2016 (October 1, 2015 – September 30, 2016) – DUE December 1, 2016

Submission Formats

Part	Submission
CRIS Annual Accomplishment Report	Submitted electronically to CRIS by an institutions CRIS Site Administrator
Popular Report	Submitted electronically as a one-page Word document. NIFA recipient will be identified in the Request for Annual Report
National Indicators Quantitative Data	Submitted electronically in the NIFA-provided spreadsheet. NIFA recipient will be identified in the Request for Annual Report

Section 6

RREA Formula Grant Opportunity, Allocations, Carryover, and Permitted Uses

Formula Grant Opportunity (FGO) and Allocations

RREA formula funds are awarded based on: 1) the calculated amount using the formula, and 2) an institution's request to receive the funds.

All funds that are awarded by NIFA – competitive, formula, Congressionally-designated projects – require the submission of an application through grants.gov. For the formula programs, this is a two-step process:

- FGO – Initial – At the beginning of a new fiscal year, NIFA will request applications for RREA funds from eligible institutions and will provide the amount that should be requested. If a fiscal year begins without a new appropriation for that fiscal year, the amounts to be requested in the FGO-Initial are typically a portion of the allocation based on the previous year's calculation. The FGO-Initial application provides a mechanism for NIFA to allocate formula funds as soon as possible, within the constraints of any Continuing Resolution or appropriations processes that have not been completed. Every RREA-eligible institution must submit an application through grants.gov in response to the FGO-Initial. RREA Program Leaders should ensure that their Extension Business Office/Administrative Office is taking care of this.
- FGO – Final – Once an appropriation for the fiscal year has been received, an FGO-Final is published by NIFA on grants.gov. It contains a list of the award amounts, by institution. Every RREA-eligible institution must submit an application through grants.gov in response to the FGO-Final. RREA Program Leaders should ensure that their Extension Business Office/Administrative Office is taking care of this.

Carryover

Up to 50% of an annual allocation may be carried over for one additional fiscal year. Carryover of more than 50% must be approved by NIFA. To request permission to carryover excess funds, send an e-mail to the RREA Program Manager and include the following:

- Indicate the fiscal year of the funds being requested for carryover;
- Provide a short (4-6 sentences) description as to how the excess carryover would be used;
- Provide a brief description of the circumstances that resulted in excess carryover, and; and
- Provide a brief description of the internal controls and processes that will be used to avoid future excess carryover.

At the end of the fiscal year after the fiscal year of the award all remaining funds are retrieved by the U.S. Treasury. <u>There are no waivers or recourse to this action</u>.

> EXAMPLE: FY 2012 funds (October 1, 2011-September 30, 2012) must be fully expended by the end of FY 2013 (September 30, 2013)

<u>Permitted uses of RREA funds</u>

In accordance with the Renewable Resources Extension Act of 1978, RREA funds are to “Provide for an expanded and comprehensive extension program for forest and rangeland renewable resources.”

All RREA funds should be allocated to program costs which may include:

- Salary, wages and fringe benefits for extension educators and other program staff;
- Program costs such as:
    - facility rental, publications,
    - travel to educational program sites,
    - website development and maintenance,
    - equipment and supplies,
    - mailing, and
    - other program costs.

Funding for administrative support and program leadership and oversight which does not directly result in the delivery of extension programs should be minimized (e.g., <15 percent).

<u>Prohibited uses of RREA funds</u>

The prohibitions on the use of RREA funds are the same as for all formula funds, and include:

- Food and beverages
- Prizes and promotional materials
- Student tuition (student wages that are directly related to program delivery are allowed)

RREA-specific prohibitions:

- Travel (domestic, international) <u>not related</u> to the planning, delivery, and evaluation of extension forest and rangeland resource programs;
- Research and academic program expenses;
- Programs not focused on forest and rangeland resources (e.g., aquaculture, cropland and pasture water and wildlife; urban nuisance wildlife)

Section 7

Frequently Asked Questions and Answers

1. Why is a separate RREA plan and report required?

The 1998 Agricultural Research, Education and Extension Reform Act (AREERA) requires planning and reporting for specific formula funded programs, including Smith-Lever 3 (b) & (c), Hatch, and McIntire-Stennis. It does not include the Smith-Lever 3(d) funds or other (e.g. RREA) formula funds. Thus, in order to fulfill accountability requirements, each program must develop its own planning and reporting process.

2. What reports are required and to whom are they submitted?

REPORT	SUBMITTED TO
FY 2012-2016 Plan of Work	CRIS
Annual accomplishment report (AD-421)	CRIS
Annual Popular Reports	Karen Grubb – kgrubb@nifa.usda.gov

5-year Plans of Work and Annual Reports will be reviewed by RREA Program Staff. Approved plans and reports are pre-requisites for the allocation of funds.

3. When are the reports due?

FY 2102-2016 5-Year Plan or Work	January 18, 2012
FY Annual Reports (all 3 parts)	December 1 (annually)
FY 2012-2016 Final Report	January 6, 2017

4. What is the RREA "Popular Report"?

This is a 1-page impact report, written in a "popular report" format. It is submitted as a Word file and contains the information described in Section 5 of this Guide. They are used at the local and national level by NIFA to describe the impacts of the RREA program on a state-by-state basis. They are also intended to be used by the RREA institutions to make stakeholders and funders aware of the program impacts in your state or service area.

5. How were the National Reporting Indicators developed?

The indicators were initially developed by a working group of state and federal partners at a special workshop in September, 2005, using the Performance Measures in the RREA

Strategic Plan as the framework. The output of the workshop was then edited and formatted for consistency and clarity. The indicators were reviewed and updated during the development of the FY 2012-2016 RREA Strategic Plan.

6. If the RREA funds are blended with other funding sources, what is to be reported?

Report all program impacts that resulted from RREA funding, regardless of whether the program was exclusively or partially funded by RREA. DO NOT report program impacts that did not involve RREA funds. Because of the blending that occurs in most states, you are asked to estimate the dollar contribution from other sources that a dollar of RREA attracts. (e.g., for every $1 of RREA fund, $X are provided by other sources).The blending and leveraging that occurs with RREA funding is an important overall program indicator of the ability to attract other funding sources.

7. How can a five-year plan be developed when the funding is allocated on an annual basis?

The RREA funding has been relatively stable from year to year. Thus, developing a five-year plan with the expectation of level funding is a reasonable approach. Should the funding be significantly increased or decreased for any given year, you would be notified as soon as possible and given the opportunity to revise the 5-year Plan of Work.

8. Why are RREA institutions asked to focus on only 1-2 cross-cutting issues?

The RREA funding is relatively modest for most institutions. Thus, concentrating limited resources on a small number of cross-cutting issues is more likely to result in real impacts than spreading limited funding across many issues. The one exception to this is if RREA funding has leveraged significant funding from other sources to support impactful education programs on many strategic issues.

9. How are we supposed to do the program evaluation to be able to report impacts and quantitative data?

You should work with your Extension Program Development and Evaluation staff to develop an evaluation plan that is doable and realistic, given the funding level. Allocating RREA funds to do program evaluation is not only allowable but is recommended. Some indicators, such as *outputs* simply require record-keeping (e.g., numbers of events, number of contacts) and is relatively easy and inexpensive to collect. Other data, such as knowledge gained, practices adopted, or acres impacted, require some record-keeping about your "students" so that you can do follow-up surveys or interviews. Some of that data collection might be done by sampling a small number of your students. Because no two extension programs are the same, it is not possible to create and utilize generic data collection instruments. Not doing any program evaluation is not an option in the RREA program. Talk to your extension administration about your need to have evaluation expertise available in your organization.

10. What is the role of my Extension Business Office/Administrative Officer related to the RREA Program?

In addition to your institution's budget process, your Administrative Officer may be the person that submits the application to grants.gov to get your RREA funds every year. No funds are allocated without the submission of the applications that are requested in the Formula Grant Opportunities that are sent to RREA Program Contacts and Extension Administrative Officers.

11. What is the role and purpose of the Project Director/Principle Investigator?

The Project Director/Principle Investigator is the person that NIFA will communicate with regarding planning, delivery, evaluation and budgeting of the RREA program. As the PI, you need to have both program and budget responsibility and authority.

12. How can I plan, conduct and evaluate an RREA program if I don't have any say on how the funding is spent?

This is a significant problem in many institutions. The RREA funding arrives, but program people may have no knowledge of the amount or access to use it. The implementation of electronic reporting, the allocation of funds only after required reports are submitted, and the requirement for each RREA institution to name an *RREA Project Director/Principle Investigator* are intended to address the disconnect between those who administer the RREA program and those who actually deliver the extension programs.

RREA funding is not to be used as a supplemental discretionary fund to cover miscellaneous costs that are not directly related to program development, delivery, and evaluation.

13. Why is an electronic reporting system for research projects being used for extension programs?

Throughout NIFA and across all the missions of land-grant universities, various electronic reporting systems are being used. At NIFA, the Current Research Information System (CRIS) provides for the efficient filing of reports, the ability of extension educators to cut and paste between various reports, and provides searchable data bases that can be used to answer various Administration and Congressional queries about program investments and impacts.

14. How should RREA be recognized as a funding source on extension publications, programs, etc.?

As with most funders of programs, NIFA requires that the funding source be acknowledge. In most cases this is done with the standard phrasing on most extension publications. Additionally, it would be helpful if you would acknowledge RREA funding on any programs and publications that are partially or fully funded by RREA. Some possible wording for your use:

"This [program] [publication] [newsletter] [website] is funded by the Renewable Resources Extension Act (RREA)"

"This [program] [publication] [newsletter] [website] is funded in part by the Renewable Resources Extension Act (RREA)"

Section 8
Program and Formula Funds Staff

For questions about the overall program and the strategic plan:
Eric Norland
National Program Leader, Forest Resource Management
202-401-5971
enorland@nifa.usda.gov

Jim Dobrowolski,
National Program Leader, Rangeland and Grassland Ecosystems
202-401-5016
jdobrowolski@nifa.usda.gov

For questions about RREA and Forest Resources:
Eric Norland

For questions about RREA and Rangeland Resources:
Jim Dobrowolski

For questions about the submission of plan of work, plan of work revision, and annual reports:

Karen Grubb
Program Specialist, Division of Climate Change
202-401-4601
kgrubb@nifa.usda.gov

or

Greg Sixt
Program Specialist, Division of Environmental Systems
202-401-3353
gsixt@nifa.usda.gov

For questions about the Formula Grant Opportunity (FGO) and formula award processes:

Brenda Barnett
Supervisory Grants and Agreements Specialist, Awards Management Division
202-401-6520
bbarnett@nifa.usda.gov