

# **Cooperative Extension Programs at 1862 Land-grant Institutions (Special Needs)**

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

**APPLICATION DEADLINE:     **January 10, 2011****

 **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  
(SPECIAL NEEDS)**

**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 **January 10, 2011** at 5:00 p.m. Eastern Time.

**EXECUTIVE SUMMARY:** The National Institute of Food and Agriculture (NIFA) requests applications for the FY 2011 formula grants authorized under the Smith-Lever Act for special needs (Special Needs). These funds are used to support extension activities identified in the eligible institution's approved 5-Year Plan of Work. Special Needs funds are allocated to a State Cooperative Extension Service to fulfill a purpose or overcome a condition peculiar to the State, as compared to the country as a whole, or for a purpose not normally a part of the continuing extension program.

NIFA anticipates the amount available for this program in FY 2011 is approximately \$1,029,979.

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

## What's New for FY 2011?

- The FY 2011 formula grant awards will be disbursed through the Automated Standard Application for Payment System (ASAP) operated by the Department of Treasury's Financial Management Service. All FY 2009 and prior formula grant awards will continue to be disbursed via the Payment Management System (PMS) operated by the Department of Health and Human Services (DHHS). Applicants can receive instructions on how to access ASAP and how to inform NIFA, Financial Operations Division (FOD) of their account number to use to make disbursements by emailing ASAP Customer Service at [ASAPCustomerService@nifa.usda.gov](mailto:ASAPCustomerService@nifa.usda.gov).
- There will be two submissions in FY 2011:
  - Initial – For an estimated amount (see Appendix A) based on the FY 2010 allocation amounts.
  - Final – Based on the actual appropriated amount for FY 2011 and actual formula distribution for FY 2011. The tentative release date is within 45 days of the enactment of the FY 2011 Appropriations Act.
- No Standard Form (SF) 424-A, Budget Information for Non-Construction Programs, and no Budget Narrative Attachment Form are required for either the initial or final submissions for FY 2011.
- The Application Package for the initial or final submissions will include:
  - Application for Federal Assistance Standard Form (SF) 424 Research and Related (R&R)(Required)
  - NIFA Supplemental Information Form (Required)
  - *NIFA will use the Supplemental Information Form to capture all necessary attachments for this initial submission of the SF 424 R&R application (i.e., matching waiver requests, Key Contacts (via pdf attachment)).*
  - NIFA will **NOT** be using the Key Contacts Form. That information will be captured through the SF 424 R&R. Please refer to instructions in this FGO for more detailed information. NIFA will be capturing the information for three key contacts, and each organization will determine who those individuals are.
    - Block 5 should reflect the person responsible for fiscal/financial issues.
    - The AOR must have the authority to represent and bind the organization for any agreement.
    - The name of the Project Director will be reflected on the NIFA-2009, and it is suggested that the Research Director would be an appropriate person.
  - NIFA plans to issue all FY-2011 Formula Grants on the NIFA-2009 form. This form is also used to issue non-formula grants.
- Effective October 1, 2010, formula grantees are not required to submit a SF-425 (previously SF-272) Federal Financial Report to NIFA. Formula grantees ARE required to submit an annual SF-425 (previously SF-269) Financial Status Report. However, formula grantees ARE required to adhere to the Department of Health and Human

Services, Payment Management System quarterly reporting requirements (SF 425) for FY 2009 and prior year funds.

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

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

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

Sections 3(b)(1) and 8 of the Smith-Lever Act provide the basis of funding special needs agricultural extension programs at 1862 Land-grant institutions.

Funds are allocated under this program to a State Cooperative Extension Service to fulfill a purpose or overcome a condition peculiar to the State, as compared to the country as a whole, or for a purpose not normally a part of the continuing extension program.

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 2011, although NIFA will require both an initial submission (estimated on the 2010 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies 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 in

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; and
- Indirect costs and tuition remission are unallowable costs.

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 2011, NIFA will be revising this manual and promulgate administrative provisions for this program through rulemaking which includes a public comment period.

The 2010 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act (Pub. L. 111-80) provides \$1,029,979 for this program under the Smith-Lever Act.

## **B. Purpose and Priorities**

The purpose of this funding is to increase the level of agricultural extension work.

## **PART II—AWARD INFORMATION**

### **A. Available Funding**

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

Special Needs funds are expected to be fully expended in the fiscal year of appropriation; however funds may be carried over to subsequent years for up to four years after the end of the year for which they were appropriated.

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

In FY 2011, pre-award form submissions must be submitted to Special Needs 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 2012-2016 (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports are due by April 1, 2011.

### **C. Project Types**

Applicants should request funding for the amounts listed in Appendix A to this announcement. NIFA will fund the Special Needs Program in FY 2011 for extension activities identified in the eligible institution’s approved 5-Year Plan of Work.

## **PART III—ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

Applications may be submitted by the following 1862 Land-grant Institutions: University of Alaska-Fairbanks, University of Arizona, Colorado State University, University of Idaho, Kansas State University, Montana State University, University of Nebraska, University of Nevada-Reno, New Mexico State University, North Dakota State University, Oregon State University, South Dakota State University, Texas A & M University, Utah State University, University of Vermont, 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**

1862 Land-grant Institutions in the 50 States must match 100 percent of the Special Needs funds they receive with funds from non-Federal sources such as State or county appropriations. The matching must be in the form of cash. Matching funds must be used for extension activities approved in the eligible institution's 5-Year Plan of Work.

## **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-003383**” in the appropriate box and click “Download Package.” From the search results, click “Download” to access the application package.

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

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

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

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

### **General**

Each grant application must contain an “Application for Federal Assistance,” Form SF-424(R&R) and NIFA Supplemental Information Form. These forms should be completed in accordance with the instructions accompanying the form on the grants.gov website. The following are the government-wide instructions followed by *agency specific guidelines*, if any, for each data element for each form:

### **Grant Application Package**

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

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

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

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

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

- **1. SF424 (R&R)- Cover Page**
  - Open and complete document SF424 (R&R) first as this page will pre-populate information on pages where the same information is requested;
    - **Box 1** – Type of Submission:
      - Pre-application – unless specified in a program announcement this field is NOT used by NIFA
      - *Application* – check new application (all applications are new; the type of application – New, Resubmission, Renewal or Revision is collected and identified in box 8).
    - *Changed/Corrected Application* – N/A
    - **Box 2** – Date Submitted and Applicant Identifier
      - Leave the “Date Submitted” box blank.
      - Applicant Identifier – If you wish to use a unique identification number for your own purpose, enter it here. Applicant use only. *Use or leave blank.*
    - **Box 3** – Date Received by State and State Application Identifier
      - Enter the date received by the State, if applicable. Enter in format mm/dd/yyyy. State use only. *Use or leave blank.* Enter the identifier assigned by the State, if applicable. State use only. *Use or leave blank.*
    - **Box 4a** – Federal Identifier
      - Enter the number assigned to your organization by the Federal agency. This field is for use when an institution has its own system for tracking application. This field allows the applicant to enter its application identifier on the application. *Leave blank.*
    - **Box 4b** Agency Routing Number
      - To be entered only if agency specific instructions indicate. *Leave blank.*
    - **Box 5** – Applicant Information

- **Organizational DUNS Number:** Enter the Organization’s D-U-N-S number (received from D&B) or the D-U-N-S +4 number (if available);

Legal Name: Enter the name of the institution.

Address: Enter complete address of applicant. Enter the institution’s mailing address.

Person to be contacted on matters involving this application – For the person to contact on matters related to this submission: name, organizational affiliation (if affiliated with an organization other than the applicant organization, e-mail address, phone number, and fax number. *Enter the contact information for the person responsible for fiscal/financial issues.*

- **Box 6 – Employer Identification:** Enter either the Employer Identification Number (EIN) or Taxpayer Identification Number (TIN) as assigned by the Internal Revenue Service.
- **Box 7 – Type of Applicant.** From the drop down menu select the appropriate code letter and enter in the space provided. Code letters **O, P, Q, R, S, T, U, V,** and **W** are not applicable.

**A.** State Government

**B.** County Government

**C.** City or Township Government

**D.** Special District Government

**E.** Regional Organization

**F.** U.S. Territory

**G.** Independent School District

**H.** Public/State Controlled Institution of Higher Education

**I.** Indian/Native American Tribal Government (Federally Recognized)

**J.** Indian/Native American Tribal Government (Other than Federally Recognized)

**K.** Indian/Native American Tribally Designated Organization

**L.** Public/Indian Housing Authority

**M.** Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)

**N.** Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)

**X.** Other (specify in accordance with agency instructions)

- **Box 8 – Type of Application**
  - New - application being submitted for the first time or is considered an “initial” application. Check new for the initial FGO submission.
  - Resubmission – Select “Resubmission” when your institution has filed an accepted “New/Initial” or “Update” package and now

desires to revise any of the information on those applications, such as its key contact personnel or matching funds available. Any matching waiver requests would be attached to this package, as well.

- Renewal - application requesting continued funding (*previously known as competing continuation*) *N/A Leave blank.*
  - Continuation - non-competing application (*previously known as Progress Report*) - *N/A Leave blank.*
  - Revision – Select “Revision” if your institution discovers an error or omission in the “New/Initial”, or “Resubmission” application, or if you are requested to do so by NIFA as the result of its review of the application. Leave blank.
- 
- **Box 8.** A-E: N/A
    - A. Increase Award
    - B. Decrease Award
    - C. Increase duration
    - D. Decrease duration
    - E. Other - provide written explanation, i.e., any other change in the terms and conditions of the existing award
  - **Box 9** - Name of Federal Agency - will be pre-filled
  - **Box 10** - Do not complete Catalog of Federal Domestic Assistance. Number (CFDA) - will be pre-filled or left blank.
  - **Box 11** - Descriptive Title of Applicant’s Project - fill in with the Project Title
  - **Box 12** - Enter proposed start and end dates – use format: MM/DD/YYYY. *Enter 10/1/2010- 09/30/2011.*
  - **Box 13** - Congressional district of the Applicant Organization - Enter Applicant: Applicant-Enter the applicant’s congressional district. Enter the congressional district. *Enter the Congressional district where the main campus is located.*
  - **Box 14** - Project Director/Principal Investigator – complete all boxes in this section. Note that the nine digit zip code is required. It is suggested that the name and information of the Extension Director be included in this box. This name will appear on the official award document that NIFA anticipates using for FY 2011.
- 
- **Box 15** - Estimated Project Funding –
    - **15.a**-Enter the amount requested from the Federal agency. If the agency has specified an amount, enter that amount. *Enter your institution’s actual FY 2010 allocation as listed in Appendix A to this announcement.*

- **15.b.** Total Non-Federal Funds Requested: Enter the amount of funds from all other sources (i.e., match). *Institutions are not required to match; enter “0”.*
  - **15.c.** Total Federal & Non-Federal Funds: Enter total amount of Federal funds requested plus the non-federal (i.e. match) amounts.
  - **15.d.** Estimated Program Income: Enter amount of estimated program income to be generated from this project. Leave blank.
- **Box 16** - Select “Program is not covered by E.O. 12372”.
  - **Box 17** - **By signing this application, I certify (1) to the statements contained in this list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any Administrative and National Policy requirements (as identified under Part VI, B) if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)**  
Application is to be signed by the State Extension Director or 1890 Administrator, or his or her designee, of the applicant organization. *The required assurances designated here includes the institutions compliance with all Federal laws and regulations associated with receipt of Federal Domestic Assistance for this program, including the matching certification and certification regarding lobbying activities. By hitting the submit button of the application, the State Extension Director or 1890 Administrator, or his or her designee, certifies to the above.*
  - **Be sure to click on the “I agree” button.** Although this box is for the AO to certify, if this box is not checked, an error message will result.
  - **Box 18** - If applicable, attach the SFLLL (Standard Form LLL, Disclosure of Lobbying Activities). N/A
  - **Box 19** - Authorized Organizational Representative (AOR) - Also known as Signing Official. To be signed by the State Extension Director or 1890 Administrator, or his or her designee, of the applicant organization. Enter the name, title, phone number, e-mail address, and fax number of the State Extension Director or 1890 Administrator, or his or her designee.
  - **Box 20** - Pre-Applications - Unless specifically noted in a program announcement, do not use pre-applications - *leave blank*

## 2. NIFA Supplemental Information Form (Required)

1. **Funding Opportunity Name:** *No entry required. This is pre-populated from the opportunity package.*  
**Funding Opportunity Number:** *No entry required. This is pre-populated from 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 Special Needs 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 “SLSN.”*
3. **Type of Applicant:** *No entry required. This will be pre-populated from your entry on Form SF-424(R&R)*
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 University” from the drop down menu in this block.*
5. **Supplemental Applicant Types:** *Please check all that apply.*
6. **DHHS Account Information:** *This information will no longer be utilized as payments will be made via the Automated Standard Application System (ASAP) operated by the Department of Treasury’s Financial Management Service. Provide your institutions ASAP recipient ID number.*
7. **Key Words:** Enter the most relevant key words which describe the proposed project. This field is required. *Enter “Not applicable.”*
8. **Conflict of Interest List:** *Leave blank. Do not attach a conflict of interest list. NIFA will use this field to capture all necessary attachments for this submission of the initial SF 424 R&R application (i.e., matching waiver request, Key Contacts (via pdf attachment)).*

### 3. 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 **Sign 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).

## REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION

In accordance with the Office of Management and Budget guidance published in the Federal Register (FR), 75 FR 55663, on September 14, 2010, “Requirements for Federal Funding Accountability and Transparency Act Implementation,” awardees must comply with the requirements of this award term.

### a. Reporting of first-tier subawards

1. **Applicability.** Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

**2. Where and when to report.**

- i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsr.gov>.
- ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

**3. What to report.** You must report the information about each obligating action that the submission instructions posted at <http://www.fsr.gov> specify.

**b. Reporting Total Compensation of Recipient Executives**

**1. Applicability and what to report.** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

- i. the total Federal funding authorized to date under this award is \$25,000 or more;
- ii. in the preceding fiscal year, you received--
  - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the transparency Act, as defined at 2 CFR 170.320 (and subawards); and
  - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
- iii. The public does not have access to information about the compensation of the Executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

**2. Where and when to report.** You must report executive total compensation described in paragraph b.1. of this award term:

- i. As part of your registration profile at <http://www.ccr.gov>.
- ii. By the end of the month following the month in which this award is made, and annually thereafter.

**c. Reporting of Total Compensation of Subrecipient Executives**

**1. Applicability and what to report.** Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total

compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if--

- i. In the subrecipient's preceding fiscal year, the subrecipient received--
  - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
  - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

- ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

**2. Where and when to report.** You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

- i. To the recipient.
- ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- i. Subawards, and
- ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions

For purposes of this award term:

1. **Entity** means all of the following, as defined in 2 CFR part 25:

- i. A Governmental organization, which is a State, local government, or Indian tribe;
- ii. A foreign public entity;
- iii. A domestic or foreign nonprofit organization;

- iv. A domestic or foreign for-profit organization;
- v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. **Executive** means officers, managing partners, or any other employees in management positions.

3. **Subaward:**

- i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ---- .210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).
- iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. **Subrecipient** means an entity that:

- i. Receives a subaward from you (the recipient) under this award; and
- ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. **Total compensation** means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- i. Salary and bonus.
- ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- v. Above-market earnings on deferred compensation which is not tax-qualified.

- vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## **CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER REQUIREMENTS**

In accordance with the Office of Management and Budget guidance published in the Federal Register (FR), 75 FR 55671, on September 14, 2010, “Financial Assistance Use of Universal Identifier and Central Contractor Registration,” awardees must comply with the requirements of this award term.

### **Requirement for Central Contractor Registration (CCR)**

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

### **Requirement for Data Universal Numbering System (DUNS) Numbers**

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

### **Definitions**

For purposes of this award term:

1. *Central Contractor Registration (CCR)* means the Federal repository into which an entity must provide information required for the conduct of a business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
2. *Data Universal Numbering System (DUNS) number* means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
3. *Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

- a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. *Subaward*:
- a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, *see* Sec .210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).

### **C. Certifications**

By signing the application the applicant is providing the required assurances noted below:

Each entity that applies and does not have an exemption under Sec. 25.110 of 2 CFR will: (1) Be registered in the Central Contract Registry (CCR) prior to submitting an application or plan; (2) Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or plan under consideration by an agency; and (3) Provide its DUNS number in each application or plan it submits to the agency.

Each entity that applies and does not have an exception under Sec. 170.110(b) of 2 CFR ensures that they have the necessary processes and systems in place to comply with the reporting requirements identified in Appendix A to Part 170 should they receive funding.

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

The application package containing an “Application for Federal Assistance,” Form SF-424 (R&R) and NIFA Supplemental Information Form should be submitted online at the [www.grants.gov](http://www.grants.gov) website by COB on **January 10, 2011** (5:00 p.m. Eastern Time).

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

**If an applicant has not received an acknowledgment within 60 days of the submission, the applicant must contact the Agency contact (see Part VII) immediately and ask for the application number assigned to the application. Failure to do so may result in the**

**application not being processed and funding being held.** Once the application has been assigned an application number, this number should be cited on all future correspondence.

## **E. Funding Restrictions**

No portion of Federal funds allotted under Special Needs grant 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 the Smith-Lever Act.

### **(1) Approved NIFA Special Needs Projects**

Special Needs Federal funding must be used on extension activities identified in the institution's approved 5-Year Plan of Work.

### **(2) Matching**

The Special Needs program requires that Federal funds be fully matched (i.e., 100 percent) by 1862 Land-grant Institutions.

### **(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 Special Needs formula grant expenditures.

## **F. Other Submission Requirements**

Plan of Work reporting requirements should be submitted to the Planning, Accountability, and Reporting Staff through the website established for this purpose (<http://pow.nifa.usda.gov>). Required submissions include the 5-Year Plan of Work Update for FY 2012-2016 and the Annual Report of Accomplishments and Results. These reports are due April 1, 2011.

Form NIFA-REPT (Rev. 07/2010) Supplement to Annual Report of Accomplishments and Results, Multistate Extension Activities and Integrated Activities, are due by April 1, 2011 for fiscal year 2010.

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

The Planning, Accountability and Reporting Staff and the OGFN Formula Grants Branch will be reviewing submitted documents to determine if all program, financial, and administrative requirements have been met and are current.

## **PART VI—AWARD ADMINISTRATION**

### **A. General**

The Planning, Accountability and Reporting Staff will notify the OGFМ Formula Grants Branch 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 OGFМ Formula Grants Branch 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 — NIFA 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 FY 2012-2016 and Annual Report of Accomplishments and Results were due April 1, 2010 for online submission at the web address:  
<http://pow.nifa.usda.gov>.

### **PART VII—AGENCY CONTACT**

For questions regarding the Special Needs Program, please contact: Dr. Michael Fitzner, Division Director, Division of Plant Systems - Protection, 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 please contact: Brenda Barnett, Office of Grants and Financial Management, NIFA/USDA, Stop 2271, 1400 Independence Avenue, SW, Washington, DC 20250-2271; Telephone: (202) 401-6520; Fax: (202) 690-3002; E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov).

For questions relating to the 5-Year Plan of Work Update for FY 2012-2016 or the Annual Report of Accomplishments and Results, please contact Bart Hewitt, Planning, Accountability, and Reporting Staff, NIFA/USDA, Stop 2214, 1400 Independence Avenue, SW, Washington, DC 20250-2214; Telephone: (202) 720-0747; Fax: (202) 720-4730; 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 2011 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 #2011-41200 (Smith-Lever 3(b) and 3(c), 2011-42000 (DCPPERA), 2011-41200 (Special Needs))  
FY 2011 Initial  
Appendix A**

<b>State</b>	<b>Institution</b>	<b>Payee</b>	<b><u>Grant Number</u></b>	<b>Initial FY 2011 Allocation</b>	<b><u>Matching Requirement</u></b>
Alaska	University of Alaska-Fairbanks	0200E	2011-41200-00200	\$ 41,081	\$ 41,081.00
Arizona	University of Arizona	0300E	2011-41200-00300	111,504	111,504
Colorado	Colorado State University	0600E	2011-41200-00600	68,134	68,134
Idaho	University of Idaho	1200E	2011-41200-01200	74,412	74,412
Kansas	Kansas State University	1600E	2011-41200-01600	37,557	37,557
Montana	Montana State University	2600E	2011-41200-02600	92,179	92,179
Nebraska	University of Nebraska	2700E	2011-41200-02700	42,358	42,358
Nevada	University of Nevada-Reno	2800E	2011-41200-02800	84,519	84,519
New Mexico	New Mexico State University	3100E	2011-41200-03100	95,522	95,522
North Dakota	North Dakota State University	3400E	2011-41200-03400	72,135	72,135
Oregon	Oregon State University	3700E	2011-41200-03700	36,301	36,301
South Dakota	South Dakota State University	4200E	2011-41200-04200	34,570	34,570
Texas	Texas A&M University	4400E	2011-41200-04400	91,221	91,221
Utah	Utah State University	4500E	2011-41200-04500	93,188	93,188
Vermont	University of Vermont	4600E	2011-41200-04600	11,347	11,347
Wyoming	University of Wyoming	5100E	2011-41200-05100	43,951	43,951
	<b>Total</b>			<b>\$ 1,029,979</b>	<b>\$ 1,029,979.00</b>