

# National Institute of Food and Agriculture Grants Application Guide

NIFA Office of Grants and Financial Management

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## I. Introduction

This Application Guide will help you prepare and submit Grant applications to NIFA through Grants.gov. Where appropriate, relevant sections of the Grants.gov User Guide & NIFA Policy guide have been incorporated by reference.

Applicants for all types of NIFA grants can use this guide to prepare for the pre-award and application processes.

### I.100 Acronyms Used in this Guide

- ADO: Authorized Departmental Officer
- AFRI: Agriculture and Food Research Initiative
- AO: Authorizing Official
- AOR: Authorized Organizational Representative
- CFDA: Catalog of Federal Domestic Assistance
- FO: Funding Opportunity
- IRB: Institutional Review Board
- NIFA: National Institute of Food and Agriculture
- OGFM: Office of Grants and Financial Management
- OMB: Office of Management and Budget
- RFA: Request for Application
- SAM: System for Awards Management
- SBIR: Small Business Innovation and Research
- UEI: Universal Entity Identifier
- USDA: U.S. Department of Agriculture

## I.200 Glossary of Applicant Resources

Applicants to NIFA grant opportunities will have access to a variety of websites and guides to help them through the grant process. A brief list of these essential resources is below.

### Grants.gov

Grants.gov is a government website that provides a centralized location for grant seekers to find and apply for federal funding opportunities. Today, the Grants.gov system houses information on over 1,000 grant programs and vets grant applications for federal grant-making agencies.

NIFA's funding opportunities are posted to Grants.gov, and applications can be submitted through the Grants.gov Workspace portal.

### NIFA Policy Guide

The NIFA Federal Assistance Policy Guide describes the statutory and regulatory responsibilities of NIFA federally funded recipients.

The Policy Guide continues to provide comprehensive guidance on roles and responsibilities, application and review processes, award notification and administration procedures, award terms and conditions, uniform administrative requirements, allowable costs, reporting requirements, close-out procedures and audit requirements.

The latest version of the NIFA Policy Guide can be found at [NIFA's Federal Assistance Policy Guide page](#).

## Request for Applications (RFA)

A request for applications (RFA) is a notice that provides potential applicants with detailed information about an opportunity to submit an application for Federal financial assistance.

The notice generally includes the purpose, eligibility, restrictions, focus areas, evaluation criteria, and regulatory information and instructions on how to apply.

NIFA's upcoming RFAs are posted on [NIFA's RFA List](#).

## Terms and Conditions

Award terms and conditions are determined by statutory, regulatory, and agency requirements, as well as each grant's circumstances. Terms and conditions dictate important items related to your grant, including method of payment, reporting frequency and content, and prior approval requirements.

References to the terms and conditions of your award are located on the Notice of Award. NIFA's general award terms and conditions apply to all research and research-related (i.e., research, education, and extension) grants, cooperative agreements, and special projects, awarded to institutions of higher education, hospitals, and other non-profit and for-profit organizations, except Capacity, 1890 Facilities, and Small Business Innovation Research Programs (SBIR).

More information can be found on [NIFA's Terms and Conditions](#) page.

## I.300 Grant Types and Requirements Overview

NIFA offers three types of grants to support food and agricultural programs.

- [Competitive Grants](#): Applicants compete for limited grant funds. Applications are subject to a rigorous peer review process.
- [Non-Competitive Grants](#): Non-competitive grants are directed by Congress to support designated institutions for research, education, or extension on topics of importance to a state or region.
- [Capacity Grants](#): These grants are intended for land-grant institutions, schools of forestry, and schools of veterinary medicine to fund research and extension activities. The amount of funds provided to each institution is determined by a formula, which is often statutorily defined. Capacity grants were formerly called Formula Grants.

## I.400 The NIFA Grants Process

NIFA has a four-stage grant process that applies to grants and cooperative agreements administered by the agency.

Before applying to a funding opportunity with NIFA, it's important to familiarize yourself with the grant and pre-award process.

The stages of the grant process are:

1. Pre-Award
2. Award
3. Post-Award
4. Close Out



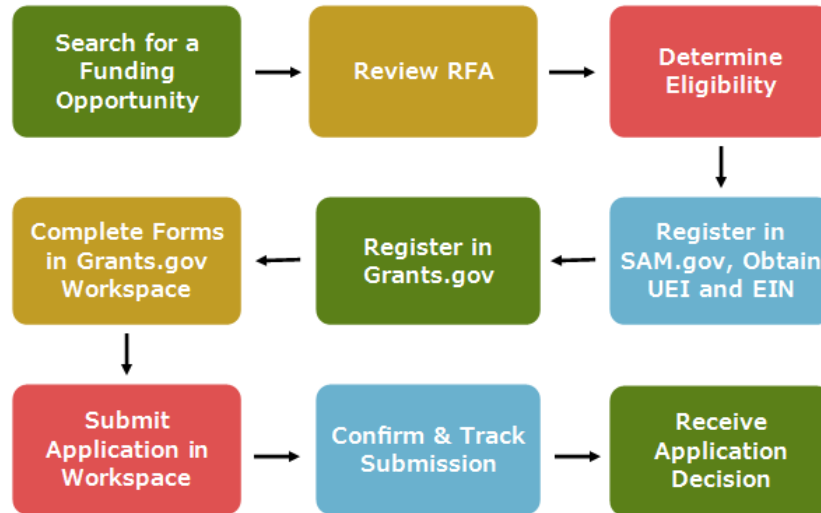
This Grant Application guide covers the initial “Pre-Award” Phase of NIFA’s grant process. Successful applicants will work closely with NIFA program staff to navigate the Award, Post-Award and Close Out Processes.

NIFA program staff are key resources for questions related to funding opportunities that may arise during the pre-award application process. Information on how to contact the NIFA program staff responsible for a given funding opportunity can be found in the Request for Application (RFA) for that opportunity.

The Pre-Award Phase consists of the following steps:

- [III.100: Search for a Funding Opportunity](#)
- [III.200: Review RFA](#)
- [III.300: Determine Eligibility](#)
- [III.400: Register in SAM.gov & Obtain UEI and EIN](#)
- [III.500: Register in Grants.gov](#)
- [IV.100: Complete Forms in Grants.gov](#)
- [IV.300: Submit Application in Workspace](#)
- [VI.100: Confirm and Track Submission](#)
- [VI.300: Receive Application Decision](#)

## Pre-Award Applicant Roadmap



### I.500 Top Tips for Grant Applicants

- Refer to the Request for Applications (RFA) for your funding opportunity to find the most critical information needed to prepare your application. RFAs provide application deadlines, a list of required forms, attachment formatting requirements and contact information for NIFA program staff.
- Allow enough time to complete all required steps before the close of the application deadline. Some steps, like registering your organization on SAM.gov, can take 4-6 weeks to complete.
- Questions about applicant eligibility or the specific funding program that you are interested in should be directed to the NIFA program staff listed in the RFA.



## II. Helpful Links & Contact Information

NIFA and Grants.gov provide a variety of resources to assist grant applicants. Please review the resources below or contact NIFA's Office of Grants and Financial Management (OGFM) staff with any questions that may arise during the grant application process.

### NIFA Resources

- [Search for funding opportunities](#)
- [General Grant Writing Tips for NIFA Competitive Grant Proposals](#)
- [Overview of the NIFA Peer Review Process for Competitive Grant Applications](#)

### Grants.gov Resources

- [How to apply for grants](#)
- [How to register on Grants.gov](#)
- [Grants.gov training videos](#)
- [How to use Grants.gov Workspace](#)
- [Grants.gov FAQs](#)
- [Grants.gov Help](#)

### Contact Information

- Questions about Grants.gov or Workspace:  
[Grants.gov Help: Support@Grants.gov](mailto:Support@Grants.gov)
- General questions about the NIFA grant application process:  
[NIFA Office of Grants and Financial Management \(OGFM\) Support: GrantApplicationQuestions@usda.gov](mailto:GrantApplicationQuestions@usda.gov)
- Questions about the SBIR program:  
[Small Business Innovation and Research \(SBIR\) Support](#)

Request for Funding Applications (RFAs) and Funding Opportunity (FO) announcements will contain contact information of NIFA program staff working on a particular funding opportunity. All specific questions regarding that funding opportunity should be directed to NIFA program staff.

## III. Prepare to Apply

The Pre-Application process consists of several steps. It's critical for applicants to understand this process and to be aware of the time that it will take to complete each step.

### III.100 Step 1: Search for a funding opportunity

Applicants can locate funding opportunities and RFAs through [Grants.gov](https://www.grants.gov). Grants.gov lists opportunities from many different federal agencies, including NIFA.

In [Grants.gov](https://www.grants.gov), you can search for funding opportunities by navigating to the “Search Grants” tab of the website.



GRANTS.GOV<sup>SM</sup>  
FIND. APPLY. SUCCEED.<sup>SM</sup>

HOME LEARN GRANTS SEARCH GRANTS

GRANTS.GOV > Search Grants

## SEARCH GRANTS

BASIC SEARCH CRITERIA:

Keyword(s):

Opportunity Number:

CFDA:

SEARCH

On this page, applicants can search by keyword, Funding Opportunity Number (FO) number or Catalog of Federal Domestic Assistance (CFDA) number. Search results can be filtered by Opportunity Status, Funding Instrument type, Eligibility, Category, and Agency.

You can find current NIFA funding opportunities by filtering results by Agency (“NIFA”) and Opportunity Status. Choose Opportunity Status “Posted” to view Current Opportunities and the status “Forecast” to view anticipated funding opportunities.

This Grants.gov search for NIFA funding opportunities will provide search results that include the following information:

- Opportunity Number
- Opportunity Title
- Agency: USDA: NIFA
- Opportunity Status
- Posted Date
- Close Date

• AGENCY: [X] National Institute of Food and Agriculture

Search Tips | Export Detailed Data | [Save Search »](#)

SORT BY:        DATE RANGE:

**1 - 9 OF 9 MATCHING RESULTS:**

Opportunity Number	Opportunity Title	Agency	Opportunity Status	Posted Date ↓	Close Date
<a href="#">USDA-NIFA-HSI-008701</a>	Hispanic-Serving Institutions Education Grants Program	USDA-NIFA	Posted	11/10/2021	01/28/2022
<a href="#">USDA-NIFA-BRAP-008702</a>	Biotechnology Risk Assessment Research Grants Program	USDA-NIFA	Posted	11/10/2021	02/15/2022
<a href="#">USDA-NIFA-SLBCD-008682</a>	Assistive Technology Program for Farmers with Disabilities (AgrAbility)	USDA-NIFA	Posted	11/03/2021	01/13/2022

After selecting a given opportunity, the user will be taken to the “View Opportunity Page” which will provide a synopsis of the FO.

On the “View Opportunity Page” for the selected FO, you can find tabs for:

- Synopsis: Provides basic information on the FO, including posting and closing dates, award ranges, basic eligibility information and a description of the finding program.
- Version History: Displays modifications or previous versions of the FO, if applicable.
- Related Documents: Provides a link to download a PDF copy of the RFA.
- Package: Provides a link to apply.

Applicants can also search for FOs through [NIFA’s Funding Opportunity Search](#). On the NIFA website, you can search by keyword, Funding Opportunity (FO) number or Catalog of Federal Domestic Assistance (CFDA) number.

Funding opportunity listings available through NIFA's search function will contain the same information as is contained in the Grants.gov Funding Opportunity search.

### III.200 Step 2: Review your selected RFA

The RFA will provide detailed instructions on preparing and submitting your application. The RFA for can be downloaded in the "Related Documents" tab of the Grants.gov funding opportunity page, or through NIFA's grant opportunity page by clicking the "View RFA" button.

Each RFA will list:

- All forms required for a complete application
- A detailed funding opportunity description
- Award information and eligibility criteria
- Application and submission guidance
- Application review requirements
- Evaluation criteria
- Award administration
- Any other information relevant to the funding opportunity.
- Application deadline: [More information on deadlines can be found in this guide.](#)
- Contact information for NIFA Program Staff

Questions regarding information provided in the RFA should be directed to NIFA program staff.

Program staff contact information can be found in the Appendix I: Agency Contact section of the RFA.



**Note: RFA instructions always supersede application instructions in this guide.**

### III.300 Step 3: Determine eligibility

To determine eligibility for a funding opportunity, interested applicants should carefully review the RFA. NIFA RFAs contain a comprehensive "Eligibility" section located in Part III, Section A.

Failure to meet the eligibility criteria listed in the RFA by the application deadline may result in exclusion from consideration or may preclude NIFA from making an award.

Any questions related to eligibility for a funding opportunity should be directed to NIFA program staff. Program staff contact information can be found in the "Appendix I: Agency Contact" section of the RFA and on the FO Page on NIFA's website.



**All questions regarding eligibility status should be directed to NIFA program staff.**

### III.400 Step 4: Register in SAM.gov, Obtain UEI and EIN

Before applying to a NIFA funding opportunity, applicants must:

1. Register in SAM.gov
2. Obtain their Unique Entity Identifier (UEI)
3. Obtain their EIN

[Register in SAM.gov.](#)

The System for Award Management (SAM.gov) is an official website of the U.S. Government operated by the General Services Agency (GSA). There is no cost to use or register in SAM.gov. You can use this site to update, renew, or check the status of your entity's registration. You can also find CFDA numbers through SAM.gov's search for grant opportunity listings function.



**Important: Allow 4-6 weeks to complete SAM.gov registration.  
Confirm deadlines to ensure that your application can be submitted on time.**

[Obtain UEI \(Unique Entity Identifier\) number.](#)

After your entity is successfully registered with SAM.gov, your UEI will be automatically generated and viewable in SAM.gov's workspace.

### [Obtain EIN \(Entity Identification Number\).](#)

Applicants should go to IRS.gov to view or apply for their EIN.

## III.500 Step 5: Register in Grants.gov

Watch the video on how to [Register in Grants.gov](#) and create an institutional profile.

Applicants are required to use [Login.gov](#) to sign into Grants.gov. See the [Grants.gov help article](#) for more information on logging in with Logon.gov credentials.

The Grants.gov validation process also includes a check for an active SAM.gov registration. Applicants without a current SAM.gov registration will be rejected.

### Grants.gov User Roles

Grants.gov uses "roles" to determine which tasks each user in your organization is authorized to perform. At the time of organization's registration, your organization designates one or more people with the authority to legally bind your organization in matters related to grants administration.

Some designated individuals (E-Business Points of Contact in Grants.gov) can assign roles to other user accounts to define the functions they are authorized to perform.

- E-Business Point of Contact (EBiz POC)  
The EBiz POC role is designated during organizational registration with System for Award Management (SAM.gov).

The EBiz POC is responsible for managing grant activities for your organization, and they can authorize representatives of your organization to perform specific tasks in Grants.gov. For example, they may assign the Authorized Organizational Representative (AOR) role to users authorized to submit applications.

- Authorized Organization Representative (AOR)

The AOR is the Grants.gov user who has been given the AOR role by the EBiz POC. This enables them to legally bind your institution and assume responsibility for adhering to all federal grant administration requirements.

The AOR signs and submits grant applications and required certifications and assurances for your application.

The EBiz POC at your organization must respond to the registration email from Grants.gov and login at Grants.gov to authorize a user as an AOR. More than one person can be designated as AOR for your organization.

- Custom Roles

Your EBiz POC can also choose to assign users in your organization with custom roles. These users will have varying permissions to complete forms and work on grant applications for your organization.

For additional information on Grants.gov roles visit [Grants.gov's Roles and Privileges](#) resource page.

## IV. Develop your application

NIFA grants are submitted through Grants.gov using the Workspace application. Workspace is used to complete forms, assemble, and submit your grant application package.

The [Grants.gov Workspace](#) exists to make applying for a federal grant as convenient as possible. By leveraging a range of user roles and access levels, applicants can control access to forms, create a custom workflow and save time in completing their application.

For more information about Grants.gov Workspace, visit the following Workspace resources:

- [Grants.gov Workspace Overview](#)
- [Grants.gov Workspace Training Video Series](#)
- [Grants.gov Community Blog articles on Workspace](#)
- [Article: What Is Workspace?](#)
- [Grants.gov Online User Guide](#)



You must have a version of Adobe Reader that is compatible with Grants.gov to access, complete and submit NIFA grant applications in Workspace.

Grants.gov provides an [Adobe Software Compatibility Checker](#) that can determine if you have an acceptable version of Adobe Reader.

Please note, using Internet Explorer as your browser can also cause errors when working on forms in Grants.gov. If you experience issues, access Grants.gov using another browser or contact [Grants.gov support](#) for guidance.

## IV.100 Step 1: Start your Application in Workspace

Log in to your Grants.gov account.

After selecting a funding opportunity, open the 'View Grant Opportunity' page on Grants.gov.

On the 'View Grant Opportunity' page, a "Subscribe" button and an "Apply" button will be available.



GRANTS.GOV™  
FIND. APPLY. SUCCEED.™

HOME | LEARN GRANTS | SEARCH GRANTS | APPLICANTS | GRANTORS | SYSTEM-TO-SYSTEM | FORMS | CONNECT | SUPPORT

GRANTS.GOV > View Opportunity

**VIEW GRANT OPPORTUNITY**

USDA NIFA-TCEG-008681  
Tribal Colleges Education Equity Grants Program  
Department of Agriculture  
National Institute of Food and Agriculture

Apply | Subscribe

- **Subscribe:** Allows you to subscribe to receive any notices (e.g., modifications) sent regarding the funding opportunity.
- **Apply:** Brings you to the Workspace application to begin preparing an application.

To start your application in Workspace, click the ‘Apply’ button or go to the “Package” tab on the View Grant Opportunity page and select the ‘Apply’ action under the available opportunity package.

SYNOPSIS | VERSION HISTORY | RELATED DOCUMENTS | **PACKAGE**

Select Grant Opportunity Package

PLEASE READ BEFORE APPLYING!  
If you view and complete your application package using Grants.gov downloadable PDF forms, you MUST have Adobe Reader installed. You may receive a validation error using incompatible versions of Adobe Reader. To prevent a validation error, it is now recommended you uninstall any earlier versions of Adobe Reader and install the latest compatible version of Adobe Reader. If more than one person is working on the PDF forms, ALL applicants must be using the same Adobe Reader version. [Click for more information on Adobe Reader Compatibility.](#)

Opportunity Package(s) Currently Available for this Funding Opportunity:

CFDA	Competition ID	Competition Title	Opportunity Package ID	Opening Date	Closing Date	Actions
10.221			PKG00270007	11/03/2021	03/15/2022	<a href="#">Preview</a>   <a href="#">Apply</a>

Note: If the apply button in Grants.gov is greyed out or otherwise unavailable for selection while you are logged in to Grants.gov, please contact the [Grants.gov Helpdesk](#). This issue may be due to an application error or because you are not designated as an AOR.

## IV.200 Step 2: Complete an Application with Workspace

To assemble an application, you will need to complete all the required forms and attach all the required elements outlined in the RFA. Workspace allows grant applicants to complete required

forms through the application’s Webforms function or by downloading, filling out and uploading PDFs.

Review the [Grants.gov Applicant Overview: Applying in Workspace](#) resource for instructions on completing online forms and submitting your application using Workspace.

When opening your FO in Workspace, verify the required information corresponds to the grant to which you are applying. Grants.gov should auto-populate the following information:

- Opportunity Package ID
- Catalog of Federal Domestic Assistance (CFDA) Number
- CFDA Description
- Competition ID: NIFA does not use this field. Leave this field blank.
- Opportunity Open Date
- Opportunity Close Date

If these elements are correct, click the button to “Create Workspace.”



**Note:** You will only be able to create and manage a Workspace if you are designated as an Authorized Representative for your organization.

## Preparing Grant Application Attachments

All attachments to your grant application must comply with the formatting requirements in this section and must be in .pdf (portable document format).

Note that NIFA RFAs may include other specific formatting requirements. In these instances, it’s critical to follow the guidelines listed in the RFA. RFA instructions for your grant opportunity

always supersede the instructions in this guide. NIFA may exclude from consideration applications that are not consistent with RFA instructions.

### Required formatting of contents

- Attachments must be created as a typed or word-processed document.
- Use font no smaller than 12 point, regardless of line spacing.

- Use at least 1-inch margins.
- Number each page of an attachment sequentially.
- The RFA will indicate if a page limitation applies.

#### PDF File Format

- NIFA requires that attachments be in .pdf file format to preserve the layout and appearance of submitted documents.

#### File Name Restrictions

- File names of .pdf attachments must be limited to 50 characters.
- Names may not include special characters (e.g., &, -, \*, %, /, #), periods (.), blank spaces or accent marks.
- An underscore (example: Attached\_File.pdf) may be used to separate a filename.
- File names must be unique. No other attachment in the application package may have the same file name.

#### File Protections

- The .pdf attachment must not be password protected.  
Lead institutions of multi-organization applications must ensure that documents from collaborators are not password protected.

#### Attach PDF files to your application

- There is a paper clip icon on the left side of the page in every application.  
Do not attach documents with this function. If you attach documents under this function your application will be incomplete and cause errors.



**RFA instructions supersede these instructions. Applications with attachments that are not compliant with relevant formatting requirements may be excluded from consideration.**

### IV.300 Step 3: Submit a Workspace Package

When all the required forms and attachments for your funding opportunity are complete, you can check your application for errors and submit the application package through Workspace.

You should satisfy the following conditions for an application to be considered.

## Meet the Deadline

A date and time stamp will be attached to the application when you click on the Submit button to electronically send the application to Grants.gov. This date and time stamp determine whether the application was received before the deadline identified in the RFA. An application submitted or resubmitted after the deadline is late.

For an application with a deadline of 5pm EST, the application is considered on time if it is submitted at 5:00.59 pm EST. It would be considered late at 5:01 pm EST.

Note: Consideration of late applications is only given in extenuating circumstances with proper documentation of the issue and approval from NIFA program staff. Extenuating circumstances can include natural disasters or a confirmed Grants.gov outage. Remember to check the RFA carefully for NIFA program staff contact information.



Extenuating circumstances do not automatically ensure that a late application will be accepted.

For more information on this topic, see [NIFA's Resource on Late Application Consideration](#) or contact NIFA program staff with specific questions.

## Successful Grants.gov validation

The Grants.gov system performs a limited check of the application, and Grants.gov will notify you of the outcome of the initial review. The registration process includes obtaining your Universal Entity Identifier (UEI) and checking System for Awards Management (SAM.gov) registration status.

Grants.gov sends applications that are successfully validated to NIFA for further processing. Applications that fail Grants.gov validation may be resubmitted to Grants.gov if NIFA's deadline has not passed.



Grants.gov may allow applications to be submitted after the deadline, but these applications can still be considered late by NIFA.

### Successful Agency Validation

NIFA staff will perform a precursory review of your application. The agency validation process includes ensuring that you have met eligibility requirements and have followed NIFA application guidelines.

This check will also review the formatting of your application, confirm that page limits (if applicable) are met, and that budget requests do not exceed the stated limits from the funding opportunity's RFA.

NIFA will notify you of the outcome of this review.

## V. Detailed Form Instructions

This section contains detailed explanations of how to complete required forms for NIFA grant submissions.

Each RFA will require different forms. Check your selected RFA to determine which forms you will need to complete for a successful grant submission. See below for the major form categories.

#### Category 1: Research and Related (R&R) Forms

The following SF-424 (R&R) forms may be required as part of the application package. Check the RFA to determine which forms will be required for your application.

- [V.100 SF-424 \(R&R\): Application for Federal Assistance](#)
- [V.110 Project/ Performance Site Locations](#)
- [V.120 R&R Other Project Information](#)
- [V.130 R&R Senior/Key Person Profile \(Expanded\)](#)
- [V.140 R&R Personal Data: Senior/Key Person Profile](#)
- [V.150 R&R Budget](#)
- [V.160 SF-424C: Budget information for Construction Programs](#)
- [V.170 R&R Subaward Fed/Non-Fed Budget Attachments Form](#)

#### Category 2: Cross Agency Forms

The following forms are used by other federal agencies when awarding a grant and may be mandatory depending on the grant. Please refer to the RFA to determine that forms will be required for your submission.

- [V.200 AD-3030: Representations Regarding Felony Conviction and Tax Delinquent Status for Corporations](#)
- [V.210 AFRI Project Type Form](#)
- [V.220 SBIR/STTR](#)
- [V.230 Key Contacts](#)

#### Category 3: NIFA Specific Forms & Documents

You may be required to submit NIFA-specific forms and documents as part of your grant application package. See the instructions below to complete these NIFA-specific items.

- [V.300 NIFA Supplemental Information Form](#)
- [V.310 Attachments Form](#)
- [V.320 Data Management Plan](#)

The SF-424 (R&R) collects basic information including type of submission, applicant information, type of applicant, and proposed project dates. This form is required for all grant applications.

Conformance with SF-424 instructions is required and will be strictly enforced unless a deviation has been approved. NIFA may exclude from consideration applications that are not consistent with these instructions.

This form, along with other R&R forms, can be found in grants.gov under [R&R Family of forms listing](#). Instructions are available on Grants.gov to supplement the instructions in this document.

### Field 1: Type of Submission

#### Type of Submission Options:

- Pre-Application  
Only submit a pre-application if specifically required by a NIFA RFA.
- Application  
An "Application" is a request for financial support of a project or activity submitted on specified forms and in accordance with NIFA instructions.
- Change/Corrected Application  
Check this box if you are correcting either system validation errors or application assembly problems that occurred during the submission process. Unless requested by the agency, applicants may not use this to submit changes after the closing date.

#### Note for Changed/Corrected Applications:

You should submit a changed/corrected application only after the appropriate NIFA program staff has been contacted, and your request to change/correct your prior application has been approved.

If you are submitting a changed/corrected application, click the Changed/Corrected Application box and enter the Grants.gov tracking number in the Federal Identifier field.

If this submission is to change or correct a “resubmission”, “renewal”, “continuation”, or “revision” application, leave the Federal identifier field as previously filled with the existing identifier (e.g., Award number). Do not insert the Grants.gov tracking number in these cases.

### Field 2: Date Submitted and Applicant Identifier

Date Submitted: Enter the date the application is submitted to NIFA. Use mm/dd/yyyy format. E.g.: 06/15/2022.

Applicant Identifier: Fill in the “Applicant Identifier” field, if applicable. This field is not required. The Applicant Identifier is reserved for applicant use, not the federal agency to which the application is being submitted.

### Field 3: Date Received by State and State Application Identifier

NIFA does not use this information. Leave these fields blank.

### Field 4: Federal Identifiers

Federal Identifier Options:

- New Applications without Pre-application: Leave this field blank.
- New Applications following Pre-application: Enter the agency-assigned pre-application number.
- Resubmission, Renewal, and Revision Applications: The Federal Identifier is required. Include only the IC and serial number of the previously assigned application/award number (e.g., use CA987654 from 1R01CA987654-01A1).



Additional Instructions for SBIR/STTR: When submitting a Phase II application, enter the Phase I SBIR/STTR grant number in this field. For more information on applying for SBIR/STTR Phase I or Phase II awards, see [NIFA's SBIR/STTR Program Page](#).

- Agency Routing Identifier: NIFA does not use the Agency Routing Identifier field; it may be left blank.
- Previous Grants.gov tracking ID: The “Previous Grants.gov Tracking ID” field is required only if you checked the “Changed/Corrected Application” box in “Field 1. Type of Submission.” A Tracking ID number is of the form, for example, GRANT12345678.

## Field 5: Applicant Information

### Section 1: Applicant Organization

- UEI: Enter the UEI number of the applicant organization. This field is required.
- Legal Name: Enter the legal name of the applicant organization or individual in whose name an award, if awarded, should be made.
- Department: Enter the name of the primary organizational department, service, laboratory, or equivalent level within the organization.
- Division: Enter the name of primary organizational department, service, laboratory, or equivalent level within the organization which will undertake the assistance activity.
- Address: Provide street, city, county/parish, state or province for the applicant organization.
- Zip/Postal Code: The ZIP+4 is required if the applicant organization is located in the United States. Otherwise, the postal code is optional. Enter the ZIP+4 (nine-digit postal code) or postal code of the applicant organization. If you do not know your ZIP+4, look it up on the [USPS Look Up Zip Code](#) website.

### Section 2: Person to be contacted on matters involving this application

This section of the field is for the administrative contact (e.g., AOR or business official), not the PD/PI. This person is the individual to be notified if additional information is needed and/or if an award is made.

- Contact Person Name: First Name and Last Name of Contact Person. Prefix, Middle Name and Suffix, if applicable.
- Position/Title: Enter position/title of contact person.
- Address: Provide street, city, county/parish, state or province for contact person.
- Phone: Enter best phone number for contact person.
- Fax: Enter Fax number of contact person.
- Email: Enter the email address for the person to contact on matters related to the application.

### Field 6: Employer Identification (EIN) or (TIN)

Enter either TIN or EIN as assigned by the Internal Revenue Service. If your organization is not in the U.S., type 44-4444444. This field is required. If you do not have an EIN, you can create one on [IRS.gov](https://www.irs.gov).

### Field 7: Type of Applicant

Type of Applicant: Select the appropriate applicant type code. This field is required.

If “Small Business” is selected as Type of Applicant, then identify whether the organization is Woman-owned and/or Socially and Economically Disadvantaged.

- Woman Owned: Check if you are a woman-owned small business. This is a small business that is at least 51% owned by a woman or women, who also control and operate it.
- Socially and Economically Disadvantaged: Check if you are a socially and economically disadvantaged small business as determined by the U.S. Small Business Administration pursuant to section 8(a) of the [Small Business Act, U.S.C. 637\(a\)](https://www.ecfr.gov/current/title-13/chapter-I/subchapter-B/part-121/subpart-121.601/section-121.601-1).

## Field 8: Type of Application

The type of application accepted may vary by funding opportunity. Part II, B of the RFA will stipulate the type of application that you may submit in response to the funding opportunity.

Select the type from the following list. Check only one.

- **New:** An application that is being submitted to an agency for the first time.
- **Resubmission:** An application that has been previously submitted, but not funded, and is being resubmitted for new consideration.  
If you are submitting a resubmission application, enter the NIFA- assigned proposal number of the previously submitted application in the Federal field (Field 4 on the form).  
If you are submitting a resubmission renewal application, select “resubmission” and enter the NIFA-assigned proposal number of the previously submitted application in the Federal field (Field 4 on the form).
- **Renewal:** An application requesting additional funding for a period subsequent to that provided by a current award. A renewal application competes with all other applications and must be developed as fully as though the applicant is applying for the first time.  
If you are submitting a renewal application, enter the NIFA-assigned award number of the previously funded application in the Federal field (Field 4 on the form).
- **Continuation:** A non-competing application for an additional funding/budget period within a previously approved project period. Only used for specific RFAs.  
If submitting a continuation application, enter the NIFA-assigned award number of the previously funded application in the Federal field (Field 4 on the form).
- **Revision:** An application that proposes a change in – 1) the Federal Government's financial obligations or contingent liability from an existing obligation; or, 2) any other change in the terms and conditions of the existing award.

If Revision mark appropriate box(es): May select more than one

- A. Increase Award
- B. Decrease Award
- C. Increase Duration
- D. Decrease Duration

E. Other (specify). If "Other" is selected, please specify in text box provided.

- Is this application being submitted to other agencies?  
Enter yes or no. This field is required. If yes, enter Agency name.
- What other agencies? List the names or acronyms of all other public or private sponsors including other agencies within USDA to which your application has been or might be sent. In the event you decide to send your application to another organization or agency at a later date, you must inform the identified NIFA Program Contact as soon as practicable. Submitting your application to other potential sponsors will not prejudice its review by NIFA; however, submitting the same application to another NIFA program is not permissible.

#### Field 9: Name of Federal Agency

This field is pre-populated from the opportunity package and reflects the agency (NIFA) from which assistance is being requested with this application.

#### Field 10: Catalog of Federal Domestic Assistance Number and Title

This field is pre-populated from the opportunity package and reflects the Catalog of Federal Domestic Assistance (CFDA) number of the program under which assistance is requested.

This field may be blank if you are applying to an opportunity that references multiple CFDA numbers. When this field is blank, leave it blank. The appropriate CFDA number will be automatically assigned by the agency.

### Field 11: Descriptive Title of Applicant's Project

The title should be a brief, clear, and specific designation of the proposed project.

Project titles are read by a variety of nonscientific people; therefore, you should avoid highly technical words or phraseology where possible. In addition, you should not use introductory phrases such as "investigation of," "research on," "education for," or "outreach that."

### Field 12: Proposed Project

**Start Date:** Enter the proposed start date of the project. This field is required. Please use mm/dd/yyyy format. E.g., 08/13/2021.

**Ending Date:** Enter the proposed end date of the project. This field is required. Please use mm/dd/yyyy format. E.g., 08/13/2021.

### Field 13: Enter Congressional District of Applicant

Enter the applicant's Congressional District. Enter the Congressional District in the format: 2-character state abbreviation, a hyphen, and a 3-character district number. Examples: CA-005 for California's 5th district, CA-012 for California's 12th district. This field is required.

If outside the US, enter 00-000.

For States and U.S. Territories with only a single congressional district, enter "001" for the district number.

For jurisdictions with no representative, enter "099."

For jurisdictions with a nonvoting delegate, enter "098" for the district number. Example: DC-098 or PR-098.

If you do not know your Congressional District: Go to the [United States House of](#)

[Representatives](#) website and search for your Congressional District by entering your ZIP+4. If you do not know your ZIP+4, look it up on the [USPS Look Up Zip Code](#) website.

### Field 14: Project Director/Principal Investigator Contact Information

This information is for the PD/PI. The PD/PI is the individual responsible for the overall scientific and technical direction of the project.

The PD/PI is the single individual designated by the awardee in the application and approved by the Authorized Departmental Officer who is responsible for the direction and management of the project. To facilitate communication with NIFA, the person designated in Field 14 will be considered the contact PD/PI. The contact PD/PI will be responsible for relaying communications between all the PD/PIs and NIFA (other PD/PIs are identified on the R&R Senior/Key Person Profile).

- Contact Person Name: First Name and Last Name of Contact Person. Prefix, Middle Name and Suffix, if applicable.
- Position/Title: Enter position/title.
- Organization name: Enter the name of the organization for the PD/PI.
- Department: Enter department name.
- Division: Enter the name of the primary organizational division, office or major subdivision of the PD/PI.
- Address: Provide street, city, county/parish, state or province for PD/PI.
- Phone: Enter best phone number for PD/PI.
- Fax: Enter Fax number of PD/PI.
- Email: Enter the email address for the PD/PI.

### Field 15: Estimated Project Funding

All four fields in “15. Estimated Project Funding” are required.

- Total Federal Funds Requested: Enter the total federal funds, including Direct Costs and F&A Costs (Indirect Costs), requested for the entire project period.

- Total Non-Federal Funds: Enter total non-Federal funds requested for the entire project period.
- Total Federal & Non-Federal Funds: Enter total estimated funds for the entire project period, including both Federal and non-Federal funds.
- Estimated Program Income: Identify any Program Income estimated for this project period, if applicable.

#### Field 16: Is the Application Subject to Review by State Executive Order 12372 Process?

If yes, check box and provide review date. If the announcement indicates that the program is covered under Executive Order 12372, applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372. One selection is required.

If no, check “NO, program is not covered by E.O. 12372,” OR “Program has not been selected by State for review”. NIFA programs are excluded from the scope of the Executive Order 12372 which requires intergovernmental consultation with state and local officials (see the final Rule-related Notice to [7 CFR Part 3015, Subpart V](#) (48 FR 29114, June 24, 1983)).

#### Field 17: Complete Certification

Check to provide the required certifications and assurances. This field is required.

The applicable certifications and representations can be located on the NIFA website. See [NIFA's Certifications and Representations](#) resource page before signing the application.

For this application, by submitting the application you are also providing the required assurances regarding the protection of human subjects, providing humane treatment of animals, and monitoring the use of recombinant DNA.

By submitting the application, you are also providing the required assurances noted below:

- In the event NIFA funds the application, the applicant agrees to be compliant with the Federal Information System Security Management Act of 2002 (FISMA), Pub. L. 107-347, if it will collect, store, process, transmit, or use information on behalf of NIFA.

- Each entity that applies and does not have an exemption under Sec. 25.110 of 2 CFR will: (1) Be registered in the SAM prior to submitting an application or plan (registration may take 4-6 weeks); (2) Maintain an active SAM 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 UEI number in each application or plan it submits to NIFA.
- The Grants.gov validation process includes a check for an active SAM registration. Applicants with expired SAM registrations will be rejected.
- 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.
- You certify that the information contained in your application is true and complete to the best of your knowledge. You accept the obligation to comply with the terms and conditions of NIFA in effect at the time of the award.

#### Field 18: Enter SFLLL (Disclosure of Lobbying Activities) or Other Explanatory Documentations

If applicable, attach the SFLLL or other explanatory document as per RFA instructions. If you are unable to certify compliance with the Certification in the “17. Certification” section above, attach an explanation. Additionally, as applicable, attach the [Standard Form LLL, Disclosure of Lobbying Activities](#) (SFLLL) or other documents in this item.

#### Field 19: Authorized Representative

The authorized representative is equivalent to the individual with the organizational authority to sign for an application.

This individual is otherwise known as the authorized organization representative (AOR) in Grants.gov.



- Contact Person Name: First Name and Last Name of Contact Person. Prefix, Middle Name and Suffix, if applicable.
- Position/Title: Enter position/title.
- Organization name: Enter the name of the organization for the AOR.
- Department: Enter department name.
- Division: Enter the name of the primary organizational division, office or major subdivision of the AOR.
- Address: Provide street, city, county/parish, state or province for AOR.
- Phone: Enter best phone number.
- Fax: Enter fax number.
- Email: Enter the email address.

Signature of Authorized Representative: It is the organization's responsibility to assure that only properly authorized individuals submit the application to Grants.gov. This field is completed on submission to Grants.gov.

Date Signed: Grants.gov will generate this date upon application submission.

## Field 20: Pre-Application

If submitting a pre-application, provide a summary description of the project in accordance with the announcement and/or agency-specific instructions and attach here.

Rarely, a funding opportunity will require or request submission of a preliminary application in advance of a full application. The two predominant reasons for requiring a preliminary application are to:

- Reduce the unnecessary effort in application preparation when the chance of success is very small. This is particularly true of exploratory initiatives where the community senses that a major new direction is being identified, or competitions that will result in a small number of actual awards.
- Increase the overall quality of the full submission.

The RFA will specify the content and submission requirements in Section V.A of the RFA when preliminary applications are to be used. Note that a pre-application is not the same as a Letter

of Intent which NIFA, in some cases, may be require. The RFA will state when you need to submit a pre-application or a Letter of Intent.

### Field 21: Cover Letter Attachment

This optional field allows the applicant to enter a cover letter with the application.

### V.110 R&R Project/Performance Site Location(s)

This form is used for all grant applications. It is used to report the primary location of the project and include information on any other locations at which the project will be performed.

**Checkbox: I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.**

Select only if submitting an application as an individual and not on behalf of or representing any organization. (This field is not applicable for applicants using SF-424 Individual Form Set).

### Organization Name

This field is required. Enter the organization name of the primary site where the work will be performed.

### UEI Number

This field is required for the primary performance site. Enter the UEI number associated with the organization where the project will be performed.

### Project Site Address

Enter Street 1, City, County, State, Country and Zip Code for the Project/ Performance site. All of these are required fields.

### Project/ Performance Site Congressional District

Enter the applicant's Congressional District. Enter the Congressional District in the format: 2-character state abbreviation, a hyphen, and a 3-character district number. Examples: CA-005 for California's 5th district, CA-012 for California's 12th district. This field is required.

If all districts in a state are affected, enter "all" for the district number. Example: MD-all for all congressional districts in Maryland.

If nationwide (all districts in all states) enter US-all.

If the program/project is outside the US, enter 00-000.

If you do not know your Congressional District: Go to the [United States House of Representatives](#) website and search for your Congressional District by entering your ZIP+4. If you do not know your ZIP+4, look it up on the [USPS Look Up Zip Code](#) website.

### Project/Performance Site Location 1

Use this "Project/Performance Site Location 1" block to provide information on performance sites in addition to the Primary Performance Site listed above, if applicable. Include any VA facilities and foreign sites.

Enter for the Project/Performance Site Location 1 the information required for the Project/Performance Site Primary Location. If it is necessary to enter information for additional sites, click on the “Next Site” button.

### Additional Locations

File attachments may be added to this field for additional location(s), if any.

### V.120 R&R Other Project Information

This form is used for all grant applications, and it includes questions on the use of human subjects, vertebrate animals, and environmental impact. This form also has fields to upload an abstract, project narrative, references, information on facilities, and equipment lists.

### Field 1: Are Human Subjects Involved?

If activities involving human subjects are planned at any time during the proposed project at any performance site, check yes. Check yes, even if the proposed project is exempt from Regulations for the Protection of Human Subjects. If no, skip the rest of block 1. This field is required.

Projects that involve research with human subjects must ensure that subjects are protected from research risks in conformance with the relevant federal policy known as the Common Rule ([Federal Policy for the Protection of Human Subjects, 45 CFR 690](#)).

All projects that involve human subjects must either: (1) have approval from the organization's Institutional Review Board (IRB) before issuance of a NIFA award or, (2) must affirm that the IRB or an appropriate knowledgeable authority previously designated by the organization (not the PD) has declared the research exempt from IRB review in accordance with the applicable subsection, as established in section 101(b) of the Common Rule.

The box for "Human Subjects" must be checked "yes" with the IRB approval date (if available) or exemption subsection from the Common Rule identified in the space provided. Check "yes" even if the proposed project is exempt from Regulations for the Protection of Human Subjects. If "no", skip the remaining questions about Human Subjects. If "no" is checked at the time of submission and subsequently it is determined that human subjects are necessary, then contact the applicable Program Contact (identified in Field 14. of Form NIFA-2009, Award Face Sheet, of the award document) for instructions on submitting updated human subject information.

### Field 1a: If YES to Human Subjects, is the project exempt from Federal Regulations?

If the project is exempt from federal regulations, check "Yes" and check the appropriate exemption number.

The eight categories of research that qualify for exemption from coverage by the regulations are defined in the Common Rule for the Protection of Human Subjects which USDA implements through [7 CFR part 1c.104](#). These regulations can be found in the [Code of Federal Regulations: § 1c.104 Exempt research](#).

Human subjects research should only be designated as exempt if all the proposed research projects in an application meet the criteria for exemption.

If the project is not exempt from federal regulations, check "No."  
If no, is the IRB review Pending? Select yes or no.

Applicants should check "Yes" to the question "Is the IRB review Pending?" even if the IRB review/approval process has not started by the time of submission.

IRB review is not pending (e.g., if the review is complete), check "No."

IRB Approval Date: If no, enter the latest Institutional Review Board (IRB) approval date (if available). Please use mm/dd/yyyy format (e.g., 08/13/2017). Leave blank if Pending.

Human Subject Assurance Number: Enter the approved Federal Wide Assurance (FWA), Multiple Project Assurance (MPA), Single Project Assurance Number or Cooperative Project Assurance Number that the applicant has on file with the Office for Human Research Protections, if available.

If the applicant has a FWA number, enter the 8-digit number. Do not enter the FWA before the number.

## Field 2: Are Vertebrate Animals Used?

If activities involving vertebrate animals are planned at any time during the proposed project at any performance site, check yes.

The generation of custom antibodies constitutes an activity involving vertebrate animals.

If animal involvement is anticipated within the period of award but plans are indefinite, check "Yes."

For applications that involve the use of vertebrate animals, you must provide sufficient information within the project description to enable reviewers to evaluate the choice of species, number of animals to be used, and any necessary exposure of animals to discomfort, pain, or injury. Consistent with the requirements of the Animal Welfare Act [7 U.S.C. 2131 et seq.] and the regulations promulgated by the Secretary of Agriculture [[9 CFR, 1.1- 4.11](#)] NIFA requires that proposed projects involving use of any vertebrate animal for research or education be approved by the submitting organization's Institutional Animal Care and Use Committee (IACUC) before an award can be made.

If no, check no and skip the rest of block 2. This field is required.

## Field 2a: If YES to Vertebrate Animals, Is the IACUC review pending?

- Is the Institutional Animal Care and Use Committee (IACUC) review pending?

Applicants should check "Yes" to the "Is the IACUC review Pending?" question even if the IACUC review/approval process has not started by the time of submission.

If IACUC review is not pending (e.g. if the review is complete), check "No."

- IACUC Approval Date: Enter the latest Institutional Animal Care and Use Committee (IACUC) approval date (if available). Please use mm/dd/yyyy format (e.g., 08/13/2017). Leave blank if Pending.

Animal Welfare Assurance Number: Enter the Federally approved assurance number, if available. These fields are required if no is checked to the question "Is the IACUC review pending".

### Field 3: Is Proprietary/Privileged Information Included in the Application?

Check yes or no.

Patentable ideas, trade secrets, privileged or confidential commercial or financial information, the disclosure of which may harm the applicant, should be included in applications only when such information is necessary to convey an understanding of the proposed project. If the application includes such information, check yes and clearly mark each line or paragraph on the pages containing the proprietary/privileged information with a legend similar to - "The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation." This field is required.

Such information also may be included as a separate statement. If you use this method, submit the statement as a single-copy document and attach it in Field 12, Other Attachments. While NIFA will make every effort to prevent unauthorized access to such material, we are not responsible or in any way liable for the release of such material.

### Field 4a-4d Does this project have an actual or potential impact on the environment?

Indicates if this project has an actual or potential impact on the environment. Click yes here if this is the case. Click no here if this is not the case. This field is required.

If yes, please explain: Enter an explanation for the actual or potential impact on the environment.

If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed?

Check yes or no. Indicates whether an exemption [has] been authorized or an Environmental Assessment (EA) or Environmental Impact Statement (EIS) [has] been performed.

If the project meets one of the exemptions identified in [7 CFR Part 3407](#), NIFA's implementing regulations of the [National Environmental Policy Act of 1969](#) then the explanation should include the specific exemption code.

Exemption Codes: Department of Agriculture Categorical Exclusions (found at 7 CFR 1b.3 and restated at 7 CFR 3407.6(a)(1)(i) through (vii)).

- (a)(1)(i): Policy development, planning, and implementation which are related to routine activities such as personnel, organizational changes, or similar administrative functions
- (a)(1)(ii): Activities that deal solely with the functions of programs, such as program budget proposals, disbursement, and transfer or reprogramming of funds
- (a)(1)(iii): Inventories, research activities, and studies such as resource inventories and routine data collection when such actions are clearly limited in context and intensity
- (a)(1)(iv): Educational and informational programs and activities
- (a)(1)(v): Civil and criminal law enforcement and investigative activities
- (a)(1)(vi): Activities that are advisory and consultative to other agencies and public and private entities, such as legal counseling and representation
- (a)(1)(vii): Activities related to trade representation and market development activities abroad

NIFA Categorical Exclusions (found at [7 CFR 3407.6\(a\)\(2\)\(i\)](#) through (ii)).

The following categories of research programs or projects of limited size and magnitude or with only short-term effects on the environment:

- (a)(2)(i)(A): Research conducted within any laboratory, greenhouse, or other contained facility where research practices and safeguards prevent environmental impacts
- (a)(2)(i)(B): Surveys, inventories, and similar studies that have limited context and minimal intensity in terms of changes in the environment



- (a)(2)(i)(C): Testing outside the laboratory, such as in small, isolated field plots, which involves the routine use of familiar chemicals or biological materials
- (a)(2)(ii): Routine renovation, rehabilitation, or revitalization of physical facilities, including the acquisition and installation of equipment, where such activity is limited in scope and intensity

**Field 5: Is the research performance site designated, or eligible to be designated, as a Historic Place?**

If yes, check the box and then provide an explanation in the box provided in 5a.

Otherwise, check the No box.

**Field 6: Does this project involve activities outside the U.S. or partnership with international collaborators?**

Indicate whether this project involves activities outside the United States or partnerships with international collaborators. This field is required. Check yes or no.

If yes, identify countries. – Enter the countries with which international cooperative activities are involved.

Optional Explanation – Enter an explanation for involvement with outside entities (optional). Your entry is limited to 55 characters.

**Field 7: Attach Project Summary/Abstract**

The Project Summary must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related fields and be as understandable as possible to a scientifically or technically literate lay reader. This Summary must not include any

proprietary/confidential information. To attach a Project Summary/Abstract, click “Add Attachment”.

Suggested application support templates for the Project Summary/Abstract are available on [NIFA's Application Template Resource Page](#).

The summary should be approximately 250 words. List the names and affiliated organizations of all Project Directors/co-PDs and the title of the project at the top of the page.

The summary should be a self-contained, specific description of the activity to be undertaken and should include: overall project goal(s) and supporting objectives; plans to accomplish project goal(s); and relevance of the project to the goals of the program.

A concise, informative Project Summary is critical for successful applications.

### Field 8: Attach Project Narrative

Provide Project Narrative in accordance with the announcement and/or agency-specific instructions. To attach a Project Narrative, click “Add Attachment.”

You must prepare the Project Narrative in accordance with the guidelines specified under Part IV.B. in the applicable RFA (for AFRI the guidelines may be specified under Part IV.C. and for SBIR the guidelines are specified under subsection 2.3.2. of the SBIR Program Solicitation).

### Field 9: Attach Bibliography & References Cited

Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Proposers should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. To attach Bibliography and References Cited, click “Add Attachment”.

Bibliography and References are not part of the Project Narrative page limitation, if any, unless noted otherwise.

## Field 10: Attach Facilities & Other Resources

This information is used to assess the capability of the organizational resources available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other).

If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Provide any information describing the Other Resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. To attach Facilities and Other Resources, click “Add Attachment”.

## Field 11: Attach Equipment

List major items of equipment already available for this project and, if appropriate, identify location and pertinent capabilities. To attach Equipment, click “Add Attachment.”

If you plan to request funds to purchase items of nonexpendable equipment necessary to conduct and successfully complete the proposed project, refer to Field C. of the R&R Budget for information about including those items in the budget.

## Field 12: Add Other Attachments

Attach files to provide any other project information not provided above or in accordance with the announcement and/or agency-specific instruction. Multiple files may be attached.

Include the following items in Other Attachments, as appropriate:

- Cooperation and Institutional Units Involved. Identify each institutional unit contributing to the project and designate the lead institution or institutional unit when submitting a cooperative, multi-institutional or multidisciplinary application. Clearly define the programmatic roles, responsibilities, and budget for each institutional partner.

- Appendices to Project Narrative. Appendices to the Project Narrative are allowed if they are directly germane to the proposed project. Do not use the addition of appendices to circumvent the text and/or figures and tables page limitations.
- Collaborative Arrangements. Fully explain and justify formal consulting or collaborative arrangements with others, should such arrangements be necessary.
- Provide a CV or resume for any consultant(s) or collaborator(s) if known at the time of application. In addition, provide evidence (e.g., letter of support) that the identified collaborators involved have agreed to render these services. You must also provide additional information on consultants and collaborators in the budget portion of the application.

#### V.130 R&R Senior/Key Person Profile (Expanded)

This form is used for all grant applications and allows the collection of data for all senior/key persons associated with the project. Some information for the PD/PI may be pre-populated from the SF-424 (R&R) form.

#### **Field 1: Enter Profile: Project Director/Principal Investigator**

Several fields in this form may be pre-populated from SF-424 (R&R) when using Workspace. These include PD/PI name, position, address, and contact information. If these are not pre-populated, provide any missing information in these fields.

- Credential: If you are submitting to an agency (e.g., NIFA) where you have an established personal profile, enter the agency ID. If not, leave blank.
- Project Role: Select one or use “other” if a category is not listed.
- Other Project Role: Complete if “other” was selected for project role.
- Degree Type: Enter the highest academic or professional degree or other credentials (e.g., RN).
- Degree Year: Enter the year the highest degree or credential was obtained.

## Field 2: Attach Biographical Sketch

Provide a biographical sketch for the PD/PI. The Biographical Sketch should be limited to 2 pages each in length, excluding publications listings. This biographical sketch is required.

Recommended information includes:

- Education and Training
- Research and Professional Experience
- Collaborators and Affiliations (for conflicts of interest)
- Publications and Synergistic Activities

Save the information in a single .pdf file and attach.

The biographical sketch should summarize academic and research credentials for the PD/PI. This can include earned degrees, teaching experience, employment history, professional activities, honors and awards, and grants received.

Include a chronological list of all publications in refereed journals during the past 4 years, including those in press. List only those non-refereed technical publications that have relevance to the proposed project. List all authors in the same order as they appear on each paper cited, along with the title and complete reference as these usually appear in journals.

## Field 3: Attach Current and Pending Support

Provide a list of all current and pending support for the PD/PI for ongoing projects and pending proposals. This support information is required even if they receive no salary support from the project(s).

Show the total award amount for the entire award period, including indirect costs. Also include the number of person-months per year to be devoted to the project by the senior/key person, regardless of source of support.

The percent of time committed should not exceed 100% of effort for concurrent projects. NIFA will not fund an application that duplicates or overlaps substantially with an application already funded (or to be funded) by another organization or agency.

Prepare the Current and Pending support list(s) following the instructions and format noted below.

- Record information for active and pending projects, including this proposal. Concurrent submission of a proposal to other organizations will not prejudice its review by NIFA.
- All current efforts to which project director(s) and other senior personnel have committed a portion of their time must be listed, whether salary for the person involved is included in the budgets of the various projects.

Concurrent submission of a proposal to other organizations will not prejudice its review.

A suggested template for the Current and Pending support is available through [NIFA's Application Template Resource](#).

#### Field 4: Enter Profile – Senior/Key Person 1

Enter data in this “Profile – Senior/Key Person 1” section to provide information on a senior/key person (other than the PD/PI listed above), if applicable.

Select “Next Person” to enter the next senior/key person entry. Complete the same information for additional senior/key persons.

A PD/PI is the individual(s) a research organization designates as having an appropriate level of authority and responsibility for the proper conduct of the project, including the appropriate use of funds and administrative requirements such as the submission of progress reports to the agency. When an organization designates more than one PD/PI, it identifies them as individuals who share the authority and responsibility for leading and directing the project, intellectually and logistically. NIFA does not infer any distinction in scientific stature among multiple PD/PIs. NIFA will consider the PD/PI entered on the SF-424 R&R Cover Sheet as the contact PD/PI.

NIFA will recognize, on any award that is issued as a result of the application, all the PD/PI co-PD/PIs entered on this form (any individual listed as a “co-investigator” is not identified on the award). You must attach “Current and Pending Support” information for each key person identified. Even if no other funding is currently reported as “Active,” this application is to be identified as “Pending” in the information submitted.

## V.140 R&R Personal Data: Senior/Key Person Profile

The Federal government has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity, or disability of its proposed PDs/PIs and co-PDs/PIs.

The R&R Personal Data form is used to gather information needed for this important task.

The applicant is asked to submit the requested information for each identified PD/PI and co-PD/PIs with each proposal. Submission of the requested information is voluntary and is not a precondition of award. However, information not submitted will undermine the statistical validity, and the usefulness, of information received from others.

Any individual not wishing to submit some, or all the information should check the box provided for this purpose. Upon receipt of the application, this form will be separated from the application. This form will not be duplicated, and it will not be a part of the review process. Data will be confidential.

### Field 1: Enter Project Director/Principal Investigator

Some fields should be pre-populated from SF 424 (R&R).

Complete remaining fields that are not pre-populated. These fields include gender, race, ethnicity, disability status and citizenship status.

### Field 2: Enter Co-Project Director/Co-Principal Investigator Information

Click on the “Next Person” button to advance to the next person's record.

## V.150 R&R Budget

R&R Budget Forms collect data related to the proposed expenditures for your proposal.

## Organizational UEI

This is the UEI number of the applicant organization. For the project applicant, this field is pre-populated from the SF-424 R&R Cover Page. For subaward applicants, this field is a required enterable field.

## Name of Organization

Pre-populated from the SF-424 R&R. The organization name.

## Budget Type

Project, Subaward/Consortium: Check the appropriate block.

- Project: The budget requested for the primary applicant organization.
- Subaward/Consortium: The budget requested for sub awardee/consortium organization(s).

Note: Separate budgets are required only for sub awardee/consortium organizations that perform a substantive portion of the project.

If creating Subaward Budget, use the R&R Subaward Budget Attachment and attach as a separate file on the R&R Budget Attachment(s) form.

## Budget Period

Pre-populated from the SF-424 R&R. Enter the requested/proposed start date of each budget period. This field is required.



Identifies the specific budget period: e.g., 1, 2, 3, 4, 5. If submitting through Grants.gov, the system will automatically generate a cumulative budget for the total project period.

## Section A: Senior/Key Person

This section identifies names of Senior/Key Personnel. Each person identified in the Senior/Key Person profile who is an employee of the applying organization must be listed in this section if funds are requested.

Salaries of the PD/PI(s) and other personnel associated directly with the project should constitute direct costs in proportion to their effort devoted to the project. Charges by academic institutions for work performed by faculty members during the summer months or other periods outside the base salary period are to be at a monthly rate not in excess of that which would be applicable under the base salary and other provisions of the applicable cost principles. All requested salaries must be consistent with the regular institution practices.

You may not use award funds to augment the total salary or rate of salary of project personnel or to reimburse them for consulting or other time in addition to a regular full-time salary covering the same general period of employment.

The Prefix, First Name, Middle Name, Last Name, Suffix, and Project Role fields for the PD/PI will be pre-populated from the SF-424 R&R. For the PD/PI, complete the remaining fields following the instructions below. You should also use the instructions below to complete information for up to seven more Senior/Key Persons.

- Base Salary (\$)

Enter the annual compensation paid by the employer for each senior/key personnel. This includes all activities such as research, teaching, patient care, or other. You may choose to leave this column blank.

- Cal. Months

Identify the number of calendar months devoted to the project for each Senior/Key person.

- Acad. Months

Identify the number of academic months devoted to the project for each Senior/Key person.

- **Sum. Months**

Identify the number of summer months devoted to the project for each Senior/Key person.

- **Requested Salary (\$)**

Regardless of the number of months being devoted to the project, indicate only the amount of salary being requested for this budget period for each senior/key person. This field is required.

- **Fringe Benefits (\$)**

Enter applicable fringe benefits, if any, for each senior/key person. This field is required.

If the grantee's usual accounting practices provide that its contributions to employee benefits (social security, retirement, etc.) are treated as direct costs, NIFA funds may be requested to fund fringe benefits as a direct cost.

- **Funds Requested (\$)**

This field will auto-calculate. This field is required.

- **Additional Senior/Key Persons**

If funds are requested for more than 8 Senior/Key Persons, include all pertinent budget information, and attach as a file here. Enter the total funds requested for all additional senior/keypersons in line 9 of Section A.

Your organization may request that salary data on senior personnel not be released to persons outside the federal government during the review process. Such information may be included as a separate statement. If you use this method, you must submit the statement electronically as an attachment in Block 12 of the SF-424 R&R Other Project Information Form. This statement must include all the information requested on the budget for each person involved. NIFA will not forward the detailed information to reviewers and will hold it privileged to the extent permitted by law.

## **Section B: Other Personnel**

- **Number of Personnel**

For each project role category, identify the number of personnel proposed. This field is required.

- Project Role

List any additional project role(s) in the blank(s) provided, e.g., Engineer, IT Professionals. This field is required.

- Cal. Months

Identify the number of calendar months devoted to the project for each project role category.

- Acad. Months

Identify the number of academic months devoted to the project for each project role category.

- Sum. Months

Identify the number of summer months devoted to the project for each project role category.

- Requested Salary (\$)

Regardless of the number of months being devoted to the project, indicate only the amount of salary/wages being requested for each project role. This field is required.

- Fringe Benefits (\$)

Enter the applicable fringe benefits, if any, for this project role category. This field is required.

- Funds Requested (\$)

This field will auto-calculate. This field is required.

- Total Number Other Personnel

This total will auto-calculate.

- Total Other Personnel

Total Funds requested for all Other Personnel. The total will auto-calculate.

- Total Salary, Wages and Fringe Benefits (A+B)

Total Funds requested for all Senior Key Persons and all Other Personnel. The total will auto-calculate.

- Enter the number of personnel proposed for each project role category.

In most circumstances, the salaries of administrative or clerical staff at educational institutions and nonprofit organizations are included as part of indirect costs. Clearly describe in the budget justification the circumstances for requiring direct charging of these services.

If appropriate, a zero may be entered in any of the fields that require a dollar amount.

### Section C: Enter Equipment Description

- Equipment item

Equipment is defined as an item of property that has an acquisition cost of \$5,000 or more (unless the organization has established lower levels) and an expected service life of more than one year. List each item of equipment separately and justify each in the budget justification section.

Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work.

General-purpose equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research. General-purpose equipment requires special justification and prior approval from NIFA's Office of Grants and Financial Management (OGFM). This includes equipment whose use is not limited to research, medical, scientific, educational, or other technical activities; e.g., office equipment and furnishings, air conditioning equipment, reproduction and printing equipment, motor vehicles, and automatic data processing equipment.

- Funds Requested (\$)

List the estimated cost of each item of equipment including shipping and any maintenance costs and agreements. This is required information.

- Total funds requested for all equipment listed in the attached file

If this section cannot accommodate all the equipment proposed, attach a file in the block provided. List each additional item and the funds requested. For all additional items in the attached file, list the total funds requested in the appropriate block of this section.

- Total Equipment

Total funds requested for all equipment. The total will auto-calculate.

## Section D: Travel

- Domestic Travel Costs (Incl. Canada, Mexico, and U.S. Possessions) Funds Requested (\$)

Identify the total funds requested for domestic travel. Domestic travel includes Canada, Mexico and U.S. Possessions. In the budget justification section, include purpose, destination, dates of travel (if known), and number of individuals for each trip. If the dates of travel are not known, specify estimated length of trip (e.g., 3 days).

- Foreign Travel Costs Funds Requested (\$)

Identify the total funds requested for foreign travel. Foreign travel includes any travel outside of North America and/or U.S. Possessions. In the budget justification section, include purpose, destination, dates of travel (if known) and number of individuals for each trip. If the dates of travel are not known, specify estimated length of trip (e.g., 3 days).

Travel and subsistence should be in accordance with organizational policy. Note that 2 CFR Part 200.475 is applicable to air travel.

- Total Travel Costs

Total Funds requested for all travel. This total will auto-calculate.

## Section E: Participant/Trainee Support Costs

Participant costs are the costs associated with conference, workshop, or symposium attendees who are not employees of the applicant or a sub awardee. Trainee costs are the costs associated with educational projects that support trainees (pre-college, college, graduate, and

post-graduate). List total costs for each budget item and the number of participants/trainees. In the budget justification, identify the purpose of the conference/training, dates, and places and justify costs.

- Tuition/Fees/Health Insurance

List total funds requested for Participant/Trainee Tuition/Fees/Health Insurance.

- Stipends

List total funds requested for Participant/Trainee Stipends.

- Travel

List total funds requested for Participant/Trainee Travel. Travel should be in accordance with organizational policy.

- Subsistence

List total funds requested for Participant/Trainee Subsistence. Subsistence should be in accordance with organizational policy.

- Other

Describe any other participant trainee funds requested. List total funds requested for any other Participants/Trainee costs described.

- Number of Participants/Trainees

List the total number of proposed participants/trainees.

If you request participant support costs for conferences/meetings, indicate the purpose, dates, and place of the conference/meeting; number of participants; cost for each; speaker fees (include number of persons, number of days, and cost per person); cost of facilities rental; and other related expenses.

- Total Participant/Trainee Support Costs

Total Funds requested for all participant/trainee costs. This total will auto-calculate.

## Section F: Other Direct Costs

- Materials and Supplies

List total funds requested for materials and supplies. In the budget justification, indicate general categories such as glassware, chemicals, animal costs, including an amount for each category. Categories less than \$1,000 are not required to be itemized.

In general terms, indicate the types of required expendable materials and supplies and their estimated costs.

- Publication Costs

List the total publication funds requested. The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the award. In the budget justification, include supporting information.

You may include anticipated costs of preparing and publishing the results of the proposed project, including costs of reports, reprints, page charges or other journal costs, and necessary illustrations.

- Consultant Services

List the total costs for all consultant services. In the budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs. Applicants normally are expected to the services of their own staff to the maximum extent possible in managing and performing the activities supported by awards.

If you anticipate the need for consultant services, you must provide in the “Other Attachments” (Field 11 of the SF-424 R&R Other Project Information) a justification for the use of such services, a statement of work to be performed, and a resume or curriculum vitae for each consultant.

The proposal budget should indicate the amount of funds required for this purpose. The budget narrative should list the name(s) of the consultant(s), the name(s) of their organization(s), and a breakdown of the amount being charged to the award (e.g., number of days of service, rate of pay, travel, per diem). If this information is not available at the time of award, funds for this purpose will be withheld until the information is provided to and approved by NIFA.

- ADP/Computer Services

List total funds requested for ADP/Computer Services. The cost of computer services, including computer-based retrieval of scientific, technical and education information may be requested. In the budget justification, include the established computer service rates at the proposing organization if applicable.

- Subawards/Consortium/Contractual Costs

List total funds requested for 1) all subaward/consortium organization(s) proposed for the project and 2) any other contractual costs proposed for the project.

- Equipment or Facility Rental/User Fees

List total funds requested for Equipment or Facility Rental/User Fees. In the budget justification, identify each rental/user fee and justify.

- Alterations and Renovations

List total funds requested for Alterations & Renovations. In the budget justification, itemize by category and justify the costs of alterations and renovations including repairs, painting, removal or installation of partitions, shielding, or air conditioning. Where applicable, provide the square footage and costs.

- Other (specify)

Add text to describe any "other" Direct Costs not requested above and list the funds requested. Use the budget justification to further itemize and justify.

- Total Other Direct Costs

Total Funds requested for all other direct costs. This total will auto-calculate.

## Section G: Total Direct Costs

- Total Direct Costs (A thru F)

Total Funds requested for all direct costs. This total will auto-calculate.



## Section H: Indirect Costs

- Indirect Cost Type

Indicate the type of base; e.g., Salary & Wages, Modified Total Direct Costs, Other (explain). Also indicate if off-site. If more than one rate/base is involved, use separate lines for each. If you do not have a current indirect rate(s) approved by a Federal agency, indicate, "None--will negotiate" and include information for a proposed rate. Use the budget justification if additional space is needed.

- Indirect Cost Rate (%)

Indicate the most recent Indirect Cost rate(s) (also known as Facilities & Administrative Costs [F&A]) established with the cognizant Federal office, or in the case of for-profit organizations, the rate(s) established with the appropriate agency.

If you have a cognizant/oversight agency and are selected for an award, you must submit your indirect rate proposal to that office for approval. If you do not have a cognizant/oversight agency, contact the awarding agency.

- Indirect Cost Base

Enter the amount of the base for each indirect cost type.

- Funds Requested (\$)

Enter funds requested for each indirect cost type. This field is required.

- Total Indirect Costs

Total Funds requested for indirect costs. This total will auto-calculate.

- Cognizant Federal Agency

Enter the name of the cognizant Federal agency, name and phone number of the individual responsible for negotiating your rate. If no cognizant agency is known, enter "None".

Many NIFA programs have statutory limits on the amount of F&A/indirect cost recovery. This limitation flows down to subcontracts. Check Part IV, D. of the RFAs for the limitations, if any, on F&A/indirect costs. If indirect costs are allowed under the program, then the following applies as appropriate:

When NIFA is not the cognizant Federal agency, you should use the current negotiated indirect cost rate(s) established by your cognizant Federal agency (the agency that provides the most funds). If awarded, you will be required to produce a negotiated indirect cost rate(s) agreement from the cognizant agency in order to recover indirect costs.

You may request (i.e., budget) indirect costs using the lesser of: (a) the negotiated rate; or (b) the maximum statutory rate stated in the Request for Application, if any. If unable to obtain a negotiated rate agreement from your cognizant agency, you are not permitted indirect cost reimbursement (you may only be reimbursed for allowable direct cost) unless you are eligible for the 10% de minimis.

Violation of cost accounting principles is not permitted when re-budgeting or charging costs to awards. Rather, costs must be consistently charged as either indirect or direct costs. Also see 10% de minimis information in this section.

If the cognizant agency issues a negotiated rate subsequent to award, the negotiated rate may not be retroactively applied.

- When NIFA is the cognizant Federal agency. If you do not have a negotiated rate(s) agreement, and NIFA is the cognizant agency, you must calculate an indirect cost rate(s) in order to request indirect costs. NIFA's indirect cost website provides several sample indirect cost rate calculations. [NIFA's Indirect Cost Resource](#) provides more information on indirect costs. During the application process, you are not required to complete the entire indirect cost package identified on NIFA's website. Rather, you need only calculate an indirect cost rate to serve as a basis for requesting indirect costs. If awarded, you will be required to submit a complete Indirect Cost Proposal (ICP) package as explained on NIFA's indirect cost website. Also see 10% de minimis information in this section.

- 10% de minimis indirect cost rate. If you are new to Federal awards, and have never received a negotiated rate, you may elect to forgo calculation of an indirect cost rate and request a 10% de minimis indirect cost rate. The 10% de minimis rate is applied to modified total direct costs (MTDC). MTDC means total direct costs related to the award, such as direct labor, fringe benefits, materials and supplies, publications, consultant services and travel costs. MTDC excludes the following costs: equipment, capital expenditures, participant support costs and the portion of each subaward and subcontract in excess of \$25,000. Violation of cost accounting principles is not permitted when charging costs to awards. Rather, costs must be consistently charged as either indirect or direct costs.

If the 10% de minimis option is chosen, it must be used consistently for all Federal awards until such time you choose to negotiate for a rate(s), which you may apply to do at any time. NIFA will revisit its cognizant agency responsibilities at that time. If cognizant, NIFA will establish a negotiated rate. The negotiated rate may not be retroactively applied.

Organizations subject to 2 CFR part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, are required to follow provisions in 2 CFR part 200 when claiming indirect costs (IDC) on NIFA awards. Organizations not subject to the requirements of 2 CFR part 200 may recover indirect costs based on IDC rate calculations consisting of costs incurred by the applicant, consistently charged as either direct or indirect costs, and may not double charge.

Direct costs consist of costs incurred by the applicant and can be identified with a particular award. Conversely, indirect costs consist of costs incurred by the applicant and are not readily identifiable with a particular award. Violation of costs accounting principles is not permitted when charging costs to awards. Rather costs incurred by the applicant must be consistently charged as either indirect or direct costs.

Organizations may also waive indirect cost recovery and request only direct research costs. If this option is selected, the organization is required to include in the award budget only those types of costs consistently treated as direct research costs by the organization.

### Section I: Total Direct and Indirect Costs

Total Direct and Indirect Institutional Cost (G+H) – Total Funds requested for direct and indirect costs. This total will auto-calculate.

### Section J: Fee

Generally, a fee is not allowed on a grant or cooperative agreement. Do not include a fee in your budget unless the program announcement specifically allows the inclusion of a "fee" (e.g., SBIR/STTR). If a fee is allowable, enter the requested fee.

Inclusion of fees (profit) in a budget is allowable only if specifically authorized by a NIFA program solicitation.

### Section K: Total Costs and Fee

Total Costs and Fee (I and J) – Total Direct and Indirect Costs and Fee requested. This total will auto-calculate.

### Section L: Attach Budget Justification

Use the budget justification to provide the additional information requested in each budget categories identified above and any other information you wish to submit to support your budget request. The budget justification detail should follow the same order as the budget. While you should provide information for each item of the budget, you must justify the following budget categories, where applicable: salaries (justification is to include the Base Annual Salary for each key person), equipment, travel, participant/trainee support and other direct cost categories.

Only one file may be attached.

## V.160 SF-424C: Budget information for Construction Programs

This form provides budget information for construction programs.

### Line 1: Administration and legal expenses

- 1a: Enter the total cost of Administrative and legal expenses.
- 1b: Enter costs not allowable for participation in administration and legal expenses. Check the RFA and reach out to program staff with questions regarding expenses that may be unallowable.

- 1c: Total Allowable Costs (Columns a-b) will be calculated automatically if submitted via Workspace. This is the total of 1a and 1b.

### Line 2: Land, structures, rights-of-way, appraisals, etc.

- 2a: Total Cost of Land, structures, rights-of-way, appraisals, etc.
- 2b: Enter costs not allowable for land, structures, rights-of-way, appraisals, etc.
- 2c: Total Allowable Costs is the total of 2a and 2b.

### Line 3: Relocation expenses and payments

- 3a: Total cost of relocation expenses and payments.
- 3b: Costs not allowable for relocation expenses and payments.
- 3c: Total of 3a and 3b.

### Line 4: Architectural and engineering fees

- 4a: Total cost of Architectural and engineering fees.
- 4b: Total cost of non-allowable Architectural and engineering fees.
- 4c: Total of 4a and 4b.

### Line 5: Other architectural and engineering fees

- 5a: Total cost of Other architectural and engineering fees.
- 5b: Total cost of non-allowable Other architectural and engineering fees.
- 5c: Total of 5a and 5b.

### Line 6: Project inspection fees

- 6a: Total cost of Project inspection fees.
- 6b: Total cost of non-allowable Project inspection fees.
- 6c: Total of 6a and 6b.

### Line 7: Site work

- 7a: Total cost of Site work.
- 7b: Total cost of non-allowable Site work.
- 7c: Total of 7a and 7b.

### Line 8: Demolition and removal

- 8a: Total cost for Demolition and removal.
- 8b: Total cost for non-allowable Demolition and removal.
- 8c: Total of 8a and 8b.

### Line 9: Construction

- 9a: Total cost for Construction.
- 9b: Total cost for non-allowable Construction.
- 9c: Total of 9a and 9b.

### Line 10: Equipment

- 10a: Total cost for Equipment.
- 10b: Total cost for non-allowable Equipment.
- 10c: Total of 10a and 10b.

### Line 11: Miscellaneous

- 11a: Total cost of Miscellaneous.
- 11b: Total cost of non-allowable Miscellaneous.
- 11c: Total of 11a and 11b.

### Line 12: Subtotal

- 12a: Subtotal of Lines 1-11 for Total Cost.
- 12b. Sum of lines 1-11 for Costs Not Allowable.
- 12c. Sum of lines 12a-12c. Calculated automatically if submitted via Grants.gov

### Line 13: Contingencies

- 13a: Total cost of Contingencies.
- 13b: Total cost of non-allowable contingencies.
- 13c: Sum of 13a and 13b.

### Line 14: Subtotal

- 14a: Subtotal of Lines 12-13 for Total Cost.
- 14b. Sum of lines 12-13 for Costs Not Allowable.
- 14c. Sum of lines 14a-14c. Calculated automatically if submitted via Grants.gov.

### Line 15: Program/Project Income

- 15a: Total Cost of Project (program) income.
- 15b. Costs Not Allowable for Participation in Project (program) income.
- 15c. Total Allowable Costs (Columns a-b). Calculated automatically if submitted via Grants.gov.

### Line 16: Total project costs

Subtract line 15 from Line 14.

- 16a: Total Cost of Total Project Costs.
- 16b: Total of Costs Not Allowable for Participation.
- 16c: Total Allowable Costs. Calculated automatically if submitted via Grants.gov

### Line 17: Federal assistance requested

Enter eligible costs from line 16c. Multiply x Federal percentage share %.

## V.170 R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form

This form is used for applications with a subaward or consortium. This form is required only when the primary grantee is submitting an R&R Budget Form and has subaward and/or consortium budgets.

On this form, you will attach the R&R Subaward (Fed/Non-Fed) Budget files for your grant application. Only subaward (Fed/Non-Fed) budgets are to be attached to this form.

Complete the sub awardee budget(s) in accordance with the R&R (Fed/Non-Fed) budget instructions. This includes the preparation of a budget justification for the subaward and attaching it in Field K. of the subaward budget. Any files you attach must be in PDF format.

The R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form allows no more than 30 R&R Subaward (Fed/Non-Fed) Budget Files for a grant application. Include any remaining subaward budget(s) (beyond the 30 subaward budget attachments) under Field K. "Budget Justification" of the applicant organization, incorporating them as part of the required PDF attachment.

Annual budgets including a budget justification and a cumulative budget are required for each sub contractual arrangement only when: 1) subawards comprise 50 percent or more of an



overall award amount (individually or cumulatively); or 2) subawards are directed to Federal agencies.

To extract or download, fill, and attach the additional R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form:

1. On the R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form, press the “Click here to extract the R&R Subaward (Fed/Non-Fed) Budget Attachment” button to download the form.
2. Save the sub awardee budget file(s) with the name of the sub awardee organization. Each file name attached to the R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form must be unique.
3. Open the form that you have just saved.
4. Enter your sub awardee organization information in this supplemental form. Complete the sub awardee budget(s) in accordance with the R&R (Fed/Non-Fed) budget instructions.
5. When you have completed the supplemental form, save it and close it.
6. Return to the “R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form.”
7. Attach the saved supplemental form that you just completed and saved to one of the blocks provided on this “attachment(s)” form.
8. Extract and attach additional R&R Subaward (Fed/Non-Fed) Budget Attachment forms for the subaward organizations as necessary using the process outlined above. The files you attach must be a previously extracted R&R Subaward (Fed/Non-Fed) Budget Attachment form. Attaching any other type of file may result in the inability to submit your application to Grants.gov.

Annual budgets including a budget justification and a cumulative budget are required for each sub contractual arrangement only when: 1) subawards comprise 50 percent or more of an overall award amount (individually or cumulatively); or 2) subawards are directed to Federal agencies.

If there are more than 10 sub contractual arrangements, you must add the budgets—including the budget justification for the sub contractual arrangements that are not included in the R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form—to the application by including them in the primary applicant’s budget justification *or* by attaching them to Field 12, Other Attachments, of the R&R Other Project Information form.

## V.200 AD-3030: Representations Regarding Felony Conviction and Tax Delinquent Status for Corporate Applicants

This is a self-certification form for corporate applicants to complete. Non-corporate applicants will not complete this form.

### Field 1: Applicant's Name

Enter the applicant's name. This field is required.

### Field 2: Applicant's Address

Enter the applicant's address including the zip code. This field is required.

### Field 3: Tax ID No.

Enter the last four digits of the Tax ID Number. This field is required.

### Field 4a: Has the Applicant been convicted of a felony criminal violation under any Federal law in the 24 months preceding the date of application?

Has the Applicant been convicted of a felony criminal violation under any Federal law in the 24 months preceding the date of application, check the Yes box. Otherwise, check the No box.

### Field 4B: Does the Applicant have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability?

If yes, check the Yes box. Otherwise, check the No box.

### Field 5A: Applicant's Signature

Enter the applicant's signature. This is a required field.

### Field 5B: Title/Relationship of the Individual if Signing in a Representative Capacity

Enter the title. This field is a required field.

### Field 5c: Date Signed

Enter the date signed in MM-DD-YYYY format. This field is a required field.

## V.210 AFRI Project Type Form

This form is only required for applications submitted to the Agriculture and Food Research Initiative (AFRI) program.

### Field 1: Project Type

Select one Project Type.

- Research
- Education
- Extension
- Integrated

Note: Integrated proposals contain at least two of the three project type categories, and they may be any combination of research, education, and extension.

The RFA will include descriptions, as appropriate, and state which types of projects are being solicited.

## Field 2: Grant Type

Select one Grant Type.

The RFA includes descriptions, as appropriate, and state which types of grants are being solicited.

- Standard
- Coordinated Agricultural Project (CAP)
- Planning / Coordination
- Conference
- Food and Agriculture Science Enhancement (FASE)
- Other: If Other is the selected, you must include a description.

If FASE is the selected grant type, you must identify the type of FASE Grant by selecting one from the list of four types. See RFA for the types of FASE Grants being solicited for a given funding opportunity:

- Predoctoral Fellowship
- Postdoctoral Fellowship
- New Investigator Seed
- New Investigator Standard
- Strengthening

If Strengthening is the selected FASE Grant, you must identify the type of Strengthening project by selection one from the list of seven types. See RFA for descriptions and the types of Strengthening projects being solicited.

- Sabbatical
- Equipment
- New Investigator Strengthening Seed
- New Investigator Strengthening Standard
- Strengthening Seed
- Strengthening Standard
- Strengthening CAP
- Strengthening Conference
- Other. If Other is the selected, you must include a description.

## V.220 SBIR/STTR Information

Use this form only if you are submitting to the NIFA Small Business Innovation Research Grants Program (SBIR).

### Field 1: Agency to which you are applying (select only one):

Agency to which you are applying. This field is required. Select USDA.

### Field 2: SBC Control ID

Enter the nine-digit SBC Control ID. This number is obtained through the Login/Register process on the [Small Business Administration \(SBA\)](#) website.

### Field 3: Program Type (select only one):

Select only one.

To apply for SBIR Only, the small business must perform a minimum of two-thirds (66%) of the proposed research or analytical work, and the PD/PI must be employed more than one half (51%) of the time with the small business.

To apply for STTR Only, the small business must have a single nonprofit research institution conduct a minimum of 30% and a maximum of 60% of the research or analytical work, and at least one of the PD/PI or Co-PD/Pis must be employed more than one half (51%) of the time with the small business.

To apply to both SBIR and STTR, a minimum of 30% and a maximum of 33% of the research and analytical work must be conducted by a single nonprofit research institution, and the PD/PI must be employed more than one-half (51%) of the time with the small business.

#### **Field 4: Application Type (select only one):**

See agency-specific instructions to determine application type participation.  
Application Type field is required.

If you are submitting a Phase I application, check the Phase I box. NIFA does not require a Phase I Letter of Intent Number, therefore, N/A should be entered in the applicable field. If you are submitting a Phase II application, check the Phase II box. When submitting a Phase II Application following an awarded Phase I, be sure to include the Phase I SBIR/STTR grant number in the "Federal Identifier" in field 4.a. of the SF-424 R&R Cover Page.

#### **Field 5: Agency Topic/Subtopic**

NIFA will not be using any information entered in this field; you may enter N/A.

#### **Question 1a: Do you certify that at the time of award your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement?**

If you certify that at the time of award, your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement, check the Yes box. Otherwise, check the No box.

#### **Question 1b: Anticipated Number of personnel to be employed at your organization at the time of award**

Enter the number of personnel anticipated to be employed by the small business at the time of award.

#### **Question 1c: Is your small business majority owned by venture capital operating companies, hedge funds, or private equity firms?**

If your small business is majority owned by venture capital operating companies, hedge funds, or private equity firms, check the Yes box. Otherwise, check the No box.

#### **Question 1d: Is your small business a Faculty or Student-Owned entity?**

If your small business is a faculty or student-owned entity, check the Yes box. Otherwise, check the No box.

#### **Question 2: Does this application include subcontracts with Federal laboratories or any other Federal Government agencies?**

If this application includes subcontracts with Federal laboratories or any other Federal Government agencies, check the Yes box and insert the name of the Federal laboratories/agencies in the space provided. Otherwise, check the No box.

If yes, insert the names of the Federal laboratories/agencies.

#### **Question 3: Are you located in a HUBZone?**

To find out if your business is in a HUBZone, use the mapping utility provided by the Small Business Administration on the [SBA's HUBZone Map](#).

If you are located in a HUBZone check the Yes box. Otherwise, check the No box.

#### **Question 4: Will all research and development on the project be performed in its entirety in the United States?**

If all research and development on the project will be performed in its entirety in the United States, check the Yes box. Otherwise, check the No box and use the Add Attachment button below to attach an explanation.

If no, provide an explanation in an attached file.

**Question 5: Has the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work?**

If the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work, check the Yes box. If yes, insert the names of the other Federal agencies.

Otherwise, check the No box.

**Question 6: Disclosure Permission Statement**

If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and e-mail address of the official signing for the applicant organization to organizations that may be interested in contacting you for further information (e.g., possible collaborators, investment)?

If yes, check the Yes box. Otherwise, check the No box.

**Question 7: Does the application include a request of SBIR or STTR funds for Technical and Business Assistance (TABAs)?**

If yes, please follow the agency specific instructions to provide the budget request and justification.

Please answer no if you plan to use the agency TABA vendor, which does not require you to include a request for TABA funds in your application.

**Question 8: Commercialization Plan**



If you are submitting a Phase II or Phase I/Phase II Fast-Track Application, include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions.

**Question 9: Have you received SBIR Phase II awards from the Federal Government?**

Please respond if applying for SBIR Only or Both SBIR and STTR. If you have received SBIR Phase II awards from the Federal Government then check the Yes box and use the Add Attachment button below, to attach a company commercialization history in accordance with agency-specific instructions. Otherwise, check the No box.

**Question 10: Will the Project Director/Principal Investigator have his/her primary employment with the small business at the time of award?**

Please respond if applying for SBIR Only or Both SBIR and STTR. If the Project Director/Principal Investigator will have his/her primary employment with the small business at the time of award then check the Yes box. Otherwise, check the No box.

**Question 11: Please indicate whether the answer to BOTH of the following questions is TRUE.**

Please respond if applying for STTR Only or to Both SBIR and STTR. If the Project Director/Principal Investigator has a formal appointment either with the small business (as an employee or contractor) or as an employee of the nonprofit research institution that has made a commitment to the small business through the STTR Application process AND if the Project Director/Principal Investigator will devote a minimum of 10% of their efforts to the proposed project, then check the Yes box. Otherwise, check the No box.

**Question 12: In the joint research and development proposed in this project, does the small business perform at least 40% of the work and the research institution named in the application perform at least 30% of the work?**

Please respond if applying for STTR Only or to both SBIR and STTR. If the proposed joint research and development is performed at least 40% by the small business and at least 30% by the nonprofit research institution, then check the Yes box. Otherwise, check the No box.

### Question 13: Provide UEI of the nonprofit research partner for STTR.

Please respond if applying for STTR Only or to both SBIR and STTR. Enter the UEI number.

## V.230 Key Contacts Form

The purpose of this form is to identify key contacts that are not the PI/PD. A Key Contact is a user that is designated to be a point of contact for USDA if any questions arise during the application life cycle. Any user associated with the applicant can be a Key Contact. All user roles may be assigned as Key Contacts.

### Field 1: Applicant Organization Name

Enter the legal name and information of the applicant that will undertake the assistance activity. This field is required. The remaining fields are self-explanatory.

### Field 2: Contact 1

Enter the name and information of each contact. Select “Next Person” to enter the next contact person entry. Complete the same information for additional contacts.

## V.300 NIFA Supplemental Information Form

This form is used in conjunction with the SF-424 (R&R): Application for Federal Financial Assistance.

### Field 1: Funding Opportunity

- Funding Opportunity Name: Pre-populated from the opportunity package. Verify the accuracy of the funding opportunity name. This field is required.
- Funding Opportunity Number: Pre-populated from the opportunity package. Verify the accuracy of the funding opportunity number. This field is required.

### Field 2: Program to which you are applying

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.

Program Code: Enter the program code to which you are applying exactly as instructed in the full announcement. This code is used to route an application within the agency. This field is required.

### Field 3: Type of Applicant

Pre-populated from the SF-424 R&R.

Field 3 describes the legal applicant that is identified in Field 5 of the SF-424R&R.

### Field 4: Additional Applicant Types

Select one of the following options if it is applicable to the legal applicant of this application.

The following are a few examples to illustrate how fields 3 and 4 might be completed.

- If the applicant is an 1862 Land-grant University, the type of applicant is “Public/State Controlled Institution of Higher Education” and the additional applicant type is “1862 Land-Grant University.”
- If the applicant is an 1890 Land-grant University, the type of applicant is “Public/State Controlled Institution of Higher Education” and the additional applicant type is “1890 Land-Grant University.”

- If the applicant is a 1994 Land-grant University, the type of applicant is “Public/State Controlled Institution of Higher Education” and the additional applicant type is “1994 Land-Grant University.”
- If the applicant is a USDA Agency, the type of applicant is “Other” and the additional applicant type is “USDA Agency.”

### **Field 5: Supplemental Applicant Types**

Select any of the listed options that are applicable to the legal applicant of the application. More than one option can be selected, if applicable.

### **Field 6: ASAP Recipient Information**

If the legal applicant has an active (Automated Standard Application for Payments) ASAP Recipient Identification Number select yes. If it does not select no. This field is required.

Enter the ASAP Recipient ID to be used in the event of an award. This field is to be completed if yes is selected as answer to previous question.

This information will no longer be used as payments will be made via the Automated Standard Application System (ASAP) operated by the U.S. Department of Treasury’s Financial Management Service.

### **Field 7: Key Words**

Enter the most relevant words which describe the proposed project. This field is required.

### **Field 8: Conflict of Interest List**

Unless stated otherwise in the RFA, a Conflict of Interest (COI) list is required for each Senior/Key Person included in the R&R Senior/Key Person profile.

Prepare the COI list(s) following the instructions and format below. A suggested template for the COI list is available at [NIFA's Application Support Template Resource](#).

Attach a single attachment containing a COI list for each Senior/Key Person included in the R&R Senior/Key Person Profile (i.e., one attachment containing all the COI lists).

For each Senior/Key Person, list alphabetically by last name (and with last name first), the full names of individuals in the following categories and mark each category which applies with an "x".

- All thesis or postdoctoral advisees/advisors
- All co-authors on publications within the past 3 years, including pending publications and submissions
- All collaborators on projects within the past 3 years, including current and planned collaborations
- All persons in your field with whom you have had a consulting/financial arrangement/other conflict-of-interest in the past 3 years including receiving compensation of any type (e.g., money, goods or services).

Note: Other individuals working in the applicant's specific area are not in conflict of interest with the applicant unless those individuals fall within one of the listed categories. The Program Contact must be informed of any additional conflicts of interest that arise after the application is submitted.

## V.310 Attachments Form

The attachments form is an optional form that NIFA will use in limited circumstances. Use the form following instructions in the RFA.

## V.320 Data Management Plan

A Data Management Plan (DMP) is required for all competitive grants programs.

Within the DMP, applicants should clearly articulate how the project director (PD) and co-PDs plan to manage and disseminate the data generated by the project.

The DMP is limited to two pages. These two pages do not count toward the page limits for the project narrative and should not be used to circumvent the project page limit.

If a project does not include data collection (e.g., a meeting with no proceedings), the DMP document may be limited to the statement “No data will be produced”, accompanied by a clear explanation of why there will be no data produced by the project.

Otherwise, the DMP must address the following topics depending on the type of research, education, and extension activities being conducted, unless otherwise stated in the RFA.

### Expected Data Type

Describe the type of data (e.g., digital, non-digital), how it will be generated, and whether the data are primary or metadata.

- Research examples may include lab work, field work and surveys.
- Education examples may include number of students enrolled/participated, degrees granted, curriculum and training products.
- Extension examples may include outreach materials, number of stakeholders reached, number of activities and assessment questionnaires.

### Data Format

For scientific data to be readily accessible and usable it is critical to use appropriate community-recognized standard and machine-readable formats when they exist. If the data will be managed in domain-specific workspaces or submitted to public databases, indicate that their required formats will be followed.

Regardless of the format used, the data set must contain enough information to allow independent use (understanding, validation and analysis) of the data.

## Data Storage and Preservation

Data must be stored in a safe environment with adequate measures taken for its long-term preservation. Applicants must describe plans for storing and preserving their data during and after the project and specify the data repositories, if they exist. Databases or data repositories for long-term preservation may be the same that are used to provide Data 2 Sharing and Public Access.

Estimate how much data will be preserved and state the planned retention period. Include any strategies, tools, and contingency plans that will be used to avoid data loss, degradation, or damage.

## Data Sharing, Protection and Public Access

Describe your data access and sharing procedures during and after the grant. Name specific repositories and catalogs as appropriate. Include a statement, when applicable, of plans to protect confidentiality, personal privacy, proprietary interests, business confidential information, and intellectual property rights.

Outline any restrictions such as copyright, confidentiality, patent, appropriate credit, disclaimers, or conditions for use of the data by other parties.

## Roles, Responsibilities and Reporting

State the party or parties who will ensure DMP implementation. This item is particularly important for multi-investigator and multi-institutional projects.

Provide a contingency plan in case key personnel leave the project. Consider the following questions: What resources will be needed for the DMP? If funds are needed, have they been added to the budget request and budget narrative?

Projects must budget sufficient resources to develop and implement the proposed DMP.

Applicants are encouraged to consider using platforms, catalogs and workspaces provided by USDA (e.g., the Ag Data Commons), and include adequate funds in the budget to support data management and submission fees as required by the platforms, catalogs, etc. Successful projects should monitor the implementation of the DMP throughout the life of the project and after, as appropriate.

Implementation of the DMP must be a component of annual and final reports to NIFA (REEport) and include progress in data sharing (publications, database, software, curriculum, outreach materials, etc.). The final report should also describe the data that was produced during the award period and the components that will be stored and preserved (including the expected duration) after the award ends. The DMP should be compliant with the Research Terms and Conditions that govern NIFA-funded projects. The DMP is not intended to be a replacement for other grant reporting requirements.



**Note: Some NIFA funding programs may require different standards for DMPs. RFA instructions always supersede application instructions in this guide.**

To learn more about DMPs, please see NIFA's [Data Management Plan resource page](#). This resource page also contains a [DMP FAQ](#) that addresses common applicant questions about the DMP.

## VI. Grant Application Package Management, Status & Awards

Within 2 days of submitting a grant application, Grants.gov will send you two email messages:

- The first email will confirm receipt of the application.
- The second email will indicate whether the application has been validated by the system OR has been rejected due to errors.



If your application was successfully validated, Grants.gov will send you a third e-mail notifying you the application has been passed to the agency.

## VI.100 Track your Application

There are two ways to verify the status of an application submitted to Grants.gov.

### Option 1: Use the “Track My Application” feature on Grants.gov

Check your Grants.gov Application Status on the [Track My Application Page](#). This page doesn't require a username or password.

Once on the Track My Application page, enter up to five Grants.gov tracking numbers (one per line) and select the Track My Application(s) button. The system will display general information about the status of each application.

This application tracking feature only confirms whether an application has successfully been retrieved by the awarding agency.

### Option 2: Use the “Check Application Status” Tool on Grants.gov

Check your Grants.gov Application Status on the [Check Application Status Page](#).

This tool is located under your Applicant Login in the Applicants section of Grants.gov, and it requires you to enter your username and password.

“Check Application Status” gives you the opportunity to view a manifest of submitted forms and files within Grants.gov. You can use this manifest to review the list of forms and file attachments that were properly uploaded and received in the system.

On the “Check Application Status” page, you will be given the option to search for your application in several different ways. You may view the list of a particular application’s file(s) and attachment(s) by selecting the link in the Actions column for that application and selecting either the Details or Download Link.

It’s important that you thoroughly review the manifest to ensure that required attachments outlined in the RFA are included and that you have followed NIFA’s attachment formatting requirements.

Submitted applications that do not contain the required forms and file attachments will not be reviewed.

## VI.200 Addressing Issues with Submitted Applications

If you discover any issues when reviewing your submission status and/or file manifest in Grants.gov, your next steps will depend on whether the problems with your application were discovered prior to, or following, the grant application deadline.

- If application issues are discovered prior to the application deadline:  
Please correct your application and submit it before to the established deadline.  
You must notify the NIFA Agency Contact, identified in the RFA, via telephone or email immediately if you are planning to submit a corrected application.

The Agency Contact must be aware that there are two applications, so that one may be accepted and the other removed from consideration. Without this notification, both applications may be excluded from consideration.

- If application issues are discovered after the application deadline:  
We advise you to correct the application and submit it as soon as possible.  
In this circumstance, you must notify the NIFA Agency Contact, identified in the RFA, via telephone or email immediately.

The Agency Contact must be aware that there are two applications with one submitted prior to the deadline and a corrected version submitted following the deadline. Without this notification, both applications may be excluded from consideration. If the late

application is not accepted for consideration, it is possible that the one submitted prior to the deadline may be considered.

Note: You must provide documentation of any extenuating circumstance (e.g., hurricane, flood, fire) along with your late application.

## VI.300 USDA/NIFA Application Status

After receipt of your application through Grants.gov, NIFA will send you two email messages.

- The first will confirm NIFA's receipt of your application.
- The second will indicate whether NIFA has accepted OR declined to review the application.

### Application Updates – Post Submission and Awards

Applications submitted through Grants.gov are considered official submissions to the federal government. You should immediately contact the appropriate NIFA Agency Contact, as identified in the RFA, if you need to change or correct a previously submitted application.

If you have any questions about application decisions (including whether funding decisions have been made), please contact the NIFA agency program contact listed in the RFA for the relevant funding opportunity.

For questions regarding awards:

Email [awards@usda.gov](mailto:awards@usda.gov) for competitive grants

Email [capacitygrantquestions@usda.gov](mailto:capacitygrantquestions@usda.gov) for capacity grants

Remember to include your award number, if applicable.

Information regarding the administration of NIFA awards, including relevant award conditions, is available on [NIFA's Regulations and Guidelines Page](#).

## VII. Appendix

### VII.100 Application Guide Version Change List

#### **Summary of Recent Changes**

Changes included in V1.1

Section V:

V.210: Updated AFRI Project Type form instructions for AFRI Project Type Form V2.0

Changes included in version dated March 2022

Section I:

I.100: Added Acronym List

I.200: Added Glossary of Applicant Resources

I.300: Added Overview of NIFA Grants Process

I.400: Added Grant types and requirements overview

I.500 Added Tips for Grant Applicants subsection

Information on Adobe Acrobat and Grants.gov system compatibility moved to Section II

Section II:

Expanded and updated applicant resources and contact information list

Information on application search moved to Section III

Section III:

III.400: Removed outdated DUNS references

III.400: Added instructions on obtaining and using Universal Entity Identifier (UEI)

III.500: Expanded instruction section re: Grants.gov registration. Updated information on Login.gov credentialing.

Section IV:

Reorganized section.

Moved post-application instructions to Section VI

Section V:

Updated all form instructions to reflect most recent form versions as of April 2022

Removed instructions on FY21 pilot capacity budget process

V.320: Added information and guidance re: Data Management Plan development

Section VI:

VI.100-VI.300: Updated instructions on application tracking and addressing issues with submitted applications

Section VII:

VII.100: Added Application Guide Version Change List

VII.200: Added Frequently Asked Questions list to Appendix

Throughout Guide:

Staff and Agency contact information and hyperlinks have been updated throughout the document

Instructions were revised for readability. Images of form sections removed

Format and design of guide were updated to enhance readability

## VII.200 Frequently Asked Questions

In this Appendix you will find a list of frequently asked questions.

If your question is not included in this FAQ list, and you haven't been able to find additional information in this guide, please contact the appropriate support team from the [Contact Information Section](#).

### **Q: How do I know if I am eligible, or if my organization is eligible, to apply for a NIFA grant?**

Eligibility for any NIFA grant program is determined by the authorizing and annual appropriation legislation.

For competitive grants, you can check the "Eligibility" section of the appropriate Request for Applications (RFA) (located in Part III, A).

For Capacity grants and special line-item grants, NIFA notifies eligible grant recipients directly.

### **Q. Does NIFA accept unsolicited grant applications?**

No. NIFA must comply with the Departmental regulation [2 CFR 415.1](#). As a result, NIFA is to enter into grants and cooperative agreements only after competition and the competitive award process. The regulation includes an exception to this rule for awards to fund unique and innovative unsolicited applications. However, NIFA receives annual appropriations that require the agency to fund very specific areas of agricultural research, education, and extension. Therefore, NIFA does not normally accept or consider unsolicited grant applications for funding.

### Q. What is a Request for Applications (RFA)?

A request for application (RFA) is a notice that provides potential applicants with detailed information about an opportunity to submit an application for federal financial assistance.

The RFA generally includes the purpose, eligibility, restrictions, focus areas, evaluation criteria, and regulatory information and instructions on how to apply. NIFA's competitive RFAs are posted on [NIFA's RFA List](#).

### Q. What is a funding opportunity announcement? What is a funding opportunity package?

A funding opportunity announcement is when a federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds.

NIFA posts funding opportunity announcements to Grants.gov, which posts discretionary funding opportunities from a variety of different agencies and provides a platform for grantees to find and apply these opportunities.

A funding opportunity announcement includes a synopsis and a funding opportunity package.

The synopsis provides basic information for the applicant to determine if they want to look at the RFA; it includes information about how to locate the RFA.

The funding opportunity package includes the necessary forms to apply as well as the general instructions for completing the forms. The RFA and the funding opportunity package are used simultaneously in the preparation of an application.

### **Q. How do I know when NIFA publishes a funding opportunity announcement or an RFA?**

In Grants.gov, you can subscribe to receive notifications of when NIFA or other Federal agencies post a funding opportunity announcement or update previously posted funding opportunities. You do not need to be a registered user of Grants.gov to sign-up for this service. For more information, visit Manage Subscriptions.

NIFA also uses listservs and its bi-weekly publication, NIFA Update, and may issue a press release to notify potential applicants that a funding opportunity announcement and a RFA is available. In rare instances (e.g., legislatively required), NIFA will publish a funding opportunity announcement or the RFA in the Federal Register; in such instances it is in addition to the Grants.gov postings.

### **Q. Where can I get a copy of an RFA and the application forms necessary to apply for a funding opportunity?**

NIFA's competitive RFAs are posted alphabetically on [NIFA's RFA List](#). Also included on the page is a link to the RFA search page.

Each RFA includes instructions about how to locate the funding opportunity announcement which contains the funding opportunity package. The funding opportunity package includes the necessary forms to apply as well as the general instructions for completing the forms.

### **Q. Who should I contact if I have a question about a specific RFA?**

Appendix I of the RFA lists the NIFA Agency Contact(s). If you have programmatic questions, contact the Programmatic Contact. If you have an administrative question, contact the Administrative/Business contact.



**Q. Where can I send comments about a particular RFA to be considered in the development of the RFA for the next fiscal year?**

At the beginning of the RFA there is a section titled Stakeholder Input.

Interested parties should submit written comments in accordance with instructions of that section.

**Q. Do I have to register with Grants.gov before submitting an application through Grants.gov?**

Yes. You must be registered with Grants.gov. There is a one-time registration process for Grants.gov, regardless of the Federal agency you may be submitting an application to through Grants.gov.

Information about how to register is included on the Grants.gov registration page. If you are with an institution, we strongly recommend that you reach out to your grants office or grants team to confirm that your institution is registered with Grants.gov.

**Q. How long does the Grants.gov registration process take?**

The registration process must be completed prior to submission of an application. The following is guidance so you can gauge the amount of time it may take to register.

- Organization applicants with an Employer Identification Number (EIN) should allow 7 business days to complete all registration steps, but additional time may be required for AOR Authorization depending upon the responsiveness of your E-Biz POC.
- Organization applicants applying for an EIN should plan on a minimum of 2 full weeks, but additional time may be required for AOR Authorization depending upon the responsiveness of your E-Biz POC.
- Individual applicants can potentially register in as little as 1 business day.

**Q. Does NIFA require any agency specific registration in addition to the required Grants.gov registration?**

No. NIFA requires no separate registration beyond the Grants.gov registration, and the registrations that are required for a successful Grants.gov registration (e.g., UEI, SAM.gov, Login.gov).

**Q. I will be the Project Director on the proposal. Do I need to register with Grants.gov?**

No, unless you are also the person authorized to submit an application on behalf of their organization. This is generally this is not the case if you are part of an institution.

For example, the Project Director for a for-profit company submitting a proposal to the Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) programs may also be the person authorized to submit applications.

**Q. What software do I need to apply through Grants.gov?**

Grants.gov requires using Adobe Acrobat Reader for Windows or MAC OS.

To determine if your Adobe Reader or Adobe Acrobat software is compatible with Grants.gov, use the [Grants.gov Adobe Software Compatibility Checker](#).

**Q. What process does NIFA use to evaluate proposals submitted for competitive review?**

Using the evaluation criteria specified in the RFA, the proposals are evaluated through a peer review process.

See the [NIFA Peer Review Process for Competitive Grant Applications](#) page for further details.

### Q. What are indirect costs?

Indirect costs are those costs that are incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored project.

Examples of indirect costs include depreciation and use allowances for an organization's building and equipment, operation and maintenance expenses, sponsored projects administration, and departmental administration.

### Q. Can I include indirect costs in my application budget?

Some competitive financial assistance programs supported by NIFA allow for indirect costs. However, for some of these awards the amount is limited by legislation. The amount of allowable indirect costs will be included in the "Funding Restrictions" section (Part IV) of the RFA. To assist in the understanding of the applicable indirect cost rate under NIFA programs, an indirect cost chart is available on the NIFA web site on the [Indirect Cost Chart](#).

While the chart is available, NIFA applicants are to follow any indirect cost limitation identified in the applicable request for applications (RFA) and comply with any indirect cost limitation identified in an award.

### Q. How do I obtain an indirect cost rate agreement?

See [NIFA's Indirect Costs Page](#) for information.

### Q. Where can I find the information I need to complete and submit a NIFA application via Grants.gov?

A request for applications (RFA) is a notice that provides potential applicants with detailed information about an opportunity to submit an application for Federal financial assistance.

The notice generally includes the purpose, eligibility, restrictions, focus areas, evaluation criteria, and regulatory information and instructions on how to apply. NIFA's competitive RFAs are posted at [NIFA's RFA List](#).

#### **Q. How do I know if my application has been received by Grants.gov?**

Within 2 days of submitting a grant application, Grants.gov will send you two email messages:

- The first email will confirm receipt of the application.
- The second email will indicate whether the application has been validated by the system OR has been rejected due to errors.

If the application was successfully validated, Grants.gov will send you a third e-mail notifying you the application has been passed to the agency.

Receipt of the Grants.gov e-mails does not indicate the application has been accepted for review. The Authorized Representative will be notified in up to two subsequent e-mails if the application has been accepted or rejected for program review. If accepted, the application will be assigned a NIFA application number (e.g., 2009-XXXXX). This number should be cited on all future correspondence.

#### **Q. If I'm required to submit a Conflict of Interest List with my Grants.gov application package, what format can I use?**

It's important to follow the instructions in the RFA for the correct format of your application and any required attachments. Unless stated otherwise in the RFA, a Conflict of Interest (COI) list is required for each senior/key person included in the R&R Senior/Key Person profile.

Prepare the COI list(s) following the instructions and format below. A suggested template for the COI list is located through [NIFA's Application Support Template Resource](#). Attach a single PDF attachment containing a COI list for each senior/key person included in the R&R Senior/Key Person Profile (i.e., one attachment containing all the COI lists).

For each senior/key person, list alphabetically by last name (and with last name first), the full names of individuals in the following categories and mark each category which applies with an “x”.

- All thesis or postdoctoral advisees/advisors
- All co-authors on publications within the past three years, including pending publications and submissions
- All collaborators on projects within the past three years, including current and planned collaborations
- All persons in your field with whom you have had a consulting/financial arrangement/other conflict-of-interest in the past three years including receiving compensation of any type (e.g., money, goods or services).

Note: Other individuals working in the applicant's specific area are not in conflict of interest with the applicant unless those individuals fall within one of the listed categories. The program contact must be informed of any additional conflicts of interest that arise after the application is submitted.

**Q. If I'm required to submit Current and Pending Support documentation with my Grants.gov application package what format can I use?**

It's important to follow the instructions in the RFA for the correct format of your application and any attached documents. Unless stated otherwise in the RFA, applicants are encouraged to use the suggested Current and Pending Support Template for each key personnel. The Current and Pending Support information is to be attached as a PDF document to the R&R Senior/Key Person Profile.

**Q. If I'm required to submit a Project Summary/Abstract with my Grants.gov application package what format can I use?**

It's important to follow the instructions in the RFA for the correct format etc. Unless stated otherwise in the RFA, applicants are encouraged to use the suggested Project Summary/

Abstract Template. The Project Summary/Abstract is to be attached as a PDF document to the R&R Other Project Information.

**Q. How do I ensure that I'm applying to the correct NIFA funding opportunity?**

Field 1 of the Supplemental Information form is prepopulated with the funding opportunity name and number from the funding opportunity package. Check this field to ensure it contains information for the opportunity to which you intend to apply.

**Q. There are a number of places where information is to be included in the application as an attachment. What type of attachments will NIFA accept?**

NIFA requires attachments to the application to be in Portable Document Format (PDF); PDF allows applicants to preserve the formatting of their documents.

If you need assistance with Adobe software, Grants.gov has PDF resources available at [Grants.gov's software compatibility page](#).

**Q. Will applicants have to put the attachment in PDF format?**

Yes. The applicant is responsible for converting an attachment file to PDF prior to attaching it to the application and submitting it in Grants.gov.

**Q. How does NIFA determine if an application has met the deadline?**

A date and time stamp is attached to the application when you click on the Submit button to electronically send the application to Grants.gov.

The date and time stamp determines whether the application was received by Grants.gov before the deadline which is identified in the applicable RFA. An application submitted or resubmitted after the deadline is late.

For example, if an RFA lists a deadline of 5:00 pm EST, an application is considered on time at 5:00.59 pm EST but would be late at 5:01 pm EST.

#### **Q. How do I know my application was received by the deadline date and time?**

After submitting an application to Grants.gov, users will receive the electronic equivalent of a postmark stamp on the application confirmation screen. This contains the date and time the application was received by Grants.gov. Applicants should print out this page for their records.

#### **Q. When do I need to submit my application?**

Refer to the Request for Applications (RFA) for the established deadline.

#### **Q. What if I experience a technical problem with Grants.gov on a deadline date?**

You are advised to maintain documentation (e.g., case number provided by Grants.gov Customer Support) of the matter and submit the application as soon as is feasibly possible.

If the application is submitted following the deadline, then contact the Agency Contact (Part VII of RFA) and inform you want a late application considered under an extenuating circumstance.

See [NIFA's Late Application Consideration page](#) for further information.

#### **Q. Should I look for an opportunity by entering the CFDA number on Grants.gov?**

From the Grants.gov Search Grants page, you can search for funding opportunities using the CFDA number or the more effective way is using the funding opportunity number. You may also perform basic searches using the opportunity status, funding instrument type, eligibility, etc.

NIFA also has a Search for a Funding Opportunity page where searches may be performed using key word(s), funding opportunity number, CFDA number, etc.

**Q. What is the difference between the checks that Grants.gov performs on the application and those performed by NIFA?**

The Grants.gov system performs a limited check of the application, including a check for completion of all required form fields. Grants.gov will notify you of the outcome of the initial review.

NIFA staff perform precursory review of the application. The agency validation process includes meeting eligibility requirements and following NIFA application guidelines. This will include a check for correct formatting, conformance with page limitations, and budget request limits.

NIFA will notify you of the outcome of this review.

**Q. Can an individual serve as a PI on more than one grant or would this be considered a multiple or duplicate submission?**

The same PI can be listed on multiple grants as long as they are different proposals.

A person serving as PI on more than one different proposal would not cause these applications to be considered multiple or duplicate submissions.