

# **Cooperative Extension Programs at 1862 Land-Grant Institutions (Smith-Lever Special Needs)**

## **Fiscal Year (FY) 2023 Request for Applications**

Application Deadline: September 30, 2022



United States  
Department of  
Agriculture

National Institute  
of Food and  
Agriculture

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

**Cooperative Extension Programs at 1862 Land-Grant Institutions (Initial Announcement)**

**Assistance Listing Number:** Formerly known as the Catalog of Federal Domestic Assistance (CFDA). This program is listed in the Assistance Listings under 10.511.

**Dates:** Applications must be received by **5:00 p.m. Eastern Time on September 30, 2022.** Comments regarding this request for applications (RFA) are requested within six months from the issuance of this notice. Comments received after that date will be considered to the extent practicable.

**Advancing Diversity, Equity, Inclusion, and Accessibility (DEIA):** NIFA recognizes research, education, and extension efforts will have the greatest impacts when programs are grounded in DEIA. NIFA is committed to enhancing diversity, equity, inclusion, and accessibility of programs and encourages individuals, institutions, and organizations from underserved communities to apply to funding opportunities as lead, co-lead, or subaward recipient(s), and to engage as leaders in the peer panel review process to support the development of strong networks and collaborations. NIFA encourages applications that engage diverse communities and have broad impacts through research, education, extension, and integrated activities to address current and future challenges.

**Stakeholder Input:** The National Institute of Food and Agriculture (NIFA) seeks your comments about this RFA. We will consider all comments when we develop the next RFA for the program, if applicable, and we will use the input to meet the requirements of Section 103(c)(2) of the Agricultural Research, Extension, and Education Reform Act of 1998 ([7 U.S.C. 7613\(c\)\(2\)](#)). Applicants may submit written comments to [Policy@usda.gov](mailto:Policy@usda.gov) (email is for comments only). This email address is intended only for receiving comments regarding this RFA and not for requesting information or forms. In your comments, state that you are responding to the Cooperative Extension Programs at 1862 Land-Grant Institutions (Smith-Lever Special Needs) RFA.

**Executive Summary:** NIFA requests applications for the Cooperative Extension Programs at 1862 Land-Grant Institutions (Smith-Lever Special Needs) for fiscal year (FY) 2023 to support extension activities identified in the eligible institution's approved pre-existing five-year plan of work (POW). Smith-Lever Special Needs (SLSN) funds are allocated to a State Cooperative Extension Service to fulfill a purpose not normally a part of the continuing extension program.

The amount available for support of this program in FY 2022 was \$1,029,979. Appendix A of this RFA includes specific FY 2022 distributions. This RFA is being released prior to the enactment of an FY2023 Appropriations Act. NIFA will issue FY 2023 payments subject to the availability of funds and the applicant having met the previous year's reporting requirements. [Part III, B of this RFA](#) identifies if matching is a requirement and, if so, you should pay particular attention to the matching instructions included in [Part IV, B, 4 of this RFA](#).

This notice identifies the objectives for the SLSN projects/program, the eligibility

criteria for projects/program and applicants, and the application forms and associated instructions you need to apply for a SLSN grant.

The USDA NIFA home page for SLSN is:

<https://www.nifa.usda.gov/grants/programs/smith-lever-act-sections-3b-3c-special-needs-capacity-grant>

## 2023 Updates

1. FY23 reporting requirements have been transitioned from REEport to the NIFA Reporting System (NRS) for Capacity programs. Information regarding NRS and reporting due dates is available at <https://www.nifa.usda.gov/data/nifa-reporting-system>.
2. The [Digital Accountability and Transparency Act of 2014, P.L. 113-101](#) (DATA Act) was signed into law May 9, 2014. The Act requires federal award information be made available for public view on <USAspending.gov>. To fulfill these requirements, there are two additional forms included within the RFA package: the Project/Performance Site Location(s) and Project Abstract forms, OMB Number 4040-0010. The Project/Performance Site Location(s) form will provide more accurate identification of where the federal assistance funding is being utilized. The Project Abstract form will provide more detailed information regarding what the funding is being used for. Any additional information regarding this Act can be found at [Data Act Resources for Web](#).

## TABLE OF CONTENTS

PART I – FUNDING OPPORTUNITY DESCRIPTION .....	7
A. Legislative Authority and Background .....	7
B. Purpose and Priorities .....	7
PART II—AWARD INFORMATION.....	9
A. Available Funding.....	9
B. Type of Application .....	9
PART III—ELIGIBILITY INFORMATION.....	10
A. Eligible Applicants.....	10
B. Cost Sharing or Matching .....	10
PART IV—APPLICATION AND SUBMISSION INFORMATION .....	12
A. Electronic Application Package .....	12
B. Content and Form of Application Submission .....	13
C. Submission Dates and Times.....	18
D. Funding Restrictions .....	18
E. Other Submission Requirements .....	19
PART V—APPLICATION REVIEW REQUIREMENTS.....	20
A. General.....	20
B. Organizational Management Information.....	20
PART VI—AWARD ADMINISTRATION .....	21
A. General.....	21
B. Award Notice .....	21
C. Administrative and National Policy Requirements.....	21
D. Expected Program Outputs and Reporting Requirements .....	21
PART VII—AGENCY CONTACTS .....	23

PART VIII – OTHER INFORMATION ..... 23  
APPENDIX A..... 24

## **PART I – FUNDING OPPORTUNITY DESCRIPTION**

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

Section 3 (b) (1) of the Smith-Lever Act codified at [7 U.S.C. 341-349](#) provides the basis of funding for special needs agricultural extension programs at 1862 Land-Grant institutions.

Per [7 U.S.C. 347a-c](#), the Congress finds that there exists special circumstances in certain agricultural areas which cause such areas to be at a disadvantage insofar as agricultural development is concerned, which circumstances include the following: (1) There is concentration of farm families on farms either too small or too unproductive or both; (2) such farm operators because of limited productivity are unable to make adjustments and investments required to establish profitable operations; (3) the productive capacity of the existing farm unit does not permit profitable employment of available labor; (4) because of limited resources, many of these farm families are not able to make full use of current extension programs designed for families operating economic units nor are extension facilities adequate to provide the assistance needed to produce desirable results.

In determining that the area has such special need, the Secretary shall find that it has a substantial number of disadvantaged farms or farm families for one or more of the reasons heretofore enumerated. The Secretary shall make provisions for the assistance to be extended to include one or more of the following: (1) Intensive on-the-farm educational assistance to the farm family in appraising and resolving its problems; (2) assistance and counseling to local groups in appraising resources for capability of improvement in agriculture or introduction of industry designed to supplement farm income; (3) cooperation with other agencies and groups in furnishing all possible information as to existing employment opportunities, particularly to farm families having under-employed workers; and (4) in cases where the farm family, after analysis of its opportunities and existing resources, finds it advisable to seek a new farming venture, the providing of information, advice, and counsel in connection with making such change.

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

### **B. Purpose and Priorities**

The purpose of the capacity grant program is to increase the level of agricultural extension activities and reach out to limited resource farm families that are at a disadvantage as far as agricultural development that are too small, have low productivity, or are unable to make adjustments to establish profitable operations or profitable employment. The purpose of the SLSN is to support innovative, education-based approaches to addressing extension education and services to these limited resource farm families to help them achieve desirable results. Methods may include, but are not limited to, collaboration with other organizations, appraising resources for capability of improvement in agriculture or introduction of industry designed to supplement farm income, other new farming ventures or new technologies.

The Smith Lever Special Needs/SLSN is aligned with the following Department priorities:  
USDA Strategic Plan FY 2022-2026 found at

(<https://www.usda.gov/sites/default/files/documents/usda-fy-2022-2026-strategic-plan.pdf>)

Goals:

1. Strategic Goal 1-Combat Climate Change to Support America's Working Lands, Natural Resources and Communities.
2. Strategic Goal 3- Foster an Equitable and Competitive Marketplace for All Agricultural Producers.
3. Strategic Goal 5- Expand Opportunities for economic Development and Improve Quality of Life in Rural and Tribal Communities.

## **PART II—AWARD INFORMATION**

### **A. Available Funding**

Subject to any FY 2023 Continuing Resolution, NIFA will distribute funds to the institutions according to the amounts allocated in FY2022. NIFA will adjust the allocations for FY 2023 once appropriations are finalized. The amount available for support of this program in FY 2022 was \$1,029,979.

The [Automated Standard Applications for Payment System \(ASAP\)](#), is operated by the Department of Treasury’s Bureau of the Fiscal Service, will be the payment system for all NIFA grant awards.

### **B. Type of Application**

Applications for FY 2023 are limited to “new” applications.

## **PART III—ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

The **1862 Land Grant Institutions** eligible for the SLSN program are listed below. Failure to meet an eligibility criterion by the time of application deadline may result in the application being excluded from consideration or, even though an application may have been reviewed, will preclude NIFA from making an award.

Applications may only be submitted by the following 1862 Land-grant Institutions:

1. University of Alaska Fairbanks Grants & Contracts
2. University of Arizona
3. Colorado State University
4. Regents of the University of Idaho
5. Kansas State University
6. Montana State University, Inc
7. Board of Regents of the University of Nebraska
8. University of Nevada, Reno
9. New Mexico State University
10. North Dakota State University
11. Oregon State University
12. South Dakota State University
13. Texas A&M Agrilife Extension Service
14. Utah State University
15. University of Vermont
16. University of Wyoming

Award recipients may subcontract to organizations not eligible to apply provided the subcontracts are necessary for the conduct of the project. Failure to meet an eligibility criterion by the time of application deadline may result in the application being excluded from consideration or, even though an application may have been reviewed, will preclude NIFA from making an award.

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

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

Section 3(e)(1) of the Smith-Lever Act codified at [7 U.S.C. 343\(e\)\(1\)](#) states, with regard to institutions in the 50 states, “no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-federal funds for cooperative extension work.” However, section 3(e)(4) of the Smith-Lever Act codified at [7 U.S.C. 343\(e\)\(4\)](#) provides that “Effective beginning for fiscal year 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the

Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section..... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.”

The Matching Funds Requirements for Agricultural Research and Extension Capacity Funds at 1890 Land-Grant Institutions, including Central State University, Tuskegee University and West Virginia State University, and at 1862 Land-grant Institutions in Insular Areas are published at [7 CFR 3419](#). [7 CFR 3419.1](#) defines “matching funds” as “funds from non-federal sources, including those made available by the State to the eligible institutions for programs or activities that fall within the purposes of agricultural research and cooperative extension under Sections 1444 and 1445 of NARETPA; the Hatch Act of 1887; and the Smith-Lever Act.” [7 CFR 3419](#) defines “non-federal sources” as “funds made available by the State to the eligible institution either through direct appropriation or under any authority (other than authority to charge tuition and fees paid by students) provided by a State to an eligible institution to raise revenue, such as gift acceptance authority or user fees.”

[7 CFR 3419.6](#) states that “The required matching funds for the capacity programs must be used by an eligible institution for the same purpose as Federal award dollars: Agricultural research and extension activities that have been approved in the plan of work required under sections 1445(c) and 1444(d) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, section 7 of the Hatch Act of 1887, and section 4 of the Smith-Lever Act. For all programs, tuition dollars and student fees may not be used as matching funds.”

NIFA may consider and approve matching waiver requests under this RFA above the 50 percent level for insular areas. The regulations at [7 CFR § 3419.3](#) and [7 CFR § 3419.4](#) address the criteria an institution must meet to be granted a waiver as well as the process and supporting documentation required for submitting a waiver. See [Part IV B.6.c.](#) of this RFA for additional instructions about how to request a waiver.

## PART IV—APPLICATION AND SUBMISSION INFORMATION

### A. Electronic Application Package

Submit only electronic applications via Grants.gov to NIFA in response to this RFA. We urge you to submit early to the [Grants.gov](https://www.grants.gov) system. For information about the pre-award phase of the grant lifecycle, see Pre-Award phase Grants 101.

#### **New Users of Grants.gov**

Prior to preparing an application, we recommend the project director/principal investigator (PD/PI) first contact an authorized representative (AR, also referred to as Authorized

Organizational Representative or AOR)<sup>1</sup> to determine if the organization is prepared to submit electronic applications through Grants.gov. If not (e.g., the institution/organization is new to the electronic grant application process through Grants.gov), you must complete the one-time registration process prior to submitting an application. *The registration process can take as long as two weeks to complete. It is, therefore, critical to begin the process as soon as possible. To register, the AR should select “Register” in the top right corner of the Grants.gov web page (or go to Grants.gov Register).*

#### **Steps to Obtain Application Package Materials**

To receive application materials:

1. You must download and install a version of [Adobe Reader](https://www.adobe.com/reader) compatible with [Grants.gov](https://www.grants.gov) to access, complete, and submit applications. For basic system requirements and download instructions, Grants.gov has a test package that will help you determine whether your version of Adobe Reader is compatible.
2. To obtain the application package from Grants.gov, go to [Search Opportunity Package](#) and enter the funding opportunity number:

**Funding Opportunity Number: USDA-NIFA-10511-SLSNXXXX-23-0001**

in the appropriate box. Select the Related Documents Tab and Package Tab to reference all elements required and the NIFA Grants Application Guide associated with your funding opportunity.

A Grant Application Package is tied to a particular funding opportunity. Applications must be submitted ONLY to the funding opportunity to which the Grant Application Package is associated. The application package also contains the [NIFA Grants Application Guide](#). This guide contains an introduction and general Grants.gov instructions, additional information about the Grants.gov registration process, information about how to use a Grant Application Package in Grants.gov, and instructions on how to complete the application forms.

If you require assistance to access the application package (e.g., downloading or navigating Adobe forms) or submitting the application, refer to [resources available](#) on the Grants.gov website.

<sup>1</sup>The Authorized Representative (AR) must have the authority to represent and bind the organization for any agreement (i.e., the individual who is authorized to commit the awardee's time and other resources to the project, to commit the awardee to comply with the terms and conditions of the award instrument including those set out herein, and to otherwise act for or on behalf of the awardee institution or organization).

Grants.gov assistance is also available at:

Grants.gov customer support

(800)518-4726 toll-free or (606)545-5035

Business Hours: 24 hours a day, 7 days a week. Closed on [federal holidays](#).

Email: [support@grants.gov](mailto:support@grants.gov)

[Grants.gov iPortal](#) Top 10 requested help topics (FAQs), searchable knowledge base, self-service ticketing and ticket status, and live web chat (available 7 a.m. - 9 p.m. Eastern Time).

Have the following information available when contacting [Grants.gov](#):

1. Funding opportunity number (FON)
2. Name of agency to which you are applying
3. Specific area of concern

## **B. Content and Form of Application Submission**

Applicants must prepare electronic applications following Parts III and IV of the [NIFA Grants Application Guide](#). This guide is part of the corresponding application package (see Section A of this part). The following additional information is needed to prepare an application for this RFA. *If there is a discrepancy between the two documents, the information contained in this RFA is overriding.*

Note the attachment requirements (e.g., PDF) in Part IV, of the [NIFA Grants Application Guide](#). Any proposals that are non-compliant with the requirements (e.g., content format, PDF file format, file name restrictions, or password protected files) will be at risk of being excluded from NIFA review. Partial applications will be excluded from NIFA review. We will accept subsequent submissions of an application until the established deadline in the RFA (see Part IV of the [NIFA Grants Application Guide](#) for further information).

**For any questions related to the preparation of an application,** review the [NIFA Grants Application Guide](#) and the applicable RFA. If you need further assistance, contact:

1. Email: [capacitygrantquestions@usda.gov](mailto:capacitygrantquestions@usda.gov)
2. Business hours: Monday - Friday, 7 a.m. - 5 p.m. ET, excluding [federal holidays](#).

Each grant application must contain the following:

1. Application for Federal Assistance, Form SF-424 R&R Cover Sheet
2. Project/Performance Site Location(s) Form
3. Project Abstract Form (including attachment in PDF format)
4. Key Contacts Forms
5. NIFA Supplemental Information Form

6. Attachment Form (including attachments in PDF format)

The [NIFA Grants Application Guide](#) includes instructions for additional forms not needed for an application in response to this RFA. Complete and submit only the forms associated with the funding opportunity package and as instructed below.

### **1. SF 424 R&R Cover Sheet**

Information related to the questions on this form is available in Part V of the [NIFA Grants Application Guide](#). The following are additional instructions. Please note new instructions are included below for Field 5. The Organizational Information NIFA has included in Appendix A is based on FY2022 applications received for this program. If your organization intends to submit an application using information other than what appears in Appendix A, please contact us at [capacitygrantquestions@usda.gov](mailto:capacitygrantquestions@usda.gov) prior to submitting your application.

- a) **Field 1. Type of Submission** – Check “Application”
- b) **Field 5. Applicant Information**
  - i. Enter Legal Name of the Institution as registered in the System for Awards Management (SAM) which appears in the first column of Appendix A of this RFA
  - ii. Enter the Institutions Unique Entity Identifier (UEI) as it appears in SAM
  - iii. Enter Department Name of Eligible Recipient, if applicable
- c) **Field 7. Type of Applicant** – Enter the Institution type as registered in SAM.gov
- d) **Field 8. Type of Application** – Enter “new”
- e) **Field 11. Descriptive Title of Applicant’s Project** - Enter a short descriptive title, (no more than 200 characters including spaces) of the project(s) being paid for with this grant. Do not use acronyms or special characters
- f) **Field 13. Congressional District of Applicant** – Enter the Congressional District for the Institution’s location provided in Section 5. Applicant Information
- g) **Field 15. Estimated Project Funding** – For item a and b, enter your institution’s FY 2022 allocation and matching as listed in Appendix A of this RFA
- h) **Field 17. Complete Certification** - See Part V, Section 2.18 of the [NIFA Grants Application Guide](#) for the required certifications and assurances (e.g., Prohibition Against Entities Requiring Certain Internal Confidentiality Agreements)
- i) **Field 19. Authorized Representative** – Signature of Authorized Representative in this box shall match information completed within this section. If signature is a designee or other party, a letter on university letterhead designating this signature authority shall be included with the submission as part of the attachments within the Attachment Form

### **2. Project/Performance Site Location(s) Form**

Information related to the requirements on this form is available in Part V of the [NIFA Grants Application Guide](#). The following are additional instructions.

Note: The Primary Place of Performance Site Location is the principal location where the majority of work is being performed, such as a manufacturing plant where items are produced or

a hospital where research is being conducted. In many instances, a project's Primary Place of Performance Site Location will not be the same as the recipient's legal business address.

- a) Complete only the "Project/Performance Site Primary Location" section of the form
- b) **Organization Name** - Indicate the organization name of the primary site where the work will be performed
- c) **Street1** - Enter first line of the street address for the primary performance site location
- d) **Street2** - Enter second line of the street address for the primary performance site location, if needed
- e) **City** - Enter the City for the address of the primary performance site location
- f) **County** - Enter the County of the performance site location
- g) **State** – From the drop-down menu, select the state code (e.g., NY for New York, CA for California) where the primary performance site location is located. For the following territories, use the following state codes. These codes are at the end of the drop-down menu except D.C.
  - i. Washington DC = DC
  - ii. American Samoa = AS
  - iii. Guam = GU
  - iv. Marshall Islands=MH
  - v. Micronesia= FM
  - vi. Northern Mariana Islands = MP
  - vii. Puerto Rico=PR
  - viii. US Virgin Islands=VI
- h) **Country** – This field should default to USA. Please select the proper country if applicable.
- i) **Zip/Postal Code** - Enter the nine-digit Postal Code (e.g., ZIP code) of the primary performance site location.
- j) **Project/Performance Site Congressional District** - Enter the two-digit Congressional District of the primary performance site location (e.g., 01, 02, 03...). For the following unique areas, the Congressional Districts are:
  - i. Alaska, Delaware, Montana, North Dakota, South Dakota, Vermont, Wyoming - 00 is the Congressional District code
  - ii. Washington DC, American Samoa, Guam, Northern Mariana Islands, Puerto Rico, US Virgin Islands - 98 is the Congressional District code
  - iii. Micronesia, Marshall Islands, Palau, US Minor Outlying Islands - 99 is the Congressional District code

### **3. Project Abstract Form**

Information in this form is important to DATA Act requirements for reporting to the public via [USA Spending](#). The abstract submitted should not be more than 18,000 characters (including spaces, dashes, etc.) and should be "a plain language description of the Federal award purpose; activities to be performed; deliverables and expected outcomes; intended beneficiary(ies); and subrecipient activities if known/specified at the time of award." This information may be a copy of a section of the Institutions FY 2023 plan of work, as long as these areas are included.

Remember, whatever information is provided in this abstract will be displayed to the public via the [USA Spending](#) website. Therefore, do not include any proprietary or confidential

information.

#### **4. Key Contacts Form**

Information related to the requirements of this form is available in Part V of the [NIFA Grants Application Guide](#). These documents must be completed and submitted in PDF format. The Project Role field of the Key Contact form should contain the exact roles indicated below for each contact required. A person's job title should be entered in the Title field of the Key Contact form and not in the Project Role field. Missing forms may result in delayed processing of the application.

- a) **Contact 1 Project Role:** Enter the contact information for the State Extension Director
- b) **Contact 2 Project Role:** Enter the contact information for the State Extension Director's designee.
- c) **Contact 3 Project Role:** Enter the contact information for the Business Office Manager/Administrator
- d) **Contact 4 Project Role:** Enter the contact information for the person responsible for drawdowns.

#### **5. Supplemental Information Form**

Information related to the requirements of this form is available in Part V of the [NIFA Grants Application Guide](#). The following are additional instructions.

- a) **Field 1. Funding Opportunity Name** - Cooperative Extension Programs at 1862 Land-Grant Institutions (Smith-Lever Special Needs)
- b) **Field 2. Program to which you are applying**
  - i. Program Code Name – Smith-Lever Special Needs
  - ii. Program Code – SLSN
- c) **Field 3. Type of Applicant** - Enter the Institution type as registered in SAM.gov
- d) **Field 6. ASAP Recipient Information** – Check “Yes” and enter in the Institution ASAP Recipient ID corresponding with the Institution receiving the award
- e) **Field 8. Conflict of Interest List** - Do not attach a conflict-of-interest list, leave this section blank

#### **6. Attachment Form**

Information related to the requirements on this form is available in Part V of the [NIFA Grants Application Guide](#). The following are additional instructions.

- a) **Felony Convictions or Tax Delinquent Status** - See Part V of the [NIFA Grants Application Guide](#) for instructions regarding mandatory Felony Convictions or Tax Delinquent Status. For Capacity programs, this mandatory information must be either included as an attached PDF and identified on the Attachment Form or appropriately answered within the “Reps and Certs” section of your SAM.gov registration.
- b) **Matching Requirement**- If matching funds are required as specified under Part III, B. Cost-Sharing or Matching, the matching is an eligibility criterion, and you must include a

PDF document identifying the non-federal source of match documentation with the application. We will consider this documentation when ascertaining final matching requirements or in determining if required matching can be waived. NIFA retains the right to make final determinations regarding matching requirements.

The matching documentation shall include the non-federal sources (specify the type of match as third party or cash; the source of match, state, or non-state, county, or non-tax; and the amount of match for each source) and the amount of all match support. The matching documentation must include the program name, fiscal year and be signed by the authorized representative. The match information should be in PDF format (see Part IV, of the [NIFA Grants Application Guide](#) for attachment requirements) and included as a separate attachment identified on the Attachment Form.

To establish the value of applicant contributions in accordance with applicable cost principles, refer to [2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#) for further guidance and other requirements relating to matching and allowable costs

- c) **Matching Funds Waiver Request (Optional)** - If your institution is applying for a matching funds waiver, prepare a request in PDF format for inclusion within your submission and identify on the Attachment Form (see Part IV. of the [NIFA Grants Application Guide](#) for attachment requirements). The revised Final Rule 3419, published May 11, 2018, ([7 CFR §3419](#)) contained information on applications for waivers for both 1890 land-grant institutions and 1862 land-grant institutions in insular areas.

The following information shall be included with your request submitted:

- i. a request to waive matching requirements under this RFA including the name of the eligible institution and the type of Federal capacity funds (i.e., Smith-Lever);
- ii. a statement of the fiscal year(s) for which the waiver is requested;
- iii. a statement of the exact dollar amount of waiver being requested by fiscal year and how the amount was computed (by matching fund category);
- iv. a statement of why the waiver is requested using criteria listed in the revised Final Rule [7 CFR §3419.3](#): impacts from natural disaster, flood, fire, tornado, hurricane, or drought; state and/or institution facing financial crisis; or lack of matching funds after demonstration of good faith efforts to obtain funds;
- v. documentation supporting the need for the waiver (documentation must be current, within the past two years from the date of the letter requesting the waiver);
- vi. the university's approved budget for the program for both the current and previous budget cycles; and
- vii. a statement regarding the university's efforts to meet future matching needs.

Other information you may also submit includes but is not limited to documentation such as a statement from the State asserting what portion of the required match amount the State contribution to the institution will cover, a schedule of projected cash flows showing what portion of the matching funds the university will have available or other

documents such as letters from State or institution budget personnel or newspaper articles. Newspaper articles may be provided as supporting documentation but will not be considered as primary supporting documentation. In requesting the waiver, the institution must consider the availability of all permissible forms of matching in detail.

### **C. Submission Dates and Times**

Instructions for submitting an application are included in Part IV of the [NIFA Grants Application Guide](#).

Applications must be received by Grants.gov by **5 p.m. Eastern Time on September 30, 2022**. Applications received after this deadline will normally not be considered for funding.

In case of trouble submitting an application to Grants.gov, you should FIRST contact the [Grants.gov Help Desk](#) to resolve any problems. Keep a record of any such correspondence. See [Part IV A of this RFA](#) for Grants.gov contact information.

Once NIFA accepts your application, you may check the status of your application in the [ezFedGrants Portal](#) or by looking in [Grants.gov](#).

If you are not able to validate that NIFA received your application by October 12, 2022, contact the Agency Administrative Contact identified in [Part VII of this RFA](#). Failure to do so may result in the application not being processed and funding being held. You should cite your Grants.gov tracking number on all inquiries until an award number is assigned.

### **D. Funding Restrictions**

#### **(1) Use of Funds Limitation**

No portion of federal funds allotted under Special Needs grant may be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in the Smith-Lever Act.

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

Special Needs federal funding may only be used on extension activities identified in the institution's approved Five-Year Plan of Work.

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

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 ([7 U.S.C. §3319](#)), indirect costs and tuition remission are unallowable as Smith-Lever Special Needs capacity grant expenditures. Further, costs that are a part of an institution's indirect cost pool (e.g., administrative, or clerical salaries) may not be reclassified as direct costs for the purpose of making them allowable.

#### **(4) Retirement Contributions**

Employer contributions to land-grant college retirement systems are limited to 5 percent of that portion of the salaries paid, under this award, to employees who participate in the system ([7 U.S.C. §331](#)) and are subject to the other conditions in [7 U.S.C. §331](#). Note the

5 percent limitation does NOT apply to any state or individual contribution. Contributions of funds under this award may not exceed the contributions from non-Federal sources made by or on behalf of the individual concerned. See Section VI.H.1 of the [NIFA Federal Assistance Policy Guide](#) for additional information.

**(5) Matching**

See [Part III, B of this RFA](#) for additional information.

**E. Other Submission Requirements**

You should follow the submission requirements noted in Part V of the [NIFA Grants Application Guide](#).

**Unique Entity Identifier (UEI) Number and System for Award Management (SAM)** – each applicant (unless excepted under [2 CFR § 25.110\(b\) or \(c\)](#), or has an exception approved by the federal awarding agency under [2 CFR § 25.110\(d\)](#)) is required to:

- a) be registered in SAM before submitting its application;
- b) provide a valid UEI number in its application; and
- c) continue to 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 a federal awarding agency.

If you have not complied with all applicable UEI and SAM requirements, you may be considered unqualified to receive an award.

Your SAM registration information determines your organization's ID in the [ezFedGrants](#) system, and the information must match your ASAP recipient UEI and EIN.

## **PART V—APPLICATION REVIEW REQUIREMENTS**

### **A. General**

NIFA will review submitted documents to determine if all program, financial, and administrative requirements are met and are current. Missing or incomplete information within an application may require additional submittals and deletion of application(s) already submitted.

### **B. Organizational Management Information**

Specific applicant organizational management information shall be submitted on a one-time basis, with updates submitted as needed. If this information has not been submitted under this or another NIFA program, it is the responsibility of the organization to do so for determination of eligibility prior to the award of a grant identified under this RFA.

We will provide you the forms to fulfill these requirements as part of the Pre-Award process. Although an applicant may be eligible, there are factors that may exclude an applicant from receiving financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination an applicant is not responsible based on submitted organizational management information).

## **PART VI—AWARD ADMINISTRATION**

### **A. General**

Within the limit of funds available for such purpose, the NIFA awarding official shall make grants to those responsible, eligible applicants.

### **B. Award Notice**

The notice of federal award is the authorizing document. The award document contains award provisions and other pertinent information. See Notice of Award section at [Notice of Award](#) for further details.

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

Several federal statutes and regulations apply to grant applications considered for review and to project grants awarded under this program. These may include, but are not limited to, those listed at [USDA/NIFA Federal Regulations](#).

NIFA Federal Assistance Policy Guide—a compendium of basic NIFA policies and procedures applying to all NIFA awards, unless there are statutory, regulatory, or award-specific requirements to the contrary, is available at the [NIFA Federal Assistance Policy Guide](#).

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

Organizations receiving Smith-Lever Special Needs funding from National Institute of Food and Agriculture (NIFA), are required to submit the following reports:

1. Fiscal Year (FY) 2024 Plan of Work (POW) update;
2. FY 2022 Annual Report of Accomplishments and Results (Annual Report);
3. Program/Project Initiation in the NIFA Reporting System (NRS);
4. Program/Project progress reports;
5. Project Financial Report; and
6. Federal Financial Report (SF-425)

The FY 2024 Plan of Work (POW) update and the FY 2022 Annual Report are due by April 1, 2023. NIFA is building an integrated reporting portal for research and extension grants. Information regarding requirements for submittals of reporting through the NRS are available at the NRS web page <https://nifa.usda.gov/tool/pow-nifa-reporting-system>.

In FY 2022, Institutions initiated Extension programs in NRS via this link: <https://nifa.usda.gov/tool/pow-nifa-reporting-system>. Institutions must continue submitting Program Initiations in the NRS, which includes the Program Description, Classifications, and identification of Integrated and Multi-State activities prior to initiation of each capacity-funded program. The program will undergo a review by NIFA and be approved, deferred, or declined.

Institutions will submit annual progress reports in the NRS based on the federal fiscal year. Reports are due March 1 for the preceding fiscal year. Progress reports form the basis for the Annual Report of Accomplishments and Results due April 1.

A Project Financial Report must be submitted to NIFA annually for all eligible projects from the

preceding fiscal year. A Project Financial Report is also required for expenditures on all state projects to be included in the non-federal funds and matching funds computation. Reports shall be made on the federal fiscal year basis.

Federal Financial reporting via the SF-425 is due within the ezFedGrants portal, at minimum on an annual basis. Please see your Notice of Award for additional SF-425s that may be required throughout the life of the award. Information on how to access the ezFedGrants portal can be found on the ezFedGrants (eFG) Grants and Agreements System Overview page.

See [Smith-Lever Act Sections 3\(b\) and 3\(c\) Special Needs Capacity Grant](#) for additional Smith-Lever Special Needs reporting requirement details.

## **PART VII—AGENCY CONTACTS**

For questions regarding Cooperative Extension Programs at 1862 Land-Grant Institutions (Smith-Lever Special Needs) (SLSN) Program projects/program, please contact:

Denis Ebodaghe, National Program Leader  
Institute of Food Production and Sustainability  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
Telephone: 202-445-5460  
E-mail: [denis.ebodaghe@usda.gov](mailto:denis.ebodaghe@usda.gov)

For administrative questions relating to the completion of the grants.gov forms please contact:

Alicia J. Simon, Senior Grants Management Specialist  
OGFM/National Institute of Food and Agriculture  
Telephone: 202-253-7102  
Email: [capacitygrantquestions@usda.gov](mailto:capacitygrantquestions@usda.gov)

For questions relating to the Five-Year Plan of Work Update or the Annual Report of Accomplishments and Results, contact Planning, Accountability and Reporting Staff; Email: [pow@usda.gov](mailto:pow@usda.gov).

## **PART VIII – OTHER INFORMATION**

The USDA NIFA home page for the Smith-Lever Act Sections 3(b) and 3(c) Special Needs Capacity Grants: <https://nifa.usda.gov/program/smith-lever-act-sections-3b-and-3c-special-needs-capacity-grant>

**APPENDIX A**

UNITED STATES DEPARTMENT OF AGRICULTURE  
 National Institute of Food and Agriculture  
 FY 2022 Distribution of Funds to Eligible Institutions for Extension Activities  
 Authorized under the Smith-Lever Act and D.C. Postsecondary Education Re-organization Act  
 Smith-Lever Special Needs  
 Appendix A – Final

Recipient Name	DUNS Number	State	Allocation	Required Match
UNIVERSITY OF ALASKA FAIRBANKS GRANTS & CONTRACTS	615245164	AK	\$41,081	\$41,081
UNIVERSITY OF ARIZONA	961605172	AZ	111,504	111,504
COLORADO STATE UNIVERSITY PRESIDENT'S OFFICE AT COLORADO STATE UNIVERSITY	829068126	CO	68,134	68,134
REGENTS OF THE UNIVERSITY OF IDAHO UNIVERSITY OF IDAHO	075746271	ID	74,412	74,412
KANSAS STATE UNIVERSITY PRE-AWARDS SERVICES	929773554	KS	37,557	37,557
MONTANA STATE UNIVERSITY, INC MONT ST UNIV/GRANTS & CONTRACT	625447982	MT	92,179	92,179
NORTH DAKOTA STATE UNIVERSITY	803882299	ND	72,135	72,135
BOARD OF REGENTS OF THE UNIVERSITYOF NEBRASKA UNIVERSITY OF NEBRASKA	555456995	NE	42,358	42,358
NEW MEXICO STATE UNIVERSITY OFFICE OF SPONSORED PROGRAMS	173851965	NM	95,522	95,522
NEVADA SYSTEM OF HIGHER EDUCATION UNIVERSITY OF NEVADA, RENO	146515460	NV	84,519	84,519
OREGON STATE UNIVERSITY	053599908	OR	36,301	36,301
SOUTH DAKOTA STATE UNIVERSITY	929929743	SD	34,570	34,570
TEXAS A&M AGRILIFE EXTENSION SERVICE	781568837	TX	91,221	91,221
UTAH STATE UNIVERSITY USU	072983455	UT	93,188	93,188
UNIVERSITY OF VERMONT & STATE AGRICULTURAL COLLEGE UNIVERSITY OF VERMONT	066811191	VT	11,347	11,347
UNIVERSITY OF WYOMING SPONSORED PROGRAMS	069690956	WY	43,951	43,951
Total Payment to States			\$1,029,979	\$1,029,979