



United States  
Department of  
Agriculture

National Institute  
of Food and  
Agriculture

**National Institute of Food and Agriculture (NIFA) Federal Assistance  
Policy Guide:  
Section IV: Award Issuance  
pp. 55-83**

**NIFA Office of Grants and Financial Management**

April 21, 2021

The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.

#### **IV. Award Issuance**

NIFA will determine which applications will be funded after all required pre-award reviews have been conducted in accordance with the applicable legislation, regulations, and NIFA procedures. OGFM will issue an award to all successful applicants. All applicants will be notified of the funding decision made on their application. The Notice of Award is the legal document indicating an award has been made and establishing the amount of funds granted. The effective date of an award will be no later than September 30 of the Federal fiscal year for which the funds were appropriated, unless there is another date specified by law.

##### **A. Notification ALL AWARDS**

The Notice of Award (previously Award Face Sheet) is the legal document issued to the recipient organization that indicates an award has been made and that funds may be requested from the designated NIFA payment system, ASAP.<sup>10</sup> A Notice of Award showing the amount of Federal funds authorized for financial obligation and any future-year commitments, is issued for each budget period in the approved project period. Any costs incurred by the applicant for the project prior to issuance of the Notice of Award are incurred at the recipient's own risk. The Notice of Award will contain any special conditions applicable to that particular award. A revised Notice of Award may be issued during a budget period resulting in a change in the period or amount of support or other change in the terms and conditions of award. For example, once the condition that prompted an additional requirement to be added has been met, the Notice of Award will be amended. However, an awarding office generally will not issue a revised Notice of Award to reflect a recipient's post-award rebudgeting.

The Notice of Award sets forth pertinent information about the grant, including, at a minimum, the following:

- Unique Federal Award Identification Number (FAIN)/Award Number
- Amendment FAIN/Number
- Proposal/Application Number
- Period of Performance
- Type of Action
- CRIS Number
- REEport Accession Number
- Type of Instrument
- Awardee/Recipient Organization Name and Address
- Total Amount of NIFA Funding
- Legal Authority(ies) Under Which the Grant or Cooperative Agreement is Awarded
- Agency Name and Addresses
- Title of the project/proposal

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<sup>10</sup> Grants to Federal agency/entity recipients are processed via the Intra-Agency Payment and Collection (IPAC) system, not ASAP.

- Method of Payment
- Approved budget (may be referenced)
- Funds Chargeable
- Name(s) and Institution(s) of Project Director(s)
- Administrative and Program Points of Contact
- Total Cost Share or Matching, Where Applicable
- Assistance Listing Number
- Name of ADO Signature of ADO
- Date
- Other information or provisions (including the terms and conditions) deemed necessary by NIFA to carry out its respective awarding activities or to accomplish the purpose of a particular grant or cooperative agreement.

A recipient indicates acceptance of an award and its associated terms and conditions by drawing or requesting funds from the designated NIFA payment system (ASAP) or office. For cooperative agreement awards and awards that have required match, NIFA may require the recipient to formally accept the award by signing and returning the Notice of Award or a separate document. When a signature is required, the AR must be the signatory of the Notice of Award. If a recipient cannot accept the award, including the legal responsibility to perform in accordance with award terms and conditions, the organization should notify the ADO immediately upon receipt of the Notice of Award. Recipients will be asked to relinquish the award if the award has been made and the recipient determines that they can't carry out the project; if necessary, NIFA will terminate the award due to noncompliance. NIFA's determination of applicable terms and conditions of award or an ADO's denial of a request to change the terms and conditions is discretionary and not subject to appeal. Once the recipient accepts the award, the contents of the Notice of Award are binding on the recipient unless and until modified by a revised Notice of Award signed by the ADO (7 CFR 3430.41-42).

#### 1. Competitive Notice of Award Issuance COMPETITIVE AWARDS

Grantees are notified via email when an award has been issued. To ensure proper electronic delivery of the Notice of Award, the applicant organization must be sure to enter a valid email address in the application on Grants.gov.

Organizations are encouraged to use a unique email address that is not specific to an individual in order to avoid communication problems when personnel change. It is the responsibility of the grantee organization to notify NIFA of personnel changes in order to maintain a current and accurate email address for Notices of Award.

When NIFA issues the Notice of Award, the document is made available to grantee officials and corresponding PD/PIs via email. Notices of Award include information informing the grantee if a requirement is not met and that "funds are not authorized" pending receipt of the required document(s) or if a significant grant-related issue is unresolved.

## 2. Capacity Award Notification CAPACITY AWARDS

A Notice of Award will be issued after NIFA approves the action on an award. The award notification includes an itemization of funds to be distributed through ASAP, by award, as applicable. The Notice of Award is generated when OGF's Financial Management Division approves the action in the FMMI accounting system. The Notice of Award is sent from ezFedGrants to the AR and the PD. It is also accessible in ezFedGrants.

Notices of Award include information to the grantee if a requirement is not met and that "funds are not authorized" pending receipt of the required document(s) or if a significant grant-related issue is unresolved. NIFA will issue amendments to Capacity grantees quarterly, or as needed, to increase or decrease the FY allocation amount previously authorized, or when requested by the grantee for an internal change.

Any one of the following conditions will require an amendment to be generated. Some amendments are administrative (no new Notice of Award is issued) while some require an amended Notice of Award to be issued.

- A change in the recipient's name or the ASAP-issued account number. The recipient's staff should notify NIFA immediately if this information changes.
- An increase or decrease in the amount authorized. NIFA issues these amendments when revisions are received that increase or decrease the total authorization in ASAP.
- A change in the AR or the PD.
- The recipient organization fails to complete any reports that are required by NIFA (i.e., administrative, financial, and programmatic requirements).

The State Experiment Station Director, Extension Director, 1890 Extension Administrator, 1890 Research Director, Administrative-Technical Representative (McIntire-Stennis), and EFNEP Coordinator will be the primary contacts NIFA will attempt to reach, followed by the Business Manager, and the Accountant, should he or she not be accessible. Awardees should ensure NIFA has all telephone, cellular phone, fax numbers, and email addresses in case a disaster occurs. NIFA will rely on the Key Contacts Form submitted through grants.gov for this contact information. Key contacts information and any changes are submitted to OGF's Awards Management Division – the ADO or grant specialist.

## 3. Feedback to Applicants COMPETITIVE AWARDS

Following the funding decisions, NIFA's general policy is to provide individual written reviews of their proposal (with reviewers' identifying information removed to

maintain reviewer confidentiality), the panel summary if applicable, and information on the relative ranking of their proposal. Please contact the appropriate NPL with questions regarding receipt of reviewer comments (7 CFR 3430.31-37).

**B. Payment ALL AWARDS**

1. General ALL AWARDS

The Notice of Award identifies the method of payment that will be utilized for grant payments under the award. NIFA utilizes the U.S. Department of Treasury's ASAP system for all of its grant payments, except for grant payments made to Federal entities. Grant payments made to Federal entities are processed via the Intra-Governmental Payment and Collection (IPAC) system. The NIFA Notice of Award (for a grant to a non-Federal entity) indicates the method of payment (i.e., ASAP) and the ASAP Account ID for the individual grant.

2. Automated Standard Application for Payments (ASAP) System ALL AWARDS

To receive grant payments in ASAP, the grantee or recipient organization (RO) must be enrolled in ASAP. All new NIFA grantees receive via email a NIFA Introduction to ASAP Letter, along with the NIFA NOA and the approved budget. However, the enrollment process is shorter for grantees already enrolled with another Federal agency.

If already enrolled in ASAP for a different NIFA award, grantees do not need to re-enroll provided the account remains in active status. Active status is maintained by logging into the system at least once every 90 days.

Within two business days of the NOA email, the Federal Agency Enrollment Initiator, a Financial Management Division staff member on the NIFA ASAP Team, will enter information into ASAP about the Recipient organization (RO), including RO name, DUNS number, Employer Identification Number (EIN), and Point of Contact (POC). NIFA uses the Authorized Representative (AR) identified in the SF-424 R&R Federal Assistance Application for the POC. The POC is then contacted by ASAP to identify the following RO officials: Head of Organization (HOO), Authorizing Official (AO), and Financial Official (FO). The HOO approves the individuals for these ASAP roles while the AO verifies organizational information and identifies at least one Payment Requestor (PR) and the Financial Official provides the banking information. Each official has 45 days to complete their task or the initial enrollment will be deleted in ASAP. ASAP then requires 10 days to validate the banking information. Each RO official will receive an email from ASAP with their ASAP log in and a temporary password via regular mail. RO officials are strongly encouraged to contact the U.S. Treasury's ASAP Help Desk in Kansas City, Missouri, to receive their temporary password earlier at (855) 868-0151 (option 2, option 3); 7:30 a.m. – 6:00 p.m. Eastern (Monday - Friday).

Grantees may provide up to eight bank accounts and indicate whether the account is an Automated Clearing House (ACH) account or a Fedwire account. In both methods, the funds will be deposited in the grantee's bank account within three business days. Note, ASAP will be unavailable the last four business days of each month.

### 3. ASAP Resources ALL AWARDS

#### a. NIFA

- [NIFA ASAP Help Desk](#) via Email Box ([ASAPCustomerService@usda.gov](mailto:ASAPCustomerService@usda.gov))
- NIFA Grants Web Page, "Grant Payments" (<https://nifa.usda.gov/grant-payments>)
  - Overview of Payments Process (ASAP) [See three charts]
  - FAQs for NIFA Payments Policies and Procedures
  - NIFA Annual Schedule for the Monthly Suspension of ASAP Accounts

#### b. U.S. Department of Treasury's ASAP

- [Help Desk: kfc.asap@fiscal.treasury.gov](mailto:kfc.asap@fiscal.treasury.gov) or (855) 868-0151 (option 2, option 3); 7:30 a.m. – 6:00 p.m. Eastern (Monday - Friday)
- Public Website: [www.ASAP.gov](http://www.ASAP.gov)
- ASAP "Help" Menu after ASAP Log in (e.g., Procedures - Enrollment, Payments)
- [News and Information](#)
- ASAP.gov Hours of Operations:  
Inquiries: 8:00 am – 11:59 pm Eastern (Monday – Friday)
- Payments:  
Fedwire Payments (same day settlement) 8:00 a.m. - 5:45 p.m. ET  
ACH Payments (next day settlement) 8:00 a.m. - 11:59 p.m. ET  
Same Day ACH Payments (effective 3/2018) – Check ASAP for details

### **C. Terms and Conditions ALL AWARDS**

NIFA awards are based on the application submitted to, and approved by, NIFA and are subject to the terms and conditions incorporated either directly or by reference in the following authorities:

- The program legislation and/or program regulation cited in the Notice of Award
- Other statutes (as incorporated by reference)
- Relevant sections of the Code of Regulations
- The NIFA Federal Assistance Policy Guide
- The award documents including all terms and conditions cited on the document or attachments

Terms and conditions dictate important items related to the grant, including reporting frequency and content, and prior approval requirements. The Notice of Award will reference the terms and conditions applicable to the award. Visit the NIFA website to view NIFA's [terms and conditions](#).

To create greater consistency in the administration of Federal research awards, NIFA utilizes the standard Research Terms and Conditions (RTC) that address and implement the Uniform Guidance ([2 CFR part 200](#)). The Research Terms and Conditions apply to all awards to hospitals, institutions of higher education, other non-profit organizations, and for-profit organizations, but not to capacity funded programs, the 1890 Facilities program, the Small Business Innovation Research program, or awards to individuals. The [Research Terms and Conditions](#) are available on the NIFA website.

Federal administrative requirements allow agencies to adjust certain cost-related and administrative prior approval pursuant to expanded authorities (2 CFR 200.208 ). The NIFA-Specific Research Terms and Conditions expand on or add to the government-wide terms and conditions. Specific NIFA programs might have additional requirements that will be noted in the RFA and on the Notice of Award.

***D. Period of Performance (Project Period) ALL AWARDS***

“Period of Performance” has the meaning given in 2 CFR 200.1, with the additional clarification that the term includes any extension of the end date of the award, such as a no-cost extension authorized by 2 CFR 200.308, paragraph (e)(2). The period of performance is identified in the Notice of Award. Statutory language or agency policy may limit the maximum potential period of performance (including any awards transferred from another institution or organization). The period of performance will commence on the effective date cited in the federal award. Any such limitation also applies to sub awards made under awards subject to a period of performance limitation.

1. Competitive Awards **COMPETITIVE AWARDS**

a. Period of Performance (Project Period) **COMPETITIVE AWARDS**

The period of performance, or project period, of a grant or cooperative agreement is the period of time when Federal funding is available for financial obligation by the recipient. The start and end dates of the period of performance will be included in the Notice of Award. The period of performance will also include any extension of the expiration date of the award. For most grants, NIFA uses the project period system of funding. Under this system, projects are programmatically approved for support in their entirety, but are funded in annual increments called budget periods. The period of performance or project period may be extended by an award action (e.g., continuation or renewal award) or post-award action (no-cost extension).

The length of the project period (whether for one or more competitive segments) is determined by NIFA, in consideration of the following:

- Any statutory, regulatory, or administrative requirements;
- The length of time requested by the applicant;

- Any limitation on the length of the project period recommended by the objective or reviewers;
- NIFA's programmatic determination of the frequency of objective review necessary for managing the project, program, or activity; and
- NIFA's funding principles as specified in the RFA.

b. Budget Period **COMPETITIVE AWARDS**

The initial Notice of Award provides funds for the project during the first budget period or, in some instances, for the entire award. Budget periods usually are 12 months long; however, shorter or longer budget periods may be established for programmatic or administrative reasons. The Notice of Award will show the total approved budget for the applicable budget period, including direct costs and, if applicable, indirect costs as well as any required matching or cost sharing.

The initial Notice of Award, and each subsequent Notice of Award that provides funding, sets forth the amount awarded under that action. The Notice of Award will be amended for any additional funding which then will display amounts previously awarded as well as any additional funds being provided through the amendment. The amount awarded also is generally shown with a categorical (line item) budget breakdown. The recipient has certain re-budgeting flexibility consistent with prior approval waivers, however, the total amount awarded (including direct and indirect costs, where applicable) is NIFA's maximum financial obligation to the recipient under that award. Once an award is made, NIFA is not obligated to make any supplemental or other award or to provide additional funding for indirect costs or other purposes.

Some Notices of Award approve a project period that extends beyond the budget period for which funds are provided, indicating NIFA's intention to provide continued financial support. The amounts shown for subsequent years represent projections of future funding levels based on the information available at the time of the initial award. Such projected levels of future support are contingent on satisfactory progress, the availability of funds, and the continued best interests of the Federal government. There are no guarantees that the project or program will be funded or will be funded at those levels, and they create no legal responsibility to provide funding beyond the end date of the current budget period as set forth in the Notice of Award.

Recipients are required to submit a non-competing continuation application and an annual progress report as a prerequisite to approval and funding of each subsequent budget period (continuation award) within an approved project period. A decision to fund the next budget period will be formalized by the issuance of a Notice of Award indicating the new budget period and the amount of new funding.



2. Capacity Awards **CAPACITY AWARDS**

The period of performance for capacity awards varies by statutory authority. Capacity awards are made for 1 year (i.e. fiscal year), but have carryover provisions, as authorized in statute, that extend the period of performance as outlined below:

<b>CAPACITY PROGRAM</b>	<b>TOTAL PERIOD OF PERFORMANCE WITH CARRY OVER PROVISIONS</b>
<b>Smith-Lever 3(b) &amp; (c) Smith-Lever Special Needs</b>	5 years
<b>Hatch and Hatch Multistate</b>	2 years
<b>Research at 1890s (Evans-Allen/Section 1445)*</b>	2 years
<b>Extension at 1890s (Section 1444)</b>	5 years
<b>Animal Health and Disease Research</b>	2 years
<b>McIntire-Stennis</b>	2 years (50% carryover requires NIFA Program approval)
<b>RREA</b>	2 years (50% carryover requires NIFA Program approval)
<b>EFNEP</b>	5 years
<b>UDC</b>	5 years

a. Carry over **CAPACITY AWARDS**

Limits for carryover on capacity funds are legislatively determined or implemented as regulatory or policy decision. Specific carryover limitations established by the authorizing legislation or NIFA regulation or policy are indicated in the annual program RFA. As authorized by the terms and conditions of their award, capacity grantees may carry over unobligated balances to the next fiscal year. An unobligated balance is the portion of the authorized Federal funds not yet obligated by the recipient. It is calculated by subtracting the Federal share of the recipient’s cumulative financial obligations from the cumulative Federal funds obligated. In comparison, an unliquidated financial obligation is the amount of obligations incurred by the grantee but not yet paid. Unliquidated financial obligations should not be included in the unobligated balance.

Recipients with a remaining, unobligated financial balance at the end of the fiscal year of appropriation may carry over those funds for periods of time and amounts dictated by the program-specific legislation or regulation. If the carryover amount exceeds any congressionally imposed limitations, either by percentage or by time, the funds will be considered excess carryover and will be de-obligated and returned to the U.S. Treasury.

Carryover balances are monitored to ensure that funding is used within the permitted time period. Recipients should have in place a method of tracking carryover balances so that funds are used pursuant to a “first in, first out” (FIFO) policy as part of their accounting system. It is not required that earliest funds be used first before drawing down later ones, but rather FIFO is a method to help ensure that funds are spent before they expire.

b. Obligation period **CAPACITY AWARDS**

Awarded NIFA capacity funds must be obligated within the period of performance and liquidated within 120 days of the end of the period of performance. For example, for 1-year awards with 1 year carry over, the period of performance is 2 years and liquidation would occur 120 days after the end of the 2-year period of performance. All funds not carried over or used within the project period must be de-obligated. If unobligated funds remain and the recipient does not intend to spend the unobligated balance, NIFA should be notified and arrangements will be made for any unspent funds to be returned to NIFA. Please refer to closeout section, Section V.O. of this guide, for more details.

***E. No-Cost Extensions COMPETITIVE AWARDS***

If necessary, NIFA can grant a one-time extension of time, for up to 12 months, to complete an award (7 CFR 3430.58(b)). No-cost extensions are typically granted when additional work remains to be completed, and the recipient organization still has resources remaining to complete the work. However, the mere fact that funds remain at the end of the initial project period is not sufficient support for a No-Cost Extension. If NIFA does not permit an extension of an award, the project will end on the original date identified in the Notice of Award. Refusing to extend a project period does not terminate an award. A single extension will not usually be for more than 12 months, and only exceptional circumstances will support deviation from this policy (7 CFR 3430.58(b)). NIFA will not approve any extension request if the primary purpose of the proposed extension is to permit the use of unobligated balances of funds, the terms and conditions of the award prohibit an extension, the extension would require additional Federal funds, or the extension would require changes in the approved objectives or scope (7 CFR 3430.58(b)). All terms and conditions of the initial award apply during the extended period.

Check the applicable terms and conditions to determine if NIFA prior approval requirement for a one-time no-cost extension is waived. If so, the recipient initiates the no-cost extension of time by notifying NIFA in writing with support and a revised expiration date at least 10 days before the original expiration date (7 CFR 3430.58(b)). Recipients must notify NIFA that they are exercising their authority to extend without funds the completion date of an award. Notifications must be submitted as a PDF attachment to an [email](#) sent to NIFA. Usually, no more than one no-cost extension is permitted, unless there are exceptional circumstances.

When more than one no-cost extension of time or an extension of more than 12 months is required, the extension(s) must be approved in writing by the NIFA ADO (7 CFR 3430.58(b)(2)). Usually, no more than one no-cost extension or extension of more than 12 months is permitted unless there are exceptional circumstances. For 2<sup>nd</sup> or subsequent no cost extension(s), which require NIFA prior approval, written requests must be submitted 30 days prior to expiration. The request must contain, at a minimum, the following information:

- The length of the additional time required to complete the project objectives and a justification for the extension;
- A summary of the progress to date (a copy of the most recent Progress Report and, where applicable, the attachment is acceptable provided the information is current);
- An estimate of the funds expected to remain unobligated on the scheduled expiration date;
- A projected timetable to complete the portion(s) of the project for which the extension is being requested; and,
- The signature of the AR and the PD/PI. The necessary signatures must be included or the request will be returned by NIFA.

NIFA may consider and approve requests for no-cost extensions of time up to 120 days following the expiration of the award (7 CFR 3430.58). Requests for extension beyond the standard one-time 12-month extension will only be approved under extenuating circumstances, as determined by NIFA. The awardees' AR must submit the requirements identified above, as well as an "extenuating circumstance" justification and a description of the actions taken by the awardee to minimize these requests in the future. All extensions are subject to any statutory term limitations as well as any expiring appropriation limitations under 7 CFR 3430.63.

By extending the final budget period of the project period through a no-cost extension, the grantee agrees to update all required certifications and assurances, including but not limited to those pertaining to human subjects and animal welfare, in accordance with applicable regulations and policies. All terms and conditions of the initial award apply during the extension period.

Once a no-cost extension of time is executed via an amendment to the Notice of Award, OGFMs Financial Management Division processes the no-cost extension of time in ASAP by extending the period of performance. Contact the NIFA [ASAP Help Desk](#) in the event the period of performance has not been extended in ASAP after the NOA amendment has been issued for the no-cost extension of time.

***F. Capacity Formulas CAPACITY AWARDS***

NIFA is statutorily required to award capacity funds when applicants meet the legislatively determined eligibility requirements. Eligible recipients do not compete for the Capacity (formerly referred to as Formula) grant funds. Through capacity grants, NIFA provides a broad suite of support activities, including research and extension, to 1962 and 1890 land-grant institutions, schools of forestry, and schools of veterinary medicine. Capacity funds are provided to 1862 institutions and agricultural experiment stations under the Hatch Act of 1887; extension funds are provided to 1862 land-grant institutions under sections 3(b) and 3(c) of the Smith-Lever Act and section 208(c) of the District of Columbia Postsecondary Education Reorganization Act; agricultural extension and research funds are provided to 1890 institutions under sections 1444 and 1445 of NARETPA; EFNEP funds are allocated to eligible 1862 and 1890 institutions under Smith-Lever Section 3(d); research funds are provided to forestry schools under the McIntire-Stennis Act of 1962; and animal health and disease research funds provided to veterinary schools and agricultural experiment stations under section 1433 of NARETPA.

Capacity funds are distributed based on the statutory requirements associated with the particular program. The Smith-Lever Act and Section 1444 of the National Agricultural Research Extension and Teaching Policy Act of 1977, and the Hatch Act provide that payments to the states are to be made on a quarterly basis: October, January, April, and July. Section 208(c) of the D.C. Public Postsecondary Education Reorganization Act adopts the payment procedures of the Smith-Lever Act; however, institutions are encouraged to draw funds on an as-needed basis.

Under a continuing resolution, NIFA may distribute funds on a revised schedule, in accordance with the applicable legislation. NIFA will provide assurances in quarterly communication with heads of units receiving capacity funds regarding pending availability of funds, ensuring that states know what to anticipate in such an environment.

**G. Capacity Programs Matrix: Formula, Use of Funds, Limitations, Reporting, Match, Carryover CAPACITY AWARDS**

*This matrix may be updated in the future based on audit findings and other policy changes. Actual allocation estimates will be published in associated RFAs.*

<b>Capacity Awards</b>	1. Cooperative Extension at 1862 Institutions [Smith-Lever 3(b) & (c)] AREERA program
<b>Primary Authority</b>	<a href="#">7 U.S.C. 341-349</a>
<b>Primary Grantees</b>	1862s; 1994; HSIs
<b>Formula</b>	<p>Smith-Lever 3(b) &amp; (c) funds are allocated to eligible institutions based on a legislatively determined formula. Each state receives a base amount at the 1962 funding level. The University of Guam and University of the Virgin Islands will each receive \$100,000 in addition to the sums appropriated to the several states. The remainder is distributed as follows:</p> <ul style="list-style-type: none"> <li>• 20 percent will be paid to the states in equal proportion</li> <li>• 40 percent will be paid to the several states in the proportion that the rural population of each bears to the total rural population of the several states as determined by the census; and,</li> <li>• The balance will be paid to the several states in the proportion that the farm population of each bears to the total farm population of the several states as determined by the census (7 U.S.C. 343(c)).</li> </ul>
<b>Use of Funds</b>	<ul style="list-style-type: none"> <li>• Smith-Lever Act sections 3(b) and 3(c) Federal funding may only be used for extension programs consistent with the institution's approved 5-year Plan of Work.</li> <li>• Starting in FY 2018, because of the phase out of CSRS and FERS Retirement contribution programs, NIFA will continue to pay the Workers' Compensation benefits of the former Schedule A employees directly to Department of Labor and will charge the 1862 institution by reducing its annual allocation under the Smith-Lever section (b) and (c) statutory formula.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>• Funds cannot be used, directly or indirectly, for the purchase, construction, preservation, or repair of any building or buildings, 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.</li> <li>• Funds cannot be used for indirect costs or tuition remission.</li> <li>• 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 that 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 this guide for additional information.</li> <li>• If any funds are diminished, lost, or misapplied, the state must replace the funds and no additional funds will be awarded to that state until the funds are replaced.</li> <li>• The period of performance may NOT be extended.</li> </ul>
<b>Reporting Requirements</b>	<ul style="list-style-type: none"> <li>• Eligible institutions must have an approved Plan of Work (POW) on file with NIFA.</li> <li>• Plan of Work and Plan of Work Annual Report of Accomplishments and Results (due April 1)</li> <li>• Annual SF-425 financial report (due December 30 each year)</li> <li>• Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>• REEport Project Initiation*, Annual Progress Report *, Financial Report (due February 1 annually) <b>and</b> Final Progress report*</li> </ul>
<b>Matching Requirement</b>	<ul style="list-style-type: none"> <li>• 100% of total funds available (50% for PR, Guam &amp; USVI and 0% for 1994 &amp; HSIs). Waiver for up to 100% of required match for PR, Guam &amp; USVI</li> </ul>
<b>Carryover</b>	<ul style="list-style-type: none"> <li>• Sections 3(b) and (c) of the Smith-Lever Act funds are expected to be fully expended in the fiscal year of appropriation; however, funds that remain unobligated by the institution at the end of the year, except the final year of the award, will be carried over to the next year, and may be used to defray costs incurred in that subsequent year. Since the carryover of unobligated balances is automatic, no separate or specific awarding agency prior approval is required to authorize use of funds. Any unused funds at the end of the period of performance must be returned to the US Treasury.</li> </ul>

<b>Capacity Awards</b>	2. District of Columbia Public Postsecondary Education Reorganization Act (DCPPERA) AREERA Program
<b>Primary Authority</b>	<a href="#">7 U.S.C. 361a-i</a> ; DC ST § 38-1202.09
<b>Primary Grantees</b>	University of the District of Columbia
<b>Formula</b>	All appropriated funds are allocated to the University of the District of Columbia.
<b>Use of Funds</b>	<ul style="list-style-type: none"> <li>Funds must be used in accordance with the Smith-Lever Act. Smith-Lever Act sections 3(b) and 3(c) Federal funding may only be used for extension programs and an activities consistent with the institutions approved 5-year Plan of Work.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>Funds cannot be used, directly or indirectly, for the purchase, construction, preservation, or repair of any building or buildings, 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.</li> <li>Funds cannot support indirect costs or tuition remission (7 U.S.C. 3319).</li> <li>If any funds are diminished, lost, or misapplied, the District of Columbia is responsible for replacing the funds, and until the funds are replaced, no additional appropriations will be paid to the District of Columbia.</li> <li>Funds cannot be spent, directly or indirectly, on the purchase, construction, 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.</li> <li>A portion of DCPPERA funds must support integrated activities, in accordance with the institution’s established target percentage.</li> <li>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 that 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 this guide for additional information.</li> <li>The period of performance may NOT be extended.</li> </ul>
<b>Reporting Requirements</b>	<ul style="list-style-type: none"> <li>Eligible institutions must have an approved Plan of Work (POW) on file with NIFA.</li> <li>Plan of Work and Plan of Work Annual Report of Accomplishments and Results (due April 1)</li> <li>Annual SF-425 financial report (due December 30 each year)</li> <li>Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>REEport Project Initiation, Annual Progress Report, Financial Report (due February 1 annually), and Final Progress report</li> </ul>
<b>Matching Requirement</b>	<ul style="list-style-type: none"> <li>100% of total funds available</li> </ul>
<b>Carryover</b>	<ul style="list-style-type: none"> <li>DCPPERA funds are expected to be fully expended in the fiscal year of appropriation; however, any obligated balance of funds that remain unobligated by the institution at the end of the year, except the final year of the award, will be carried over to the next year, and may be used to defray costs incurred in that subsequent year Since the carryover of unobligated balances is automatic, no separate or specific awarding agency prior approval is required to authorize use of funds. Any unused funds at the end of the period of performance must be returned to the U.S. Treasury.</li> </ul>

<b>Capacity Awards</b>	3. Agricultural Extension at 1890 Land-Grant Institutions (Section 1444 Program) AREERA Program
<b>Primary Authority</b>	<a href="#">7 U.S.C. 3221</a>
<b>Primary Grantees</b>	1890s only
<b>Formula</b>	<p>Funds will be appropriated to eligible institutions according to the following formula on a quarterly basis, subject to minimum allocation requirements specified in law:</p> <ul style="list-style-type: none"> <li>• Funds will first be allocated at the FY1978 baseline to institutions.</li> <li>• 20 percent will be allocated among institutions in equal proportions.</li> <li>• 40 percent will be allotted among the eligible institutions in the proportion that the rural population of the state in which each eligible institution is located bears to the total rural population of all the states in which eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated.</li> <li>• The balance is allotted to the eligible institutions in the proportion that the farm population of the state in which each eligible institution is located bears to the total farm population of all the states in which the eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated.</li> <li>• Tuskegee University and Alabama A&amp;M University will be treated as though they are in separate states for purposes of determining the distribution of allocated funds.</li> </ul>
<b>Use of Funds</b>	<ul style="list-style-type: none"> <li>• Section 1444 program funding may only be used to support agricultural extension activities consistent with the approved 5-year Plan of Work.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>• If any Section 1444 funds are diminished, lost or misapplied, the institution must replace the funds and no additional funds will be allocated until they are replaced.</li> <li>• Funds cannot be applied, directly or indirectly, to the purchase, construction, 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 specified in section 1444.</li> <li>• Funds cannot be used for indirect costs or tuition remission.</li> <li>• The period of performance may NOT be extended.</li> <li>• 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 that 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 this guide for additional information.</li> </ul>
<b>Reporting Requirements</b>	<ul style="list-style-type: none"> <li>• Eligible institutions must have an approved Plan of Work (POW) on file with NIFA.</li> <li>• Plan of Work and Plan of Work Annual Report of Accomplishments and Results (due April 1)</li> <li>• Annual SF-425 financial report (due December 30 each year)</li> <li>• Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>• REEport Project Initiation, Annual Progress Report, Financial Report (due February 1 annually) and Final Progress report*</li> </ul>
<b>Matching Requirement</b>	<ul style="list-style-type: none"> <li>• 100% of total funds available. Waiver for up to 50% of required match with NIFA approval.</li> </ul>
<b>Carryover</b>	<p>Section 1444 funds are expected to be fully expended in the fiscal year of appropriation; however, funds that remain unobligated by the institution at the end of the year, except the final year of the award, will be carried over to the next year, and may be used to defray costs incurred in that subsequent year. Since the carryover of unobligated balances is automatic, no separate or specific awarding agency prior approval is required to authorize use of funds. Any unused funds at the end of the period of performance must be returned to the US Treasury.</p>

<b>Capacity Awards</b>	4. Agricultural Research at 1890 Land-Grant Institutions (Evans-Allen/Section 1445) AREERA Program
<b>Primary Authority</b>	<a href="#">7 U.S.C 3222</a>
<b>Primary Grantees</b>	1890s only
<b>Formula</b>	<p>Section 1445 funds are allocated to eligible institutions based on a legislatively determined formula, subject to minimum allocations specified in law:</p> <ul style="list-style-type: none"> <li>• Funds will first be allocated at the FY1978 baseline to institutions. Funds in excess of the FY 1978 baseline are distributed as follows: <ul style="list-style-type: none"> <li>○ 20% shall be allotted among eligible institutions in equal proportions;</li> <li>○ 40% shall be allotted among the eligible institutions in the proportion that the rural population of the state in which each eligible institution is located bears to the total rural population of all the states in which eligible institution are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated; and</li> <li>○ the balance of 40% shall be allotted among the eligible institutions in the proportion that the farm population of the state in which each eligible institution is located bears to the total farm population of all the states in which the eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated.</li> </ul> </li> <li>• In computing the distribution of the allocated funds, the allotments to Tuskegee University and Alabama A&amp;M University shall be determined as if each institution were in a separate State.</li> </ul>
<b>Use of Funds</b>	<ul style="list-style-type: none"> <li>• Section 1445 (Evans-Allen Research Programs) funds may only be used on approved Evans-Allen Research program projects.</li> <li>• Evans-Allen funds may be used to pay the necessary expenses of planning, coordinating, and conducting cooperative research with other agencies, institutions, and/or individuals.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>• Funds cannot be spent on indirect costs and tuition remission.</li> <li>• If any section 1445 funds are diminished, lost or misapplied, the institution must replace the funds and no additional funds will be allocated until they are so replaced.</li> <li>• Employer contributions to land-grant college retirement systems are limited to 5% 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 that the 5% 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 this guide for additional information.</li> <li>• The period of performance may NOT be extended.</li> </ul>
<b>Reporting Requirements</b>	<ul style="list-style-type: none"> <li>• Eligible institutions must have an approved Plan of Work (POW) on file with NIFA.</li> <li>• Plan of Work and Plan of Work Annual Report of Accomplishments and Results (due April 1)</li> <li>• Annual SF-425 financial report (due December 30 each year)</li> <li>• Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>• REEport Project Initiation, Annual Progress Report (due March 1 annually), Financial Report (due February 1 annually) and Final Progress report (due by March 1 in the fiscal year following the Federal FY in which the project ends)</li> </ul>
<b>Matching Requirement</b>	<ul style="list-style-type: none"> <li>• 100% of total funds available. Waiver for up to 50% of required match with NIFA approval.</li> </ul>
<b>Carryover</b>	<ul style="list-style-type: none"> <li>• Funds are to be spent in the year of appropriation; however, funds may be carried over for up to one additional year. If a carryover balance remains at the end of the second fiscal year, the amount of the unexpended balance may be deducted from the allocation to the institution in the following year. If funds are deducted due to unexpended, carried over balances, the deducted amount will be redistributed in accordance with the established formula to eligible institutions whose allocation is not subject to any deductions (7 U.S.C. 3222(a)(5)(B)(ii)). There is no limitation on the amount of Federal funds that may be carried over for one additional fiscal year. No prior approval from NIFA is required and NIFA is not authorized to grant any carryover requests beyond one additional year. Any unused funds at the end of the period of performance must be returned to the US Treasury.</li> </ul>



<b>Capacity Awards</b>	5. Hatch Act AREERA Program
<b>Primary Authority</b>	<a href="#">7 U.S.C. 361a-i</a>
<b>Primary Grantees</b>	1862s only
<b>Formula</b>	<p>Under the Hatch Act, State Agricultural Experiment Stations receive funds based on a legislatively determined formula. Appropriated funds are distributed as follows:</p> <ul style="list-style-type: none"> <li>• Each state receives the previous year’s baseline plus the current year increase, if applicable. The remainder is distributed as follows: <ul style="list-style-type: none"> <li>○ 25% of funds allotted for the Hatch Multistate Research Fund (which is further allocated according to a separate calculation—see section 5.7)</li> <li>○ 20% of funds allotted in equal proportions to eligible institutions</li> <li>○ 26% of funds allotted to eligible institutions in proportion to the rural population within the state in which the institution resides</li> <li>○ 26% of funds allotted to eligible institutions in proportion to the farm population within the state in which the institution resides</li> <li>○ \$100,000 allotted to each eligible institution located in an Insular Area (American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States)</li> </ul> </li> <li>• Funds allocated under the Hatch Act shall be paid to each State Agricultural Experiment Station in equal quarterly payments.</li> </ul>
<b>Use of Funds</b>	<ul style="list-style-type: none"> <li>• Agricultural research, printing and disseminating the results of research, administrative planning and direction, and for the purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting research</li> <li>• Hatch funding must be used on approved Hatch projects, including Hatch Multistate Research Funds projects and other allowed activities.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>• Funds may not be used for indirect costs or tuition remission.</li> <li>• If any allocated funds are diminished, lost, or misapplied, the responsible State must replace such funds. No additional appropriations will be made to that state until the funds are replaced.</li> <li>• Employer contributions to land-grant college retirement systems are limited to 5% 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 that the 5% 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 this guide for additional information.</li> <li>• The period of performance may NOT be extended.</li> </ul>
<b>Reporting Requirements</b>	<ul style="list-style-type: none"> <li>• Eligible institutions must have an approved Plan of Work (POW) on file with NIFA.</li> <li>• Plan of Work and Plan of Work Annual Report of Accomplishments and Results (due April 1)</li> <li>• Annual SF-425 financial report (due December 30 each year)</li> <li>• Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>• REEport Project Initiation, Annual Progress Report (due March 1 annually), Financial Report (due February 1 annually) and Final Progress report (due by March 1 in the fiscal year following the Federal FY in which the project ends)</li> </ul>
<b>Matching Requirement</b>	<ul style="list-style-type: none"> <li>• 100% of total funds available (50% for Guam, PR, USVI and D.C.). Waiver for up to 100% of required match for Guam, PR, USVI and D.C.</li> </ul>
<b>Carryover</b>	<p>Hatch funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to 1 year after the end of the year for which they were appropriated. No prior approval is required to carry over funds for one additional year; however, no additional carryover requests may be considered or approved, as no legislative authority to do so is provided. Any unused funds at the end of the period of performance must be returned to the U.S. Treasury.</p>

<b>Capacity Awards</b>	6. Hatch – Multistate Research Fund, State Agricultural Experiment Stations AREERA Program
<b>Primary Authority</b>	<a href="#">7 U.S.C. 361a-i</a>
<b>Primary Grantees</b>	1862s only
<b>Formula</b>	Not less than 25 percent of the total Hatch Act of 1887 funding is allotted to the states for cooperative research employing multidisciplinary approaches in which a state agricultural experiment station, working with another state agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one state. Funds are allocated on a pro rata basis and allocations are adjusted to support national and regional projects. These projects and their associated budgets are reviewed and approved annually.
<b>Use of Funds</b>	Hatch Multistate Federal funds may only be used on approved Hatch Multistate projects.
<b>Limitations</b>	<ul style="list-style-type: none"> <li>• Funds may not be used for indirect costs or tuition remission.</li> <li>• If any allocated funds are diminished, lost, or misapplied, the responsible state must replace such funds. No additional appropriations will be made to that State until the funds are replaced.</li> <li>• 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 that 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 this guide for additional information.</li> <li>• The period of performance may NOT be extended.</li> </ul>
<b>Reporting Requirements</b>	<ul style="list-style-type: none"> <li>• Eligible institutions must have an approved Plan of Work (POW) on file with NIFA.</li> <li>• Plan of Work and Plan of Work Annual Report of Accomplishments and Results (due April 1)</li> <li>• Annual SF-425 financial report (due December 30 each year)</li> <li>• Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>• REEport Project Initiation, Annual Progress Report (due March 1 annually), Financial Report (due February 1 annually) and final progress report (due by March 1 in the fiscal year following the Federal FY in which the project ends)</li> </ul>
<b>Matching Requirement</b>	100% of total funds available (50% for Guam, PR, USVI and D.C.). Waiver for up to 100% of required match for Guam, PR, USVI and D.C.
<b>Carryover</b>	<ul style="list-style-type: none"> <li>• Hatch funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to 1 year after the end of the year for which they were appropriated. No prior approval is required to carry over funds for one additional year; however, no additional carryover requests may be considered or approved, as no legislative authority to do so is provided. Any unused funds at the end of the period of performance must be returned to the U.S. Treasury.</li> </ul>

<b>Capacity Awards</b>	7. Continuing Animal Health and Disease Research Program (AHDR)
<b>Primary Authority</b>	<a href="#">7 U.S.C. 3195</a>
<b>Primary Grantees</b>	1862s and (1) 1890 (accredited colleges of veterinary medicine & State agricultural experiment stations that conduct animal health and disease research)
<b>Formula</b>	<p>Appropriated funds are distributed to eligible institutions in accordance with the following formula:</p> <ul style="list-style-type: none"> <li>• One half of the state allotment will be distributed among the states in the proportion that the value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in each state bears to the total value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in all the states, based on the most current inventory of all cattle, sheep, swine, horses, poultry, and commercial aquaculture species published by the Department of Agriculture.</li> <li>• The remainder of the state allotment will be distributed among the states in the proportion that the animal health research capacity of the eligible institutions in each state bears to the total animal health research capacity in all the states, as determined by NIFA.</li> </ul>
<b>Use of Funds</b>	<ul style="list-style-type: none"> <li>• ADHR Federal funding may only be used on AHDR-approved research projects.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>• AHDR grant funds cannot be spent on indirect costs or tuition remission.</li> <li>• With NIFA approval, institutions may use funds for remodeling facilities or to increase staffing to increase the institution's research capacity.</li> <li>• NIFA must approve all projects to be funded. Prior to submission to NIFA for approval, the dean or director of the eligible institution must approve of all projects.</li> <li>• The period of performance may NOT be extended.</li> <li>• 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 that 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 this guide for additional information</li> </ul>
<b>Reporting Requirements</b>	<ul style="list-style-type: none"> <li>• Annual Program of Research</li> <li>• Annual SF-425 financial report (due December 30 each year)</li> <li>• Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>• REEport Project Initiation, Annual Progress Report (due March 1 annually), Financial Report (due February 1 annually) and final progress report (due by March 1 in the fiscal year following the Federal FY in which the project ends)</li> </ul>
<b>Matching Requirement</b>	<ul style="list-style-type: none"> <li>• 100 percent match for amount over \$100,000</li> </ul>
<b>Carryover</b>	AHDR funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to one additional year. There is no limitation on the amount of Federal funds that may be carried over for this one additional fiscal year. No prior approval from NIFA is required Grant funds may not be carried-over beyond this one additional year. If any funds remain beyond the additional year, those funds are subject to formulae redistribution.

<b>Capacity Awards</b>	8. Expanded Food and Nutrition Education Program (EFNEP)
<b>Primary Authority</b>	<a href="#">7 U.S.C. 3175</a>
<b>Primary Grantees</b>	1862s and 1890s
<b>Formula</b>	<p>EFNEP funds are allocated to eligible 1862 and 1890 institutions based on a legislatively determined formula. Funds are allocated as follows:</p> <ul style="list-style-type: none"> <li>• 1862 Institutions shall receive a base in an amount equaling their FY 1981 allocation.</li> <li>• \$100,000 will be distributed to each 1862 and 1890 land-grant institution, including the University of the District of Columbia.</li> <li>• Revised in (FY) 2014 – 15 percent of funds appropriated for EFNEP in excess of funds appropriated in FY 2007 were allocated to the 1890 institutions in an amount bearing the same ratio to the population living at or below 125 percent of the poverty level (as prescribed by the Office of Management and Budget and as adjusted pursuant to section 673(2) of the Community Services Block Grant Act (42 U.S.C.9902(2)) in the state where the 1890 institution is located; bears to the total population living at or below 125 percent of the poverty level in all states where 1890 institutions are located; as determined by the most recent decennial census at the time when the appropriated amount first exceeds levels appropriated for EFNEP in FY2007.</li> <li>• The remainder will be allocated to each state in an amount that bears the same ratio to the total amount allocated as the population living at or below 125 percent of the poverty level in the state; bears to the total population living at or below 125 percent of poverty level in all states; as determined by the most recent decennial census at the time at which each such additional amount is first appropriated.</li> </ul>
<b>Use of Funds</b>	<ul style="list-style-type: none"> <li>• EFNEP Federal funding must be spent on EFNEP programming in accordance with program policies and the approved budget.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>• EFNEP funds cannot be used, directly or indirectly, for the purchase, construction, 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 program legislation.</li> <li>• Funds cannot be used for any purpose(s) other than those in the RFA and the approved in the grant documents.</li> <li>• EFNEP funds cannot be used for indirect costs or tuition remission.</li> <li>• If any funds distributed to states for cooperative agricultural extension work are diminished, lost, or misapplied, the state must replace the funds and no additional funds will be awarded to that state until the funds are replaced.</li> <li>• The period of performance may NOT be extended.</li> <li>• Use of funds for employer contributions to land-grant college retirement systems may be subject to limitations in 7 U.S.C. 331. NIFA is seeking legal guidance and will update this guide with final requirements. See Section VI.H.1 of this guide for additional information.</li> </ul>
<b>Reporting Requirements</b>	<ul style="list-style-type: none"> <li>• EFNEP Annual Update/5-year plan</li> <li>• EFNEP Budget Sheet &amp; Budget Justification</li> <li>• Annual and final SF-425 financial report due December 30 each year.</li> <li>• Year End Data, submitted via WebNEERS, EFNEP’s Web-based Nutrition Education Evaluation and Reporting System</li> </ul>
<b>Matching Requirement</b>	<ul style="list-style-type: none"> <li>• No match</li> </ul>
<b>Carryover</b>	<p>Funds are to be fully expended in the fiscal year of appropriation; however, any unobligated balance of funds which remains at the end of any funding period, except the final year of the period of performance, will be carried over to the next funding period, and may be used to defray costs of any funding period of the grant. Funds will be carried over up to 4 years after the end of the fiscal year of appropriation.</p> <p>Since the carryover of unobligated balances is automatic, no separate or specific awarding agency prior approval is required to authorize use of the funds. Any unused funds at the end of the period of performance must be returned to the U.S. Treasury.</p>

Capacity Awards	9. McIntire-Stennis Cooperative Forestry Act
Primary Authority	<a href="#">16 U.S.C. 582a-582a-7</a>
Primary Grantees	1862s, 1890s & some 1994s
Formula	<p>Funding is provided to the states through a formula-based allocation process which depends on several factors.</p> <ul style="list-style-type: none"> <li>• First, a base amount (approximately \$25,000) is allocated to each state; however, this base amount is excluded from the formula. The balance of funding to each state is determined through a ranking process and dependent upon the following three factors: <ul style="list-style-type: none"> <li>○ 40 percent of the remaining balance is allocated based on the area of non-Federal commercial forestland;</li> <li>○ 40 percent is allocated based upon the volume of timber cut annually from growing stock;and</li> <li>○ 20 percent is allocated based on the total expenditures for forestry research from non-Federal sources. Funds are then distributed to the eligible state-certified Institutions within the state as determined by the Governor’s designee.</li> </ul> </li> <li>• For states with more than one eligible institution, the distribution of funds within the state is determined by the Governor or the Governor’s designee.</li> <li>• 3 percent of the annually allocated funds are retained by NIFA for administrative costs.</li> <li>• Funds are distributed on a quarterly basis.</li> </ul>
Use of Funds	<p>McIntire-Stennis Federal funding must be used on approved McIntire-Stennis projects that are within the objectives defined in the McIntire –Stennis Act of 1962:</p> <ul style="list-style-type: none"> <li>• Forest research related to: reforestation and management of land for the production of crops of timber and other related products of the forest; management of forest and related watershed lands to improve conditions of waterflow and to protect resources against floods and erosion; management of forest and related rangeland for production of forage for domestic livestock and game and improvement of food and habitat for wildlife; management of forest lands for outdoor recreation; protection of forest land and resources against fire, insects, diseases, or other destructive agents; utilization of wood and other forest products; development of sound policies for the management of forest lands and the harvesting and marketing of forest products; and such other studies as may be necessary to obtain the fullest and most effective use of forest resources.</li> </ul>
Limitations	<ul style="list-style-type: none"> <li>• Funds cannot be used for indirect costs or tuition remission.</li> <li>• The period of performance may NOT be extended.</li> <li>• Use of funds for employer contributions to land-grant college retirement systems may be subject to limitations in 7 U.S.C. 331. NIFA is seeking legal guidance and will update this guide with final requirements. See Section VI.H.1 of this guide for additional information.</li> </ul>
Reporting Requirements	<ul style="list-style-type: none"> <li>• Annual Program of Research</li> <li>• Annual SF-425 financial report (due December 30 each year)</li> <li>• Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>• REEport Project Initiation</li> <li>• REEport Annual Progress Report (due March 1 annually)</li> <li>• REEport Financial Report (due February 1 annually)</li> <li>• REEport final progress report (due by March 1 in the fiscal year following the Federal FY in which the project ends)</li> </ul>
Matching Requirement	<ul style="list-style-type: none"> <li>• 100 percent of total funds available. No match for Guam or USVI.</li> </ul>
Carryover	<p>McIntire-Stennis funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to 1 year after the end of the fiscal year for which they were appropriated. No prior approval is required to carry over funds for one additional year if the carryover is less than 50 percent. Carryover greater than 50 percent must be approved by NIFA Program Staff, no other additional carryover requests may be considered or approved. Any unused funds at the end of the period of performance must be returned to the U.S. Treasury.</p>

Capacity Awards	10. Renewable Resources Extension Act (RREA)
Primary Authority	<a href="#">16 U.S.C. 1671-1676</a>
Primary Grantees	1862s and 1890s
Formula	<p>States are eligible for RREA funds according to the respective capabilities of their private forests and rangelands to yield renewable resources and the relative needs for such resources identified in the periodic Renewable Resource Assessment provided for in 16 U.S.C. 1601 and the periodic appraisal of land and water resources provided for in 16 U.S.C. 2004 (16 U.S.C. 1675). RREA annual funds are allocated to eligible institutions based on a formula that assigns weight to the following factors: acres of private non-corporate forests; acres of private rangeland; timber growth; timber harvesting levels; wood industry employment; total state population; and urban population within a state.</p> <ul style="list-style-type: none"> <li>• Approximately 6 percent of the funds may be competitively awarded through Renewable Resources Extension Act-National Focus Fund Projects (RREA-NFF).</li> </ul>
Use of Funds	RREA Federal funding must be used only on Extension programs that address the forest and rangeland strategic issues from the current RREA strategic plan identified in the institution's REEport project.
Limitations	<ul style="list-style-type: none"> <li>• Funds cannot be used for any purposes other than those approved in the grant award documents.</li> <li>• The period of performance may NOT be extended.</li> <li>• Use of funds for employer contributions to land-grant college retirement systems may be subject to limitations in 7 U.S.C. 331. NIFA is seeking legal guidance and will update this guide with final requirements. See Section VI.H.1 of this guide for additional information.</li> </ul>
Reporting Requirements	<ul style="list-style-type: none"> <li>• National Quantitative Indicator Data (due December 30 annually)</li> <li>• Popular Report (Due December 30 annually)</li> <li>• SF-425 financial report (due December 30)</li> <li>• Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>• REEport Project Initiation, Annual Progress Report (due March 1 annually) and final progress report (due by March 1 in the fiscal year following the Federal FY in which the project ends)</li> </ul>
Matching Requirement	<ul style="list-style-type: none"> <li>• No match.</li> </ul>
Carryover	<ul style="list-style-type: none"> <li>• RREA funds are expected to be fully expended in the fiscal year of appropriation; however, with prior approval, current policy allows 50 percent of the initial funding to be carried over into the next fiscal year. These carryover funds must be fully expended by September 30 of the following year.</li> <li>• If there is more than 50 percent carryover, waiver requests to carry over more than 50 percent may be submitted and approved by RREA program staff. Requests must be submitted to NIFA, who will provide the required format for requesting carryover of excess (&gt;50 percent) funds.</li> <li>• Any unused funds at the end of the period of performance must be returned to the USTreasury.</li> </ul>

<b>Capacity Awards</b>	11. Smith-Lever Special Needs Capacity
<b>Primary Authority</b>	<a href="#">7 U.S.C. 341-349</a>
<b>Primary Grantees</b>	1862s only
<b>Formula</b>	A portion of the Smith-Lever 3(b) and (c) funds support the Smith-Lever Special Needs capacity program. Funds available for Special Needs will continue to be available at the 1962 funding level. Funds are allocated under this program to a State Cooperative Extension Service to fulfill a purpose or overcome a condition peculiar to the state, as compared to the country as a whole, or for a purpose not normally a part of the continuing extension program.
<b>Use of Funds</b>	<ul style="list-style-type: none"> <li>• Special needs Federal funding may only be used on extension activities consistent with the institutions approved 5-year Plan of Work.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>• Smith-Lever funds cannot be used, directly or indirectly, for 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.</li> <li>• Funds cannot be used for indirect costs or tuition remission.</li> <li>• If any funds distributed to states for cooperative agricultural extension work are diminished, lost, or misapplied, the state must replace the funds and no additional funds will be awarded to that State until the funds are soreplaced</li> <li>• The period of performance may NOT be extended.</li> <li>• 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 that 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 this guide for additional information.</li> </ul>
<b>Reporting Requirements</b>	<ul style="list-style-type: none"> <li>• SF-425 financial report (due December 30)</li> <li>• Final SF-425 financial report (due 120 days following expiration date of the award)</li> <li>• REEport Program Initiation, Annual Progress Report, Financial Report (due February 1 annually) and REEport Final Progress report</li> </ul>
<b>Matching Requirement</b>	100% of total funds available (50% for PR, Guam & USVI). Waiver for up to 100 percent of required match for for PR, Guam & USVI
<b>Carryover</b>	Smith-Lever special needs funds are to be fully expended in the fiscal year of appropriation; however any unobligated balance of funds which remains at the end of any funding period, except the final year of the period of performance, will be carried over to the next funding period, and may be used to defray costs of any funding period of the project. Funds will be carried over for up to 4 years from the year of appropriation. Since the carryover of unobligated balances is automatic, no separate or specific awarding agency prior approval is required to authorize use of the funds. Any unused funds at the end of the period of performance must be returned to the U.S. Treasury.

#### ***H. Memoranda of Understanding ALL AWARDS***

A memorandum of understanding (MOU) is an agreement between NIFA and another party(ies) that sets out in broad, general terms a plan for the parties to coordinate their efforts on activities and/or projects of mutual interest. No specific duties and responsibilities are defined in the MOU. The MOU will describe general terms that identify how the parties intend to cooperate. An MOU will not establish a commitment of resources by NIFA or direct transfer of resources, set forth an implied commitment of funding from one party to the other, or be used to enter into an agreement for one party to perform a task for another party. MOUs are used when two or more parties enter into an agreement to carry out activities of interest to all parties in a coordinated and mutually beneficial manner. The parties will utilize their own resources, including the expenditure of their own funds, in pursuing these objectives. MOUs can be extended, modified, or terminated at the request of either party to the agreement. Revisions to an MOU might include changes to the party's duties, purpose, duration, and mutual interests. All revised MOUs must be resigned by both parties. Unless otherwise agreed upon, MOUs will be limited to a duration of 5 years and will expire 5 years from the date of the last signature. A mutually agreed upon extension will keep the MOU effective beyond the 5 years. NIFA has delegated authority from the Secretary of Agriculture to enter into agreements to further research, extension, or teaching programs in the food and agricultural sciences (7 CFR 2.66(a)(23)). This delegated authority permits NIFA to enter into MOUs and other authorized agreements. NIFA will not enter into a MOU to carry out activities for which it does not have legal authority.

#### ***I. Availability of Grant Information ALL AWARDS***

NIFA routinely places information about awarded grants, including project title, the name of the PD/PI, and the project description, on the [NIFA website](#). The information submitted by awardees is extensively used by NIFA for describing the use of NIFA funds in planning and defending its budget, assessing its programs, and communicating project results. Reported information from awards may be used by State scientists and administrators and is available to the public via the [Data Gateway](#) website.

For funded research grant applications, NIFA also sends the project description provided by an applicant to the Department of Commerce's National Technological Information Service (NTIS). NTIS disseminates scientific information for classification and program analysis. The public may obtain the project descriptions from REEport or request them from NTIS. Project descriptions are typically sent to NTIS on a quarterly basis. Other information may be released case by case as described in this subsection. NTIS is accessible [online](#).

#### ***J. Confidentiality and Retention of Information COMPETITIVE AWARDS***

Applicants are discouraged from submitting information considered proprietary unless it is deemed essential for proper evaluation of the application. However, if the application contains information that the applicant organization considers to be patentable ideas,



trade secrets, privileged or confidential commercial or financial information, the disclosure of which may harm the application, applicants check yes on Field 3 on the SF-424 R&R, as denoted in the NIFA grants.gov Grant Application Guide and clearly mark each line or paragraph on the pages containing the proprietary/privileged information with a legend similar to:

*The following pages (specify) contain privileged information that (name of applicant) requests not to be released to persons outside Government, except for purposes of evaluation.*

When such information is included in the application, it is furnished to the Federal government in confidence, with the understanding that the information will be used or disclosed only for evaluation of the application. NIFA will protect application information from unauthorized disclosure, consistent with the need for peer review of the application and the requirements of the Freedom of Information Act and Privacy Acts (discussed below).

An application that does not result in an award will be retained by the Agency for a period of 3 years. Other copies will be destroyed. Such an application will be released only with the consent of the applicant or to the extent required by law. An application may be withdrawn at any time prior to the final funding decision. However, if a grant is awarded as a result of, or in connection with, an application, the Federal government has the right to use or disclose the information to the extent authorized by law. This restriction does not limit the Federal government's right to use the information if it is obtained without restriction from another source. The application information becomes a part of the record of NIFA transactions, available to the public upon specific request. Information that the Secretary determines to be of a confidential, privileged, or proprietary nature will be held in confidence to the extent permitted by law.

***K. Freedom of Information Act ALL AWARDS***

The Freedom of Information Act (5 U.S.C. 552) (FOIA) and implementing NIFA regulations (7 CFR 3404.1-.6) require NIFA to release certain grant documents and records requested by members of the public, regardless of the intended use of the information. These policies and regulations apply to information in NIFA's possession. Generally, NIFA cannot require grantees or contractors under grants to permit public access to their records. An exception related to certain research data is described in this subsection (5 U.S.C. 552(b)).

Records or information generally disclosed by NIFA in response to a FOIA request	Records or information generally withheld by NIFA in response to a FOIA request
<ul style="list-style-type: none"> <li>• Funded applications and funded progress reports, including award data</li> <li>• Final reports that have been transmitted to the grantee organization of any audit, survey review, or evaluation of grantee performance</li> </ul>	<ul style="list-style-type: none"> <li>• Pending competing grant applications</li> <li>• Unfunded new, renewal, and revision applications</li> <li>• Financial information pertaining to project personnel, such as institutional base salary information</li> <li>• Information pertaining to an individual, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy</li> <li>• Pre-decisional opinions in interagency or intra-agency memoranda or letters expressed by Federal government officers, employees, or consultants</li> <li>• Evaluative portions of site visit reports and peer review summary statements, including impact/priority scores, and reviewer identities</li> <li>• Trade secrets and commercial, financial, and otherwise intrinsically valuable items of information that are obtained from a person or organization and are privileged or confidential</li> <li>• Information which, if released, would adversely affect the competitive position of the person or organization</li> <li>• Patent or other valuable commercial rights of the person or organization</li> </ul>

Requests for information received under FOIA may request information exempt under FOIA. Requests for information submitted to NIFA may require information from grantees. Information will be sought and collected through the Contact PD/PI. The PD/PI will be given 10 working days to identify potentially patentable or commercially valuable information that the PD/PI believes is exempt under FOIA. Any such submission by the PD/PI must be specific as to the nature and type of commercial harm that will result if the requested information is released. General statements by the PD/PI that all information is exempt will not be honored.

The PD/PI must respond to NIFA within the required time period to prevent the release of information to the requester. If the PD/PI identifies commercial or proprietary information, NIFA will review that response. After NIFA consideration of the response, the PD/PI and grantee will be informed if NIFA does not agree with the PD/PI's position. If a document contains both disclosable and non-disclosable information, the non-disclosable information will be redacted and the balance of the document will be disclosed. Please note that personal identifying information is

protected under a Certificate of Confidentiality, however the entire related data set will not be exempt. Recipients of NIFA funds are required to store data for 3 years after the submission of the financial status report.

The USDA and NIFA regulations implementing FOIA provide that only the NIFA FOIA Officer may deny requests for information. Requests for information, the release of which is believed to be exempt under FOIA, are referred to the NIFA FOIA Officer along with written documentation of the rationale for nondisclosure. If the NIFA FOIA Officer determines that the requested information is exempt from release under FOIA, the requester may appeal that determination to the Director of the Office of Chief Financial Officer (OCFO) at the USDA. Additional information on the FOIA process is available at the [NIFA FOIA Office](#) website (7 CFR 1.1-1.23 and 2 CFR 200.315(e)).

***L. Public Access to Research Data ALL AWARDS***

Requests by the public for research data must be submitted to NIFA as a FOIA request. The term “research data” is defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings. It does not include preliminary analyses; drafts of scientific papers; plans for future research; peer reviews; communications with colleagues; physical objects (e.g., laboratory samples, audio or video tapes); trade secrets; commercial information; materials necessary to be held confidential by a researcher until publication in a peer-reviewed journal; information that is protected under the law (e.g., intellectual property); personnel and medical files and similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy; or information that could be used to identify a particular person in a research study.

If the data are publicly available, NIFA directs the requester to the public source. Otherwise, the NIFA FOIA coordinator handles the request, consulting with the affected grantee and the PD/PI. This requirement also provides for assessment of a reasonable fee to cover grantee costs and (separately) the NIFA costs of responding, in addition to the standard FOIA requester fees. An investigator’s or grantee institution’s failure to comply with the request for data will be treated as a material failure to comply with the terms and conditions of award and appropriate enforcement action would be taken. Enforcement actions might include withholding of future support or imposing additional restrictive terms and conditions of award to the grantee institution.

The required release of research data does not apply to commercial organizations or to research data produced by state or local governments. However, if a state or local governmental grantee contracts with an educational institution, hospital, or non-profit organization, and the contract results in covered research data, that data becomes subject to the disclosure requirement.

Additionally, for competitive awards, the research terms and conditions contain additional conditions related to 2 CFR 200.212. The terms and conditions state that awards are intended for unclassified, publicly releasable research and the recipient will

not be granted access to classified information. NIFA does not expect that the results of the research project will involve classified information. If, however, in conducting the activities supported under this award, the PI is concerned that any of the research results involve potentially classifiable information that may warrant Government restrictions on the dissemination of the results, the PI should promptly notify the NPL and/or grants specialist identified in their Notice of award.

***M. Protecting Sensitive Data Used in Research ALL AWARDS***

Recipients of NIFA funds have a responsibility to protect sensitive and confidential data as part of proper stewardship of Federally-funded research and take all reasonable and appropriate actions to prevent the inadvertent disclosure, release or loss of sensitive personal information. NIFA advises that personally identifiable, sensitive, and confidential information about NIFA-supported research or research participants must not be housed on portable electronic devices. If portable electronic devices must be used, they must be encrypted to safeguard data and information. These devices include laptops, CDs, disc drives, flash drives, etc. Researchers and institutions also must limit access to personally identifiable information (PII) through proper access controls such as password protection and other means. Research data must be transmitted only when the security of the recipient's systems is known and is satisfactory to the transmitter.

***N. Privacy Act ALL AWARDS***

The Privacy Act of 1974, 5 U.S.C. 552a (as amended), and the USDA implementing regulations, 7 CFR 1.110 – 1.123, provide certain safeguards for information about individuals maintained in a system of records (i.e., a system in which information may be retrieved by the individual's name or other identifying information). These safeguards include the rights of individuals to know what information about them is maintained in Federal agencies' files (hard copy or electronic) and how it is used, how they may obtain access to their records, and how to correct, amend, or request deletion of information in their records that is factually incorrect, unless the records are exempt from the Privacy Act. A record, as defined by the Privacy Act, is "any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual..." (5 U.S.C. 552a(4)).

Records maintained by NIFA with respect to grant applications, grant awards, and the administration of grants are subject to the provisions of the Privacy Act. Pursuant to the Privacy Act, an individual who wishes to know if a NIFA system of records contains information about him/her may make a request to the agency FOIA officer, for a fee. NIFA will respond to the request within 30 days of receipt with an acknowledgment of receipt or a denial.

A System of Records Notice informs the public of the existence of a system of records and describes the type of information that an agency will be collecting, who will be

collecting the information, how it will be safeguarded, the purpose for collecting such information, etc. It is an advanced notice to the public that must be given before an agency begins to collect, is given access to or can retrieve personal information for a new system of records and must be published in the Federal Register. For more information, visit the [Office of the Chief Information Officer website](#).

Parties other than PD/PIs may request the release of Privacy Act grant records. Such requests are processed under FOIA. For example, information requested by co-investigators in grant applications is released to them only when required under FOIA because they have no right of access under the Privacy Act. When releasing information about an individual to a party other than the subject of the file, NIFA will balance the individual's right to privacy with the public's right to know as provided by the FOIA.

***O. Paperwork Reduction Act ALL AWARDS***

The Paperwork Reduction Act (PRA) mandates that all Federal government agencies must obtain a Control Number from OMB before promulgating a form that will impose an information collection burden on the general public. Once obtained, approval must be renewed every 3 years. For a renewal, the agency must explain the reason why the collection is needed and estimate the burden in terms of time and money that the collection will impose upon the persons required to complete it (44 U.S.C. 3501 et seq.; 5 CFR part 1320).

OMB clearance is required for NIFA "information collections." An information collection is when identical questions are posed to, or identical reporting, recordkeeping, or disclosure requirements are imposed on, 10 or more people, whether the collection is mandatory, voluntary, or required to obtain or retain a benefit. All application or reporting forms, whether paper or electronic, that NIFA requires an applicant or recipient to complete and submit must receive OMB approval before NIFA may collect the information. Information collection under a cooperative agreement award or a grant award, under specified conditions, also requires OMB clearance.

***P. NIFA Official Identifier ALL AWARDS***

Eligible institutions may use the NIFA logo in addition to their own for research-related purposes only. In doing so, they must observe the following requirements:

- The integrity of the complete identifier should be maintained in all uses. Additions and deletions to the identifier are not permitted.
- To maintain clear identification, the identifier should always appear proportionally, isolated from other elements, such as titles or graphic devices. It should not be obscured in any way or reproduced against strongly patterned backgrounds that would tend to impair its recognition.
- When it is used in conjunction with symbols of other public and private sector partners, the NIFA identifier should have equal placement.
- Never enlarge a .jpg file beyond 100 percent.

The [Official NIFA identifier](#) webpage on the NIFA website provides identifiers in several formats, color modes, and resolutions for specific use in software applications. Please refer to this page for additional details. Please contact NIFA for [more information](#).