

# **Joint Cooperative Extension Programs at 1862 Land-Grant Institutions and University of the District of Columbia Public Postsecondary Education Reorganization Act Program**

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***Fiscal Year (FY) 2020 Request for Applications***

**APPLICATION DEADLINE: August 27, 2019**



United States  
Department of  
Agriculture

National Institute  
of Food and  
Agriculture

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

**JOINT COOPERATIVE EXTENSION PROGRAMS AT 1862 LAND-GRANT INSTITUTIONS AND UNIVERSITY OF THE DISTRICT OF COLUMBIA PUBLIC POSTSECONDARY EDUCATION REORGANIZATION ACT PROGRAM**

**INITIAL ANNOUNCEMENT**

**ASSISTANCE LISTING [formerly known as the CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA)]:** This program is listed in the Federal Assistance Listing under 10.511.

**DATES:** Applications must be received by **5:00 p.m. Eastern Time on August 27, 2019**. 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.

**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 \(AREERA\) \(7 U.S.C. 7613\(c\)\(2\)\)](#). Submit written stakeholder comments by the deadline set forth in the DATES portion of this notice to [policy@nifa.usda.gov](mailto:policy@nifa.usda.gov). 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 **Joint Cooperative Extension Programs at 1862 Land-Grant Institutions and University of the District of Columbia Public Postsecondary Education Reorganization Act Program RFA**.

**EXECUTIVE SUMMARY:** NIFA requests applications for both the Cooperative Extension Programs at 1862 Land-Grant Institutions authorized under *the Smith-Lever Act section 3(b) and (SLBC) and the University of the District of Columbia Public Postsecondary Education Reorganization Act Program (DCPPER)* for fiscal year 2020 to develop practical applications of research knowledge; instructions and practical demonstrations of existing or improved practices or technologies in agriculture; uses of solar energy with respect to agriculture, home economics, and rural energy; subjects relating to persons not attending or resident in 1862 Land-Grant Institutions; imparting information on those subjects through demonstrations, publications, and otherwise, and for the necessary printing and distribution of information in connection with the subjects.

This RFA is being released prior to the passage of the FY 2020 appropriations bill therefore, enactment of continuing resolutions (CR) or an Appropriations Act may affect the availability or level of funding for this program. The amount available for support of this program in FY 2019 was \$289,037,617. Appendix A of this RFA includes specific distributions from Fiscal Year 2019. Subject to any 2020 CR and the availability of funds, distributions will be made to the institutions quarterly, dependent on the applicant having met the previous year's reporting requirements. Any adjustments to the allocation listed in Appendix A will be made once the FY

2020 appropriations are finalized and will be reflected in the fourth quarter. Part III, B, identifies if matching is a requirement and, if so, you should pay particular attention to the matching instructions included in Part IV, B, 4.

This notice identifies the objectives for SLBC and the DCPPERA project/program, the eligibility criteria for projects/program and applicants, and the application forms and associated instructions you need to apply for a SLBC or a DCPPERA grant.

The USDA NIFA home page for the DCPPERA is:

<https://nifa.usda.gov/program/district-columbia-public-postsecondary-education-reorganizationact-program-cooperative>.

The USDA NIFA home page for the SLBC is:

<https://nifa.usda.gov/program/smith-lever-act-capacity-grant>

## What's new for Fiscal Year 2020?

1. NIFA is offering an opportunity to pilot submission of a SF424a budget with FY 2020 capacity applications. In FY 2021, budgets will be required as a component of capacity grant applications. The SF 424a is available in [grants.gov](https://grants.gov) and the NIFA [grants.gov](https://grants.gov) application guide has been updated with detailed instructions. For more information on the FY 2020 budget pilot, including upcoming webinars for applicants choosing to participate in the pilot, please visit the [NIFA website](#).
2. Section 7508 of the Agriculture Improvement Act of 2018 (Pub. L. 115-334) reinstated a matching requirement for federal funds used in extension work at the University of the District of Columbia. For FY 2020, the University of the District of Columbia is required to provide 50% matching funds.
3. NIFA is providing updated information on the applicability of the 5 percent retirement cap to capacity programs listed in section 251(f)(1) of the Department of Agriculture Reorganization Act of 1994, 7 USC 6971(f)(1). This information applies to FY 20 awards and forward; it is NOT retroactive. The authority to pay for the retirement of land-grant college employees is found in 7 USC 331. NIFA's Office of General Counsel has advised that based on the language and legislative history associated with 7 U.S.C. 331, Section 331 applies to Acts supplementary to the First Morrill Act and to programs authorized under authorities that specifically provide for the application of section 331. Therefore, the 5% retirement cap applies to Smith-Lever, Smith Lever special needs, DC PERA, Hatch, 1890 Extension, 1890 research, and Animal Health grants. This includes these grants in Puerto Rico, US Virgin Islands, Guam, American Samoa, Northern Marianas, and Micronesia. The retirement cap does NOT apply to the following programs: McIntire Stennis, 1890 Facilities, RREA, EFNEP, and Tribal College Endowment.
4. NIFA's Office of Grants and Financial Management, Office of Information Technology, and Data Governance Working Group worked to better identify and track institutions and associated departments that receive capacity awards. NIFA provided guidance in the form of additional columns in the capacity RFA appendices to specify information we require each applicant to enter into the Legal Name, Organizational DUNS, and Department Name fields of the SF-424. If changes have occurred to this information, please contact NIFA as soon as possible to discuss options to minimize potential issues and delays.
5. Felony Convictions or Tax Delinquent Status- See Part V, Section 4.12. of the NIFA Grants.gov Application Guide for instructions regarding mandatory Felony Convictions or Tax Delinquent Status. For Capacity programs, this mandatory information must be included in the Attachment Form.
6. All Standard Form (SF)-425 Federal Financial Reports for the awards (not the project financial reports that are submitted in REEport), whether annual or final, will be due December 30 each year. Most programs already have this requirement, but it was decided that all programs will follow this practice. This change took effect for the FY 2017 awards.

Annual and final report templates are made available in the ezFedGrants portal on

October 1 for all capacity agreements. Recipients will submit the SF-425 directly in the portal. Detailed instructions on the submission of SF-425s can be found under the training tab on the [ezFedGrants page](#).

7. ezFedGrants is the USDA solution for grants management. NIFA will publish RFAs on its website and Grants.gov. You will continue to apply through Grants.gov and your applications will automatically be downloaded into ezFedGrants.
8. Matching Funds-If matching funds are required as specified under Part III, B. Cost-Sharing or Matching, the matching is an eligibility criteria and grantees must include and attach 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.
  - a. The matching documentation must include the non-federal sources (specify whether the source is 3rd party, cash, state or non-state, county or non-tax and the amount for each source) and amount of all matching support including matching from outside the applicant institution and place that information in PDF format (see Part III, Section 3. of the guide for attachment requirements) and include as a separate attachment to the Attachment Form.
    - If you are participating in the FY 2020 budget pilot, you will be providing source of match information on the SF 424a Section C and in the accompanying budget narrative. You do not need to provide an additional source of match document.
  - b. Establish the value of applicant contributions in accordance with applicable cost principles. Refer to 2 CFR Part 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards”, for further guidance and other requirements relating to matching and allowable costs.

1890’s and 1862’s in insular areas must follow the requirements in the recently updated [7 CFR 3419: 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](#). This Final Rule was published on May 11, 2018.

9. FY 2016 Appropriations Act Funding under Grants and Cooperative Agreements with Entities Requiring Certain Internal Confidentiality Agreements—Public Law 114-113 prevents the Federal Government from making grants or cooperative agreements to entities requiring employees or contractors to sign nondisclosure agreements or statements prohibiting them from reporting waste, fraud or abuse to an investigative or law enforcement representative of the Federal Government. Information related to the questions on this and other assurances on the SF 424 R&R Cover Sheet form is dealt with in detail in Part V, 2. of the NIFA Grants.gov Application Guide. See Section 2.18 of the NIFA Application Guide which provides that the applicant’s electronic signature on the SF-424 affirms its agreement with Federal representations and assurances (e.g., Prohibition against FY 16 Appropriations Act Funding under Grants and Cooperative Agreements with Entities Requiring Certain Internal Confidentiality Agreements...)

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

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

Sections 3(b) and 3(c) of the Smith-Lever Act (program referred to SLBC hereafter) provide funding for agricultural extension programs at 1862 Land-Grant institutions. States are eligible for funds appropriated under this Act according to the following formula:

- Out of each annual allocation, each State will be entitled to receive a sum of money equal to the sums available from federal cooperative extension funds for the fiscal year 1962, and subject to the same requirements as to furnishing of equivalent sums by the State, except that amounts heretofore made available to the Secretary for allotment on the basis of special needs shall continue to be available for use on the same basis.
- Further, the University of Guam and the University of the Virgin Islands will receive \$100,000 each in addition to the sums appropriated for the several States of the United States and Puerto Rico under the provisions of sections 3(b) and 3(c) of the Smith-Lever Act.
- Of the remainder so appropriated for each fiscal year 20 per cent will be paid to the several states in equal proportions, 40 per cent 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 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.
- Any appropriation made under sections 3(b) and 3(c) of the Smith-Lever Act will be allotted in the first and succeeding years on the basis of the decennial census current at the time the appropriation is first made, and as to any increase, on the basis of decennial census current at the time such increase is first appropriated.

Sections 208 of the District of Columbia Public Postsecondary Education Reorganization Act provides, in pertinent part, that “[i]n the administration of the Act of May 8, 1914 (7 U.S.C. 341-346, 347a-349) (known as the Smith-Lever Act)... the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301- 305, 307,308); and... the term “State” as used in such Act of May 8, 1914, shall include the District of Columbia, except that the District of Columbia shall not be eligible to receive any sums appropriated under section 3 of such Act... In lieu of an authorization of appropriations for the District of Columbia under section 3 of such Act of May 8, 1914, there is authorized to be appropriated such sums as may be necessary to provide cooperative agricultural extension work in the District of Columbia under such Act. Any reference in such Act (other than section 3 thereof) to funds appropriated under such Act shall in the case of the District of Columbia be considered a reference to funds appropriated under this subsection.”

Section 7220 of Public Law number 107-171, Farm Security and Rural Investment Act of 2002, dated May 13, 2002, terminated the Schedule A appointment authority of USDA under the Smith-Lever Act, which provided dual State-Federal appointments and certain Federal benefits to Cooperative Extension Service (CES) agents, including the CSRS and FERS Retirement Programs and Federal Employees' Compensation Act (FECA) benefits under the Workers' Compensation Program. As a result, payments to Department of Labor's (DOL) Federal Office of Workers' Compensation Programs (OWCP) on behalf of former Schedule A

CES agents were discontinued, with the exception of disability claims filed with OWCP prior to May 13, 2002. Beginning in Fiscal Year (FY) 2005, NIFA announced that the separate allocation of funds for the retirement programs would be phased out over a 10-year period. The amount available for these programs was reduced each year by \$1,473,658 and the same amount was added to the funds available for distribution under the Smith-Lever Section 3(b) and (c) statutory formula. In addition to retirement funding, funds allocated to the retirement programs were used to pay the 1862 Land-grant institutions' share of Workers' Compensation claims directly to OWCP. The final year for separate CSRS allocations was 2015 and the final year for FERS allocations was 2016.

Prior to the termination of the CSRS and FERS Retirement Programs, NIFA paid Workers' Compensation claims on behalf of the 1862 institution and charged the institution by reducing its annual retirement allocation by the amount remitted to OWCP. If the amount of OWCP claims exceeded the 1862 institution's annual retirement allocation, NIFA billed the institution for the difference. NIFA is no longer providing a separate allocation of funds for the retirement of former Schedule A employees and, therefore, will not have a mechanism for deducting OWCP charges from CSRS allocations.

Starting in FY 2018, NIFA will continue to pay the Workers' Compensation benefits of the former Schedule A employees directly to DOL and will charge the 1862 institution by reducing its annual allocation under the Smith-Lever section (b) and (c) statutory formula.

## **B. Purpose**

The purpose of this funding is to conduct cooperative agricultural extension work. The Joint Cooperative Programs at 1862 Land-Grant Institutions and University of the District of Columbia Postsecondary Education Reorganization Act Program aligns with the USDA Strategic Plan for FY 2018-2022, <https://www.usda.gov/our-agency/about-usda/strategic-goals> as follows:

1. Ensure USDA programs are delivered efficiently, effectively, and with integrity and a focus on customer service;
2. Maximize the ability of American agricultural producers to prosper by feeding and clothing the world;
3. Promote American agricultural products and exports;
4. Facilitate rural prosperity and economic development;
5. Strengthen the stewardship of private lands through technology and research; and
6. Provide all Americans access to a safe, nutritious and secure food supply.



## **PART II—AWARD INFORMATION**

### **A. Available Funding**

Subject to any 2020 CR, NIFA will distribute funds to the institutions quarterly and according to the amounts allocated in FY 2019. NIFA will make adjustments to the allocations for FY 2019 once the FY 2020 appropriations are finalized. Appendix A amounts are estimates from last Fiscal Year. The final amounts will be updated during the last quarter. The amount available for support of this program in FY 2019 was \$289,037,617 of which \$1,212,160 was the District of Columbia allocation.

The [Automated Standard Application for Payments](#), operated by the Department of Treasury, Bureau of Fiscal Service, is the designated payment system for awards resulting from this RFA.

### Workers' Compensation Payments on Behalf of Former Schedule A CES Agents at 1862 Institutions

With the exception of disability claims filed with OWCP prior to May 13, 2002, payments to Department of Labor's (DOL) Federal Office of Workers' Compensation Programs (OWCP) on behalf of former Schedule A CES agents are not authorized. NIFA no longer provides a separate allocation of funds for the retirement of former Schedule A employees and, therefore, does not have a mechanism for deducting OWCP charges from CSRS and FERS allocations. NIFA now pays the workers' compensation benefits of the former Schedule A employees directly to OWCP and will charge the 1862 institution by reducing its annual allocation under the Smith-Lever section (b) and (c) statutory formula. Questions regarding OWCP charges and deductions associated with these charges should be directed to Brenda Barnett (Brenda.barnett@usda.gov), 202-401-6520). Questions regarding OWCP charges and deductions associated with these charges should be directed to Brenda Barnett ([Bbarnett@nifa.usda.gov](mailto:Bbarnett@nifa.usda.gov), 202-401-6520).

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

Applications for FY 2020 are limited to "new" applications. This is an application not previously submitted to the SLBC and DCPD programs.

## PART III—ELIGIBILITY INFORMATION

### A. Eligible Applicants

For the DCPPERA, RFA applications may only be submitted by the University of the District of Columbia.

**Table 1** lists the names of eligible 1862 Land-Grant Institutions that are eligible for the SLBC program. 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.

**Table 1:** Eligible 1862 Land Grant Institutions

School Name	School Name	School Name	School Name
Auburn University	North Dakota State University	University of Delaware	University of New Hampshire
American Samoa Community College	Northern Marianas College	University of Florida	University of Puerto Rico
Auburn University	Ohio State University	University of Georgia	University of Rhode Island
Clemson University	Oklahoma State University	University of Guam	University of Tennessee
College of Micronesia	Oregon State University	University of Hawaii	University of Vermont
Colorado State University	Pennsylvania State University	University of Idaho	University of the Virgin Islands
Cornell University	Purdue University	University of Illinois	Utah State University
Iowa State University	Rutgers University	University of Kentucky	Virginia Polytechnic Institute and State University
Kansas State University	South Dakota State University	University of Maine	Washington State University
Louisiana State University	Texas A&M University	University of Maryland (College Park)	West Virginia University
Michigan State University	University of Alaska-Fairbanks	University of Massachusetts	West Virginia State University
Mississippi State University	University of Arizona	University of Minnesota	University of Wisconsin
Montana State University	University of Arkansas	University of Missouri	University of Wyoming <i>(As authorized in the Farm Bill).</i>
New Mexico State University	University of California	University of Nebraska	
North Carolina State University	University of Connecticut	University of Nevada-Reno	

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 (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 (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."

Section 7508 of the Agriculture Improvement Act of 2018 (Pub. L. 115-334) reinstated a matching requirement for federal funds used in extension work at the University of the District of Columbia. By stating: Section 209(c) of the District of Columbia Public Postsecondary Education Reorganization Act (Public Law 93-471; sec. 38-1202.09(c), D.C. Official Code) is amended by inserting after the first sentence the following: "Such sums may be used to pay not more than 1/2 of the total cost of providing such extension work."

On Friday, May 11, 2018, NIFA published in the Federal Register amendments to 7 CFR 3419: 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. The revised Final Rule is now in effect. 7 CFR 3419.3, Limited Waiver Authority, and 7 CFR 3419.4, Applications for waivers for both 1890 land-grant intuitions and 1862 land-grant institutions in insular areas, address the criteria an institution must meet to be granted a waiver as well as the process and supporting document required for submitting a waiver. See Part IV.B.4. for additional information about how to request a waiver.

The matching documentation must include the non-federal sources (specify whether the source is 3rd party, cash, state or non-state, county or non-tax) and amount of all matching support including matching from outside the applicant institution. It must be in PDF format (see Part III, Section 3. of the guide for attachment requirements) and included as a separate attachment to the Attachment Form.

If you are participating in the FY 2020 budget pilot, non-federal funds information will be included as part of the SF 424a budget and accompanying budget narrative. See the NIFA [grants.gov](https://www.grants.gov) application guide for additional information. Establish the value of applicant contributions in accordance with applicable cost principles. Refer to 2 CFR Part 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards”, for further guidance and other requirements relating to matching and allowable costs.

## **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 system. For information about the pre-award phase of the grant lifecycle, see <https://www.grants.gov/web/grants/learn-grants/grants-101/pre-award-phase.html>.

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

Prior to preparing an application, we recommend that 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 <https://www.grants.gov/web/grants/register.html>).

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

To receive application materials:

1. You must download and install a version of [Adobe Reader](#) compatible with Grants.gov to access, complete, and submit applications. For basic system requirements and download instructions, see <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. 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 <https://www.grants.gov/web/grants/applicants/download-application-package.html> and enter the funding opportunity number:

**Funding Opportunity Number: USDA-NIFA-10511-SLBCDXXX-20-0003**

in the appropriate box and click “Download Package.” From the search results, click “Download” to access the application package. A Grant Application Package is tied to a particular funding opportunity. Applications must be submitted ONLY to the particular funding opportunity to which the Grant Application Package is associated. The application package also contains the “NIFA Grants.gov Application Guide.” This guide contains an introduction and general Grants.gov instructions, additional information about the Grants.gov

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<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).

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 (<https://www.grants.gov/web/grants/applicants.html>). 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 (see <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>):

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:

- Funding opportunity number (FON)
- Name of agency to which you are applying
- Specific area of concern

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

You should prepare electronic applications following Parts V and VI of the NIFA Grants.gov 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 discrepancy between the two documents, the information contained in this RFA is overriding.**

Note the attachment requirements (e.g., PDF) in Part III, Section 3 of the guide. **ANY PROPOSALS THAT ARE NON-COMPLIANT WITH THE REQUIREMENTS** (e.g., content format, PDF file format, file name restrictions, and no 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 V, 2.1 of the NIFA Grants.gov Application Guide for further information).

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

- Email: [electronic@nifa.usda.gov](mailto:electronic@nifa.usda.gov)
- Phone: (202)401-5048
- Business hours: Monday - Friday, 7 a.m. - 5 p.m. ET, excluding [federal holidays](#).

Each grant application must contain the following:

- “Application for Federal Assistance,” Form SF-424 R&R Cover Sheet
- Key Contacts Form

- NIFA Supplemental Information Form
- Attachment Form

The NIFA Grants.gov Application Guide includes instructions for additional forms that are 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, 2 of the NIFA Grants.gov Application Guide. The following are additional instructions. Please note new instructions are included below for Field 5. Information NIFA has included in Appendix A is based on FY19 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 [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov) or (202) 401-6520 prior to submitting your application.

- a. **Field 1. Type of Submission** – Check “Application.”
- b. **Field 5. Applicant Information**
  - Enter Legal Name of the Applicant as registered in the System for Awards Management which appears in the first column of Appendix A to this RFA.
  - Enter Organizational DUNS as it appears in the third column of Appendix A to this RFA.
  - Enter Department Name of Eligible Recipient as it appears in the second column of Appendix A to this RFA.
- c. **Field 6. Budget** - For participants in the FY 2020 budget pilot, SF 424a Budget. Detailed information related to the information required on the SF 424a Budget form is available in Part V, 7 of the NIFA Grants.gov Application Guide.
- d. **Field 8. Type of Application** – Enter “new.”
- e. **Field 15. Estimated Project Funding** – For item a, enter your institution’s FY 2019 allocation as listed in Appendix A to this announcement
- f. **Field 17. Complete Certification** - See Part V, Section 2.18 of the NIFA Grants.gov Application Guide for the required certifications and assurances (e.g., Prohibition Against Entities Requiring Certain Internal Confidentiality Agreements)

2. Key Contacts Form

Information related to the questions on this form is available in Part VI, 4 of the NIFA Grants.gov Application Guide.

- g. **Contact 1 Project Role:** Enter the contact information for the State Extension Director.
- h. **Contact 2 Project Role:** Enter the contact information for the State Extension Director’s designee.
- i. **Contact 3 Project Role:** Enter the contact information for the Business Office Manager/Administrator.
- j. **Contact 4 Project Role:** Enter the contact information for the person responsible for drawdowns.

3. Supplemental Information Form

Information related to the questions on this form is available in Part VI, 1 of the NIFA Grants.gov Application Guide. The following are additional instructions.

**Field 2. Program to which you are applying.** Enter the program code name

Cooperative Extension Programs at 1862 Inst = Smith-Lever 3(b) and 3(c) Formula and program code SLBC or enter the program code name District of Columbia Public Postsecondary = DC Public Postsecondary Reorganization Act - and program code PPERA.

**k. Field 8. Conflict of Interest List.** Do not attach a conflict of interest list.

4. Attachment Form

Information related to the questions on this form is available in Part VI, 5 of the NIFA Grants.gov Application Guide. The following are additional instructions.

**a. Felony Convictions or Tax Delinquent Status -** See Part V, Section 4.12. of the NIFA Grants.gov Application Guide for instructions regarding mandatory Felony Convictions or Tax Delinquent Status. For Capacity programs, this mandatory information must be included in the Attachment Form.

**b. Matching Funds**

If matching funds are required as specified under Part III, B. Cost-Sharing or Matching, the matching is an eligibility criteria 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.

If you are participating in the FY 2020 budget pilot, non-federal funds information will be included as part of the SF 424a budget and accompanying budget narrative. See the grants.gov application guide for additional information.

Establish the value of applicant contributions in accordance with applicable cost principles. Refer to 2 CFR Part 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. Part III, Section 3. of the guide for attachment requirements).**

The revised Final Rule 3419, published May 11, 2018, contained information on applications for waivers for both 1890 land-grant institutions and 1862 land-grant institutions in insular areas. Include the following elements in the request:

- (a) a request to waive matching requirements under this RFA that includes the name of the eligible institution and the type of Federal capacity funds (i.e. research, extension, Hatch, Smith-Lever);
- (b) a statement of the fiscal year(s) for which the waiver is requested;
- (c) a statement of the exact dollar amount of waiver being requested by fiscal year and how the amount was computed (by matching fund category);
- (d) a statement of why the waiver is requested that uses the criteria listed in the revised Final Rule 7 CFR 3419.3: impacts from natural disaster, flood, fire, tornado, hurricane, or drought;



- (e) state and/or institution facing financial crisis; or lack of matching funds after demonstration of good faith efforts to obtain funds;
- (f) documentation supporting the need for a waiver. Documentation must be current, within the past two years from the date of the letter requesting the waiver; and
- (g) ) the university's efforts to meet future matching needs.

The documentation must include the university's approved budget for the program for both the current and previous budget cycles. It may also submit items 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, Section 1.9 of the NIFA Grants.gov Application Guide.** Applications must be received by Grants.gov by 5 p.m. Eastern Time on **August 27, 2019**. 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 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. Please refer to the training tab on the ezFedGrants page to learn how to access ezFedGrants: <https://www.nfc.usda.gov/ezFedGrants>. If you are not able to validate that NIFA received your application by **September 3, 2019**, 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) Program and Extension Activities:**

Smith-Lever Act sections 3(b) and 3(c) federal funding may only be used for extension programs and an activity identified in the institution's approved Five-Year Plan of Work (POW).

**(2) 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 Sections 3(b) and 3(c) of the Smith-Lever Act formula grant expenditures.

**(3) Construction, Land purchases, and Teaching**

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.

**(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 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 the NIFA policy guide for additional information.

**(5) Matching:**

See Part III, B. for additional information.

**E. Other Submission Requirements**

**You should follow the submission requirements noted in Part IV, Section 1.9 of the NIFA Grants.gov Application Guide.** For information about the status of a submitted application, see Part III, Section 6 of the NIFA Grants.gov Application Guide. Dun and Bradstreet Universal Numbering System (DUNS) 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:

- be registered in SAM before submitting its application;
- (ii) provide a valid DUNS number in its application; and
- (iii) 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 DUNS and SAM requirements you may be considered unqualified to receive an award. Your SAM registration information determines your organization ID in the ezFedGrants system and the information must match your ASAP recipient DUNS and EIN.

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

### **A. General**

NIFA will review submitted documents to determine if all program, financial, and administrative requirements have been met and are current.

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

Specific management information relating to an applicant shall be submitted on a one-time basis, with updates as-needed. This requirement is part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. 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 federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that 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 <https://nifa.usda.gov/wait-notification> 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 <https://nifa.usda.gov/federal-regulations>

NIFA Federal Assistance Policy Guide—a compendium of basic NIFA policies and procedures that apply to all NIFA awards, unless there are statutory, regulatory, or award-specific requirements to the contrary, is available at <https://nifa.usda.gov/policy-guide>.

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

Organizations that receive Smith-Lever 3(b) & (c) funding from National Institute of Food and Agriculture (NIFA), are required to submit the following reports:

- Fiscal Year (FY) 2021 Plan of Work (POW) update and the
- FY 2019 Annual Report of Accomplishments and Results.

The FY 2021 POW update and the FY 2019 Annual Report of Accomplishments and Results will be due by April 1, 2020. These reports should be submitted online through NIFA Reporting Portal - <http://portal.nifa.usda.gov/portal>. In addition, information about the POW is available at <https://nifa.usda.gov/tool/pow>.

Financial reporting via the SF-425, Federal Financial Report for FY 2020 is due to the ezFedGrants portal, on December 30, 2020, for the period October 1, 2019, through September 30, 2020, and annually thereafter until the award is closed out. Information on how to access the ezFedGrants portal can be found under the training on the ezFedGrants page <https://www.nfc.usda.gov/ezFedGrants>.

See <https://nifa.usda.gov/program/smith-lever-act-capacity-grant> for additional Smith-Lever reporting requirement details. See <https://nifa.usda.gov/program/district-columbia-public-postsecondary-educationreorganizationact-program-cooperative> for additional Postsecondary Education Reorganization Act reporting requirement details

## **PART VII—AGENCY CONTACTS**

For questions regarding **DCPPERA** projects/program, please contact:

Dr. Ahlshia Shipley, National Program Leader, Division of Family and Consumer Sciences; Institute of Youth, Family, and Community; National Institute of Food and Agriculture (NIFA); U.S. Department of Agriculture (USDA), 6501 Beacon Drive Kansas City, MO 6413 5; Telephone: (202) 401-6854; Fax: (202) 690-2469; and e-mail: [ashipley@usda.gov](mailto:ashipley@usda.gov).

For questions regarding **SLBC** projects/program, please contact:

Dr. Wesley Dean, National Program Leader; Division of Agricultural Systems; Institute of Food and Production and Sustainability; National Institute of Food and Agriculture (NIFA); U.S. Department of Agriculture (USDA); Telephone: (202) 689-4286; Fax: (202) 401-1782; and e-mail: [Wesley.Dean@usda.gov](mailto:Wesley.Dean@usda.gov).

OR

Dr. Mathieu Ngouajio, National Program Leader, Division of Plant Systems – Production; Institute of Food and Production and Sustainability; National Institute of Food and Agriculture (NIFA); U.S. Department of Agriculture (USDA); 6501 Beacon Drive Kansas City, MO 6413; Telephone: (202) 401-4895; Fax: (202) 401-1782; and e-mail: [mngouajio@usda.gov](mailto:mngouajio@usda.gov).

For administrative questions relating to the completion of the grants.gov forms please contact Brenda Barnett or Allison Owens, Awards Management Division (AMD); Office of Grants and Financial Management (OGFM); National Institute of Food and Agriculture (NIFA); U.S. Department of Agriculture (USDA); 6501 Beacon Drive Kansas City, MO 6413; Telephone: (202) 401-6520; Fax: (202) 401-1804; e-mail [formulagrantsquestions@usda.gov](mailto:formulagrantsquestions@usda.gov).

For questions relating to the Five-Year Plan of Work (POW) Update or the Annual Report of Accomplishments and Results, contact Planning, Accountability, and Reporting Staff (PARS); National Institute of Food and Agriculture (NIFA); U.S. Department of Agriculture (USDA); 6501 Beacon Drive Kansas City, MO 64133; Telephone: (202) 401-5482; Fax: (202) 720-7714; e-mail [pow@usda](mailto:pow@usda).

**APPENDIX A**

<p align="center"><b>UNITED STATES DEPARTMENT OF AGRICULTURE</b>  <b>National Institute of Food and Agriculture</b>  <b>FY 2019 Distribution of Funds to Eligible Institutions for Extension Activities Authorized under the Smith-Lever Act and the D.C. Postsecondary Education Re-organization Act</b>  <b>Appendix A</b></p>					
<b>Legal Name (From SAM)</b>	<b>Department (Eligible Institution or Department)</b>	<b>DUNS Number</b>	<b>State</b>	<b>Allocation</b>	<b>Required Match</b>
AUBURN UNIVERSITY	Auburn University	066470972	AL	\$7,130,107	\$7,130,107
UNIVERSITY OF ALASKA FAIRBANKS	University of Alaska Fairbanks	615245164	AK	\$1,189,276	\$1,189,276
AMERICAN SAMOA COMMUNITY COLLEGE	American Samoa Comm. College	854990793	AS	\$1,464,682	\$732,341
UNIVERSITY OF ARIZONA	College of Agriculture	961605172	AZ	\$2,033,680	\$2,033,680
UNIVERSITY OF ARKANSAS SYSTEM	Cooperative Extension Service	039796771	AR	\$5,984,230	\$5,984,230
REGENTS OF THE UNIVERSITY OF CALIFORNIA, THE	Regents of the U of California	080668243	CA	\$7,992,215	\$7,992,215
COLORADO STATE UNIVERSITY	Colorado State University	829068126	CO	\$3,228,713	\$3,228,713
UNIVERSITY OF CONNECTICUT	University of Connecticut	614209054	CT	\$2,225,957	\$2,225,957
UNIVERSITY OF DELAWARE	University of Delaware	059007500	DE	\$1,344,100	\$1,344,100
UNIVERSITY OF THE DISTRICT OF COLUMBIA	U. of the District of Columbia	137460275	DC	\$1,212,160	\$0
UNIVERSITY OF FLORIDA	University of Florida	969663814	FL	\$4,790,406	\$4,790,406
UNIVERSITY OF GEORGIA	University of Georgia	619003127	GA	\$8,128,285	\$8,128,285
UNIVERSITY OF GUAM	University of Guam	779908151	GU	\$1,524,574	\$762,287
UNIVERSITY OF HAWAII SYSTEMS	U. of Hawaii System Office	930124792	HI	\$1,386,900	\$1,386,900
REGENTS OF THE UNIVERSITY OF IDAHO	University of Idaho	075746271	ID	\$2,851,549	\$2,851,549
UNIVERSITY OF ILLINOIS	University of Illinois	041544081	IL	\$9,776,223	\$9,776,223
PURDUE UNIVERSITY	Purdue University	072051394	IN	\$9,192,771	\$9,192,771
IOWA STATE UNIVERSITY OF SCIENCE AND TECHNOLOGY	Iowa State University	005309844	IA	\$9,616,239	\$9,616,239
KANSAS STATE UNIVERSITY	Kansas State University	929773554	KS	\$5,634,177	\$5,634,177
UNIVERSITY OF KENTUCKY	University of Kentucky	007400724	KY	\$9,379,792	\$9,379,792

LOUISIANA STATE UNIVERSITY	Louisiana State University	075050765	LA	\$5,243,304	\$5,243,304
UNIVERSITY OF MAINE SYSTEM	University of Maine	186875787	ME	\$2,416,127	\$2,416,127
UNIVERSITY OF MARYLAND	U. of Maryland College AGNR	837696475	MD	\$3,432,749	\$3,432,749
UNIVERSITY OF MASSACHUSETTS	U. of Massachusetts	153926712	MA	\$2,741,495	\$2,741,495
MICHIGAN STATE UNIVERSITY	Michigan State University	193247145	MI	\$9,242,486	\$9,242,486
COLLEGE OF MICRONESIA LAND GRANT PROGRAM	College of Micronesia-FSM	854812422	FM	\$1,592,065	\$796,033
REGENTS OF THE UNIVERSITY OF MINNESOTA	U. of Minnesota- Twin Cities	555917996	MN	\$9,057,572	\$9,057,572
MISSISSIPPI STATE UNIVERSITY	Mississippi State University	075461814	MS	\$7,041,462	\$7,041,462
UNIVERSITY OF MISSOURI SYSTEM	U. of Missouri-Columbia	153890272	MO	\$9,114,385	\$9,114,385
MONTANA STATE UNIVERSITY, INC	Montana State University	625447982	MT	\$2,732,380	\$2,732,380
BOARD OF REGENTS OF THE UNIVERSITY OF NEBRASKA	University of Nebraska Lincoln	555456995	NE	\$5,111,603	\$5,111,603
UNIVERSITY OF NEVADA, RENO	University of Nevada-Reno	146515460	NV	\$1,200,583	\$1,200,583
UNIVERSITY SYSTEM OF NEW HAMPSHIRE	Cooperative Extension Service	964184584	NH	\$1,768,243	\$1,768,243
RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY	Rutgers State U. of New Jersey	030501568	NJ	\$2,732,124	\$2,732,124
NEW MEXICO STATE UNIVERSITY	New Mexico State University	173851965	NM	\$2,135,475	\$2,135,475
CORNELL UNIVERSITY, INC	Cornell University	872612445	NY	\$8,500,908	\$8,500,908
NORTH CAROLINA STATE UNIVERSITY	North Carolina State U.	042092122	NC	\$11,877,904	\$11,877,904
NORTH DAKOTA STATE UNIVERSITY	North Dakota State University	803882299	ND	\$3,431,891	\$3,431,891
NORTHERN MARIANAS COLLEGE	Northern Marianas College	854851201	MP	\$1,449,609	\$724,805
COOPERATIVE STATE RESEARCH, EDUCATION, AND	OSU Cooperative Ext Service	175373752	OH	\$11,279,552	\$11,279,552
OKLAHOMA STATE UNIVERSITY	Oklahoma State University	049987720	OK	\$5,793,708	\$5,793,708
OREGON STATE UNIVERSITY	Oregon State University	053599908	OR	\$3,894,625	\$3,894,625
PENNSYLVANIA STATE UNIVERSITY, THE	Pennsylvania State University	003403953	PA	\$10,642,439	\$10,642,439
PUERTO RICO AGRICULTURAL EXTENSION	U. of Puerto Rico Mayaguez CES	176086184	PR	\$6,859,372	\$3,429,686
UNIVERSITY OF RHODE ISLAND	University of Rhode Island	144017188	RI	\$1,135,279	\$1,135,279
CLEMSON UNIVERSITY	Clemson University	042629816	SC	\$5,842,142	\$5,842,142
SOUTH DAKOTA STATE UNIVERSITY	South Dakota State University	929929743	SD	\$3,688,699	\$3,688,699
UNIVERSITY OF TENNESSEE	U. of Tennessee Extension	134399448	TN	\$8,934,249	\$8,934,249
TEXAS A&M AGRILIFE EXTENSION SERVICE	AgriLife Extension Service	781568837	TX	\$13,278,477	\$13,278,477

UTAH STATE UNIVERSITY	Utah State University	072983455	UT	\$1,752,365	\$1,752,365
UNIVERSITY OF VERMONT & STATE AGRICULTURAL COLLEGE	University of Vermont	066811191	VT	\$1,892,945	\$1,892,945
VIRGINIA POLYTECHNIC INSTITUTE & STATE UNIVERSITY	Virginia Tech University	003137015	VA	\$7,419,658	\$7,419,658
UNIVERSITY OF THE VIRGIN ISLANDS	U. of the Virgin Islands	090003765	VI	\$1,491,048	\$745,524
WASHINGTON STATE UNIVERSITY	Washington State University	959235664	WA	\$4,402,946	\$4,402,946
WEST VIRGINIA UNIVERSITY	West Virginia University	929332658	WV	\$4,246,710	\$4,246,710
UNIVERSITY OF WISCONSIN SYSTEM	U. of Wisconsin Extension	003255648	WI	\$9,146,236	\$9,146,236
UNIVERSITY OF WYOMING	University of Wyoming	069690956	WY	\$1,640,926	\$1,640,926
Total				\$290,249,777	\$281,846,943
UDC	U. of the District of Columbia	137460275		1,212,160	
Payment to States Under Smith-Lever				\$289,037,617	