

Cooperative Extension Programs at 1862 Land-grant Institutions

FY 2008 Formula Grant Opportunity (FGO)

APPLICATION DEADLINE: June 18, 2008

U.S. Department of Agriculture

Cooperative State Research, Education, and Extension Service



**COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE;
U.S. DEPARTMENT OF AGRICULTURE**

COOPERATIVE EXTENSION PROGRAMS AT 1862 LAND-GRANT INSTITUTIONS

INITIAL ANNOUNCEMENT

CATALOG OF FEDERAL DOMESTIC ASSISTANCE: This program is listed in the Catalog of Federal Domestic Assistance under 10.500.

DATES: Applications must be received by close of business (COB) on June 18, 2008 at 5:00 p.m. Eastern Time.

EXECUTIVE SUMMARY: the Cooperative State Research, Education, and Extension Service (CSREES) requests applications for the FY 2008 formula grants authorized under sections 3(b) and 3(c) of the Smith-Lever Act for cooperative extension programs. these funds are used by institutions eligible to receive funds under the Act of Congress approved July second, eighteen hundred and sixty-two, entitled “An Act donating public lands to the several States and Territories which may provide colleges for the benefit of agriculture and the mechanic arts” (Twelfth Statutes at Large, page five hundred and three) (“1862 Land-grant Institutions”), for the development of practical applications of research knowledge and giving of instruction 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, and subjects relating thereto to persons not attending or resident in 1862 Land-grant Institutions in the several communities, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects. No portion of these funds may be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in this Act. The amount available for support of this program in FY 2008 is \$249,685,645.

This notice identifies the objectives of the cooperative extension program authorized under sections 3(b) and 3(c) of the Smith-Lever Act, the eligibility criteria for programs and applicants, and the application forms and associated instructions needed to apply for a FY 2008 formula grant authorized under the sections 3(b) and 3(c) of the Smith-Lever Act for cooperative extension programs. CSREES additionally requests stakeholder input from any interested party for use in the development of the next FGO for this program. Please send questions or comments to Barry Sims, Staff Accountant, Stop 2299, 1400 Independence Avenue, SW, Washington, D.C. 20250-2299; telephone: (202) 205-0453; fax: (202) 690-3002; or e-mail: formulagrantsquestions@csrees.usda.gov.

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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 provide funding for agricultural extension programs at 1862 Land-grant universities.

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 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.

In FY 2007, CSREES conducted a Grants.gov pilot for the solicitation of one of the CSREES Formula Programs, the McIntire-Stennis Cooperative Forestry Program. Under this pilot the institutions were required to submit a SF-424M Application (Cover Page Form), CSREES Supplemental Form, and Key Contacts Form through Grants.gov. Please note that this application package replaced the forms/information solicited each year by the CSREES Office of Extramural Programs and did not duplicate the information being collected under the Plan of Work System (POW). CSREES is implementing this process for all CSREES Formula Programs in FY 2008 due to the mandated reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA). Under this law, the U.S. Office of Management and Budget (OMB) was required to develop and maintain a public searchable data base for all Federal financial assistance awards, and Federal agencies are required to report specific data elements which will be collected via these applications (e.g., Dun and Bradstreet Data Universal Numbering (D-U-N-S®) numbers, legal names of institutions, legal addresses, congressional districts, etc.). OMB makes this information available at <http://www.usaspending.gov>. the law also requires by January 1, 2009, subaward data be made available through the same public website. Due to these subaward reporting requirements, CSREES will need to require annual budget data for all CSREES Formula Programs via Grants.gov.

Please note that the submission of this application package does not change the following:

-Delegated authorities of the Extension Director;

- How funds are managed at your institution;
- Indirect costs and tuition remission are unallowable costs; and
- Matching waiver authority of Smith-Lever section 3(b) and 3(c) funds for 1862 Land-grant Institutions in the Insular Areas.

Guidelines for the administration of this program are published as Chapter III, Financial Operations, of the Administrative Handbook for Cooperative Extension Work, which may be accessed at <http://www.csrees.usda.gov/business/awards/formula/manuals/coopextension.pdf>. Please note that any instructions in this FGO supersede policies and procedures identified in this manual. CSREES will be revising this manual and will promulgating administrative provisions for this program through rulemaking which includes a public comment period in 2008.

The Consolidated Appropriations Act, 2008 (Public Law 110-161) provides \$249,685,645 for this program under the Smith-Lever Act.

B. Purpose and Priorities

The purpose of this funding is to conduct agricultural extension work.

PART II—AWARD INFORMATION

A. Available Funding

FY 2008 Federal funding will be distributed according to a legislatively prescribed formula as stated above. See Appendix A for the specific allocation.

Funds appropriated under sections 3(b) and 3(c) of the Smith-Lever Act are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to four years after the end of the year for which they were appropriated.

B. Types of Submission

In FY 2008, pre-award form submissions must be submitted to the Cooperative Extension Programs at 1862 Land-grant Institutions program as a “new” application on the www.grants.gov website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-grant Institutions in order to receive Federal funding. therefore, each 1862 Land-grant Institution must submit both a 5-Year Plan of Work Update for FY 2009-2013 (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1, 2008.

C. Project Types

Applicants should request funding at the amounts listed in Appendix A to this announcement. Cooperative extension programs at 1862 Land-grant Institutions are identified in approved 5-Year Plans of Work. these activities should consist of the development of practical applications of research knowledge and giving of instruction 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, and subjects relating thereto to persons not attending or resident in 1862 Land-grant Institutions in the several communities, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

PART III—ELIGIBILITY INFORMATION

A. Eligible Applicants

Applications may be submitted by the following 1862 Land-grant Institutions: Auburn University, University of Alaska-Fairbanks, American Samoa Community College, University of Arizona, University of Arkansas, University of California, Colorado State University, University of Connecticut, University of Delaware, University of Florida, University of Georgia, University of Guam, University of Hawaii, University of Idaho, University of Illinois, Purdue University, Iowa State University, Kansas State University, University of Kentucky, Louisiana State University, University of Maine, University of Maryland-College Park, University of Massachusetts, Michigan State University, University of Micronesia, University of Minnesota, Mississippi State University, University of Missouri, Montana State University, University of Nebraska, University of Nevada-Reno, University of New Hampshire, Rutgers University, New Mexico State University, Cornell University, North Carolina State University, North Dakota State University, Northern Marianas College, Ohio State University, Oklahoma State University, Oregon State University, Pennsylvania State University, University of Puerto Rico, University of Rhode Island, Clemson University, South Dakota State University, University of Tennessee, Texas A & M University, Utah State University, University of Vermont, Virginia Polytechnic Institute & State University, University of the Virgin Islands, Washington State University, West Virginia University, University of Wisconsin, and University of Wyoming.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

B. Cost Sharing or Matching

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.”

PART IV—SUBMISSION INFORMATION

A. Address to Request Formula Grants Opportunity Package

Only electronic applications may be submitted via Grants.gov to CSREES in response to this FGO.

Prior to preparing an application, it is suggested that the State Extension Director, or his or her designee, first contact an Authorized Representative (AR) to determine if the organization is prepared to submit electronic applications through Grant.gov. If the organization is not prepared, the AR should see http://www.grants.gov/applicants/get_registered.jsp for steps for preparing to submit applications through Grants.gov.

The State Extension Director, or his or her designee, also must contact the institution’s AR in order to be granted permission for the submission of applications through Grants.gov. Once that permission is granted, the State Extension Director, or his or her designee, can obtain a login and password.

The steps to access application materials are as follows:

1. Download and install Adobe Reader, a small, free program that provides access to the grant application. See http://www.grants.gov/help/download_software.jsp.
2. The application package must be obtained via Grants.gov, go to <http://www.grants.gov>, click on “Apply for Grants” in the left-hand column, click on “Step 1: Download a Grant Application Package and Instructions,” enter the funding opportunity number “USDA-CSREES-SLBCD-001589” in the appropriate box and click “Download Package.” From the search results, click “Download” to access the application package.

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

Grants.gov customer support
Toll Free: 1-800-518-4726
Business Hours: M-F 7:00 am – 9:00 pm Eastern Standard Time
Email: support@grants.gov

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

B. Content and Form of Formula Grants Opportunity Package Submission

General

Each grant application must contain an “Application for Federal Assistance,” Form SF-424 Mandatory; “Supplemental Information Form,” CSREES Supplemental Information Form; “Key Contacts Form,” SF-424 Key Contacts; “Budget Information for Non-Construction Programs”, Form SF-424A; and “Budget Narrative”(as a PDF file). These forms should be completed in accordance with the instructions accompanying the form on the grants.gov website. The following are the government-wide instructions followed by *agency specific guidelines*, if any, for each data element for each form:

Grant Application Package

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

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

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

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

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

1. Application for Federal Assistance (Standard Form (SF)-424 M (Mandatory))

- 1a. **Type of Submission:** Select one Type of Submission with agency instructions. *Select “Application.”*
- 1b. **Frequency:** Select applicable frequency for the Type of Submission in 1.a. *Select “Annual.”*
- 1c. **Consolidated Application/Plan/Funding Request?** Indicate if the submission is a consolidated application/plan/funding request. *Select “No.”*
- 1d. **Version:** Select the applicable version for the Type of Submission in 1.a:

*Initial: Select “Initial” prior to the start of the fiscal year. Use it to submit your institution’s application package, including its estimated Federal and matching funds based upon the latest information available from CSREES. **This option will not be used in FY 2008.***

Resubmission: Select “Resubmission” when your institution has filed an accepted “Initial” or “Update” package and now desires to revise any of the information on those applications, such as its key contact personnel, matching funds available, or its budget or budget narrative. Any matching waiver requests would be attached to this package, as well.

Revision: Select “Revision” if your institution discovers an error or omission in the “Initial,” “Update,” or “Resubmission” application, or if you are requested to do so by CSREES as the result of its review of the application.

Update: Select “Update” when the fiscal year’s final allocation is published. Use this submission to revise your institution’s “initial” application to reflect its actual Federal funds, matching funds, budget, and budget narrative, as well any other changes to the application data (e.g., D-U-N-S® number, address, Key Contact information). Any matching waiver requests would be attached to this package, as well.

For your first submission via Grants.gov in FY 2008, please indicate “update.” there will be no “initial” version for FY 2008. This will be the first, and more likely, the only package your institution submits for FY 2008.

2. **Date Received:** Federal use only.
3. **Applicant Identifier:** Applicant use only. *Use or leave blank.*
- 4a. **Federal Entity Identifier:** Enter Federal entity identifier, if any, as specified in agency instructions. *Leave blank.*
- 4b. **Federal Award Identifier:** Enter Federal award identifier assigned by agency (if applicable). Enter “USDA-CSREES-SLBCD-001589”.

5. **Date Received by State:** State use only. Use or leave blank.
6. **State Application Identifier:** State use only. *Use or leave blank.* This field is for use when an institution has its own system for tracking applications. This field allows the applicant to enter its application identifier on the application.
- 7a. **Legal Name:** Enter the following: Legal name of applicant. *Enter the name of the institution.*
- 7b. **Employer/Taxpayer Identification Number (EIN/TIN):** Enter: Employer Identification Number (EIN) or Taxpayer Identification Number (TIN) as assigned by the Internal Revenue Service.
- 7c. **Organizational DUNS:** Enter: Organization's D-U-N-S® number (received from D&B) or the D-U-N-S +4 number® (if available).
- 7d. **Address:** Enter: Complete address of applicant. *Enter the institution's mailing address.*
- 7e. **Organizational Unit:** Enter: Name of primary organizational unit (and department/division, if applicable), which will undertake the assistance activity. *Enter the office where the State Extension Director is located.*
- 7f. **Name and contact information of person to be contacted on matters involving this application:** For the person to contact on matters related to this submission: name, organizational affiliation (if affiliated with an organization other than the applicant organization, e-mail address, phone number, and fax number. *Enter the contact information for the person performing this electronic submission.*
- 8a. **Type of Applicant:** Select the appropriate letter and enter in the space provided. Letters O, P, Q, R, S, T, U, V, and W are not applicable.
- A. State Government
 - B. County Government
 - C. City or Township Government
 - D. Special District Government
 - E. Regional Organization
 - F. U.S. Territory
 - G. Independent School District
 - H. Public/State Controlled Institution of Higher Education
 - I. Indian/Native American Tribal Government (Federally Recognized)
 - J. Indian/Native American Tribal Government (Other than Federally Recognized)
 - K. Indian/Native American Tribally Designated Organization
 - L. Public/Indian Housing Authority
 - M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)

- N Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)
- X Other (specify in accordance with agency instructions)

Enter "H".

- 9. **Name of Federal agency:** Enter name of Federal agency from which assistance is being requested. *No entry required. This field is pre-populated from the opportunity package.*
- 10. **Catalog of Federal Domestic Assistance Number:** Enter the Catalog of Federal Domestic Assistance (CFDA) number and title of the program under which assistance is requested. Use the continuation sheet to enter multiple CFDA numbers and titles. *No entry required. This field is pre-populated from the opportunity package.*
- 11. **Areas Affected by Funding (Cities, Counties, States, etc. Use continuation sheet on page 5 if necessary):** List areas or entities affected using categories specified in agency instructions. Use the continuation sheet to enter multiple entities beyond the space provided. *Enter cities, counties, states, etc. anticipated to be affected by the FY 2008 allocation you will receive.*
- 12a. **Congressional Districts of (Use continuation sheet on page 5 if necessary), Applicant:** Applicant-Enter the applicant's congressional district. Enter the congressional district. *Enter the Congressional district where the main campus is located.*
- 12b. **Congressional Districts of (Use continuation sheet on page 5 if necessary), Program/Project:** Program/Project-Enter the congressional district(s) affected by the program or activity. If all congressional districts are included for a State, use "all", e.g., all congressional districts in Maryland would show as MD-all). Use the continuation sheet to enter multiple congressional districts that represent less than all congressional districts in a State or congressional districts in multiple States. *(Note: If this application is being completed by someone other than the State Extension Director, or his or her designee, the State Extension Director, or his or her designee, may need to be consulted on this question.)*
- 13a. **Funding Period, Start Date:** Enter the start date of the funding period for this submission. *Enter "10/01/2007".*
- 13b. **Funding Period, End Date:** Enter the end date of the funding period for this submission. *Enter "09/30/2008"*
- 14a. **Estimated Funding, Federal:** Federal-Enter the amount requested from the Federal agency. If the agency has specified an amount, enter that amount. *Enter your institution's FY 2008 allocation as it is listed in Appendix A to this announcement.*

- 14b. **Estimated Funding, Match:** Match-Enter the amount of funds from all other sources.
Enter the amount your institution will match.
15. **Is Submission Subject to Review By State Under Executive Order 12732 Process?**
Select “c. Program is not covered by E.O. 12372.”
16. **Is the Applicant Delinquent On Any Federal Debt?** Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans, and taxes. This question applies to the applicant (institution) organization.
17. **By signing this application, I certify (1) to the statements contained in this list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms (as identified under Part VI, B) if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) To be signed by the State Extension Director, or his or her designee, of the applicant organization. Enter the name, title, phone number, e-mail address, and fax number of the State Extension Director, or his or her designee. the *required assurances designated here includes the institutions compliance with all Federal laws and regulations associated with receipt of Federal Domestic Assistance for this program, including the matching certification and certification regarding lobbying activities. By hitting the submit button of the application, the State Extension Director, or his or her designee, certifies to the above.***

2. CSREES Supplemental Information Form (Required)

1. **Funding Opportunity Name:** *No entry required. This is pre-populated from the opportunity package.*
Funding Opportunity Number: *No entry required. This is pre-populated the opportunity package.*
2. **Program Code Name:** *Enter “Smith-Lever 3(b) and 3(c) Formula.”*
Program Code: *Enter “SLBC.”*
3. **Type of Applicant:** *No entry required. This will be pre-populated from your entry on the application cover sheet.*
4. **Additional Applicant Types:** *Select “1862 Land-grant Institution” from the drop down menu in this block.*
5. **Supplemental Applicant Types:** *Please check all that apply.*
6. **HHS Account Information:** *Click on the radio button next to “Yes”. Enter your HHS PIN number in the appropriate box. IMPORTANT: IN THIS CONTEXT YOUR PIN NUMBER*

IS YOUR HHS ACCOUNT NUMBER. DO NOT ENTER the PASSWORD YOU USE TO ACCESS the HHS PAYMENT MANAGEMENT SYSTEM.

7. **Key Words:** Enter “Not applicable.”

8. **Conflict of Interest List:** Leave blank.

3. Key Contacts Form (Required)

Applicant Organization Name: Enter the complete legal name of the institution.

Contact 1 Project Role: Enter the contact information for the State Extension Director.

Contact 2 Project Role: Enter the contact information for the State Extension Director’s designee.

Contact 3 Project Role: Enter the contact information for the Business Office Manager/Administrator for this program.

Contact 4 Project Role: Enter the contact information for the person responsible for drawdowns.

4. Budget Information for Non-Construction Programs (Standard Form (SF) 424-A) (Required)

1(a) **Grant Program Function or Activity:** Enter “Smith-Lever 3(b) and 3(c) Formula.”

1(b) **Catalog of Federal Domestic Assistance:** Enter 10.500.

1(c) **Estimated Unobligated Funds-Federal:** Enter your institution’s FY 2008 allocation as it is listed in Appendix A to this announcement.

1(d) **Estimated Unobligated Funds-Non-Federal:** Enter your institution’s FY 2008 allocation or the dollar amount your institution will be able to match.

1(e) **New or Revised Budget-Federal:** Enter the amount of your institution’s allocation in Appendix A. All approved and pending matching waiver requests should be considered. Please note matching waivers may only be granted for 1862 Land-grant Institutions in the Insular Areas. If your institution will be unable to meet its unwaiverable FY 2008 matching requirement, enter your institution’s expected allocation based upon a reallocation. **This block is completed ONLY if the institution files a “resubmitted” SF-424M package because it can not meet its matching requirement. If this block is completed, please leave block 1(c) blank.**

1(f) **New or Revised Budget-Non-Federal:** Enter your match amount. **This block is completed ONLY if the institution files a “resubmitted” SF-424M package because it can not meet its matching requirement. If this block is completed, please leave block 1(d) blank.**

NOTE: Questions regarding the completion of items 1(e) through 1(g) may be directed to the Office of Extramural Programs contact identified in Part VII.

2(a) through 4(g): *Leave these fields blank. All program information should be reported on Line 1.*

6(a) (1) **Personnel:** *Enter the total compensation (salaries, wages, overtime, severance pay etc.), excluding fringe benefits, expected to be paid to employees working on sections 3(b) and 3(c) of the Smith-Lever Act Programs or activities.*

6(b)(1) **Fringe Benefits:** *Enter the total fringe benefits, such as vacation time, sick leave, sabbatical leave and military leave; contributions to state retirement or other pension plans; and employer contributions or expenses for social security, employee insurance, and workmen's compensation insurance, expected to be paid to employees working on sections 3(b) and 3(c) of the Smith-Lever Act Programs or activities.*

6(c)(1) **Travel:** *Enter the total travel-related costs expected to be incurred in connection with work on sections 3(b) and 3(c) of the Smith-Lever Act Programs or activities.*

6(d)(1) **Equipment:** *Enter the total amount expected to be spent on tangible nonexpendable personal property including exempt property charged directly to the sections 3(b) and 3(c) of the Smith-Lever Act Program award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. However, consistent with recipient policy, lower limits may be established.*

6(e)(1) **Supplies:** *Enter the total amount expected to be spent on all personal property excluding equipment, intangible property, and debt instruments (as defined in 7 CFR, Part 3019), and inventions of a contractor conceived or first actually reduced to practice in the performance of work under a funding agreement ("subject inventions"), as defined in 37 CFR, Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts, and Cooperative Agreements", which are used on sections 3(b) and 3(c) of the Smith-Lever Act Programs.*

6(f)(1) **Contractual:** *Enter the total amount expected to be spent on costs of professional and consultant services rendered by persons who are members of a particular profession or possess a special skill, and who are not officers or employees of the institution, for work performed on sections 3(b) and 3(c) of the Smith-Lever Act Programs.*

6(g)(1) **Construction:** *Enter "0."*

6(h)(1) **Other:** *Enter the total amount expected to be spent on all other costs incurred in performing sections 3(b) and 3(c) of the Smith-Lever Act Programs.*

6(j)(1) **Indirect Charges:** *Grantees may not charge indirect costs to projects financed by formula grants. Therefore, enter "0."*

7(1) **Program Income:** *Enter the total amount of program income expected to be realized as the result of the sections 3(b) and 3(c) of the Smith-Lever Act Programs.*

8(a) **Grant Program:** *Enter “Cooperative Extension Programs at 1862 Land-grant Institutions.”*

8(b) **Applicant:** *Enter the total matching funds expected to be provided by the institution. If the institution receives all of its funding for matching funds from third parties (including the State), enter “0.”*

8(c) **State:** *Enter the total matching funds expected to be provided by the State.*

8(d) **Other Sources:** *Enter the total matching funds expected to be provided by sources other than the institution or the State. These include county appropriations.*

9(a) through 11(e): *Leave blank.*

13 through 22: *Leave blank.*

23 **Remarks:** *Enter any remarks regarding entries on lines 1(c) through 12(e).*

5. Budget Narrative Attachment Form (Required)

Prepare a 1-2 page maximum budget narrative in PDF format. Address each amount entered on the Budget Information for Non-Construction Programs (Standard Form (SF) 424-A) as follows:

Personnel and Fringe Benefits - Provide a brief narrative description of the number of staff and the breakdown of the number of full-time equivalent (FTE) and of salaries and benefits. This should include professional, paraprofessional, technical and clerical/secretarial staff. Do not include names or other Personally Identifiable Information (PII).

Travel - Provide a brief narrative description of funds used for local and out of state travel.

Equipment - Provide a brief narrative description of equipment budgeted for purchase and describe how it is expected to meet the program’s goals.

Other Expenses – Provide a brief narrative description of other expenses. Include items listed under “Supplies,” “Contractual,” and “Other.”

To attach the narrative to the form, click on “Add a Mandatory Budget Narrative” and follow the instructions.

Only an initial budget will be requested as all budget changes are delegated to the ED.

6. Matching funds Waiver Request (Optional)

This form may only be applicable to Insular 1862 Land-grant Institutions.

Saving the Application

The application package can only be saved from the Grant Application Package screen. It is recommended that after the applicant completes each form/document that they click on the “Close Form” button to close the form and then save the application package by clicking on the “Save” button at the top of the Grant Application Package Screen. It is important to note that the application package will be saved to the last active directory on the applicant’s computer. Therefore, the applicant should save the application package to their hard drive where it can be easily accessed. The applicant may save their application package at any time and should save the application package with the same file name each time. An error message will occur each time that the applicant saves the form before completing all of the mandatory fields on the mandatory forms or the optional forms are moved to the Optional Completed Documents for Submission column on the application package. the applicant may ignore this warning. This warning will not appear when all of the mandatory fields have been completed on all of the forms/documents in the application package.

Check Package for Errors

To initiate the Grants.gov edit check process, simply click on the “Check Package for Errors” button at the top of the screen. This process will identify all mandatory fields that have not been completed by the applicant. These errors will be displayed one at a time.

No checks against CSREES business rules will take place at this time.

Submitting the Application

The AR must open the browser, open the application and then press the Submit button. To submit the application:

1. Close all open browser(s) and running applications.
2. Open the internet browser.
3. Navigate to the physical location where the application file is located. Select the application to open.
4. The internet browser will open the application. This may take a few moments. Please be patient.
5. Once the application is completely open, click the **Submit** button. (The Submit button will not become active until all mandatory documents have been properly completed and the application has been saved.)
6. Click **Sign and Submit**.
7. Next, enter your username and password.
8. Lastly, click **Login**.

Only the AR has the authority and user rights to **Sign and Submit** an application to Grants.gov. Additional submission tips may be found at the Grants.gov website.

Grants.gov Submission Tips: http://www.grants.gov/help/submit_application_faqs.jsp

C. Certifications

Important Note: By signing Form SF-424-M, the applicant is providing the certifications required by 7 CFR Part 3017, regarding Debarment and Suspension and Drug-Free Workplace, and 7 CFR Part 3018, regarding Lobbying, and compliance with the provisions of Chapter III, Financial Operations, of the CSREES Administrative Handbook for Cooperative Extension Work, including 7 CFR 3015, Uniform Federal Assistance Regulations; 7 CFR 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR 3016, Uniform Administration Requirements for Grants and Cooperative Agreements to States and Local Governments; and OMB Circulars A-21, Cost Principles for Educational Institutions (now codified at 2 CFR Part 220), and A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations (now codified at 2 CFR Part 215). If the project will involve a subcontractor or consultant, the subcontractor and/or consultant should submit a Form AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions, to the grantee organization for retention in their records. This form should not be submitted to USDA.

D. Submission Dates and Times

An “Application for Federal Assistance,” Form SF-424 Mandatory; “Supplemental Information Form,” CSREES Supplemental Information Form; “Key Contacts Form,” SF-424 Key Contacts; “Budget Information for Non-Construction Programs”, Form SF-424A, “Budget Narrative”; and if applicable (as described in Part IV B6), “Attachments Form” with a matching waiver request (as a PDF file), should be submitted online at the www.grants.gov website by COB on June 18, 2008 (5:00 p.m. Eastern Time).

The receipt of all applications will be acknowledged by e-mail. Therefore, applicants are strongly encouraged to provide accurate e-mail addresses on the Key Contacts Form on the www.grants.gov website.

If an applicant has not received an acknowledgment within 60 days of the submission, the applicant must contact the Agency contact (see Part VII) immediately and ask for the application number assigned to the application. Failure to do so may result in the application not being processed and funding being held. Once the application has been assigned an application number, this number should be cited on all future correspondence.

E. Funding Restrictions

(1) Program and Extension Activities

Smith-Lever Act sections 3(b) and 3(c) Federal funding must be used on extension programs and activities identified in the institution’s approved 5-Year Plan of Work.

(2) Matching

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 Mariana 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.”

CSREES may consider and approve matching waivers submitted by 1862 Land-grant Institutions.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Sections 3(b) and 3(c) of the Smith-Lever Act formula grant expenditures.

F. Other Submission Requirements

Plan of Work reporting requirements should be submitted to the Office of Planning and Accountability through the website established for this purpose (<http://pow.csrees.usda.gov>). Required submissions include the 5-Year Plan of Work Update for FY 2009-2013 and the Annual Report of Accomplishments and Results. These reports were due April 1, 2008.

Form CSREES-REPT (Revised) Supplement to Annual Report of Accomplishments and Results, Multistate Extension Activities and Integrated Activities, must be submitted to the OEP Oversight Section for fiscal year 2007. These reports were due April 1, 2008.

PART V—SUBMISSION REVIEW REQUIREMENTS

The Office of Planning and Accountability and the OEP Oversight Section will be reviewing submitted documents to determine if all program, financial, and administrative requirements have been met.

PART VI—AWARD ADMINISTRATION

A. General

The Office of Planning and Accountability will notify the OEP Oversight Section and the institution regarding each institution's compliance with the Plan of Work reporting requirements (i.e., 5-Year Plan of Work Update and an Annual Report of Accomplishments and Results). Once all program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Oversight Section will notify the institutions when all requirements have been met or approved.

B. Administrative and National Policy Requirements

Several Federal statutes and regulations apply to grant applications considered for review and to project grants awarded under this program. These include, but are not limited to:

7 CFR Part 1, subpart A — USDA implementation of the Freedom of Information Act.

7 CFR Part 3 — USDA implementation of OMB Circular No. A-129 regarding debt collection.

7 CFR Part 15, subpart A — USDA implementation of Title VI of the Civil Rights Act of 1964, as amended.

7 CFR Part 331 and 9 CFR Part 121 — USDA implementation of the Agricultural Bioterrorism Protection Act of 2002.

7 CFR Part 3015 — USDA Uniform Federal Assistance Regulations, implementing OMB directives (i.e., OMB Circular Nos. A-21 and A-122, now codified at 2 CFR Parts 220 and 230) and incorporating provisions of 31 U.S.C. 6301-6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Pub. L. No. 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance.

7 CFR Part 3017 — USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug Free Workplace (Grants).

7 CFR Part 3018 — USDA implementation of Restrictions on Lobbying.

7 CFR Part 3019 — USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

7 CFR Part 3052 — USDA implementation of OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations.

7 CFR Part 3407 — CSREES procedures to implement the National Environmental Policy Act of 1969, as amended.

7 CFR Part 3419—Matching funds requirement for agricultural research and extension formula funds at 1890 Land-grant Institutions, including Tuskegee University and West Virginia State University, and at 1862 Land-grant Institutions in insular areas

29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute) —prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.

35 U.S.C. 200 et seq. —Bayh Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

C. Expected Program Outputs and Reporting Requirements

The Plan of Work Update for FY 2009-2013 and Annual Report of Accomplishments and Results were due by April 1, 2008 and should have been online at the web address: <http://pow.csrees.usda.gov>.

Financial reporting via the SF-269, Financial Status Report, for FY 2008 is due to the Oversight Section of the Office of Extramural Programs on April 1, 2009. the SF-272, Federal Cash Transactions Report, for each calendar quarter is due online at the DHHS website (www.dpm.psc.gov) on the 15th day of November, February, May, and August for the preceding calendar quarter (see the DHHS-PMS website for specific dates. DHHS may restrict payment requests from the grantee's account if the SF-272 report is not submitted on time.

PART VII—AGENCY CONTACT

For questions regarding the Smith-Lever Act sections 3(b) and 3(c) Program, please contact: Dr. Michael Fitzner, Director, Plant and Animal Systems, Stop 2220, 1400 Independence Avenue, S.W., Washington, D.C. 20250-2220; Telephone: (202) 401-4939; Fax: (202) 401-4888; E-mail: mfitzner@csrees.usda.gov.

For questions relating to the completion of the grants.gov forms and funding release, please contact: Barry Sims, Office of Extramural Programs, Stop 2299, 1400 Independence Avenue, S.W., Washington, D.C. 20250-2299; Telephone: (202) 205-0453 ; Fax: (202) 690-3002 ; E-mail: formulagrantquestions@csrees.usda.gov.

For questions relating to the 5-Year Plan of Work Update for FY 2009-2013 or the Annual Report of Accomplishments and Results, please contact Bart Hewitt, Office of Planning and Accountability, USDA/CSREES, Stop 2214, 1400 Independence Avenue, S.W., Washington, D.C. 20250-2214; Telephone: (202) 720-0747; Fax: (202) 720-7714; E-mail: bhewitt@csrees.usda.gov.

If help is needed with the Grants.gov registration process for the applicant organization, downloading or navigating PDF forms, using Adobe Reader with a Macintosh computer or with the technical aspects of submitting to the Grants.gov system, check the resources available on the Grants.gov Web site first (<http://grants.gov>).

Grants.gov assistance is also available as follows:

Grants.gov customer support
Toll Free: 1-800-518-4726
Business Hours: M-F 7:00 am – 9:00 pm Eastern Standard Time
Email: support@grants.gov

If the Authorized Representative (AR) has not received a confirmation message from Grants.gov within 48 hours of submission of an application, please contact Grants.gov customer support.

When Grants.gov is contacted, a ticket number is issued to track the response. The applicant should maintain the ticket number as documentation of electronic issues associated with the application.

Grants.gov Help Desk Operations Process is described below:

Tier 1: Grants.gov Contact Center Operator

- Handles the initial contact and attempts to resolve the call.
- If not, files a research request (escalation).

Tier 2: Research Analyst

- Escalations go to the research analyst who does further research on the issue.
- Unable to resolve, issue escalated to Grants.gov Program management Office.

Tier 3: Grants.gov PMO

- Research Analyst works with PMO to resolve the issue.
- Typical escalations: Policy questions/System bugs/Training or Meeting Requests.

PART VIII—OTHER INFORMATION

A. CSREES' Grants.gov Implementation Plans

CSREES is continuing to develop its capacity to exchange proposal and grant data electronically with its grantees through [Grants.gov](http://www.grants.gov) and to process, review, and award proposals and grants electronically.

In Fiscal Year (FY) 2007, CSREES conducted a pilot on the submission of the SF-424 Mandatory application package through the Grants.gov website for the McIntire-Stennis Cooperative Forestry Research Program. the pilot was successful as all eligible grantees submitted their applications through Grants.gov.

The Federal Funding Accountability and Transparency Act of 2006 requires all Federal agencies to report monthly to a publicly-accessible website on all Federal assistance awards (including grants). This requirement became effective for all awards made in FY 2007 and thereafter.

As a result, for the FY 2008 (October 1, 2007-September 30, 2008) cycle, CSREES is requiring electronic submission through Grants.gov for all Federal assistance programs (i.e., grants). For more information about CSREES' Grants.gov plans, including important announcements, program implementation details, and detailed requirements, see the CSREES' web site, http://www.csrees.usda.gov/business/other_links/egov/egov.html. the information on these web sites will be updated as appropriate. It is suggested that the sites be visited periodically for important updates.

B. D-U-N-S® Number

A D&B Data Universal Numbering System (D-U-N-S®) number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of over 70 million businesses worldwide. A Federal Register notice of final policy issuance (68 FR 38402) requires a D-U-N-S® number in every application (i.e., hard copy and electronic) for a grant or cooperative agreement (except applications from individuals) submitted on or after October 1, 2003. therefore, potential applicants should verify that they have a D-U-N-S® number or take the steps needed to obtain one. For information about how to obtain a D-U-N-S® number go to <http://www.grants.gov/RequestaDUNS>. Please note that the registration may take up to 14 business days to complete.

C. Required Registration for Grants.gov

The Central Contract Registry (CCR) is a database that serves as the primary Government repository for contractor information required for the conduct of business with the Government. This database will also be used as a central location for maintaining organizational information for organizations seeking and receiving grants from the Government. Such organizations must register in the CCR prior to the submission of applications via grants.gov (a DUNS number is needed for CCR registration). For information about how to register in the CCR visit the "Get

Started” section at <http://www.grants.gov>. Allow a minimum of 5 days to complete the CCR registration.

APPENDIX A

**FY 2008 Distribution of Funds to Eligible Institutions for Extension Activities
Authorized under the Sections 3(b) and 3(c) of the Smith-Lever Act**

<u>State</u>	<u>Institution</u>	<u>Grant Number</u>	<u>FY 2008 Allocation</u>
Alabama	Auburn University	2008-41100-00100	\$6,304,038
Alaska	University of Alaska-Fairbanks	2008-41100-00200	996,077
American Samoa	American Samoa Community College	2008-41100-05500	830,829
Arizona	University of Arizona	2008-41100-00300	1,719,741
Arkansas	University of Arkansas	2008-41100-00400	5,305,275
California	University of California	2008-41100-00500	6,847,618
Colorado	Colorado State University	2008-41100-00600	2,708,374
Connecticut	University of Connecticut	2008-41100-00700	1,965,183
Delaware	University of Delaware	2008-41100-00800	1,157,072
Florida	University of Florida	2008-41100-00900	4,063,365
Georgia	University of Georgia	2008-41100-01000	7,171,586
Guam	University of Guam	2008-41100-05301	883,294
Hawaii	University of Hawaii	2008-41100-01100	1,198,704
Idaho	University of Idaho	2008-41100-01200	2,436,970
Illinois	University of Illinois	2008-41100-01300	8,703,634
Indiana	Purdue University	2008-41100-01400	7,969,965
Iowa	Iowa State University	2008-41100-01500	8,460,476
Kansas	Kansas State University	2008-41100-01600	4,913,164
Kentucky	University of Kentucky	2008-41100-01700	8,276,628
Louisiana	Louisiana State University	2008-41100-01800	4,701,487
Maine	University of Maine	2008-41100-01900	2,033,577
Maryland	University of Maryland at College Park	2008-41100-02000	2,993,549
Massachusetts	University of Massachusetts	2008-41100-02100	2,443,576
Michigan	Michigan State University	2008-41100-02200	8,013,752
Micronesia	College of Micronesia	2008-41100-05600	918,795
Minnesota	University of Minnesota	2008-41100-02300	7,905,975
Mississippi	Mississippi State University	2008-41100-02400	6,381,572
Missouri	University of Missouri	2008-41100-02500	7,830,731
Montana	Montana State University	2008-41100-02600	2,295,884
Nebraska	University of Nebraska	2008-41100-02700	4,479,198
Nevada	University of Nevada-Reno	2008-41100-02800	1,008,439
New Hampshire	University of New Hampshire	2008-41100-02900	1,482,657
New Jersey	Rutgers University	2008-41100-03000	2,414,432
New Mexico	New Mexico State University	2008-41100-03100	1,828,559
New York	Cornell University	2008-41100-03200	7,447,365
North Carolina	North Carolina State University	2008-41100-03300	10,628,693
North Dakota	North Dakota State University	2008-41100-03400	3,042,366
Northern Marianas	Northern Marianas College	2008-41100-05700	812,361
Ohio	Ohio State University	2008-41100-03500	9,718,159
Oklahoma	Oklahoma State University	2008-41100-03600	4,944,045
Oregon	Oregon State University	2008-41100-03700	3,260,454
Pennsylvania	Pennsylvania State University	2008-41100-03800	9,335,822
Puerto Rico	University of Puerto Rico	2008-41100-03900	6,138,690
Rhode Island	University of Rhode Island	2008-41100-04000	978,525
South Carolina	Clemson University	2008-41100-04100	5,203,635
South Dakota	South Dakota State University	2008-41100-04200	3,209,322
Tennessee	University of Tennessee	2008-41100-04300	7,827,392
Texas	Texas A&M University	2008-41100-04400	11,214,370
Utah	Utah State University	2008-41100-04500	1,491,095
Vermont	University of Vermont	2008-41100-04600	1,607,419
Virginia	Virginia Polytech Institute & State Univ.	2008-41100-04700	6,518,746
Virgin Islands	University of the Virgin Islands	2008-41100-05200	856,904
Washington	Washington State University	2008-41100-04800	3,768,915
West Virginia	West Virginia University	2008-41100-04900	3,755,739
Wisconsin	University of Wisconsin	2008-41100-05000	7,916,119
Wyoming	University of Wyoming	2008-41100-05100	1,365,333
Total Net to States			\$249,685,645