

Guidance for the Annual Report of Accomplishments and Results

SUMMARY: The Cooperative State Research, Education, and Extension Service (CSREES) is providing additional guidance for the submission of the Annual Report of Accomplishments and Results which is required by the Guidelines for State Plans of Work for Agricultural Research and Extension Formula Funds. These Guidelines were published in the *Federal Register* on July 1, 1999 [64 FR 35910-35919]. Originally the due date for this annual report was December 31 for the previous Federal fiscal year ending September 30. However, on December 28, 2000, CSREES published a *Federal Register* notice changing the due date annually from December 31 to March 1 to provide more time for preparing this annual report each year.

FOR FURTHER INFORMATION: Dr. George Cooper; Deputy Administrator, Partnerships; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; Washington, D.C. 20250; at 202-720-5285 or 202-720-5369, 202-720-4924 (fax) or via electronic mail at bhewitt@reeusda.gov.

SUPPLEMENTARY INFORMATION:

Background and Purpose

The Cooperative State Research, Education, and Extension Service (CSREES) is providing additional guidance for the submission of the Annual Report of Accomplishments and Results for the 5-Year Plan of Work. This guidance is in addition to the guidance provided under Section IV, “Annual Report of Accomplishments and Results,” in the Guidelines for State Plans of Work for Agricultural Research and Extension Formula Funds which were published in the *Federal Register* on July 1, 1999 [64 FR 35910-35919]. The Guidelines for State Plans of Work were implemented in order to meet the plan of work reporting requirements enacted in the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA), Public Law No. 105-185. The AREERA amendments added new and consistent plan of work requirements for agricultural research and extension formula funds provided under the Hatch Act of 1887 (7 U.S.C. 361a et seq.), the Smith-Lever Act (7 U.S.C. 341 et seq.), and sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. 3221 and 3222).

As in the case of the development of the Guidelines for State Plans of Work, this additional guidance was developed in consultation with the State partners at the 1862 and 1890 land-grant institutions.

Pursuant to the plan of work requirements enacted in the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA), the Cooperative State Research, Education, and Extension Service hereby provides additional Guidance for the Annual Report of Accomplishments and Results as follows:

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I. General

A. Preface and Authority

Sections 202 and 225 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA), Public Law No. 105-185, enacted amendments requiring all States and 1890 land-grant institutions receiving formula funds authorized under the Hatch Act of 1887, as amended (7 U.S.C. 361a et seq.), the Smith-Lever Act, as amended (7 U.S.C. 341 et seq.), and sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3221 and 3222) to prepare and submit to the Cooperative State Research, Education, and Extension Service (CSREES) a plan of work for the use of those funds.

While the requirement for the Hatch Act and Smith-Lever Act funds applies to the States,

CSREES assumes that in most cases the function will be performed by the 1862 land-grant institution in the States. The only “eligible institutions” to receive formula funding under sections 1444 and 1445 of NARETPA are the 1890 land-grant institutions, including Tuskegee University and West Virginia State College. Although the District of Columbia receives extension funds under the District of Columbia Postsecondary Education Reorganization Act, Public Law No. 93-471, as opposed to the Smith-Lever Act, CSREES determined that the 1862 land-grant institution in the District of Columbia is required to develop and submit a plan of work covering both research and extension activities.

The amendments to the Hatch and Smith-Lever Act Plan of Work requirements made by section 202 of AREERA require the Secretary of Agriculture to develop protocols to evaluate the success of multistate, multi-institutional, and multidisciplinary research and extension activities, in addressing the critical agricultural issues identified in the plans of work. CSREES will use the Annual Reports of Accomplishments and Results to evaluate the success of multistate, multi-institutional, and multidisciplinary activities, and joint research and extension activities, in addressing critical agricultural issues identified in the 5-Year Plan of Work. CSREES will use the following evaluation criteria: (1) Did the planned program address the critical issues of strategic importance, including those identified by the stakeholders? (2) Did the planned program address the needs of under-served and under-represented populations of the State(s)? (3) Did the planned program describe the expected outcomes and impacts? and (4) Did the planned program result in improved program effectiveness and/or efficiency?

The Guidelines for State Plans of Work also take into consideration the requirements of section 102(c) of AREERA for the 1862, 1890, and 1994 land-grant institutions receiving agricultural research, extension, and education formula funds to establish a process for receiving stakeholder input on the uses of such funds. This stakeholder input requirement, as it applies to research and extension at the 1862 and 1890 land-grant institutions, was incorporated in the Guidelines for State Plans of Work. CSREES was required to promulgate implementing regulations for the stakeholder input requirements. On February 8, 2000, CSREES published these regulations (7 CFR 3418) in the *Federal Register* [65 FR 5993-5998].

The Guidelines for State Plans of Work also implemented the requirements for section 103(e) of AREERA. This section requires that the 1862, 1890, and 1994 land-grant institutions establish a merit review process, prior to October 1, 1999, in order to obtain agricultural research, extension, and education funds. For purposes of the Guidelines for State Plans of Work, a merit review process must be established for extension programs funded under sections 3(b)(1) and (c) of the Smith-Lever Act and under section 1444 of NARETPA, and for research programs funded under sections 3(c)(1) and (2) of the Hatch Act (commonly referred to as Hatch Regular Formula Funds) and under section 1445 of NARETPA. Section 104 of AREERA amended the Hatch Act to also stipulate that a scientific peer review process (that also would satisfy the requirements of a merit review process under section 103(e)) be established for research programs funded under section 3(c)(3) of the Hatch Act (commonly referred to as the Hatch Multistate Research Fund). As previously stated, these program review processes must be established prior to October 1, 1999, in order for the institutions to obtain agricultural research and extension formula funds.

Consequently, a description of the merit review process and scientific review process had been

included as a requirement in the 5-Year Plan of Work.

The plan of work guidelines also require reporting on the multistate and integrated research and extension programs. Section 104 of AREERA amended the Hatch Act to redesignate the Hatch regional research funds as the Hatch Multistate Research Fund, specifying that these funds be used for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve the problems that concern more than one State. Section 105 of AREERA amended the Smith-Lever Act to require that each institution receiving extension formula funds under sections 3(b) and (c) of the Smith-Lever Act expend for multistate activities for FY 2000 and thereafter a percentage that is at least equal to the lesser of 25 percent or twice the percentage of funds expended by the institution for multistate activities in FY 1997. Section 204 of AREERA amended both the Hatch Act and the Smith-Lever Act to require that each institution receiving agricultural research and extension formula funds under the Hatch Act and sections 3(b) and (c) of the Smith-Lever Act expend for integrated research and extension activities in FY 2000 and thereafter a percentage that is at least equal to the lesser of 25 percent or twice the percentage of funds expended by the institution for integrated research and extension activities in FY 1997. Sections 105 and 204 also require that the institutions include in the plan of work a description of the manner in which they will meet these multistate extension activities and integrated activities.

These applicable percentages apply to the Federal agricultural research and extension formula funds only. Federal formula funds that are used by the institution for a fiscal year for integrated activities may also be counted to satisfy the multistate activities requirement.

The multistate and integrated research and extension requirements do not apply to the formula funds received by American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands. Since the Smith-Lever Act is not directly applicable, the multistate and integrated extension requirements do not apply to the extension funds received by the District of Columbia.

The amendments made by sections 105 and 204 of AREERA also provide that the Secretary of Agriculture may reduce the minimum percentage required to be expended by the institution for multistate and integrated activities in the case of hardship, infeasibility, or similar circumstance beyond the control of the institution.

Also included in these guidelines are instructions on how to update the 5-Year Plan of Work, if necessary, and how to report on the annual accomplishments and results of planned programs contained in the 5-Year Plan of Work. This report is referred to as the Annual Report of Accomplishments and Results.

As mentioned previously, CSREES implemented supplemental guidance on the implementation of AREERA sections 105 and 204. The Administrative Guidance for Multistate Extension Activities and Integrated Research and Extension Activities, issued on April 28, 2000, provided guidance on the establishment of Target Percentages, submission of a supplemental to the 5-Year Plan of Work, annual reporting requirements, and procedures for requesting, if applicable, annual waivers. CSREES is in the process of implementing additional guidelines on the Hatch Multistate Research Fund. The Guidance for the Annual Report of Accomplishments and Results serves to provide further instruction and clarification on preparing this Annual Report as well as complying with the reporting requirements for

AREERA sections 105 and 204.

The first 5-Year Plan of Work (FY 2000 - FY 2004) was due July 15, 1999, and CSREES reviewed and approved the 5-Year Plans of Work in October 1999. The Target Percentages and the Supplement to the 5-Year Plan of Work for Multistate Extension Activities and the Integrated Research and Extension Activities were due July 1, 2000. The Supplements to the 5-Year Plan of Work were approved and the Target Percentages confirmed in early November 2000.

B. Reporting Option

Institutions should submit their Annual Report of Accomplishments and Results in the same planning option as their 5-Year Plan of Work. For example, if an institution prepared a joint 5-Year Plan of Work for research and extension activities, then their Annual Report also would be submitted jointly. The same also applies to state-wide 5-Year Plans of Work in which an 1862 land-grant institution and an 1890 land-grant institution submitted a joint plan of work. They also would submit a joint Annual Report.

C. Reporting Period

The first Annual Report (FY 2000) should include research and extension activities conducted from October 1, 1999, through September 30, 2000. All subsequent annual reports should include research and extension activities conducted from October 1 through September 30.

D. Submission and Due Date

The FY 2000 Annual Report of Accomplishments and Results is due in **electronic format** March 1, 2001, to the Partnerships Unit of the Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture. It is requested that these Annual reports be submitted only electronically to bhewitt@reeusda.gov in either WordPerfect file format, Microsoft Word file format, or ASCII file format. You also may submit them by PC compatible diskette via U.S. Mail to: Partnerships/POW; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; 1400 Independence Avenue, SW.; Stop 2214; Washington, D.C. 20250-2214. Or via overnight courier to: Partnerships/POW; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; 800 9th Street, SW., Washington, D.C. 20024.

E. Certification

The Annual Report of Accomplishments and Results must be reviewed and approved by the 1862 Extension Director, 1862 Research Director, 1890 Extension Administrator, and/or 1890 Research Director, depending on the reporting option chosen. CSREES will receive Annual Reports from the Director/Administrator, or the individual designated by the Director/Administrator to transmit the Annual Report(s) to CSREES. If the Annual Report is submitted electronically by a designee, the

Director/Administrator must notify CSREES in writing of this authority. When the Annual Report is sent via regular U.S. Mail or by overnight courier service (i.e., computer diskette), the signature of the Director/Administrator must be on the submission document.

F. Definitions

For the purposes of providing this additional Guidance on the Fiscal Year (FY) 2000 Annual Report of Accomplishments and Results, the definitions identified in the July 1, 1999, *Federal Register* notice on Guidelines for State Plans of Work [64 FR 35910-35919] are applicable. These Guidelines are posted on the CSREES AREERA website at: <http://www.reeusda.gov/part/areera/> .

II. Components of the Annual Report

The Annual Report includes six components: Planned Programs, Stakeholder Input Process, Program Review Process, Evaluation of the Success of Multi and Joint Activities, Multistate Extension Activities, and Integrated Research and Extension Activities. Please note that the first four components are required for all 1862 land-grant institutions and 1890 land-grant institutions. The component “Multistate Extension Activities” is only required for the 1862 land-grant institutions reporting on extension activities in the 50 states. The component “Integrated Activities” is only required for 1862 land-grant institutions in the 50 states and the District of Columbia.

Each Annual Report should reflect the program(s) funded by Federal agricultural research and extension formula funds and the required matching funds. This Annual Report must also describe how the 5-Year Plan of Work and reported impacts relate to and are part of the five broad national goals. These goals, as well as additional background information, may be found at the CSREES AREERA website at: <http://www.reeusda.gov/part/areera/> . They are also described in the following section.

Please note that in addition to this Annual Report of Accomplishments and Results, it would also be helpful if States would forward to CSREES Partnerships any copies or publications and URL addresses throughout the year which contain State impacts and accomplishments (i.e., Quarterly, Semi-annual, and Annual Reports, etc.)

A. Planned Programs

1. National Goals

The 5-Year Plan of Work is based on the five national goals established in the Cooperative State Research, Education, and Extension Service (CSREES) Agency Strategic Plans and linked to the five national goals within the Research, Education, and Economics (REE) Mission Area of the U.S. Department of Agriculture. These national goals were adopted by the National Agricultural Research, Extension, Education, and Economics Advisory Board. These goals were developed from stakeholder

input in conjunction with existing Federal-State Partnerships. The body of the 5-Year Plan of Work narrative focuses on these goals and outcomes. Consequently, the Annual Report of Accomplishments and Results also focuses on these goals and outcomes. The national goals as identified in the Guidelines for State Plans of Work are:

Goal 1: An agricultural system that is highly competitive in the global economy. Through research and education, empower the agricultural system with knowledge that will improve the competitiveness in domestic production, processing, and marketing.

Goal 2: A safe and secure food and fiber system. To ensure an adequate food and fiber supply and food safety through improved science-based detection, surveillance, prevention, and education.

Goal 3: A healthy, well-nourished population. Through research and education on nutrition and development of more nutritious foods, enable people to make health promoting choices.

Goal 4: Greater harmony between agriculture and the environment. Enhance the quality of the environment through better understanding of and building on agriculture's and forestry's complex links with soil, water, air, and biotic resources.

Goal 5: Enhanced economic opportunity and quality of life for Americans. Empower people and communities, through research-based information and education, to address economic and social challenges facing our youth, families, and communities.

After reviewing the Planned Programs described in the 5-Year Plans of Work for FY 2000 - FY 2004, CSREES compiled a list of Key Themes for these Planned Programs identified under each national goal. See Appendix A for this list. Under the Planned Programs component of the Annual Report, institutions are requested to report their accomplishments and results for their Planned Programs by the Key Themes (applicable to their 5-Year Plan of Work) under the five national goals. If an institution is reporting on a Planned Program that cannot be categorized under one of the Key Themes, the institution should list "Other" with an appropriate key word or theme.

CSREES is requesting that institutions report on any accomplishments and results occurring from any crosscutting management initiative or goal. Key Themes for Management Goals are included in Appendix A. In addition, CSREES is requesting that institutions report on any accomplishments and results in focus areas identified in the FY 2001 CSREES Budget. These include the biobased products program, advances in biotechnology to develop new agricultural products, small farms and their contributions to local economies, organic agriculture production and processing methods, improved pest control and Food Quality and Protection Act implementation, scientific basis for optimal health, modifying food intake behavior, the invasive species program, water quality, and sustainability of agriculture and forestry. Key Themes for Management Goals and focus areas identified in the FY 2001 CSREES Budget should be identified and described under the appropriate national goal.

If a State participates in the Science and Education Impact writing process, these impact statements may be included where appropriate in the Annual Report of Accomplishment and Results. They should be reviewed and edited for report consistency.

2. Format

The Annual Report should include the relevant information related to each component of the program in the matrix of cells of the 5-Year Plan of Work. First, institutions should submit an annual set of impact statements linked to sources of Federal funding. Strict attention to just the preceding year is not expected in all situations, particularly if the reported impacts are milestones in a multi-year effort. Some impact statements may need to cover ten or more years of activity. Focus should be given to the benefits received by targeted end-users. Second, institutions should submit annual results statements based on the indicators of the outputs and outcomes for the activities undertaken the preceding year. These should be identified as short-term, intermediate, or long-term critical issues in the 5-Year Plan of Work. Attention should be given to highlighting multistate, multi-institutional, and multidisciplinary and integrated activities, as appropriate to the 5-Year Plan of Work. The fiscal resources that were allocated for various planned programs should be reported. [Note: The report may not account for the entire Federal funds allocation, as some sources of Federal funds have carryover provisions (i.e., Smith-Lever Act and Section 1444 funds). Since not all planned programs generate impacts at the same time due to differing rates of maturity, not all annual reporting requirements may apply each year to the Planned Programs component of the Annual Report.]

The following is the desired Annual Report Framework under each Goal.

FY 2000 Annual Report of Accomplishments and Results

Goal (e.g., Goal 1)

Overview

An executive summary, approximately one to two pages, should be presented for each goal covering the accomplishments and results in your State for the reporting period based on the approved 5-Year Plan of Work. The Overview should:

- a. Stress extension and/or research results supported with agricultural research and extension formula funds (i.e., outputs).
- b. Highlight successes (i.e., outcomes), and any program or research redirection which has resulted in significant change within a state or among states (i.e., multistate or integrated).
- c. Document benefits to clientele and stakeholders (i.e., impacts).
- d. State's own assessment of accomplishments based on the assessment of the 5-Year Plan of Work performance for the current reporting period.
- e. Total expenditures by source of funding, and full-time equivalents for the Goal. Source of funding may include one or more of the following: Hatch Act funds, Smith-Lever Act funds, funding authorized under sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), and State matching funds.

Key Theme

There may be one or several Key Themes for each goal. See Appendix A for the list of Key Themes reported in the 5-Year Plans of Work for FY 2000 - FY 2004. For each applicable Key Theme, the following information should be included:

- a. Brief description of the activity.
- b. Short impact/accomplishment statement for each applicable Key Theme.
- c. Source of funding. Source of funding may include one or more of the following: Hatch Act funds, Smith-Lever Act funds, funding authorized under sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), and State matching funds.
- d. Scope of Impact. Identify which of the following apply to the activities conducted under the Key Theme:
 - (1) State Specific
 - (2) Multistate Extension
 - List names of States, not individuals. Please use abbreviations.
 - (3) Multistate Research
 - List names of States, not individuals. Please use abbreviations.
 - (4) Integrated Research and Extension
 - (5) Multistate Integrated Research and Extension
 - List names of States, not individuals. Please use abbreviations.

See Appendix B for a sample using this format to report on the first component, “Planned Programs,” of the Annual Report. Please note that the total expenditures by source of funding will not be used for audit purposes.

B. Stakeholder Input Process

Section 102(c) of AREERA requires the 1862 land-grant institutions, 1890 land-grant institutions, and the 1994 land-grant institutions receiving agricultural research, extension, and education formula funds from CSREES to establish a process for stakeholder input on the uses of such funds. In addition, CSREES was required to promulgate regulations for implementing these new requirements. On February 8, 2000, CSREES published these regulations (7 CFR 3418) in the *Federal Register* [65 FR 5993-5998].

The 1862 land-grant institutions and the 1890 land-grant institutions were required to report on their stakeholder input process in their 5-Year Plan of Work and to report annually on their process as part of their Annual Report of Accomplishments and Results. The specific reporting requirements according to 7 CFR 3418.4 are as follows:

- “Each recipient institution shall report to the Department of Agriculture by October 1 of each fiscal year, the following information related to stakeholder input and recommendations:
- (a) Actions taken to seek stakeholder input that encourages their participation;
 - (b) A brief statement of the process used by the recipient institution to identify

individuals and groups who are stakeholders and to collect input from them; and
(c) A statement of how collected input was considered.”

By including this component in their Annual Report of Accomplishments and Results, institutions are satisfying the annual October 1 reporting requirement under 7 CFR 3418.4.

In responding to the above reporting requirement, each institution is requested to consider if the stakeholder input process is useful in refocusing or reaffirming priorities or in identifying emerging issues.

C. Program Review Process

Section 103(e) of AREERA requires that 1862, 1890, and 1994 land-grant institutions establish a merit review process, prior to October 1, 1999, in order to receive agricultural research, extension, and education formula funds. For the purposes of the Guidelines for State Plans of Work, a merit review process must have been established for extension programs funded under sections 3(b)(1) and (c) of the Smith-Lever Act and section 1444 of NARETPA, and for research programs funded under sections 3(c)(1) and (2) of the Hatch Act (commonly referred to as the Hatch Regular Formula Funds), and section 1445 of NARETPA. Section 104 of AREERA amended the Hatch Act of 1887 also to stipulate that a scientific peer review process (that also would satisfy the requirements of a merit review process under section 103(e)) be established for research programs funded under section 3(c)(3) of the Hatch Act (commonly referred to as the Hatch Multistate Research Fund). The Guidelines for State Plans of Work had required a description of the merit review process and, if applicable, the scientific peer review process in the 5-Year Plan of Work.

As the third component of the Annual Report, institutions are requested to identify any significant changes in these review processes since their 5-Year Plan of Work or, if applicable, their last Annual Update to the 5-Year Plan of Work was submitted. If no significant changes, institutions should state in their Annual Report that there have been no significant changes in their program review processes since their 5-Year Plan of Work or, if applicable, their Update to the 5-Year Plan of Work was submitted.

D. Evaluation of the Success of Multi and Joint Activities

Institutions are requested to evaluate the success of multistate, multi-institutional, and multidisciplinary activities, and joint research and extension activities, in addressing critical agricultural issues identified in the 5-Year Plan of Work. This evaluation should be done by responding to the four evaluation criteria identified in the Guidelines for State Plans of Work; (1) Did the planned programs address the critical issues of strategic importance, including those identified by the stakeholders? (2) Did the planned programs address the needs of under-served and under-represented populations of the State(s)? (3) Did the planned programs describe the expected outcomes and impacts? and (4) Did the planned programs result in improved program effectiveness and/or efficiency? This evaluation should be approximately two pages.

E. Multistate Extension Activities

Section 105 of AREERA amended the Smith-Lever Act by adding section 3(h) to require each institution receiving extension formula funds under sections 3(b) and (c) of the Smith-Lever Act to expend for multistate activities in FY 2000 and thereafter a percentage that is at least equal to the lesser of 25 percent or twice the percentage of funds expended by the institution for multistate activities in FY 1997. CSREES implemented procedures for these new requirements by issuing the Administrative Guidance for Multistate Extension Activities and Integrated Research and Extension Activities on April 28, 2000. This requirement only applies to the 1862 land-grant institutions in the 50 states. Institutions were provided a variety of options for implementing these requirements and were requested to provide by July 1, 2000, a supplement to their 5-Year Plan of Work along with a Target Percentage to CSREES. CSREES approved these supplements to the 5-Year Plans of Work and confirmed the Target Percentages with the institutions in early November 2000.

Institutions are required to comply with these Target Percentages each fiscal year unless they are granted a waiver for that fiscal year. According to the Administrative Guidance, institutions are required to submit Form CSREES-REPT (2/00), Supplement to the Annual Report of Accomplishments and Results, as part of the Annual Report of Accomplishments and Results (See Appendix C). This form summarizes the multistate extension planned programs or activities that have been used to satisfy the requirements of AREERA section 105. A brief statement of the progress to date on each planned program or activity must be attached to this form.

If an institution has previously requested a waiver for FY 2000 (i.e., pre-waiver), institutions should indicate so on Form CSREES-REPT (2/00). If an institution is requesting a reduction in the required Target Percentage, the institution must submit Form CSREES-WAIVER (2/00), Request for Waiver from Target Percentages, for a post-waiver with their Annual Report of Accomplishments and Results (See Appendix D). Post-waiver requests will be considered and approved during the review of the Annual Reports.

Since the requirements of AREERA section 105 only apply to the 1862 land-grant institutions in the 50 states, they are the only institutions required to include this reporting component in their Annual Report of Accomplishments and Results.

Please note there is no reporting requirement under this component for Multistate Research Funds (i.e., Hatch Act funds).

F. Integrated Research and Extension Activities

Section 204 of AREERA amended both the Hatch and Smith-Lever Acts to add section 3(i) to the Hatch Act and section 3(j) to the Smith-Lever Act to require that each institution receiving agricultural research and extension formula funds under the Hatch Act and sections 3(b) and (c) of the Smith-Lever Act to expend for integrated research and extension activities in FY 2000 and thereafter a percentage that is equal to the lesser of 25 percent or twice the percentage of funds expended by the institution for integrated research and extension activities in FY 1997. CSREES implemented procedures for these new requirements by issuing the Administrative Guidance for

Multistate Extension Activities and Integrated Research and Extension Activities on April 28, 2000. This requirement only applies to the 1862 land-grant institutions in the 50 states and the District of Columbia. Institutions were provided a variety of options for implementing these requirements and were requested to provide by July 1, 2000, a supplement to their 5-Year Plan of Work along with a Target Percentage to CSREES. CSREES approved these supplements to the 5-Year Plans of Work and confirmed the Target Percentages with the institutions in early November 2000.

Institutions are required to comply with these Target Percentages each fiscal year unless they are granted a waiver for that fiscal year. According to the Administrative Guidance, institutions are required to submit Form CSREES-REPT (2/00), Supplement to the Annual Report of Accomplishments and Results, as part of the Annual Report of Accomplishments and Results. This form summarizes the integrated research and extension planned programs or activities (for either Hatch Act or Smith-Lever Act funds) that have been used to satisfy the requirements of AREERA section 204. A brief statement of the progress to date on each planned program or activity must be attached to this form.

If an institution has previously requested a waiver for FY 2000 (i.e., pre-waiver), institutions should indicate so on Form CSREES-REPT (2/00). If an institution is requesting a reduction in the required Target Percentage, the institution must submit Form CSREES-WAIVER (2/00), Request for Waiver from Target Percentages, for a post-waiver with their Annual Report of Accomplishments and Results. Post-waiver requests will be considered and approved during the review of the Annual Reports.

Since requirements of AREERA section 204 only applies to the 1862 land-grant institutions in the 50 states and the District of Columbia, they are the only institutions required to include this reporting component in their Annual Report of Accomplishments and Results. Please note if an institution is providing a joint Annual Report for research and extension activities, the institution is required to submit two separate Form CSREES-REPT (2/00)'s - one for the Hatch Act funds and one for the Smith-Lever Act funds.

III. Review Process and Criteria

A. Review Process and Criteria

The review of the Annual Report will be a 2-step process. First, CSREES will determine if the following reporting requirements have been met:

- (1) An Executive Summary (one to two pages) for each national goal as described in the above guidance.
- (2) Descriptions of Planned Programs by Key Themes, including impact statements, as described in the above guidance.
- (3) Report on the stakeholder input process.
- (4) Update, if applicable, on the program review processes.
- (5) Evaluation of the success of multistate, multi-institutional, and multidisciplinary activities, and joint research and extension activities (approximately two pages).

(6) Reporting requirements for multistate extension activities, including Form CSREES - REPT (2/00) with brief descriptions.

(7) Reporting requirements for integrated research and extension activities, including Form CSREES - REPT (2/00) with brief descriptions.

All 1862 and 1890 land-grant institutions are required to submit (1) through (5) as part of their Annual Report. The 1862 land-grant institutions (in the 50 States) reporting on extension planned programs or activities must also submit (6) and (7). The 1862 land-grant institutions (in the 50 States and the District of Columbia) reporting on research planned programs or activities must also submit (7).

Second, CSREES will review the Annual Reports to determine if the institutions have addressed the expected outcomes and impacts as described in the 5-Year Plan of Work for the selected Key Themes.

B. Schedule

All Annual Reports will be reviewed by the appropriate CSREES staff. The Annual Report will either be accepted by CSREES, without change, or returned to the institution, with clear and detailed recommendations for its modification. The submitting institution(s) will be notified by CSREES of its determination within 90 days (allowing 60 days for review and 30 days for communications with the institutions) of receipt of the Annual Report. Since the Annual Report is due by March 1, 2001, CSREES anticipates that letters, either accepting the Annual Report or requesting modifications, will be forwarded to the institutions by May 31, 2001.

Appendix A

Five-Year Plan of Work (FY 2000 - FY 2004) Key Themes

Goal 1

Adding Value to New and Old Agricultural Products

Agricultural Competitiveness

Agricultural Profitability

Animal Genomics

Animal Health

Animal Production Efficiency

Apiculture

Aquaculture

Biobased Products

Biofuels

Biotechnology

Bioterrorism

Diversified/Alternative Agriculture

Emerging Infectious Diseases

GIS/GPS

Grazing

Home Lawn and Gardening

Innovative Farming Techniques

Invasive Species

Managing Change in Agriculture

New Uses for Agricultural Products

Niche Market

Organic Agriculture

Ornamental/Green Agriculture

Plant Genomics

Plant Germplasm

Plant Health

Plant Production Efficiency

Precision Agriculture

Rangeland/Pasture Management

Risk Management

Small Farm Viability

Tropical Agriculture

Urban Gardening

Goal 2

Food Accessibility and Affordability
Food Handling
Food Quality
Food Recovery/Gleaning
Food Resource Management
Food Safety
Food Security
Foodborne Illness
Foodborne Pathogen Protection
HACCP

Goal 3

Birth Weight
Health Care
Human Health
Human Nutrition
Infant Mortality
Medicinal Plants
Nutricueticals

Goal 4

Agricultural Waste Management
Air Quality
Biodiversity
Biological Control
Drought Prevention and Mitigation
Endangered Species
Energy Conservation
Forest Crops
Forest Resource Management
Global Change and Climate Change
Hazardous Materials
Integrated Pest Management
Land Use

Natural Resources Management
Nutrient Management
Permaculture Land Management
Pesticide Application
Recycling
Riparian Management
Soil Erosion
Soil Quality
Sustainable Agriculture
Water Quality
Weather and Climate
Wetlands Restoration and Protection
Wildfire Science and Management
Wildlife Management
Yard Waste/Composting

Goal 5

Aging
Agricultural Financial Management
Character/Ethics Education
Child Care/Dependent Care
Children, Youth, and Families at Risk
Communications Skills
Community Development
Conflict Management
Consumer Management
Estate Planning
Family Resource Management
Farm Safety
Fire Safety
Home Safety
Home-based Business Education
Impact of Change on Rural Communities
Jobs/Employment
Leadership Training and Development
Literacy
Parenting
Promoting Business Programs
Promoting Housing Programs
Retirement Planning

Supplemental Income Strategies
Tourism
Workforce Preparation - Youth and Adult
Workforce Safety
Youth Development/4-H
Youth Farm Safety

Management Goals

Agricultural Communications
Enhancing Customer Service/Satisfaction
Information Technologies
Institutional Engagement
Multicultural and Diversity Issues

Focus Areas in FY 2001 CSREES Budget

Advances in Biotechnology to Develop New Agricultural Products
Biobased Products Program
Improved Pest Control and Food Quality and Protection Act Implementation
Invasive Species Program
Modifying Food Intake Behavior
Organic Agriculture, Production, and Processing Methods
Scientific Basis for Optimal Health
Small Farms and Their Contributions to Local Economies
Sustainability of Agriculture and Forestry
Water Quality

Appendix B

Sample

Goal 1

Overview

Developed by state institution based on projections made in the Plan of Work.

Key Theme - Animal Production Efficiency

- a. Extension specialists developed a comprehensive program to assure the quality of cattle produced in the State. The Beef Quality Assurance program consisted of three concurrent sessions on Proper Management, Targeted Breeding and Responsible Culling. Each 20-minute session was conducted in front of its own stand alone display with numerous examples and visual aids. These programs were presented at livestock auction facilities aimed at producers with small to medium-sized herds; at order buyer facilities aimed at their management and beef and dairy cattle processing employees and at a number of other locations. Cooperating Institutions/Organizations: The State's Cattleman's Association National Cattlemen's Beef Association The State Livestock Markets Association The State Veterinary Medical Association
- b. Impact - More than 3600 people attended these meetings which is about 10 percent of the state's beef operations. Overall evaluation of the value of the program by participants was 9.14 on a 10 point scale. Nearly 80 percent of those surveyed after the meeting indicated they had implemented changes or were planning changes in their operations as a result of attending this meeting.
- c. Source of Federal Funds - Smith-Lever 3b&c
- d. Scope of Impact - State Specific

Key Theme - Plant Germplasm

- a. The State Agricultural Experiment Station researchers are developing new cover crop and forage cultivars that are more productive and useful to farmers. This has been done by gathering

plant material and using this to breed new crops. The first objective of the project on forage crops is to identify and evaluate molecular, physiological, and morphological traits that can be used as selection criteria in developing germplasm of forages with enhanced disease resistance, seedling vigor, persistence, tolerance to environmental stress, and yield. The second objective is to study genetic structure and genotype-environment interactions to formulate selection strategies conducive to the development of improved germplasm through conventional and unconventional breeding techniques. Applied research also has been conducted on cultivar development of vetches, sericea lespedeza, crimson clover, caley pea, red clover, white clover, and switchgrass.

- b. Impact - Thus far, five new cultivars have been developed including: AU Grazer, released in 1997, is the first sericea lespedeza cultivar tolerant to grazing. This cultivar has higher survival and more vigor under grazing conditions than other sericea lespedeza cultivars. Also, it has better forage quality as is evidenced by the lower lignin content and more digestible dry matter than previous cultivars. AU Sunrise, released in 1997, is the earliest maturing crimson clover cultivar in the market. It was selected in cooperation with the USDA-Natural Resources Conservation Service. AU EarlyCover, is the only early flowering hairy vetch cultivar commercially available. It was released in cooperation with USDA-NRCS in 1994. AU GroundCover, is the only caley pea cultivar available in the market. It was released in cooperation with USDA-NRCS in 1994. State researchers also cooperated in the release of the hairy vetch cultivar Americus by the StateX Agricultural Experiment Station and the USDA-Soil Conservation Service in 1993. AU Donnelly, a cultivar of low-tannin sericea lespedeza was released in 1987. AU Donnelly has more early spring growth and is higher yielding throughout the season than AU Lotan, the only other low-tannin cultivar available to farmers. AU Donnelly averages 6 percent higher in digestible dry matter and 10 percent higher in crude protein than AU Lotan at the hay stage. Tannin content is about the same in AU Donnelly as in AU Lotan.
- c. Source of Federal Funds - Hatch
- d. Scope of Impact - Multi-State Research
! With State X

Key Theme - Aquaculture

- a. A State research project has been concentrating on better understanding how the larvae find and recognize the inducing cue and how this recognition results in the change to an edible adult oyster. The project uses an electron and laser scanning confocal microscopy combined with antibodies that allow researchers to visualize the sensory structures of the oyster larvae.

Eventually, pharmacological probes will be used to examine the larvae's responses to substance involved in the process leading to the induction and the change to the adult form. The project began in 1998 and ends in 2003.

- b. Impact - So far, the larvae have been labeled with antibodies that bind to the neurotransmitter serotonin and have been examined using the laser-scanning microscoper. This work is allowing researchers to develop a diagram of some of the nervous system circuitry that is responsible for larval behavior that allows a larva to locate the cue. The information eventually will allow for greater efficiency and success in commercial oyster culture, both in artificial and natural oyster environments.
- c. Source of Federal Funds - Hatch
- d. Scope of Impact - State Specific

Appendix C

U.S. Department of Agriculture
Cooperative State Research, Education, and Extension Service
Supplement to the Annual Report of Accomplishments and Results
Multistate Extension Activities and Integrated Activities
(Attach Brief Summaries)

Institution _____
 State _____

Check one: Multistate Extension Activities
 Integrated Activities (Hatch Act Funds)
 Integrated Activities (Smith-Lever Act Funds)

Title of Planned Program/Activity	Actual Expenditures				
	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
Total	_____	_____	_____	_____	_____

Director

Date

Appendix D

**U.S. Department of Agriculture
Cooperative State Research, Education, and Extension Service
Request for Waiver from Target Percentage
for Multistate Extension Activities and Integrated Activities**

Institution _____

State _____

Waiver for (circle one): **Multistate Extension Activities**
 Integrated Activities (Hatch Act Funds)
 Integrated Activities (Smith-Lever Act Funds)

Fiscal Year (circle one): **FY 2000**
 FY 2001
 FY 2002
 FY 2003
 FY 2004

Type of Waiver: **Pre-waiver** **(Must be submitted prior to October 1)**
 Post-waiver **(Must be submitted with Annual Report of
 Accomplishments and Results)**

Justification:

Director

Date

Note: All reports must be submitted regardless of request for waiver.

Form CSREES-WAIVER (2/00)

Appendix E

Frequently Asked Questions on the Guidance for the Fiscal Year (FY) 2000 Annual Report of Accomplishments and Results

I. General and Administrative Issues

What is the due date for the Annual Report?

The due date for the first Annual Report of Accomplishments and Results (FY 2000) is March 1, 2001, and annually thereafter on March 1.

What are the Annual Report requirements for the 1862 land-grant institutions in the 50 States?

The 1862 land-grant institutions in the 50 States are required to submit the following components in their Annual Report:

- (1) An Executive Summary (one to two pages) for each national goal as described in the Guidance for the Annual Report of Accomplishments and Results.
- (2) Descriptions of Planned Programs by Key Themes, including impact statements, as described in the Guidance for the FY 2001 Annual Report of Accomplishments and Results.
- (3) Report on the stakeholder input process.
- (4) Update, if applicable, on the program review processes.
- (5) Evaluation of the success of multistate, multi-institutional, and multidisciplinary activities, and joint research and extension activities (approximately two pages).
- (6) Reporting requirements for multistate extension activities, including Form CSREES-REPT (2/00) with brief descriptions.
- (7) Reporting requirements for integrated research and extension activities, including Form CSREES-REPT (2/00) with brief descriptions.

What are the Annual Report requirements for the 1862 land-grant institutions in American Samoa, District of Columbia, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands?

The 1862 land-grant institutions in American Samoa, District of Columbia, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands are required to submit the following components in their Annual Report:

- (1) An Executive Summary (one to two pages) for each national goal as described in the Guidance for the Annual Report of Accomplishments and Results.
- (2) Descriptions of Planned Programs by Key Themes, including impact statements, as described in the Guidance for the Annual Report of Accomplishments and Results.
- (3) Report on the stakeholder input process.

- (4) Update, if applicable, on the program review processes.
- (5) Evaluation of the success of multistate, multi-institutional, and multidisciplinary activities, and joint research and extension activities (approximately two pages).

The 1862 land-grant institution in the District of Columbia is required to include the reporting requirements (Hatch Act funds only) for integrated research and extension activities, including Form CSREES-REPT (2/00) with brief descriptions.

What are the Annual Report requirements for the 1890 land-grant institutions, including Tuskegee University and West Virginia State College?

The 1890 land-grant institutions, including Tuskegee University and West Virginia State College, are required to submit the following components in their Annual Report:

- (1) An Executive Summary (one to two pages) for each national goal as described in the Guidance for the Annual Report of Accomplishments and Results.
- (2) Descriptions of Planned Programs by Key Themes, including impact statements, as described in the Guidance for the Annual Report of Accomplishments and Results.
- (3) Report on the stakeholder input process.
- (4) Update, if applicable, on the program review processes.
- (5) Evaluation of the success of multistate, multi-institutional, and multidisciplinary activities, and joint research and extension activities (approximately two pages).

Whom should I contact if I have any questions about preparing the Annual Report?

You may contact Bart Hewitt in the Partnerships Unit at 202-720-0747 or email: bhewitt@reeusda.gov.

Will I receive confirmation that my Annual Report has been received?

Yes. You will receive confirmation from the Partnerships Unit that your Annual Report has been received. In addition, at that time you will be notified if any components of the Annual Report are missing.

Who will contact me during the review of my Annual Report?

You will be contacted by the Plan of Work State Facilitator for your institution during the review process.

Will I receive a letter about the review of my Annual Report?

You will receive a letter from the Partnerships Office approximately 90 days after receipt of the Annual Report either accepting your Annual Report, without change, or returning it to your institution, with

clear and detailed recommendations for modification.

II. Planned Programs

Must institutions report on every Planned Program described in the 5-Year Plan of Work?

Yes. Institutions must report on every Planned Program reported in the 5-Year Plan of Work. However, it is expected that not all Planned Programs will have corresponding impact statements each year.

Must institutions report on Planned Programs by Key Themes?

CSREES is requesting that institutions report on their Planned Programs by Key Themes. This will assist CSREES in responding to questions from Congress, U.S. Office of Management and Budget, and USDA Office of Budget and Program Analysis as well as questions from the land-grant community and internal management. In addition, these Key Themes should assist institutions in preparing their Annual Reports.

What if there is no Key Theme that adequately describes the Planned Program?

Institutions may indicate “Other” and with an appropriate key word or theme.

Are the expenditures and FTE’s reported under each Planned Program or Key Theme auditable?

No. The expenditures and FTE’s reported under each Planned Program or Key Themes are not auditable.

III. Stakeholder Input Process

The Stakeholder Input Requirements regulations (7 CFR 3418.4) state that a report on the stakeholder process is required by October 1 of each fiscal year. How does the component on the Stakeholder Input Process in the Annual Report relate to the above regulatory requirement?

The reporting component in the FY 2000 Annual Report on the Stakeholder Input Process satisfies the October 1, 2000, reporting requirement. However, this report only covers the agricultural research and extension formula funds addressed in the 5-Year Plan of Work (i.e., Hatch Act funds, section 3(b) and (c) of the Smith-Lever Act funds, and funds authorized under sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA)).

IV. Multistate Extension Activities

Should Form CSREES-RET (2/00)'s be auditable?

Yes. Form CSREES-REPT (2/00)'s should be auditable in that they either provide an audit trail to the official accounting records or to other documentation (i.e., spreadsheets, confirmations, etc.) based on actual expenditures.

What if my institution fails to meet its Target Percentage for Multistate Extension Activities due to hardship, infeasibility, or circumstances beyond our control?

Your institution may request a post-waiver by submitting Form CSREES-WAIVER (2/00) with your Annual Report. However, the waiver requested must be due to circumstances beyond the control of the institution (e.g., infeasibility due to geographic location, extremely limited resources, severe or unanticipated budget cuts, etc.).

If my institution has not met their Target Percentage for the current reporting period due to the availability of unexpended Smith-Lever Act funds at the end of the reporting period, how would I indicate this on Form CSREES-REPT (2/00)?

You would note on Form CSREES-REPT (2/00) that you have not met the Target Percentage this year due to the availability of unexpended Smith-Lever Act funds at September 30. However, it is expected that you will meet the Target Percentage when all the Smith-Lever Act funds for that fiscal year have been expended.

V. Integrated Research and Extension Activities

Should Form CSREES-REP (2/00)'s be auditable?

Yes. Form CSREES-REP (2/00)'s should be auditable in that either they provide an audit trail to the official accounting records or to other documentation (i.e., spreadsheets, confirmations, etc.) based on actual expenditures.

What if my institution fails to meet its Target Percentage for Integrated Research and Extension Activities due to hardship, infeasibility, or circumstances beyond our control?

Your institution may request a post-waiver by submitting Form CSREES-WAIVER (2/00) with your Annual Report. However, the waiver requested must be due to circumstances beyond the control of the institution (e.g., extremely limited resources, severe or unanticipated budget cuts, the programs needed to address the critical agricultural issues, etc.).

If my institution has not met their Target Percentage for the current reporting period due to the availability of unexpended Smith-Lever Act funds at the end of the reporting period, how would I indicate this on Form CSREES-REPT (2/00)?

You would note on Form CSREES-REPT (2/00) that you have not met the Target Percentage this year due to the availability of unexpended Smith-Lever Act funds. However, it is expected that you will meet the Target Percentage when all the Smith-Lever Act funds for that fiscal year have been expended. Please note this does not apply to Hatch Act funds as there are no carryover provisions for these funds.