


# The Hatch Act of 1887 (Multistate Research Fund)

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**FY 2011 Formula Grant Opportunity (FGO) - Final**

**APPLICATION DEADLINE: August 19, 2011**

 **U.S. Department of Agriculture  
National Institute of Food and Agriculture**

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

**THE HATCH ACT OF 1887 (MULTISTATE RESEARCH FUND)**

**FINAL ANNOUNCEMENT**

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE:** This program is listed in the Catalog of Federal Domestic Assistance under 10.203.

**DATES:** Applications must be received by close of business (COB) (5:00 p.m. Eastern Time) on August 19, 2011.

**EXECUTIVE SUMMARY:** The National Institute of Food and Agriculture (NIFA) requests applications for the FY 2011 formula grants authorized under the Hatch Act of 1887 for the Multistate Research Fund (MRF). This act authorizes research by institutions within a State and by institutions in multiple States to solve problems that concern more than one State.

Grants under this program are to support continuing agricultural research at institutions eligible to receive funds under the Act approved July 2, 1862 (12 Stat. 503, as amended) ("1862 Land-Grant Institutions"), as well as State agricultural experiment stations. Funds appropriated under this section shall be used to conduct original and other researches, investigations, and experiments bearing directly on and contributing to the establishment and maintenance of a permanent and effective agricultural industry of the United States, including researches basic to the problems of agriculture in its broadest aspects, and such investigations as have for their purpose the development and improvement of the rural home and rural life and the maximum contribution by agriculture to the welfare of the consumer, as may be deemed advisable, having due regard to the varying conditions and needs of the respective States. Further, funds may be used for printing and disseminating the results of such research, retirement of employees subject to the provisions of an Act approved March 4, 1940 (54 Stat. 39), administrative planning and direction, and for the purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting research. Finally, these funds must be used for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one State.

The amount available for this program in FY 2011 is approximately \$53,473,757. These funds are known as the Hatch Multistate Research Fund (MRF).

This notice identifies the objectives for Hatch MRF projects, the eligibility criteria for the Hatch MRF projects and applicants, and the application forms and associated instructions needed to apply for a FY 2011 Hatch MRF formula allocation. NIFA additionally requests stakeholder input from any interested party for use in the development of the next Formula Grant Opportunity (FGO) for this program. Please send questions or comments to Formula Grants Branch of the Office of Grants and Financial Management (OGFM), NIFA/USDA, Stop 2271,

1400 Independence Avenue, SW, Washington, DC 20250-2271; fax: (202) 401-1804; or e-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov).

## What's New for FY 2011?

The FY 2011 formula grant awards will be disbursed through the Automated Standard Application for Payment System (ASAP) operated by the Department of Treasury's Financial Management Service. Applicants must ensure ASAP recipient ID information provided on the SF 424 R&R (Research and Related) is correct as NIFA will use this information to certify funds in ASAP. NIFA will no longer move ASAP funds between institutional accounts. All FY 2009 and prior formula grant awards will continue to be disbursed via the Payment Management System (PMS) operated by the Department of Health and Human Services (DHHS). Applicants can receive instructions on how to access ASAP and how to inform NIFA, Financial Operations Division (FOD) of their account number to use to make disbursements, by emailing the ASAP Customer Service email box at [ASAPCustomerService@nifa.usda.gov](mailto:ASAPCustomerService@nifa.usda.gov).

- There will be two submissions in FY 2011:
  - Initial – For an estimated amount based on the FY 2010 allocation amounts.
  - Final – Based on the actual appropriated amount (see Appendix A) for FY 2011 and actual formula distribution for FY 2011.
  
- The Application Package for the final submissions will include:
  - Application for Federal Assistance, Standard Form (SF) 424 Research and Related (R&R) (Required)
  - NIFA Supplemental Information Form (Required)  
NIFA will use the Supplemental Information Form to capture all necessary attachments for this final submission of the SF 424 R&R application (i.e., matching waiver requests (via pdf attachment)).
  - NIFA will be capturing the information for three key contacts, and each organization will determine who those individuals are.
    - Block 5 should reflect the person responsible for fiscal/financial issues.
    - The Authorized Representative (AR)<sup>1</sup> must have the authority to represent and bind the organization for any agreement.
    - The name of the Project Director (PD) will be reflected on the NIFA-2009 form, "Agreement Face Sheet", and it is suggested that the Research Director would be an appropriate person.
  
- NIFA plans to issue all FY 2011 Formula Grants on the NIFA-2009 form.
  
- For formula grants issued in FY 2011, the grantee is required to submit an **annual** SF-425, Federal Financial Report (this form consolidates and replaces four financial reporting forms; the SF-269, SF-269A, SF-272, and SF-272A). The grantee is NOT required to submit a **quarterly** SF-425 (the **quarterly** submission requirement, however, exists for previously issued grants with DHHS as the designated payment system).

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

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

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

The Hatch Act of 1887 provides the basis for Federal funding for agricultural research activities at the State Agricultural Experiment Stations in the 50 States, the District of Columbia, and the Insular Areas.

Not less than 25 percent of the total Hatch Act of 1887 funding is allotted to the States for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one State. These funds are designated as the “Multistate Research Fund, State Agricultural Experiment Stations.” Funds are allocated on a prorata basis and allocations are adjusted to support national and regional projects. These projects and their associated budgets are reviewed and approved annually.

In FY 2007, the former Cooperative State Research, Education, and Extension Service (CSREES)<sup>2</sup> conducted a Grants.gov pilot for the solicitation of one of the NIFA 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 previously by the CSREES Office of Extramural Programs and did not duplicate the information being collected under the Current Research Information System (CRIS). CSREES implemented this process for all CSREES Formula Programs in FY 2008. This process is necessary 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) is 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 name of institution, legal address, congressional district). OMB makes this information available at <http://www.usaspending.gov>.

In FY 2011, NIFA will be requiring both an initial submission (based on the 2010 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act) and a final submission (based on the actual appropriated amount for FY 2011 and the actual formula distribution for FY 2011).

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

- Delegated authorities of the Director of the State Agricultural Experiment Station;
- How funds are managed at your institution;
- Indirect costs and tuition remission are unallowable costs; and

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<sup>2</sup> On October 1, 2009, all authorities of the Cooperative State Research, Education, and Extension Service (CSREES) were transferred to the National Institute of Food and Agriculture per section 7511 of the Food, Conservation, and Energy Act of 2008 (Pub. L. 110-246).

-Matching waiver authority of NIFA for Hatch Act funds for 1862 Land-Grant Institutions in the Insular Areas.

Guidelines for the administration of this program are published as the Administrative Manual for the Hatch (Experiment Station) Act as Amended, which may be accessed at <http://www.nifa.usda.gov/business/awards/formula/manuals/hatch.pdf>.

Please note that any instructions in this FGO supersede policies and procedures identified in the manual. NIFA intends to revise the manual in FY 2011 and then promulgate administrative provisions for this program through rulemaking which includes a public comment period.

## **B. Purpose and Priorities**

The purpose of this funding is to conduct agricultural research programs at State Agricultural Experiment Stations in the 50 States, the District of Columbia, and the Insular Areas.

## **PART II— AWARD INFORMATION**

### **A. Available Funding**

The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Pub. L. 112-10) provides \$53,473,757, in FY 2011 for this program.

Applicants should request funding for amounts listed in Appendix A to this announcement. NIFA will fund the Hatch MRF Program in FY 2011 to support approved Hatch MRF projects.

Hatch MRF funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to one year after the end of the year for which they were appropriated. No prior approval is required to carry over funds for one additional year; however, no additional carryover requests may be considered or approved, as no legislative authority to do so has been provided.

### **B. Types of Submission**

In FY 2011, applications for awards must be submitted to the Hatch MRF as a “new” application on the [www.grants.gov](http://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 the Current Research Information System (CRIS), 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 FYs 2012-2016 (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 15, 2011.

Specific project details and pertinent information should be entered in the Current Research Information System (CRIS) as in prior years. CRIS is the U.S. Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part VI.C. for specific CRIS requirements.

## **PART III—ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

Applications may be submitted by the State Agricultural Experiment Stations located in the 50 States, the District of Columbia, and the Insular Areas that conduct agricultural research in accordance with the multistate research fund provisions of the Hatch Act of 1887.

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(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(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 agricultural research and for the establishment and maintenance of facilities for the performance of the research.” However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(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, Northern Marianas Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. .... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.”

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).



## **PART IV—SUBMISSION INFORMATION**

### **A. Address to Request Formula Grants Opportunity Package**

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

Prior to preparing an application, it is suggested that the Director of the State Agricultural Experiment Station (“Director”), or his or her designee, first contact an AR to determine if the organization is prepared to submit electronic applications through Grants.gov. If the organization is not prepared, the AR should see [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) for steps for preparing to submit applications through Grants.gov.

The 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 in the Grants.gov system, the Director, or his or her designee, can obtain a login and password necessary for submission of application.

The steps to access application materials are as follows:

1. In order to access, complete and submit applications, applicants must download and install a version of Adobe Reader compatible with Grants.gov. This software is essential to apply for NIFA Federal assistance awards. For basic system requirements and download instructions, please see [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). To verify that you have a compatible version of Adobe Reader, Grants.gov established a test package that will assist you in making that determination. Grants.gov Adobe Versioning Test Package: <http://www.grants.gov/applicants/AdobeVersioningTestOnly.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-NIFA-HATCH-003477” 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: 24 hours a day, 7 days a week. Closed on [Federal Holidays](#)  
Email: [support@grants.gov](mailto:support@grants.gov)

See <http://www.nifa.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 (R&R) and the NIFA Supplemental Information Form. If applicable, use the “Supplemental Information Form” to submit a matching waiver request.

### 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
- 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 (R&R) first. Data entered on the SF 424 (R&R) will populate other mandatory and optional forms where possible.

To access a form or document, click the form/document name to select it, and then click the => button. This will move the form/document to the “Mandatory Documents for Submission” box. To open an item to complete it, simply click on it to select the item and then click on the “Open Form” button. To remove a form/document from the “Mandatory Documents for Submission” 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.

These forms should be completed in accordance with the instructions. **The following are the government-wide instructions followed by *agency specific guidelines (noted in italics)*, if any, for each data element for each form:**

#### 1. **SF 424 (R&R) - Cover Page**

- **Open and complete document SF 424 (R&R) first** as this page will pre-populate information on pages where the same information is requested;
  - **Box 1 – Type of Submission:**
    - Pre-application – unless specified in a program announcement this field is NOT used by NIFA

- Application – *check application* (all applications are new; the type of application – New, Resubmission, Renewal or Revision is collected and identified in box 8). *Enter “New”*.
- Changed/Corrected Application – N/A
- **Box 2** – Date Submitted and Applicant Identifier
  - Leave the “Date Submitted” box blank.
  - Applicant Identifier – If you wish to use a unique identification number for your own purpose, enter it here. Applicant use only. *Use or leave blank.*
- **Box 3** – Date Received by State and State Application Identifier
  - Enter the date received by the State, if applicable. Enter in format mm/dd/yyyy. State use only. *Use or leave blank.* Enter the identifier assigned by the State, if applicable. State use only. *Use or leave blank.*
- **Box 4a** - Federal Identifier
  - New project applications should leave this field blank unless you are submitting a changed/corrected application. When submitting a changed/corrected “new” application, enter the Grants.gov tracking number. *Leave blank.*
- **Box 4b** - Agency Routing Number
  - To be entered only if agency specific instructions indicate. *Leave blank.*
- **Box 5** – Applicant Information
  - Organizational DUNS Number: Enter the Organization’s D-U-N-S number (received from D&B) or the D-U-N-S +4 number (if available);  
 Legal Name: Enter the name of the institution.  
 Address: Enter complete address of applicant. Enter the institution’s mailing address.  
 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 responsible for fiscal/financial issues.*
- **Box 6** – Employer Identification: Enter either the Employer Identification Number (EIN) or Taxpayer Identification Number (TIN) as assigned by the Internal Revenue Service.
- **Box 7** – Type of Applicant. From the drop down menu select the appropriate code letter and enter in the space provided. Code letters **O, P, Q, R, S, T, U, V, and W** are letters that have not been included as part of the drop down menu.
  - 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)

- **Box 8 – Type of Application**
  - New - application being submitted for the first time or is considered an “initial” application. Check new for the initial as well as the final FGO submission.
  - Resubmission – Select “Resubmission” when your institution has filed an accepted “New/Initial” or “Update” package and now desires to revise any of the information on those applications, such as its matching funds available. Any matching waiver requests would be attached to this package, as well.
  - Renewal - application requesting continued funding (*previously known as competing continuation*) *N/A Leave Blank.*
  - Continuation - non-competing application (*previously known as Progress Report*) - *N/A Leave Blank.*
  - Revision – Select “Revision” if your institution discovers an error or omission in the “New/Initial”, or “Resubmission” application, or if you are requested to do so by NIFA as the result of its review of the application. *Leave Blank.*
- **Box 8 - A-E: N/A**
  - A.** Increase Award
  - B.** Decrease Award
  - C.** Increase duration
  - D.** Decrease duration
  - E.** Other - provide written explanation, i.e., any other change in the terms and conditions of the existing award
- **Box 9** - Name of Federal Agency - will be pre-filled.
- **Box 10** - Do not complete Catalog of Federal Domestic Assistance Number (CFDA) - will be pre-filled or left blank.
- **Box 11** - Descriptive Title of Applicant’s Project - fill in with the Project Title.
- **Box 12** - Enter proposed start and end dates – use format: MM/DD/YYYY. *Enter 10/01/2010- 09/30/2011.*

- **Box 13** - Congressional District of the Applicant Organization - Enter the applicant's congressional district. *Enter the Congressional district where the main campus is located.*
- **Box 14** - Project Director/Principal Investigator – complete all boxes in this section. Note that the nine digit zip code is required. It is suggested that the name and information of the Research Director be included in this box. This name will appear on the official document for FY 2011.
- **Box 15** - Estimated Project Funding –
  - **15.a.** Enter the amount requested from the Federal agency. If the agency has specified an amount, enter that amount. *Enter your institution's actual FY 2011 allocation as listed in Appendix A to this announcement.*
  - **15.b.** Total Non-Federal Funds Requested: Enter the amount of funds from all other sources (i.e., match).
  - **15.c.** Total Federal & Non-Federal Funds: Enter total amount of Federal funds requested plus the non-federal (i.e., match) amounts.
  - **15.d.** Estimated Program Income: Enter amount of estimated program income to be generated from this project. *Leave Blank*
- **Box 16** - *Select "Program is not covered by E.O. 12372".*
- **Box 17** - **By signing this application, I certify (1) to the statements contained in this list of certifications\* (as identified under Part IV, C), 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 Administrative and National Policy Requirements, (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).** Application is to be signed by the Director of the State Agricultural Experiment Station, or his or her designee, of the applicant organization. *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 clicking the submit button of the application, the Director of the State Agricultural Experiment Station, or his or her designee, certifies to the above.*
- Be sure to click on the "I agree" button. Although this box is for the AR to certify, if this box is not checked, an error message will result.
- **Box 18** - If applicable, attach the SFLLL (Standard Form LLL, Disclosure of Lobbying Activities).
- **Box 19** - Authorized Representative (AR) - Also known as Signing Official. To be signed by the Director of the State Agricultural Extension Director, or his or her designee, of the applicant organization. Enter the

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\* The applicable certifications and assurances can be located on the NIFA website. See [http://www.nifa.usda.gov/funding/all\\_forms.html](http://www.nifa.usda.gov/funding/all_forms.html) under the "Other Forms" heading.

name, title, phone number, e-mail address, and fax number of the State Agricultural Extension Director, or his or her designee.

- **Box 20** - Pre-Applications - Unless specifically noted in a program announcement, do not use pre-applications - *Leave blank*.

## **2. NIFA 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 from the opportunity package.*
2. **Program Code Name:** Enter the name of the program to which you are applying exactly as instructed in the full announcement. This field is required. *Enter "Hatch Multistate Formula Program"*.  
**Program Code:** Enter the program code to which you are applying exactly as instructed in the full announcement. This code is used to route proposals within the agency. This field is required. *Enter "HMFP"*.
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 one of the following options if it is applicable to the legal applicant of this application. *Select "1862 Land-Grant University" from the drop down menu in this block.*
5. **Supplemental Applicant Types:** *Please check all that apply.*
6. **DHHS Account Information:** *This information will no longer be utilized as payments will be made via the Automated Standard Application System (ASAP) operated by the Department of Treasury's Financial Management Service. Provide your institutions ASAP recipient ID number.*
7. **Key Words:** Enter the most relevant key words which describe the proposed project. This field is required. *Enter "Not applicable."*
8. **Conflict of Interest List:** *Do not attach a conflict of interest list. NIFA will use this field to capture all necessary attachments for this submission on the final SF 424 R&R application (i.e., matching waiver requests (via pdf attachment)).*

### **Matching Funds Waiver Request (Optional)**

This option may only be applicable to State Agricultural Experiment Stations in Insular Areas and the District of Columbia.

If your institution is applying for a matching funds waiver, please prepare a request in PDF format. Please include the following elements in the request:

- (a) A request for the waiver for this grant application,
- (b) A statement of the fiscal year(s) for which the waiver is requested,
- (c) A statement of the exact dollar amount of waiver being requested by fiscal year and how the amount was computed (by matching fund category),
- (d) A statement of why the waiver is requested,
- (e) Documentation supporting the need for a waiver (i.e., newspaper articles/clippings or State budgets), and
- (f) The university's efforts to meet future matching needs.

The documentation should include the university's approved budget for the program for both the current and previous budget cycles. It may also submit items such as a statement from the State asserting what portion of the required match amount the State contribution to the institution will cover, a schedule of projected cash flows showing what portion of the matching funds the university will have available or other documents such as letters from State or institution budget personnel or newspaper articles. In requesting the waiver, the institution must consider the availability of all permissible forms of matching in detail.

Please attach the matching waiver request to the "NIFA Supplemental Information Form". To attach the waiver request to the form, go to "1) Please add Attachment 1, click on "Add Attachment," and follow the instructions.

### **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 NIFA 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 **Save and Submit** button. (The **Save and Submit** button will not become active until all mandatory documents have been properly completed and there are no errors in the application.) You are required to save the application again at this point in order to begin the application submission process.
6. Click **Save and Submit**.
7. A dialog box will appear and you will need to enter your Grants.gov username and password.
8. Lastly, click **Login**.

Only the AR has the authority and user rights to **Save 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](http://www.grants.gov/help/submit_application_faqs.jsp)

## C. Certifications

In addition, by signing the application the applicant is providing the required assurances noted below:

Each entity that applies and does not have an exemption under Sec. 25.110 of 2 CFR will: (1) Be registered in the Central Contract Registry (CCR) prior to submitting an application or plan; (2) Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or plan under consideration by an agency; and (3) Provide its DUNS number in each application or plan it submits to the agency.

Each entity that applies and does not have an exception under Sec. 170.110(b) of 2 CFR ensures that they have the necessary processes and systems in place to comply with the reporting requirements identified in Appendix A to Part 170 should they receive funding.



## **D. Submission Dates and Times**

The application package containing an “Application for Federal Assistance,” Form SF 424 (R&R) and NIFA Supplemental Information Form is to be submitted online at the [www.grants.gov](http://www.grants.gov) website by COB (5:00 p.m. Eastern Time) on August 19, 2011.

The receipt of all applications will be acknowledged by e-mail. Therefore, applicants are strongly encouraged to provide accurate e-mail addresses via the [www.grants.gov](http://www.grants.gov) website.

**If an applicant has not received an acknowledgment within 30 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.

CRIS forms should have been submitted online at the web address: <http://cwf.uvm.edu/cris>. The Project Outline should have been submitted in a Word or PDF file to: [jhammond@nifa.usda.gov](mailto:jhammond@nifa.usda.gov). The 5-Year Plan of Work Update for FYs 2011-2015 and Annual Report of Accomplishments and Results should have been submitted online at the web address: <http://pow.nifa.usda.gov> and both were due April 15, 2011.

## **E. Funding Restrictions**

### **(1) Approved NIFA Hatch MRF Projects**

Hatch MRF Federal funding may only be used on approved Hatch MRF projects.

### **(2) Matching**

Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(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 agricultural research and for the establishment and maintenance of facilities for the performance of the research.” However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(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, Northern Marianas Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section..... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.”

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).

NIFA may consider and approve matching waivers submitted by State Agricultural Experiment Stations in the Insular Areas and the District of Columbia. See the required matching amounts in Appendix A to this announcement.

### **(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 Hatch MRF formula grant expenditures.

### **F. Other Submission Requirements**

Project information for the Hatch MRF projects is to be submitted to the CRIS unit as in previous years. See the website at: <http://cwf.uvm.edu/cris>. Required submissions include:

- 1) Program of Research
- 2) Project Listing\*
- 3) Work Unit Description (AD-416)\*
- 4) Project Classification (AD-417)\*
- 5) Assurance Form (CSREES-2008)\*
- 6) Accomplishments Report (AD-421)
- 7) Financial and Staff Support Report (AD-419)

\*Submitted at project initiation.

Plan of Work reporting requirements should have been submitted to the Planning, Accountability, and Reporting Staff through the website established for this purpose (<http://pow.nifa.usda.gov>). Required submissions include the 5-Year Plan of Work Update for FYs 2012-2016 and the Annual Report of Accomplishments and Results. These reports were due April 15, 2011.

Form NIFA-REPT (Rev. 07/2010) Supplement to Annual Report of Accomplishments and Results, Multistate Extension Activities and Integrated Activities, must be submitted to the Formula Grants Branch. These reports were also due by April 1, 2011 for fiscal year 2010.

### **PART V—SUBMISSION REVIEW REQUIREMENTS**

The Planning, Accountability, and Reporting Staff, and the OGF M Formula Grants Branch will be reviewing submitted documents to determine if all program, financial, and administrative requirements have been met and are current.

## **PART VI—AWARD ADMINISTRATION**

### **A. General**

The Planning, Accountability, and Reporting Staff, and CRIS Office will notify the OGF M Formula Grants Branch 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). If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OGF M Formula Grants Branch will notify the institutions when all requirements have been met or approved.

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

Several Federal statutes, regulations, and terms and conditions 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).

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 (now codified at 2 CFR 215).

7 CFR Part 3021—USDA implementation of Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).

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

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

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).

## **REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION**

In accordance with the Office of Management and Budget guidance published in the Federal Register (FR), 75 FR 55663, on September 14, 2010, “Requirements for Federal Funding Accountability and Transparency Act Implementation,” awardees must comply with the requirements of this award term.

### **a. Reporting of first-tier subawards**

1. **Applicability.** Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

### **2. Where and when to report.**

i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsr.gov>.

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. **What to report.** You must report the information about each obligating action that the submission instructions posted at <http://www.fsr.gov> specify.

### **b. Reporting Total Compensation of Recipient Executives**

1. **Applicability and what to report.** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

i. the total Federal funding authorized to date under this award is \$25,000 or more;

- ii. in the preceding fiscal year, you received--
  - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the transparency Act, as defined at 2 CFR 170.320 (and subawards); and
  - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
- iii. The public does not have access to information about the compensation of the Executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. **Where and when to report.** You must report executive total compensation described in paragraph b.1. of this award term:

- i. As part of your registration profile at <http://www.ccr.gov>.
- ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives

1. **Applicability and what to report.** Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if--

- i. In the subrecipient's preceding fiscal year, the subrecipient received--
  - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
  - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
- ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

**2. Where and when to report.** You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

- i. To the recipient.
  
- ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- i. Subawards, and
  
- ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions

For purposes of this award term:

1. **Entity** means all of the following, as defined in 2 CFR part 25:

- i. A Governmental organization, which is a State, local government, or Indian tribe;
  
- ii. A foreign public entity;
  
- iii. A domestic or foreign nonprofit organization;
  
- iv. A domestic or foreign for-profit organization;
  
- v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. **Executive** means officers, managing partners, or any other employees in management positions.

3. **Subaward:**

- i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  
- ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ---- .210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).

iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. **Subrecipient** means an entity that:

i. Receives a subaward from you (the recipient) under this award; and

ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. **Total compensation** means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

i. Salary and bonus.

ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

v. Above-market earnings on deferred compensation which is not tax-qualified.

vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## **CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER REQUIREMENTS**

In accordance with the Office of Management and Budget guidance published in the Federal Register (FR), 75 FR 55671, on September 14, 2010, "Financial Assistance Use of Universal Identifier and Central Contractor Registration," awardees must comply with the requirements of this award term.

### **Requirement for Central Contractor Registration (CCR)**

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

## Requirement for Data Universal Numbering System (DUNS) Numbers

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

### Definitions

For purposes of this award term:

1. *Central Contractor Registration (CCR)* means the Federal repository into which an entity must provide information required for the conduct of a business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
2. *Data Universal Numbering System (DUNS) number* means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
3. *Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. *Subaward*:
  - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, *see* Sec .210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).

### C. Expected Program Outputs and Reporting Requirements

Institutions are expected to submit an annual Program of Research, a listing of all approved Hatch MRF projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; CSREES-2008, Assurance Form; and Project



Proposal through the Current Research Information System prior to the initiation of each Hatch MRF project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421, Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1, 2011 for the preceding calendar year. Reports from institutions reporting on a fiscal year shall be submitted by February 1, 2011 for the preceding fiscal year.

An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Funding and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and are to be submitted by February 1, 2011.

Financial reporting via the SF-425, Federal Financial Report for FY 2011 is due to the Formula Grants Branch of OGFPM on December 31, 2012, for the period October 1, 2010, through September 30, 2011, and annually thereafter until the award is closed out. Hatch funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to one year after the end of the year for which they were appropriated. No prior approval is required to carry over funds for one additional year; however, no additional carryover requests may be considered or approved, as no legislative authority to do so is provided.

## **PART VII—AGENCY CONTACT**

For questions regarding Hatch MRF projects and the Hatch MRF Program, please contact: Dr. H.J. Rick Meyer, National Program Leader, Division of Plant Systems - Protection, Institute of Food Production and Sustainability, NIFA/USDA, Stop 2240, 1400 Independence Avenue, SW, Washington, DC 20250-2240; Telephone: (202) 401 - 4891; Fax: (202) 401 - 1782; E-mail: [hmeyer@nifa.usda.gov](mailto:hmeyer@nifa.usda.gov). or Dr. Herbert Bolton, National Program Leader, Division of Plant Systems – Protection, Institute of Food Production and Sustainability, NIFA/USDA, Stop 2240, 1400 Independence Avenue, SW, Washington, DC 20250-2240; Telephone: (202) 401-4201, Fax (202) 401-1782; E-mail: [hbolton@nifa.usda.gov](mailto:hbolton@nifa.usda.gov).

For questions relating to the completion of the grants.gov forms, please contact: Brenda Barnett, Office of Grants and Financial Management, NIFA/USDA, Stop 2271, 1400 Independence Avenue, SW, Washington, DC 20250-2271; Telephone: (202) 401-6520; Fax: (202) 401-1804; E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov).

For questions relating to CRIS forms and submissions, please contact The Current Research Information System Office, NIFA/USDA, Stop 2270, 1400 Independence Avenue, SW, Washington, DC 20250-2270; Telephone: (202) 690-0009; Fax: (202) 690-0634; E-mail: [cris@nifa.usda.gov](mailto:cris@nifa.usda.gov).

For questions relating to the 5-Year Plan of Work Update for FYs 2012-2016 or the Annual Report of Accomplishments and Results, please contact Katelyn Sellers, Planning, Accountability, and Reporting Staff, NIFA/USDA, Stop 2213, 1400 Independence Avenue, SW, Washington, DC 20250-2213; Telephone: (202) 401-5482; Fax: (202) 720-7714; E-mail: [pow@nifa.usda.gov](mailto:pow@nifa.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://www.grants.gov>). Grants.gov assistance is also available as follows:

Grants.gov customer support  
Toll Free: 1-800-518-4726  
Business Hours: 24 hours a day, 7 days a week. Closed on [Federal Holidays](#)  
Email: [support@grants.gov](mailto: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.

**UNITED STATES DEPARTMENT OF AGRICULTURE**  
**National Institute of Food and Agriculture**  
**FY 2011 - Distribution of Funds to the State Agricultural Experiment Stations**  
**Authorized under the Hatch Act, as amended August 11, 1955**  
**(Award #2011-31200 (Multistate))**

**Appendix A - FINAL**

<u>State</u>	<u>Grant Number</u>	<b>FY 2011 NET TO STATES Amount</b>	<b>FY 2011 Required MATCH Amount</b>	<b>FY 2011 Initial Continuing Resolution Amount</b>	<b>Final 2011 Amount</b>	<b>Final 2011 Required MATCH Amount</b>
Auburn University	2011-31200-06001	\$ 1,136,658	\$ 1,142,315	\$ 186,056	\$ 950,602	\$ 956,259
University of Alaska	2011-31200-06002	185,159	\$ 199,496	\$ 29,962	\$ 155,197	\$ 169,534
American Samoa Community College	2011-31200-06003	28,108	\$ 30,285	\$ 4,549	\$ 23,559	\$ 25,736
University of Arizona	2011-31200-06004	979,017	\$ 1,054,824	\$ 158,421	\$ 820,596	\$ 896,403
University of Arkansas	2011-31200-06005	943,588	\$ 1,001,129	\$ 152,811	\$ 790,777	\$ 848,318
University of California	2011-31200-06006	2,120,701	\$ 2,129,595	\$ 331,534	\$ 1,789,167	\$ 1,798,061
Colorado State University	2011-31200-06008	1,298,889	\$ 1,291,722	\$ 211,993	\$ 1,086,896	\$ 1,079,729
University of Connecticut-New Haven	2011-31200-07609	177,135	\$ 187,583	\$ 28,719	\$ 148,416	\$ 158,864
University of Connecticut-Storrs	2011-31200-06009	462,348	\$ 489,620	\$ 74,960	\$ 387,388	\$ 414,660
University of Delaware	2011-31200-06010	478,360	\$ 506,577	\$ 77,556	\$ 400,804	\$ 429,021
University of the District of Columbia	2011-31200-06011	138,106	\$ 146,252	\$ 22,391	\$ 115,715	\$ 123,861
University of Florida	2011-31200-06012	940,037	\$ 908,075	\$ 138,607	\$ 801,430	\$ 769,468
University of Georgia	2011-31200-06013	1,606,281	\$ 1,261,037	\$ 267,644	\$ 1,338,637	\$ 993,393
University of Guam	2011-31200-06057	158,541	\$ 170,817	\$ 25,655	\$ 132,886	\$ 145,162
University of Hawaii	2011-31200-06015	496,451	\$ 534,892	\$ 80,334	\$ 416,117	\$ 454,558
University of Idaho	2011-31200-06016	771,873	\$ 831,641	\$ 124,902	\$ 646,971	\$ 706,739
University of Illinois	2011-31200-06017	1,364,824	\$ 1,413,288	\$ 221,635	\$ 1,143,189	\$ 1,191,653
Purdue University	2011-31200-06018	1,108,133	\$ 1,191,118	\$ 179,212	\$ 928,921	\$ 1,011,906
Iowa State University	2011-31200-06019	2,213,965	\$ 1,512,186	\$ 353,107	\$ 1,860,858	\$ 1,159,079
Kansas State University	2011-31200-06020	1,018,785	\$ 1,095,081	\$ 164,762	\$ 854,023	\$ 930,319
University of Kentucky	2011-31200-06021	1,313,168	\$ 1,143,916	\$ 186,301	\$ 1,126,867	\$ 957,615
Louisiana State University	2011-31200-06022	890,661	\$ 944,974	\$ 144,239	\$ 746,422	\$ 800,735
University of Maine	2011-31200-06023	666,504	\$ 705,817	\$ 108,060	\$ 558,444	\$ 597,757
University of Maryland	2011-31200-06024	838,630	\$ 888,097	\$ 135,967	\$ 702,663	\$ 752,130
University of Massachusetts	2011-31200-06025	818,618	\$ 866,904	\$ 132,722	\$ 685,896	\$ 734,182
Michigan State University	2011-31200-06026	1,251,804	\$ 1,254,183	\$ 204,714	\$ 1,047,090	\$ 1,049,469
University of Minnesota	2011-31200-06027	1,162,807	\$ 1,249,886	\$ 188,054	\$ 974,753	\$ 1,061,832
Mississippi State University	2011-31200-06028	1,088,755	\$ 1,155,148	\$ 176,320	\$ 912,435	\$ 978,828
University of Missouri	2011-31200-06029	1,038,792	\$ 1,116,585	\$ 167,998	\$ 870,794	\$ 948,587
Montana State University	2011-31200-06030	864,450	\$ 931,386	\$ 139,882	\$ 724,568	\$ 791,504
University of Nebraska	2011-31200-06031	1,178,807	\$ 1,267,086	\$ 190,641	\$ 988,166	\$ 1,076,445
University of Nevada	2011-31200-06032	473,309	\$ 509,958	\$ 76,589	\$ 396,720	\$ 433,369
University of New Hampshire	2011-31200-06033	479,360	\$ 507,635	\$ 77,718	\$ 401,642	\$ 429,917
Rutgers University	2011-31200-06034	1,449,913	\$ 1,025,872	\$ 243,640	\$ 1,206,273	\$ 782,232
New Mexico State University	2011-31200-06035	520,754	\$ 561,077	\$ 84,267	\$ 436,487	\$ 476,810
Cornell University	2011-31200-06036	1,362,512	\$ 1,366,063	\$ 209,143	\$ 1,153,369	\$ 1,156,920
Cornell University-Geneva	2011-31200-03619	714,691	\$ 527,768	\$ 118,227	\$ 596,464	\$ 409,541
North Carolina State University	2011-31200-06037	1,543,917	\$ 1,638,067	\$ 308,509	\$ 1,235,408	\$ 1,329,558
North Dakota State University	2011-31200-06038	782,762	\$ 841,380	\$ 126,591	\$ 656,171	\$ 714,789
Ohio State University	2011-31200-06039	1,260,152	\$ 1,354,521	\$ 203,797	\$ 1,056,355	\$ 1,150,724
Oklahoma State University	2011-31200-06040	774,228	\$ 821,441	\$ 125,383	\$ 648,845	\$ 696,058
Oregon State University	2011-31200-06041	1,224,351	\$ 1,319,154	\$ 198,120	\$ 1,026,231	\$ 1,121,034
Pennsylvania State University	2011-31200-06042	1,616,975	\$ 1,669,160	\$ 262,886	\$ 1,354,089	\$ 1,406,274
University of Puerto Rico	2011-31200-06093	958,708	\$ 1,017,172	\$ 155,259	\$ 803,449	\$ 861,913
University of Rhode Island	2011-31200-06044	496,371	\$ 525,651	\$ 80,477	\$ 415,894	\$ 445,174
Clemson University	2011-31200-06045	889,152	\$ 943,373	\$ 143,995	\$ 745,157	\$ 799,378
South Dakota State University	2011-31200-06046	789,429	\$ 848,547	\$ 127,669	\$ 661,760	\$ 720,878
University of Tennessee	2011-31200-06047	1,102,365	\$ 1,169,588	\$ 178,524	\$ 923,841	\$ 991,064

Texas A&M University	2011-31200-06048	1,568,111	\$ 1,663,735	\$ 253,949	\$ 1,314,162	\$ 1,409,786
Utah State University	2011-31200-06049	952,222	\$ 961,308	\$ 156,072	\$ 796,150	\$ 805,236
University of Vermont	2011-31200-06050	420,317	\$ 445,110	\$ 68,146	\$ 352,171	\$ 376,964
University of the Virgin Islands	2011-31200-06058	154,240	\$ 163,646	\$ 24,979	\$ 129,261	\$ 138,667
Virginia Polytechnic Inst. & State U.	2011-31200-06051	1,008,611	\$ 1,070,117	\$ 163,341	\$ 845,270	\$ 906,776
Washington State University	2011-31200-06053	1,546,318	\$ 1,229,382	\$ 255,829	\$ 1,290,489	\$ 973,553
West Virginia University	2011-31200-06054	698,524	\$ 739,726	\$ 113,251	\$ 585,273	\$ 626,475
University of Wisconsin	2011-31200-06055	1,256,801	\$ 1,189,686	\$ 205,986	\$ 1,050,815	\$ 983,700
University of Wyoming	2011-31200-06056	689,709	\$ 743,114	\$ 111,606	\$ 578,103	\$ 631,508
<b>Payment to States *</b>		\$ 53,473,757	\$ 53,473,766	\$ 8,683,661	\$ 44,790,096	\$ 44,790,105
<b>Approved Excellence in Multistate Research Award F</b>		\$15,000				
<b>Subtotal</b>		\$ 53,488,757				
<b>CRIS/Peer Panel Costs</b>		-				
Biotech Risk Assessment		209,554				
<b>Small Business Admin</b>		1,376,880				
<b>Fed Admin.</b>		1,645,061				
<b>Appropriation</b>		<u>\$ 56,720,252</u>				

**National and Regional  
FY 2011 MRF Trust Funds**

<b>National</b>			
NRSP-0	NONE	\$15,000	
<b>Total for NRSP-0</b>			\$15,000
NRSP-1	NONE	\$0	
<b>Total for NRSP-1</b>			\$0
NRSP-3	Illinois	\$50,000	
<b>Total for NRSP-3</b>			\$50,000
NRSP-4	New Jersey	\$481,182	
<b>Total for NRSP-4</b>			\$481,182
NRSP-6	Wisconsin	\$150,000	
<b>Total for NRSP-6</b>			\$150,000
NRSP-7	California	\$84,154	
NRSP-7	Florida	\$84,154	
NRSP-7	Iowa	\$84,154	
NRSP-7	New York (Cornell)	\$72,538	
<b>Total for NRSP-7</b>			\$325,000
NRSP-8	Utah	\$60,000	
NRSP-8	Alabama	\$60,000	
NRSP-8	California	\$60,000	
NRSP-8	Iowa	\$60,000	
NRSP-8	Iowa	\$140,000	
NRSP-8	Michigan	\$60,000	
NRSP-8	Kentucky	\$60,000	
<b>Total for NRSP-8</b>			\$500,000
NRSP-9	Kentucky	\$175,000	
<b>Total for NRSP-9</b>			\$175,000
<b>Total National Trusts:</b>			<b>\$1,696,182</b>
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<b>North Central Region</b>			
NC-007	Iowa	\$522,980	
<b>Total for NC-007</b>			\$522,980
NC-1100	Michigan	\$25,000	
<b>Total for NC-1100</b>			\$25,000
<b>Total North Central Region Trusts:</b>			<b>\$547,980</b>
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**North East Region**

<b>NE-009</b>	New York (Geneva)	\$216,320	
<b>Total for NE-009</b>			\$216,320
<b>NE-059</b>	Pennsylvania	\$40,788	
<b>Total for NE-059</b>			\$40,788
<b>Total North East Region Trusts:</b>			\$257,108

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**Southern Region**

<b>S-009</b>	Georgia	\$417,723	
<b>Total for S-009</b>			\$417,723
<b>Total Southern Region Trusts:</b>			\$417,723

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**Western Region**

<b>W-006</b>	Washington	\$405,288	
<b>Total for W-006</b>			\$405,288
<b>W-106</b>	Colorado	\$100,000	
<b>Total for W-106</b>			\$100,000
<b>Total Western Region Trusts:</b>			\$505,288

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**TOTAL REGIONAL TRUSTS:** \$1,728,099

**Grand Total** \$3,424,281