


The Hatch Act of 1887 (Regular Research)

FY 2011 Formula Grant Opportunity (FGO) - Initial

APPLICATION DEADLINE: January 13, 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 (REGULAR RESEARCH)

INITIAL 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) on January 13, 2011 at 5:00 p.m. Eastern Time.

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. These applications are for the regular allocations authorized under the Hatch Act of 1887 according to the legislative formula.

This grant is used 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 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. NIFA anticipates the amount available for this program in FY 2010 is approximately \$153,849,163.

This notice identifies the objectives for Hatch Act of 1887 (Hatch) projects, the eligibility criteria for Hatch projects and applicants, and the application forms and associated instructions needed to apply for a FY 2011 Hatch 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) 690-3002; or e-mail: 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. 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.

- There will be two submissions in FY 2011:
 - Initial – For an estimated amount (see Appendix A) based on the FY 2010 allocation amounts.
 - Final – Based on the actual appropriated amount for FY 2011 and actual formula distribution for FY 2011. The tentative release date is within 45 days of the enactment of the FY 2011 Appropriations Act.
- No Standard Form (SF) 424-A, Budget Information for Non-Construction Programs, and no Budget Narrative Attachment Form are required for either the initial or final submissions for FY 2011.
- The Application Package for the initial or 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 initial submission of the SF 424 R&R application (i.e., matching waiver requests, Key Contacts (via pdf attachment)).
 - NIFA will **NOT** be using the Key Contacts Form. That information will be captured through the SF 424 R&R. Please refer to instructions in this FGO for more detailed information. 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 AOR must have the authority to represent and bind the organization for any agreement.
 - The name of the Project Director will be reflected on the NIFA-2009, 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. This form is also used to issue non-formula grants.
- Effective October 1, 2010, formula grantees are not required to submit a quarterly SF-425, (previously SF 272) Federal Financial Report to NIFA. Formula grantees ARE required to submit an annual SF 425 (previously SF -269), Financial Status Report.

However, formula grantees ARE required to adhere to the Department of Health and Human Services, Payment Management System quarterly reporting requirements (SF 425) for FY 2009 and prior year funds.

- 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).

Table of Contents

PART I—FUNDING OPPORTUNITY DESCRIPTION.....	6
A. Legislative Authority and Background.....	6
B. Purpose and Priorities	7
PART II-AWARD INFORMATION.....	7
A. Available Funding.....	7
B. Types of Submission.....	7
C. Project Types.....	8
PART III—ELIGIBILITY INFORMATION.....	8
A. Eligible Applicants	8
B. Cost Sharing or Matching	8
PART IV—SUBMISSION INFORMATION	9
A. Address to Request Formula Grants Opportunity Package	9
B. Content and Form of Formula Grants Opportunity Package Submission.....	10
C. Certifications.....	17
D. Submission Dates and Times.....	17
E. Funding Restrictions	18
F. Other Submission Requirements	18
PART V—SUBMISSION REVIEW REQUIREMENTS	19
PART VI—AWARD ADMINISTRATION.....	19
A. General.....	19
B. Administrative and National Policy Requirements.....	19
C. Expected Program Outputs and Reporting Requirements	20
PART VII—AGENCY CONTACT	21
Appendix A.....	23

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.

State Agricultural Experiment Stations are eligible for funds appropriated under this Act according to the following formula: The previous year's base plus the current year increase as follows: three percent for Federal Administration, 20 percent equally, 26 percent in an amount which bears the same ratio to the total amount to be allotted as the rural population of the State bears to the total rural population of all the States as determined by the last preceding decennial census; 26 percent in an amount which bears the same ratio to the total amount to be allotted as the farm population of the State bears to the total farm population of all the States as determined by the last preceding decennial census; and 25 percent for the Hatch Multistate Research Fund (which is allocated under a separate formula).

In FY 2007, the former CSREES conducted a Grants.gov pilot for the solicitation of one of the Formula Programs, the McIntire-Stennis Cooperative Forestry Program. Under this pilot the institutions were required to submit a SF-424M Application (Cover Page Form), CSREES Supplemental Form, and Key Contacts Form through Grants.gov. Please note that this application package replaced the forms/information solicited each year by the CSREES Office of Extramural Programs and did not duplicate the information being collected under the Current Research Information System (CRIS). CSREES implemented this process for all CSREES Formula Programs in FYs 2008 and 2009 thereafter by NIFA due to the mandated reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA). Under this law, the U.S. Office of Management and Budget (OMB) was required to develop and maintain a public searchable data base for all Federal financial assistance awards, and Federal agencies are required to report specific data elements which will be collected via these applications (e.g., Dun and Bradstreet data Universal Numbering (DUNS) numbers, legal name of institution, legal address, and congressional district). OMB makes this information available at <http://www.usaspending.gov>.

In FY 2011, although NIFA will require both an initial submission (based on the 2010 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act and final submission (based on the actual appropriated amount for FY 2011 and the actual formula distribution for FY 2011), NIFA will not require the following forms in FY 2011 for either submission:

- Standard Form (SF) 424-A, Budget Information for Non-Construction Programs
- Budget Narrative Attachment Form

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

Guidelines for the administration of this program are published as The Administrative Manual for 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 this manual. In 2011, NIFA will be revising this manual and promulgate administrative provisions for this program through rulemaking which includes a public comment period.

The 2010 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act (Pub. L. 111-80) provides \$153,849,163 for this program under the Hatch Act of 1887.

B. Purpose and Priorities

The purpose of this funding is to conduct agricultural research programs at State Agricultural Experiment Stations in the 50 States, American Samoa, the District of Columbia, Guam, Micronesia, Northern Mariana Islands, Puerto Rico, and the Virgin Islands.

PART II-AWARD INFORMATION

A. Available Funding

Subject to any 2011 Continuing Resolutions, funds will be distributed to the institutions on a quarterly basis and according to the amounts allocated in FY 2010. Adjustments will be made to the allocations for FY 2011 once the FY 2011 appropriations are finalized. See Appendix A for the specific allocation.

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.

B. Types of Submission

In FY 2011, pre-award form submissions must be submitted to the Hatch as a “new” application on the www.grants.gov website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system and 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 are due by April 1, 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.

C. Project Types

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

PART III—ELIGIBILITY INFORMATION

A. Eligible Applicants

Applications may be submitted by the State Agricultural Experiment Stations located in the 50 States, American Samoa, District of Columbia, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands in accordance with 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 Mariana Islands, and

the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. ... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.”

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 Authorized Representative (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 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, the Director, or his or her designee, can obtain a login and password.

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. 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-003389**” 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://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

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 “Application for Federal Assistance” to submit a matching waiver request. These forms should be completed in accordance with the instructions accompanying the form on the grants.gov website. The following are the government-wide instructions followed by *agency specific guidelines*, if any, for each data element for each form:

Grant Application Package

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

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

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

Open and complete all of the documents listed in the “Mandatory Documents” box. Complete the SF-424(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.

1. SF424 (R&R) - Cover Page

- **Open** and **complete** document **SF424 (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).
 - *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
 - Enter the number assigned to your organization by the Federal agency. This field is for use when an institution has its own system for tracking application. This field allows the applicant to enter its application identifier on the application. *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 not applicable.

A. State Government

B. County Government

C. City or Township Government

D. Special District Government

E. Regional Organization

F. U.S. Territory

G. Independent School District

H. Public/State Controlled Institution of Higher Education

I. Indian/Native American Tribal Government (Federally Recognized)

J. Indian/Native American Tribal Government (Other than Federally Recognized)

K. Indian/Native American Tribally Designated Organization

L. Public/Indian Housing Authority

M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)

N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)

X. Other (specify in accordance with agency instructions)

- **Box 8** – Type of Application
 - New - application being submitted for the first time or is considered an “initial” application. Check new for the initial 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 10/1/2010- 09/30/2011.*
- **Box 13** - Congressional district of the Applicant Organization - Enter Applicant: Applicant-Enter the applicant's congressional district. Enter the 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 that NIFA anticipates using 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 2010 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** 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 State Research Director or 1890 Administrator, 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 hitting the submit button of the application, the State Research Director or 1890 Administrator, or his or her designee, certifies to the above.*

- **Be sure to click on the “I agree” button.** Although this box is for the AO 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). N/A
- **Box 19** - Authorized Organizational Representative (AOR) - Also known as Signing Official. To be signed by the State Extension Director or 1890 Administrator, or his or her designee, of the applicant organization. Enter the name, title, phone number, e-mail address, and fax number of the State Extension Director or 1890 Administrator, 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 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 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 “HFP”.*
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 initial SF 424 R&R application (i.e., matching waiver requests, Key contacts (via pdf attachment)).*

3. Matching funds Waiver Request (Optional)

This form 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 by grant,
- (b) A statement of the fiscal year(s) for which the waiver is requested,
- (c) A statement of the 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 required,
- (e) Documentation supporting the need for a waiver 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 "Applications for Federal Assistance". 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

C. Certifications

Important Note: By signing the application, Form SF-424(R&R), the applicant is providing the required assurances noted below:

Certifications required by 7 CFR Part 3017, regarding Debarment and Suspension; 7 CFR 3021, Drug-Free Workplace, and 7 CFR Part 3018, regarding Lobbying, and compliance with the provisions of The Administrative Manual for the Administrative Manual for the Hatch (Experiment Station) Act as Amended, as well as 7 CFR 3015, Uniform Federal Assistance Regulations; 7 CFR 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR 3016, Uniform Administration Requirements for Grants and Cooperative Agreements to States and Local Governments; and OMB Circulars A-21, Cost Principles for Educational Institutions (now codified at 2 CFR Part 220), and A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations (now codified at 2 CFR Part 215). If the project will involve a subcontractor or consultant, the subcontractor and/or consultant should submit a Form AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions, to the grantee organization for retention in their records. This form should not be submitted to USDA.

D. Submission Dates and Times

The application package containing an "Application for Federal Assistance," Form SF-424 (R&R) and the NIFA Supplemental Information Form should be submitted online at the www.grants.gov website by COB on January 13, 2011 (5:00 p.m. Eastern Time).

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

If an applicant has not received an acknowledgment within 60 days of the submission, the applicant must contact the Agency contact (see Part VII) immediately and ask for the application number assigned to the application. Failure to do so may result in the application not being processed and funding being held. Once the application has been assigned an application number, this number should be cited on all future correspondence. CRIS forms should be submitted online at the web address: <http://cwf.uvm.edu/cris> The Project Outline should be submitted in a Word or PDF file to: jhammond@nifa.usda.gov. The 5-Year Plan of Work Update for FY 2012-2016 and Annual Report of Accomplishments and Results should be submitted online at the web address: <http://pow.nifa.usda.gov> and both are due April 1, 2011.

E. Funding Restrictions

(1) Approved NIFA Hatch Projects

Hatch Federal funding must be used on approved Hatch projects including Hatch Multistate Research Fund (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 Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. ... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.”

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.

(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 formula grant expenditures.

F. Other Submission Requirements

Project information for the Hatch projects should 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 (NIFA-2008)*
- 6) Accomplishments Report (AD-421)
- 7) Financial and Staff Support Report (AD-419)

*Submitted at project initiation.

Plan of Work reporting requirements should be 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 FY 2012-2016 and the Annual Report of Accomplishments and Results. These reports are due April 1, 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 are due by April 1, 2011 for fiscal year 2010.

PART V—SUBMISSION REVIEW REQUIREMENTS

The Planning, Accountability, and Reporting Staff and the OGFМ 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 OGFМ 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 be released on a quarterly basis. The OGFМ Formula Grants Branch will notify the institutions when all requirements have been met or approved.

B. Administrative and National Policy Requirements

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

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

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

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

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

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

7 CFR Part 3017 — USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement).

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).

C. Expected Program Outputs and Reporting Requirements

Institutions are expected to submit an annual Program of Research, a listing of all approved Hatch projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each Hatch 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 OGF on December 31, 2011, 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 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) 690-3002; E-mail: formulagrantsquestions@nifa.usda.gov.

For questions regarding Hatch projects and the Hatch Program, please contact: please contact: Dr. H.J. Rick Meyer, National Program Leader, Division of Plant Systems - Protection, NIFA/USDA, Stop 2220, 1400 Independence Avenue, SW, Washington, DC 20250-2220; Telephone: (202) 401 - 4891; Fax: (202) 401 - 4888; E-mail: hmeyer@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 20250-2250; Telephone: (202) 690-0009; Fax: (202) 690-0634; E-mail: cris@nifa.usda.gov.

For questions relating to the 5-Year Plan of Work Update for FY 2012-2016 or the Annual Report of Accomplishments and Results, please contact Bart Hewitt, Planning, Accountability and Reporting Staff, NIFA/USDA, Stop 2214, 1400 Independence Avenue, SW, Washington, DC 20250-2214; Telephone: (202) 720-0747; Fax: (202) 720-4730; E-mail: bhewitt@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

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.

FY 2011 - Distribution of Funds to the State Agricultural Experiment Stations

Authorized under the Hatch Act, as amended August 11, 1955

(Award #2011-31100 (Regular))

FY 2011 Initial FGO

Appendix A

State	Grant Number	Initial 2011 Hatch Allocation
Auburn University	2011-31100-06001	\$3,520,360
University of Alaska	2011-31100-06002	961,125
American Samoa Community College	2011-31100-06003	798,407
University of Arizona	2011-31100-06004	1,350,016
University of Arkansas	2011-31100-06005	3,000,876
University of California	2011-31100-06006	4,155,772
Colorado State University	2011-31100-06008	1,879,280
University of Connecticut-New Haven	2011-31100-07609	726,889
University of Connecticut-Storrs	2011-31100-06009	726,888
University of Delaware	2011-31100-06010	1,029,911
University of the District of Columbia	2011-31100-06011	673,985
University of Florida	2011-31100-06012	2,664,855
University of Georgia	2011-31100-06013	3,995,563
University of Guam	2011-31100-06057	834,412
University of Hawaii	2011-31100-06015	1,012,715
University of Idaho	2011-31100-06016	1,729,220
University of Illinois	2011-31100-06017	4,984,283
Purdue University	2011-31100-06018	4,681,804
Iowa State University	2011-31100-06019	4,909,264
Kansas State University	2011-31100-06020	2,984,377
University of Kentucky	2011-31100-06021	4,698,864
Louisiana State University	2011-31100-06022	2,737,048
University of Maine	2011-31100-06023	1,510,290
University of Maryland	2011-31100-06024	2,009,539
University of Massachusetts	2011-31100-06025	1,708,252
Michigan State University	2011-31100-06026	4,701,208
College of Micronesia	2011-31100-06007	857,852
University of Minnesota	2011-31100-06027	4,625,104
Mississippi State University	2011-31100-06028	3,482,210
University of Missouri	2011-31100-06029	4,520,748
Montana State University	2011-31100-06030	1,652,882

University of Nebraska	2011-31100-06031	2,769,570
University of Nevada	2011-31100-06032	956,771
University of New Hampshire	2011-31100-06033	1,221,750
Rutgers University	2011-31100-06034	1,693,746
New Mexico State University	2011-31100-06035	1,383,555
Cornell University	2011-31100-06036	3,950,282
Cornell University-Geneva	2011-31100-03619	438,920
North Carolina State University	2011-31100-06037	5,836,754
North Dakota State University	2011-31100-06038	1,979,911
Northern Marianas College	2011-31100-06095	788,157
Ohio State University	2011-31100-06039	5,626,736
Oklahoma State University	2011-31100-06040	2,899,714
Oregon State University	2011-31100-06041	2,219,225
Pennsylvania State University	2011-31100-06042	5,399,989
University of Puerto Rico	2011-31100-06093	3,288,182
University of Rhode Island	2011-31100-06044	935,458
Clemson University	2011-31100-06045	3,034,085
South Dakota State University	2011-31100-06046	2,100,949
University of Tennessee	2011-31100-06047	4,421,201
Texas A&M University	2011-31100-06048	6,148,176
Utah State University	2011-31100-06049	1,202,859
University of Vermont	2011-31100-06050	1,273,341
University of the Virgin Islands	2011-31100-06058	813,099
Virginia Polytechnic Inst. & State U.	2011-31100-06051	3,775,415
Washington State University	2011-31100-06053	2,450,561
West Virginia University	2011-31100-06054	2,330,555
University of Wisconsin	2011-31100-06055	4,645,405
University of Wyoming	2011-31100-06056	1,140,798
Total Payment to States		<u>\$ 153,849,163</u>
Federal Administration		4,722,936
Small Business Admin		3,966,927
Biotech Risk Assessment		\$860,974
CRIS/NIMSS		<u>0</u>
Total Appropriation		<u><u>\$ 163,400,000</u></u>