

# **The Hatch Act of 1887 (Multistate Research Fund)**

---

***FY 2014 Request for Applications***

**APPLICATION DEADLINE February 28, 2014**



**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)**

**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 **5:00 p.m. Eastern Time on February 28, 2014**. Comments regarding this request for applications (RFA) are requested within 6 months from the issuance of this notice. Comments received after that date will be considered to the extent practicable.

**STAKEHOLDER INPUT:** The National Institute of Food and Agriculture (NIFA) requests your comments about this RFA. We will consider the comments when we develop the next RFA for the program, if applicable, and we'll use them to meet the requirements of section 103(c)(2) of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613(c)(2)). Submit written stakeholder comments by the deadline set forth in the DATES portion of this Notice to: Policy and Oversight Division, 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: [policy@nifa.usda.gov](mailto:policy@nifa.usda.gov). (This e-mail address is intended only for receiving comments regarding this RFA and not requesting information or forms.) In your comments, please state that you are responding to the Hatch Act of 1887 Multistate Research Fund RFA.

**EXECUTIVE SUMMARY:** NIFA requests applications for the Hatch Act of 1887 Multistate Research Fund (Hatch MRF) for fiscal year FY 2014 to support agricultural research by institutions within a State and by institutions in multiple States to solve problems that concern more than one State.

NIFA is currently operating under temporary appropriations as part of the Continuing Resolution (CR) providing funds through January 15, 2014. Based on the current CR, NIFA anticipates the amount available for support of this program in FY 2014 will be approximately \$50,321,528. The specific distributions are included in Appendix A of this RFA. Adjustments will be made to the distributions once the FY 2014 appropriations are finalized.

This notice identifies the objectives for Hatch MRF projects, the eligibility criteria for projects and applicants, and the application forms and associated instructions needed to apply for a Hatch MRF grant.

## Table of Contents

PART I—FUNDING OPPORTUNITY DESCRIPTION.....	4
A. Legislative Authority and Background.....	4
B. Purpose.....	4
PART II—AWARD INFORMATION.....	6
A. Available Funding.....	6
B. Type of Application.....	6
C. Responsible and Ethical Conduct of Research.....	6
PART III—ELIGIBILITY INFORMATION.....	8
A. Eligible Applicants.....	8
B. Cost Sharing or Matching.....	8
PART IV—APPLICATION AND SUBMISSION INFORMATION.....	9
A. Electronic Application Package.....	9
B. Content and Form of Application Submission.....	10
C. Submission Dates and Times.....	12
D. Funding Restrictions.....	12
E. Other Submission Requirements.....	13
PART V—APPLICATION REVIEW REQUIREMENTS.....	14
A. General.....	14
B. Organizational Management Information.....	14
PART VI—AWARD ADMINISTRATION.....	15
A. General.....	15
B. Award Notice.....	15
C. Administrative and National Policy Requirements.....	16
D. Expected Program Outputs and Reporting Requirements.....	19
PART VII—AGENCY CONTACT.....	24
PART VIII—OTHER INFORMATION.....	25
Appendix A - Continuing Resolution (CR).....	26

## **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.

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. Application packages for the Hatch MRF complement, rather than duplicate, the information collected via the Plan of Work (POW) system and REEport, and together satisfy all legislative and regulatory pre-award requirements.

### **B. Purpose**

The purpose of Hatch Act funding is to conduct agricultural research programs at State Agricultural Experiment Stations in the 50 States, the District of Columbia, and the Insular Areas. The specific purpose of Hatch MRF funding is to conduct research by institutions within a State and by institutions in multiple States to solve problems that concern more than one State.

This grant is used to support continuing agricultural research at colleges 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.

## **PART II—AWARD INFORMATION**

### **A. Available Funding**

NIFA is currently operating under temporary appropriations as part of the Continuing Resolution (CR) providing funds through January 15, 2014. Based on the current CR, NIFA anticipates the amount available for support of this program in FY 2014 will be approximately \$50,321,528. Adjustments will be made to program allocations once the FY 2014 appropriations are finalized.

Funds are to be distributed through grants to the institutions on a quarterly basis. In FY 2014, subject to having met the previous year's reporting requirements, the first two quarterly payments will be combined and issued in March, and the latter quarterly payments will be made in subsequent quarters in FY14.

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 is provided.

Awards issued as a result of this RFA will have designated the Automated Standard Applications for Payment System (ASAP), operated by the Department of Treasury's Financial Management Service, as the payment system for funds. For more information see [http://www.nifa.usda.gov/business/method\\_of\\_payment.html](http://www.nifa.usda.gov/business/method_of_payment.html).

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

In FY 2014 submit applications to the Hatch MRF Program as a "new" application.

### **C. Responsible and Ethical Conduct of Research**

Specific research projects funded through Hatch Multistate and reported through AREERA Plan of Work and Annual Report as well as through specific project reporting are subject to the specific terms and conditions described under this section.

The responsible and ethical conduct of research (RCR) is critical for excellence, as well as public trust, in science and engineering. Consequently, we consider education in RCR essential to the preparation of future scientists. In accordance with sections 2, 3, and 8 of 7 CFR Part 3022, institutions that conduct USDA-funded extramural research must foster an atmosphere conducive to research integrity, bear primary responsibility for prevention and detection of research misconduct, and maintain and effectively communicate and train their staff regarding policies and procedures. In the event an application to NIFA results in an award, the Authorized Representative (AR) assures, through acceptance of the award that the institution will comply with the above requirements. Award recipients shall, upon request, make available to NIFA the policies, procedures, and to support the conduct of the training.

Note that the training referred to herein shall be either on-campus or off-campus training. The general content of the ethics training will, at a minimum, emphasize three key areas of research ethics: authorship and plagiarism, data and research integration, and reporting misconduct. Each institution will be responsible for developing its own training system, as schools will need flexibility to develop training tailored to their specific student needs. Grantees should consider the Collaborative Institutional Training Initiative (CITI) program for RCR (<https://www.citiprogram.org/rcrpage.asp>). Typically this RCR education addresses the topics of: Data Acquisition and Management - collection, accuracy, security, access; Authorship and Publication; Peer Review; Mentor/Trainee Responsibilities; Collaboration; Conflict of Interest; Research Misconduct; Human Subject Research; and Use of Animals in Research.

## **PART III—ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

Applications may only be submitted by the State Agricultural Experiment Stations located in the 50 States, American Samoa, 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 provided such organizations are necessary for the conduct of the project. Failure to meet an eligibility criterion by the time of application deadline may result in the application being excluded from consideration or, even though an application may be reviewed, will preclude NIFA from making an award.

### **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.” See Part IV.B.2.b. for information about how to request a waiver.

Section 7404 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—APPLICATION AND SUBMISSION INFORMATION**

### **A. Electronic Application Package**

Only electronic applications may be submitted via Grants.gov to NIFA in response to this RFA. We urge you to submit early to the Grants.gov system. For an overview of the Grants.gov application process see <http://www.grants.gov/web/grants/applicants/grant-application-process.html>.

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

Prior to preparing an application, we recommend that the PD/PI first contact an Authorized Representative (AR, also referred to as Authorized Organizational Representative or AOR)<sup>1</sup> (see B.,1.,d. of this Part to determine if the organization is prepared to submit electronic applications through Grants.gov. If not (e.g., the institution/organization is new to the electronic grant application process through Grants.gov), then the one-time registration process must be completed PRIOR to submitting an application. It can take as long as 2 weeks to complete the registration process so it is critical to begin as soon as possible. In such situations, the AR should go to **“Register” in the top right corner of the Grants.gov web page (or go to <http://www.grants.gov/web/grants/register.html>) for information on registering the institution/organization with Grants.gov.** Item 2. below mentions the “NIFA Grants.gov Application Guide.” Part II.1. of the NIFA Grants.gov Application Guide contains additional explanatory language regarding the registration process.

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

To receive application materials:

1. You must download and install a version of Adobe Reader compatible with Grants.gov to access, complete, and submit applications. For basic system requirements and download instructions, see <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html>. Grants.gov has a test package that will help you determination whether your current version of Adobe Reader is compatible.
2. To obtain the application package from Grants.gov, go to <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>. Under Step 1 click on “Download a Grant Application Package,” and enter the funding opportunity number **USDA-NIFA-HATCH-004420** in the appropriate box and click “Download Package.” From the search results, click “Download” to access the application package.

---

<sup>1</sup> The Authorized Representative (AR) must have the authority to represent and bind the organization for any agreement (i.e., the individual who is authorized to commit the awardee’s time and other resources to the project, to commit the awardee to comply with the terms and conditions of the award instrument including those set out herein, and to otherwise act for or on behalf of the awardee institution or organization).

Contained within the application package is the “NIFA Grants.gov Application Guide.” This guide contains an introduction and general Grants.gov instructions, information about how to use a Grant Application Package in Grants.gov, and instructions on how to complete the application forms.

**If you require assistance to access the application package** (e.g., downloading or navigating Adobe forms) **or submitting the application**, refer to resources available on the Grants.gov website (<http://www.grants.gov/web/grants/applicants/applicant-resources.html>). Grants.gov assistance is also available at:

Grants.gov customer support

800-518-4726 Toll-Free or 606-545-5035

Business Hours: 24 hours a day, 7 days a week. Closed on [federal holidays](#).

Email: [support@grants.gov](mailto:support@grants.gov)

Grants.gov iPortal: Top 10 requested help topics (FAQs), Searchable knowledge base, self-service ticketing and ticket status, and live web chat (available 7 am - 9 p.m. ET). Get help now!

Have the following information available when contacting Grants.gov:

- Funding Opportunity Number (FON)
- Name of agency you are applying to
- Specific area of concern

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

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

You should prepare electronic applications following Parts V and VI of the NIFA Grants.gov Application Guide. This guide is part of the corresponding application package (see Section A. of this Part). The following is **additional information** needed to prepare an application in response to this RFA. **If there is discrepancy between the two documents, the information contained in this RFA is overriding.**

**Note the attachment requirements (e.g., PDF) in Part III section 3. of the guide. ANY PROPOSALS THAT ARE NON-COMPLIANT WITH THE REQUIREMENTS (e.g., content format, PDF file format, file name restrictions, and no password protected files) WILL BE AT RISK OF BEING EXCLUDED FROM NIFA REVIEW. Partial applications will be excluded from NIFA review. We will accept subsequent submissions of an application until close of business on the closing date in the RFA (see Part V, 2.1 of the NIFA Grants.gov Application Guide for further information).**

Grants.gov provides online tools to assist if you do not own PDF-generating software. You will find PDF conversion software at <http://test.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html>.

**For any questions related to the preparation of an application,** review the NIFA Grants.gov Application Guide and the applicable RFA. If assistance is still needed for preparing application forms content, contact:

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

Each grant application must contain a(n):

- “Application for Federal Assistance,” Form SF-424 R&R Cover Sheet
- NIFA Supplemental Information Form.

The NIFA Grants.gov Application Guide includes instructions for additional forms which are not needed for an application in response to this RFA. Only complete and submit the forms associated with the funding opportunity package and as instructed below.

- POC sheet

### **1. SF 424 R&R Cover Sheet**

Information related to the questions on this form is dealt with in detail in Part V, 2. of the NIFA Grants.gov Application Guide. The following are additional instructions.

- Field 1. Type of Submission** – Check “application.”
- Field 8. Type of Application** – Enter “new.”
- Field 15. Estimated Project Funding** – For item a. enter your institution’s FY 2014 allocation as listed in Appendix A to this announcement.
- Field 17. Complete Certification** – The Authorized Representative (AR) is considered to be the Director of the State Agricultural Experiment Station or his or her designee, of the applicant organization. This individual is the person that is to complete this field.

### **2. Supplemental Information Form**

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

- Field 2. Program to which you are applying.** Enter the program code name (i.e., enter “Hatch Programs (Multi-state) and the program code (i.e., enter “HMFP”
- Field 8. Conflict of Interest List.** Do not attach a conflict of interest list. *This field will be used to capture all necessary attachments for this application (i.e., matching waiver requests (via pdf attachment)).*

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

If your institution is applying for a matching funds waiver, prepare a request in PDF format (see Part III section 3. of the guide for attachment requirements). Include the following elements in the request:

- (a) a request to waive matching requirements under this RFA,
- (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 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.

Insert the Waiver request into Field 8 – Conflict of Interest list.

### **C. Submission Dates and Times**

**Instructions for submitting an application are included in Part IV, Section 1.9 of the NIFA Grants.gov Application Guide.**

Applications must be received by Grants.gov by **5 p.m. Eastern Time** on February 28, 2014. Applications received after this deadline will normally not be considered for funding.

**If you have trouble submitting an application to Grants.gov, you should FIRST contact the Grants.gov Help Desk to resolve any problems. Keep a record of any such correspondence. See Part IV. A. for Grants.gov contact information.**

We send email correspondence to the AR regarding the status of submitted applications. Therefore, applicants are strongly encouraged to provide accurate e-mail addresses, where designated, on the SF-424 R&R Application for Federal Assistance.

If the AR has not received correspondence **from NIFA** regarding a submitted application within 30 days of the established deadline, contact the Agency Contact identified in Part VII of the applicable RFA and request the proposal 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 a proposal number, this number should be cited on all future correspondence.**

### **D. Funding Restrictions**

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

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

**(2) Matching Funds**

See Part III, B. for additional information.

**E. Other Submission Requirements**

**You should follow the submission requirements noted in Part IV, section 1.9 in the document entitled “NIFA Grants.gov Application Guide.”**

For information about the status of a submitted application, see Part III., section 6. of the NIFA Grants.gov Application Guide.

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

### **A. General**

The Planning, Accountability, and Reporting Staff and the Office of Grants and Financial Management (OGFM) Capacity Grants Branch will be reviewing submitted documents to determine if all program, financial, and administrative requirements have been met and are current.

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

Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis. This requirement is part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. We will provide you copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors that may exclude an applicant from receiving federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information).

## **PART VI—AWARD ADMINISTRATION**

### **A. General**

All current program and administrative requirements must be met by the eligible institution, before funds will be distributed. The OGFMC Capacity Grants Branch will notify the institutions when all requirements have been met or approved.

Within the limit of funds available for such purpose, the NIFA awarding official shall make grants to those responsible, eligible applicants. All funds granted by NIFA under this RFA may be used only for the purpose for which they are granted in accordance with the approved application and budget, regulations, terms and conditions of the award, applicable federal cost principles, USDA assistance regulations (parts 3015 and 3019 of 7 CFR).

### **B. Award Notice**

The award document will provide pertinent instructions and information including, at a minimum:

- (1) Legal name and address of performing organization or institution to whom the director has issued an award under the terms of this request for applications;
- (2) Title of project;
- (3) Name(s) and institution(s) of PDs chosen to direct and control approved activities;
- (4) Identifying award number and the Federal Agency Identification Number assigned by NIFA;
- (5) Project period, specifying the amount of time NIFA intends to support the project without requiring recompetition for funds;
- (6) Total amount of financial assistance approved for the award;
- (7) Legal authority(ies) under which the award is issued;
- (8) Appropriate Catalog of Federal Domestic Assistance (CFDA) number;
- (9) Applicable award terms and conditions (see <http://www.nifa.usda.gov/business/awards/awardterms.html> to view NIFA award terms and conditions);
- (10) Approved budget plan for categorizing allocable project funds to accomplish the stated purpose of the award; and

(11) Other information or provisions deemed necessary by NIFA to carry out its respective awarding activities or to accomplish the purpose of a particular award.

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

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

2 CFR Part 220—Cost Principles for Educational Institutions (OMB Circular A-21).

2 CFR Part 225—Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87).

2 CFR Part 230—Cost Principles for Non-profit Organizations (OMB Circular A-122).

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, A-87, and A-122, now codified at 2 CFR Parts 220, 225 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 3016—USDA Implementation of Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

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

7 CFR Part 3018—USDA implementation of Restrictions on Lobbying. Imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of federal contracts, grants, cooperative agreements, and loans.

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 (2 CFR Part 215).

7 CFR Part 3021—USDA Implementation of Governmentwide Requirements for Drug-Free Workplace (Grants).

7 CFR Part 3022—Research Institutions Conducting USDA-Funded Extramural Research; Research Misconduct.

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

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

7 CFR 3430—Competitive and Noncompetitive Non-formula Financial Assistance Programs-- General Award Administrative Provisions.

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).

### **Administrative Guidelines**

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 RFA supersede policies and procedures identified in this manual.

### **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.

In July 2012, the System for Award Management (SAM), a new system that combines eight federal procurement systems, including the Central Contractor Registry (CCR), and the Catalog of Federal Domestic Assistance (CFDA) into one new system, was implemented. The CCR activities are now being conducted through SAM (the CCR website will redirect users to SAM). Those organizations that need to register are to now visit <https://www.sam.gov/sam/>. Those organizations that already have a CCR registration are to visit the SAM website and should note the following:

- You'll create a new SAM User ID and Password.
- Your CCR permissions will be verified via your email account.

- Your CCR registration information (Entity Information) will be waiting for you in SAM.

### **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. The CCR activities are now being conducted through SAM (see above).
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”).

### **Federal Agency Identification Number (FAIN)**

A Federal Agency Identification Number (FAIN) is a unique number federal agencies assign to federal financial assistance awards. NIFA assigns a FAIN to each award and includes it in block 8. of the award document (NIFA-2009). Awardees must document the assigned FAIN on each subaward under the Federal award.

### **Assurance Regarding Felony Conviction or Tax Delinquent Status for Corporate Awardees**

Awards resulting from this RFA are subject to the provisions contained in the Consolidated and Further Continuing Appropriations Act, 2013, Pub. L. No. 113-6, Division A, Title VII, Sections 732 and 733 regarding corporate felony convictions and corporate federal tax delinquencies. Accordingly, by accepting an award the recipient acknowledges that it: (1) does not have a tax delinquency, meaning that it is not subject to any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, and (2) has not been convicted (or had an officer or agent acting on its behalf convicted) of a felony criminal violation under any Federal or State law within 24 months preceding the award, unless a suspending and debarment official of the United States Department of Agriculture has considered suspension or debarment of the recipient corporation, or such officer or agent, based on these convictions and/or tax delinquencies and determined that suspension or debarment is not necessary to protect the interests of the Government. If the recipient fails to comply with these provisions, NIFA will annul this agreement and may recover any funds the recipient has expended in violation of sections 732 and 733.

### **Responsible and Ethical Conduct of Research**

Please refer to Part II, C. for more information.

### **Research Misconduct**

All research awards issued by NIFA are subject to 7 CFR 3022, "USDA Research Misconduct Regulations for Extramural Research," (75 FR 49357); USDA's implementation of the Federal Policy on Research Misconduct published at 65 FR 76260. In accordance with §3022.2, §3022.3 and §3022.8, institutions that conduct extramural research funded by USDA must foster an atmosphere conducive to research integrity, bear primary responsibility for prevention and detection of research misconduct, and are to maintain and effectively communicate, including training, to their staff regarding policies and procedures relating to research misconduct. Grant recipients shall, upon request, make available to NIFA the policies and procedures as well as documentation to support the conduct of the training.

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

### **1. Reporting**

The Plan of Work Update for FY 2015-2019 and Annual Report of Accomplishments and Results for FY 2013 are due by April 1, 2014 and should be submitted online through the NIFA Reporting Portal at the web address: <http://portal.nifa.usda.gov/portal>.

Details of annual and final technical reporting requirements also are included on the NIFA web site at [http://www.nifa.usda.gov/business/pp\\_formula\\_grants.html](http://www.nifa.usda.gov/business/pp_formula_grants.html). The following is a description of the REEport and the SF-425 reporting requirements.

Institutions must submit a REEport Project Initiation which includes the Project Description; Project Classification; Assurance Form; and Project Proposal through the REEport 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 REEport Progress Report, annually for each eligible project. All Progress from institutions are based on a fiscal year and shall be submitted by March 1, 2014 for the preceding fiscal year.

A Final Report 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 annually by February 1.

Financial reporting via the SF-425, Federal Financial Report for FY 2014 is due to the Capacity Grants Branch of OGF on December 31, 2014, for the period October 1, 2013, through September 30, 2014, 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.

## **2. 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 <https://www.sam.gov/sam/>.

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.

## **PART VII—AGENCY CONTACT**

For questions regarding Hatch MRF projects and the Hatch MRF Program, please contact:  
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), or Dr. Lakshmi Matukumalli, National Program Leader, Division of Animal Systems, NIFA/USDA, Stop 2240, 1400 Independence Avenue, SW, Washington, DC 20250-2240; Telephone: (202) 401 1766; Fax: (202) 401-1782; E-mail: [lmatumalli@nifa.usda.gov](mailto:lmatumalli@nifa.usda.gov).

For questions relating to the completion of the grants.gov forms please contact: Brenda Barnett, OGF, 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 REEport forms and submissions, please contact the Planning, Accountability, and Reporting Staff, USDA/NIFA, Stop 2213, 1400 Independence Avenue, SW, Washington, DC 20250-2213; Telephone: (202) 690-0009; E-mail: [reeport@nifa.usda.gov](mailto:reeport@nifa.usda.gov).

For questions relating to the 5-Year Plan of Work Update for FYs 2015-2019 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](mailto:pow@nifa.usda).

## **PART VIII—OTHER INFORMATION**

The USDA NIFA home page for the Hatch Multistate is:

<http://www.nifa.usda.gov/business/awards/formula/hatch.html>.

**UNITED STATES DEPARTMENT OF AGRICULTURE  
National Institute of Food and Agriculture**

**FY 2014 - Distribution of Funds to the State Agricultural Experiment Stations  
Authorized under the Hatch Act, as amended August 11, 1955  
(Award #2014-31200 (Multistate))**

**Appendix A - Continuing Resolution (CR)**

<b>Institution</b>	<b>State</b>	<b>Grant Number</b>	<b>CR FY 2014 Allocation</b>	<b>CR FY 2014 Required Match</b>
Auburn University	AL	2014-31200-06001	\$ 1,071,935	\$ 1,074,656
University of Alaska	AK	2014-31200-06002	\$ 173,156	\$ 187,680
American Samoa Community College	AS	2014-31200-06003	\$ 26,286	\$ 13,143
University of Arizona	AZ	2014-31200-06004	\$ 915,554	\$ 992,347
University of Arkansas	AR	2014-31200-06005	\$ 882,482	\$ 941,833
University of California	CA	2014-31200-06006	\$ 1,985,959	\$ 2,003,460
Colorado State University	CO	2014-31200-06008	\$ 1,245,174	\$ 1,215,214
University of Connecticut-New Haven	CT	2014-31200-07609	\$ 165,537	\$ 176,472
University of Connecticut-Storrs	CT	2014-31200-06009	\$ 432,075	\$ 460,620
University of Delaware	DE	2014-31200-06010	\$ 447,039	\$ 476,573
University of the District of Columbia	DC	2014-31200-06011	\$ 129,062	\$ 137,589
University of Florida	FL	2014-31200-06012	\$ 890,418	\$ 854,290
University of Georgia	GA	2014-31200-06013	\$ 1,543,310	\$ 1,186,346
University of Guam	GU	2014-31200-06057	\$ 148,264	\$ 74,132
University of Hawaii	HI	2014-31200-06015	\$ 464,270	\$ 503,211
University of Idaho	ID	2014-31200-06016	\$ 721,838	\$ 782,383
University of Illinois	IL	2014-31200-06017	\$ 1,279,794	\$ 1,329,580
Purdue University	IN	2014-31200-06018	\$ 1,036,469	\$ 1,120,568
Iowa State University	IA	2014-31200-06019	\$ 2,103,793	\$ 1,422,620
Kansas State University	KS	2014-31200-06020	\$ 952,900	\$ 1,030,219
University of Kentucky	KY	2014-31200-06021	\$ 1,248,347	\$ 1,076,163
Louisiana State University	LA	2014-31200-06022	\$ 832,983	\$ 889,004
University of Maine	ME	2014-31200-06023	\$ 622,863	\$ 664,012
University of Maryland	MD	2014-31200-06024	\$ 783,718	\$ 835,495
University of Massachusetts	MA	2014-31200-06025	\$ 765,017	\$ 815,558
Michigan State University	MI	2014-31200-06026	\$ 1,181,347	\$ 1,179,898
University of Minnesota	MN	2014-31200-06027	\$ 1,087,608	\$ 1,175,856

Mississippi State University	MS	2014-31200-06028	\$ 1,018,248	\$ 1,086,729
University of Missouri	MO	2014-31200-06029	\$ 971,614	\$ 1,050,451
Montana State University	MT	2014-31200-06030	\$ 808,414	\$ 876,220
University of Nebraska	NE	2014-31200-06031	\$ 1,102,574	\$ 1,192,037
University of Nevada	NV	2014-31200-06032	\$ 442,627	\$ 479,753
University of New Hampshire	NH	2014-31200-06033	\$ 447,972	\$ 477,568
Rutgers University	NJ	2014-31200-06034	\$ 1,412,482	\$ 965,110
New Mexico State University	NM	2014-31200-06035	\$ 486,996	\$ 527,844
Cornell University	NY	2014-31200-06036	\$ 1,278,047	\$ 1,285,152
Cornell University-Geneva	NY	2014-31200-03619	\$ 699,711	\$ 496,508
North Carolina State University*	NC	2014-31200-06037	\$ 1,458,934	\$ 1,541,045
North Dakota State University	ND	2014-31200-06038	\$ 732,140	\$ 791,545
Ohio State University	OH	2014-31200-06039	\$ 1,178,657	\$ 1,274,293
Oklahoma State University	OK	2014-31200-06040	\$ 724,089	\$ 772,787
Oregon State University	OR	2014-31200-06041	\$ 1,144,984	\$ 1,241,021
Pennsylvania State University	PA	2014-31200-06042	\$ 1,513,771	\$ 1,570,296
University of Puerto Rico	PR	2014-31200-06093	\$ 896,623	\$ 448,312
University of Rhode Island	RI	2014-31200-06044	\$ 463,871	\$ 494,517
Clemson University	SC	2014-31200-06045	\$ 831,572	\$ 887,498
South Dakota State University	SD	2014-31200-06046	\$ 738,376	\$ 798,287
University of Tennessee	TN	2014-31200-06047	\$ 1,030,976	\$ 1,100,314
Texas A&M University	TX	2014-31200-06048	\$ 1,466,561	\$ 1,565,193
Utah State University	UT	2014-31200-06049	\$ 899,386	\$ 904,370
University of Vermont	VT	2014-31200-06050	\$ 392,797	\$ 418,747
University of the Virgin Islands	VI	2014-31200-06058	\$ 144,252	\$ 72,126
Virginia Polytechnic Inst. & State U.	VA	2014-31200-06051	\$ 943,293	\$ 1,006,734
Washington State University	WA	2014-31200-06053	\$ 1,472,354	\$ 1,156,567
West Virginia University	WV	2014-31200-06054	\$ 652,786	\$ 695,912
University of Wisconsin	WI	2014-31200-06055	\$ 1,185,224	\$ 1,119,221
University of Wyoming	WY	2014-31200-06056	\$ 644,999	\$ 699,099
Total Payment to States**			\$ 50,321,528	\$ 49,614,178

\*Includes allocation for the Approved Excellence in Multistate Research Award Funds

\*\*FY 2014 Appropriation subject to change