

# **Joint Cooperative Extension Programs at 1862 Land-Grant Institutions and University of the District of Columbia Public Postsecondary Education Reorganization Act Program**

**(FY) 2021 Request for Applications**

**APPLICATION DEADLINE: October 1, 2020**



United States  
Department of  
Agriculture

National Institute  
of Food and  
Agriculture

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

**JOINT COOPERATIVE EXTENSION PROGRAMS AT 1862 LAND-GRANT INSTITUTIONS AND UNIVERSITY OF THE DISTRICT OF COLUMBIA PUBLIC POSTSECONDARY EDUCATION REORGANIZATION ACT PROGRAM**

**INITIAL ANNOUNCEMENT**

**ASSISTANCE LISTING** formerly known as the Catalog of Federal Domestic Assistance (CFDA): This program is listed in the Federal Assistance Listing under **10.511**.

**DATES:** Applications must be received by **5:00 p.m. Eastern Time on October 1, 2020**. Comments regarding this request for applications (RFA) are requested within six 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) seeks your comments about this RFA. We will consider all comments when we develop the next RFA for the program, if applicable, and we will use the input 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\(c\)\(2\)\)](#). Applicants may submit written comments to [Policy@usda.gov](mailto:Policy@usda.gov) (email is for comments only). This email address is intended only for receiving comments regarding this RFA and not for requesting information or forms. In your comments, state that you are responding to the **Joint Cooperative Extension Programs at 1862 Land-Grant Institutions and University of the District of Columbia Public Postsecondary Education Reorganization Act Program RFA**.

**EXECUTIVE SUMMARY:** NIFA requests applications for both the Cooperative Extension Programs at 1862 Land-Grant Institutions authorized under the Smith-Lever Act section 3(b) and (c) (SLBC) and the University of the District of Columbia Public Postsecondary Education Reorganization Act Program (DCPPER) for fiscal year 2021 to develop practical applications of research knowledge; instructions and practical demonstrations of existing or improved practices or technologies in agriculture; uses of solar energy with respect to agriculture, home economics, and rural energy; subjects relating to persons not attending or resident in 1862 Land-grant Institutions; imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

This RFA is being released prior to the passage of the FY 2021 appropriations. Enactment of continuing resolutions (CR) or an appropriations act may affect the availability or level of funding for this program. NIFA will make adjustments to the allocations once the FY 2021 appropriations are finalized. The amount available for support of this program in FY 2020 was \$304,649,777. Appendix A of this RFA includes specific FY 2020 distributions. NIFA will issue FY 2021 payments subject to the availability of funds and the applicant having met the previous year's reporting requirements. Part III, B, identifies if matching is a requirement and, if so, you should pay particular attention to the matching instructions included in Part IV, B, 4.

This notice identifies the objectives for SLBC and the DCPPERA project/program, the eligibility criteria for projects/program and applicants, and the application forms and associated instructions you need to apply for a SLBC or a DCPPERA grant.

The USDA NIFA home page for the DCPPERA is:

<https://nifa.usda.gov/program/district-columbia-public-postsecondary-education-reorganization-act-program-cooperative>.

The USDA NIFA home page for the SLBC is:

<https://nifa.usda.gov/program/smith-lever-act-capacity-grant>.

## 2021 Updates

1. NIFA is continuing the pilot submission of a SF424a budget with budget narrative within FY 2021 capacity applications. It is NIFA's intention to provide capacity grantees with feedback from the pilot and to require capacity grantees (with the exception of EFNEP grantees, who already have budget submission requirements) to submit high level capacity grant budgets with their grant applications in FY 2022, dependent on the results of the budget pilot conducted in FY 2020 and FY 2021. The SF424a is available on grants.gov and the NIFA grants.gov application guide has been updated with detailed instructions for completion requirements. For more information on the budget pilot, including the answers to frequently asked questions for applicants choosing to participate in the pilot, please visit the [NIFA website](#).
2. NIFA OGFMM is offering Smith-Lever, Hatch, 1890 Extension, 1890 Research, McIntire-Stennis, Animal Health Disease Research and Renewable Resource Extension Act grantees the opportunity to participate in the continued pilot by submitting a SF424a budget with budget narrative within their FY 2021 applications. If you are participating in the FY 2021 budget pilot, you are required to provide information on the source of match on the SF424a Section C, along with a description in the accompanying budget narrative. Therefore, you do not need to provide an additional source of match document with your application.
3. As described in the FY 2020 RFA, the five percent retirement cap applies to FY 2020 awards and forward; it is NOT retroactive. The authority to pay for the retirement of land-grant college employees is found in 7 U.S.C. 331. NIFA's Office of General Counsel has advised based on the language and legislative history associated with 7 U.S.C. 331, Section 331 applies to Acts supplementary to the First Morrill Act and to programs authorized under authorities that specifically provide for the application of section 331. Therefore, the five percent retirement cap applies to Smith-Lever, Smith-Lever special needs, DCPPERA, Hatch, 1890 Extension, 1890 Research, and Animal Health grants. This includes grants in Puerto Rico, US Virgin Islands, Guam, American Samoa, Northern Marianas, and Micronesia. The retirement cap does NOT apply to the following programs: McIntire-Stennis, 1890 Facilities, RREA, EFNEP and Tribal College Endowment.
4. **ezFedGrants** - NIFA will publish the RFA on its website. You will continue to apply through grants.gov and your application will automatically be downloaded into **ezFedGrants**.

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

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

Sections 3(b) and 3(c) of the Smith-Lever Act (program referred to SLBC hereafter), codified at [7 U.S.C. 341-349](#), provides funding for agricultural extension programs at 1862 Land-grant universities. according to the following formula:

1. Out of each annual allocation, each State will be entitled to receive a sum of money equal to the sums available from federal cooperative extension funds for the fiscal year 1962, and subject to the same requirements as to furnishing of equivalent sums by the State, except that amounts heretofore made available to the Secretary for allotment on the basis of special needs shall continue to be available for use on the same basis.
2. Further, the University of Guam and the University of the Virgin Islands will receive \$100,000 each in addition to the sums appropriated for the several States of the United States and Puerto Rico under the provisions of sections 3(b) and 3(c) of the Smith-Lever Act.
3. Of the remainder so appropriated for each fiscal year 20 per cent will be paid to the several states in equal proportions, 40 per cent will be paid to the several states in the proportion that the rural population of each bears to the total rural population of the several states as determined by the census, and the balance will be paid to the several states in the proportion that the farm population of each bears to the total farm population of the several states as determined by the census.
4. Any appropriation made under sections 3(b) and 3(c) of the Smith-Lever Act will be allotted in the first and succeeding years on the basis of the decennial census current at the time the appropriation is first made, and as to any increase, on the basis of decennial census current at the time such increase is first appropriated.

[Section 208 of the District of Columbia Public Postsecondary Education Reorganization Act](#) provides, in pertinent part, that “[i]n the administration of the Act of May 8, 1914 ([7 U.S.C. 341-346, 347a-349](#)) (known as the Smith-Lever Act)... the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 ([7 U.S.C. 301-305, 307, 308](#)); and... the term “State” as used in such Act of May 8, 1914, shall include the District of Columbia, except that the District of Columbia shall not be eligible to receive any sums appropriated under section 3 of such Act... In lieu of an authorization of appropriations for the District of Columbia under section 3 of such Act of May 8, 1914, there is authorized to be appropriated such sums as may be necessary to provide cooperative agricultural extension work in the District of Columbia under such Act. Any reference in such Act (other than section 3 thereof) to funds appropriated under such Act shall in the case of the District of Columbia be considered a reference to funds appropriated under this subsection.”

Section 7220 of Public Law number 107-171, Farm Security and Rural Investment Act of 2002, dated May 13, 2002, terminated the Schedule A appointment authority of USDA under the Smith-Lever Act, which provided dual State-Federal appointments and certain Federal benefits to Cooperative Extension Service (CES) agents, including the CSRS and FERS Retirement Programs and Federal Employees' Compensation Act (FECA) benefits under the Workers' Compensation Program. As a result, payments to Department of Labor's (DOL) Federal Office of Workers' Compensation Programs (OWCP) on behalf of former Schedule A

CES agents were discontinued, with the exception of disability claims filed with OWCP prior to May 13, 2002. Beginning in Fiscal Year (FY) 2005, NIFA announced that the separate allocation of funds for the retirement programs would be phased out over a 10-year period. The amount available for these programs was reduced each year by \$1,473,658 and the same amount was added to the funds available for distribution under the Smith-Lever Section 3(b) and (c) statutory formula. In addition to retirement funding, funds allocated to the retirement programs were used to pay the 1862 Land-grant institutions' share of Workers' Compensation claims directly to OWCP. The final year for separate CSRS allocations was 2015 and the final year for FERS allocations was 2016.

Prior to the termination of the CSRS and FERS Retirement Programs, NIFA paid Workers' Compensation claims on behalf of the 1862 institution and charged the institution by reducing its annual retirement allocation by the amount remitted to OWCP. If the amount of OWCP claims exceeded the 1862 institution's annual retirement allocation, NIFA billed the institution for the difference. NIFA is no longer providing a separate allocation of funds for the retirement of former Schedule A employees and, therefore, will not have a mechanism for deducting OWCP charges from CSRS allocations.

Starting in FY 2018, NIFA will continue to pay the Workers' Compensation benefits of the former Schedule A employees directly to DOL and will charge the 1862 institution by reducing its annual allocation under the Smith-Lever section (b) and (c) statutory formula.

## **B. Purpose**

The purpose of this funding is to conduct cooperative agricultural extension work. The Joint Cooperative Programs at 1862 Land-Grant Institutions and University of the District of Columbia Postsecondary Education Reorganization Act Program aligns with the USDA Strategic Plan for FY 2018-2022, [USDA Strategic Goals](#) as follows:

1. Ensure USDA programs are delivered efficiently, effectively, and with integrity and a focus on customer service;
2. Maximize the ability of American agricultural producers to prosper by feeding and clothing the world;
3. Promote American agricultural products and exports;
4. Facilitate rural prosperity and economic development;
5. Strengthen the stewardship of private lands through technology and research; and
6. Provide all Americans access to a safe, nutritious and secure food supply.

## **PART II—AWARD INFORMATION**

### **A. Available Funding**

Subject to any FY 2021 Continuing Resolution, NIFA will distribute funds to the institutions according to the amounts allocated in FY 2020. NIFA will adjust the allocations for FY 2021 once appropriations are finalized. The amount available for support of this program in FY 2020 was \$304,649,777.

The Automated Standard Applications for Payment System (ASAP), <https://www.fiscal.treasury.gov/asap/> operated by the Department of Treasury's Bureau of the Fiscal Service, will be the payment system for all NIFA grant awards.

### **Workers' Compensation Payments on Behalf of Former Schedule A CES Agents at 1862 Institutions**

With the exception of disability claims filed with OWCP prior to May 13, 2002, payments to Department of Labor's (DOL) Federal Office of Workers' Compensation Programs (OWCP) on behalf of former Schedule A CES agents are not authorized. NIFA no longer provides a separate allocation of funds for the retirement of former Schedule A employees and, therefore, does not have a mechanism for deducting OWCP charges from CSRS and FERS allocations. NIFA now pays the workers' compensation benefits of the former Schedule A employees directly to OWCP and will charge the 1862 institution by reducing its annual allocation under the Smith-Lever section (b) and (c) statutory formula. Questions regarding OWCP charges and deductions associated with these charges should be directed to [capacitygrantquestions@usda.gov](mailto:capacitygrantquestions@usda.gov).

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

Applications for FY 2021 are limited to "new" applications.

## PART III—ELIGIBILITY INFORMATION

### A. Eligible Applicants

For the **DCPPERA**, RFA applications may only be submitted by the University of the District of Columbia.

**Table 1** lists the names of eligible **1862 Land-Grant Institutions** that are eligible for the SLBC program. 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 have been reviewed, will preclude NIFA from making an award.

**Table 1:** Eligible 1862 Land Grant Institutions

School Name	School Name	School Name	School Name
Auburn University	North Dakota State University	University of Delaware	University of New Hampshire
American Samoa Community College	Northern Marianas College	University of Florida	University of Puerto Rico
Auburn University	Ohio State University	University of Georgia	University of Rhode Island
Clemson University	Oklahoma State University	University of Guam	University of Tennessee
College of Micronesia	Oregon State University	University of Hawaii	University of Vermont
Colorado State University	Pennsylvania State University	University of Idaho	University of the Virgin Islands
Cornell University	Purdue University	University of Illinois	Utah State University
Iowa State University	Rutgers University	University of Kentucky	Virginia Polytechnic Institute and State University
Kansas State University	South Dakota State University	University of Maine	Washington State University
Louisiana State University	Texas A&M University	University of Maryland (College Park)	West Virginia University
Michigan State University	University of Alaska-Fairbanks	University of Massachusetts	West Virginia State University
Mississippi State University	University of Arizona	University of Minnesota	University of Wisconsin
Montana State University	University of Arkansas	University of Missouri	University of Wyoming <i>(As authorized in the Farm Bill).</i>
New Mexico State University	University of California	University of Nebraska	N/A
North Carolina State University	University of Connecticut	University of Nevada-Reno	N/A

Award recipients may subcontract to organizations not eligible to apply provided the subcontracts 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 have been reviewed, will preclude NIFA from making an award.

## **B. Cost Sharing or Matching**

1862 Land-Grant Institutions in the 50 States must match 100 percent of the SLBC funds they receive with funds from non-Federal sources such as State or county appropriations. The matching must be in the form of cash. Matching funds may only be used for extension activities approved in the eligible institution's Five-Year Plan of Work.

Section 3(e)(1) of the Smith-Lever Act codified at [7 U.S.C. 343\(e\)\(1\)](#) states, with regard to institutions in the 50 states, "no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-federal funds for cooperative extension work." However, section 3(e)(4) of the Smith-Lever Act codified at [\(7 U.S.C. 343\(e\)\(4\)](#) provides that "Effective beginning of fiscal year 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-federal sources in an amount equal to but 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 7508 of the Agriculture Improvement Act of 2018 ([Public Law 115-334](#)) reinstated a matching requirement for federal funds used in extension work at the University of the District of Columbia. By stating: Section 209(c) of the District of Columbia Public Postsecondary Education Reorganization Act (Public Law 93-471; sec. 38-1202.09(c), D.C. Official Code) is amended by inserting after the first sentence the fol

extension activities that have been approved in the plan of work required under sections 1445(c) and 1444(d) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, section 7 of the Hatch Act of 1887, and section 4 of the Smith-Lever Act. For all programs, tuition dollars and student fees may not be used as matching funds.”

The matching documentation must include the non-federal sources (specify whether the source is 3rd party, cash, state or non-state, county or non-tax) and amount of all matching support including matching from outside the applicant institution. It must be in PDF format (see Part III, Section 3. of the guide for attachment requirements) and included as a separate attachment to the Attachment Form.

NIFA may consider and approve matching waiver requests under this RFA above the 50 percent level for insular areas. The regulations at 7 CFR 3419.3 and 7 CFR 3419.4 address the criteria an institution must meet to be granted a waiver as well as the process and supporting documentation required for submitting a waiver. See Part IV, B. 4. for additional instructions about how to request a waiver.

## **PART IV—APPLICATION AND SUBMISSION INFORMATION**

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

Submit only electronic applications via Grants.gov to NIFA in response to this RFA. We urge you to submit early to the Grants.gov system. For information about the pre-award phase of the grant lifecycle, see <http://www.grants.gov/web/grants/learn-grants/grants-101/pre-award-phase.html>.

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

Prior to preparing an application, we recommend that the project director/principal investigator (PD/PI) first contact an authorized representative (AR, also referred to as Authorized Organizational Representative or AOR)<sup>1</sup> 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), you must complete the one-time registration process PRIOR to submitting an application. The registration process can take as long as two weeks to complete. It is, therefore, critical to begin the process as soon as possible. To register, the AR should select **“Register” in the top right corner of the Grants.gov web page (or go to <https://www.grants.gov/web/grants/register.html>).**

#### **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 <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. Grants.gov has a test package that will help you determine whether your version of Adobe Reader is compatible.
2. To obtain the application package from Grants.gov, go to <https://www.grants.gov/web/grants/applicants/download-application-package.html> and enter the funding opportunity number:

**Funding Opportunity Number: USDA-NIFA-10511-SLBCDXXX-21-0001**

in the appropriate box and click “Download Package.” From the search results, click “Download” to access the application package. A Grant Application Package is tied to a particular funding opportunity. Applications must be submitted ONLY to the particular funding opportunity to which the Grant Application Package is associated. The application package also contains the “NIFA Grants.gov Application Guide.” This guide contains an introduction and general Grants.gov instructions, additional information about the Grants.gov

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<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).

registration process, 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 (<https://www.grants.gov/web/grants/applicants.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 (see <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>): Top 10 requested help topics (FAQs), searchable knowledge base, self-service ticketing and ticket status, and live web chat (available 7 a.m. - 9 p.m. Eastern Time).

Have the following information available when contacting Grants.gov:

1. Funding opportunity number (FON)
2. Name of agency to which you are applying
3. Specific area of concern

## **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 additional information is needed to prepare an application for 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 the established deadline in the RFA (see Part V, 2.1 of the NIFA Grants.gov Application Guide for further information).

**For any questions related to the preparation of an application**, review the NIFA Grants.gov Application Guide and the applicable RFA. If you need further assistance, contact:

- a. Email: [capacitygrantquestions@usda.gov](mailto:capacitygrantquestions@usda.gov)
- b. Business hours: Monday - Friday, 7 a.m. - 5 p.m. ET, excluding [federal holidays](#).

Each grant application must contain the following:

1. "Application for Federal Assistance," Form SF-424 R&R Cover Sheet (including SF-424a if participating in the Budget Pilot Program)
2. Key Contacts Forms
3. NIFA Supplemental Information Form
4. Attachment Form (including attachments in PDF format)

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

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

Information related to the questions on this form is available in Part V, 2 of the NIFA Grants.gov Application Guide. The following are additional instructions. Please note that new instructions are included below for Field 5. The Organizational Information NIFA has included in Appendix A is based on FY2020 applications received for this program. If your organization intends to submit an application using information other than what appears in Appendix A, please contact us at [capacitygrantquestions@usda.gov](mailto:capacitygrantquestions@usda.gov) prior to submitting your application.

- a. Field 1. Type of Submission** – Check “Application.”
- b. Field 5. Applicant Information**
  - 1. Enter Legal Name of the Applicant as registered in the System for Awards Management which appears in the first column of Appendix A of this RFA.
  - 2. Enter Organizational DUNS as it appears in the second column of Appendix A of this RFA.
  - 3. Enter Department Name of Eligible Recipient, if applicable.
- c. Field 6. Budget** - For participants in the FY 2021 budget pilot, SF 424a Budget. Detailed information related to the information required on the SF 424a Budget form is available in Part V, 6 of the NIFA Grants.gov Application Guide.
- d. Field 8. Type of Application** – Enter “new.”
- e. Field 15. Estimated Project Funding** – For item a, enter your institution’s FY 2020 allocation as listed in Appendix A of this RFA
- f. Field 17. Complete Certification** - See Part V, Section 2.18 of the NIFA Grants.gov Application Guide for the required certifications and assurances (e.g., Prohibition Against Entities Requiring Certain Internal Confidentiality Agreements)

### **2. Key Contacts Form**

Information related to the questions on this form is available in Part VI, 5 of the NIFA Grants.gov Application Guide. These documents must be completed and submitted in PDF format.

- a. Contact 1 Project Role:** Enter the contact information for the State Extension Director
- b. Contact 2 Project Role:** Enter the contact information for the State Extension Director or designee, if applicable.
- c. Contact 3 Project Role:** Enter the contact information for the Business Office Manager/Administrator.
- d. Contact 4 Project Role:** Enter the contact information for the person responsible for drawdowns.

### **3. Supplemental Information Form**

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

- a. Field 2. Program to which you are applying.** Enter the program code name Cooperative Extension Programs at the 1862 Institutions = Smith-Lever 3(b) and 3(c) Formula and program code **SLBC** or enter the program code name District of Columbia Public Postsecondary = DC Public Postsecondary Reorganization Act - and program code **PPERA**
- b. Field 8. Conflict of Interest List.** Do not attach a conflict of interest list.

#### 4. **Attachment Form**

Information related to the questions on this form is available in Part VI, 5 of the NIFA Grants.gov Application Guide. The following are additional instructions.

- a. **Felony Convictions or Tax Delinquent Status** - See Part V, Section 4.12. of the NIFA Grants.gov Application Guide for instructions regarding mandatory Felony Convictions or Tax Delinquent Status. For Capacity programs, this mandatory information must be either included as an attached PDF and identified on the Attachment Form or appropriately answered within the “Reps and Certs” section of your SAM.gov registration.
- b. **Matching Requirement** - If matching funds are required as specified under Part III, B. Cost-Sharing or Matching, the matching is an eligibility criterion and you must include the non-federal source documentation with the application. We will consider this documentation when ascertaining final matching requirements or in determining if required matching can be waived. NIFA retains the right to make final determinations regarding matching requirements.

The matching documentation is to include the non-federal sources (specify the type of match as third party or cash; the source of match state or non-state, county or non-tax; and the amount of match for each source) and the amount of all match support including support from outside the applicant institution. The match information should be in PDF format (see Part III, Section 3. of the guide for attachment requirements) and included as a separate attachment identified on the Attachment Form.

Establish the value of applicant contributions in accordance with applicable cost principles. Refer to 2 CFR Part 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards”, for further guidance and other requirements relating to Matching and allowable costs.

- c. **Matching Funds Waiver Request (Optional)** - If your institution is applying for a matching funds waiver, prepare a request in PDF format for inclusion within your submission and identify on the Attachment Form (see Part III, Section 3. of the guide for attachment requirements). The revised Final Rule 3419, published May 11, 2018, contained information on applications for waivers for the 1862 land-grant institutions in insular areas. Include the following elements in the request:
  - (a) a request to waive matching requirements under this RFA including the name of the eligible institution and the type of Federal capacity funds (i.e. Smith-Lever);
  - (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 that using criteria listed in the revised Final Rule 7 CFR 3419.3: impacts from natural disaster, flood, fire, tornado, hurricane, or drought; state and/or institution facing financial crisis; or lack of matching funds after demonstration of good faith efforts to obtain funds;
  - (e) documentation supporting the need for a waiver. Documentation must be current, within the past two years from the date of the letter requesting the waiver; and
  - (f) the university’s efforts to meet future matching needs.

The documentation must 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. Newspaper articles may be provided as supporting documentation but will not be considered as primary supporting documentation. In requesting the waiver, the institution must consider the availability of all permissible forms of matching in detail.

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

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

Applications must be received by Grants.gov by 5 p.m. Eastern Time on October 1, 2020. Applications received after this deadline will normally not be considered for funding.

In case of 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.

Once NIFA accepts your application, you may check the status of your application in the ezFedGrants portal or by looking in Grants.gov. Please refer to the training tab on the ezFedGrants page to learn how to access ezFedGrants:

[https://www.nfc.usda.gov/FSS/ClientServices/ezFedGrants/.](https://www.nfc.usda.gov/FSS/ClientServices/ezFedGrants/)

If you are not able to validate that NIFA received your application by **November 15, 2020**, contact the Agency Administrative Contact identified in Part VII of this RFA. Failure to do so may result in the application not being processed and funding being held. You should cite your Grants.gov tracking number on all inquiries until an award number is assigned.

### **D. Funding Restrictions**

#### **(1) Program and Extension Activities:**

Smith-Lever Act sections 3(b) and 3(c) federal funding may only be used for extension programs and an activity identified in the institution's approved Five-Year Plan of Work (POW).

**(2) Indirect Costs and Tuition Remission:**

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

**(3) Construction, Land purchases, and Teaching**

Funds cannot be used, directly or indirectly, for the purchase, construction, preservation, or repair of any building or buildings, the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in the Smith-Lever Act.

**(4) Retirement Contributions**

Employer contributions to land-grant college retirement systems are limited to 5 percent of that portion of the salaries paid, under this award, to employees who participate in the system ([7 U.S.C.331](#)) and are subject to the other conditions in 7 U.S.C. 331. Note the 5 percent limitation does NOT apply to any state or individual contribution. Contributions of funds under this award may not exceed the contributions from non-Federal sources made by or on behalf of the individual concerned. See Section VI.H.1 of the NIFA policy guide for additional information.

**(5) Matching:** See Part III, B. for additional information.

**E. Other Submission Requirements**

**You should follow the submission requirements noted in Part III of the 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.

**Dun and Bradstreet Universal Numbering System (DUNS) Number and System for Award Management (SAM)** – each applicant (unless excepted under 2 CFR § 25.110(b) or (c), or has an exception approved by the federal awarding agency under 2 CFR § 25.110(d)) is required to:

- a. be registered in SAM before submitting its application;
- b. provide a valid DUNS number in its application; and
- c. continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency.

If you have not complied with all applicable DUNS and SAM requirements you may be considered unqualified to receive an award.

Your SAM registration information determines your organization ID in the ezFedGrants system, and the information must match your ASAP recipient DUNS and EIN.

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

### **A. General**

NIFA will review the submitted documents to determine if all program, financial and administrative requirements are met and are current.

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

Specific applicant organizational management information shall be submitted on a one-time basis, with updates submitted as needed. If this information has not been submitted under this or another NIFA program, it is the responsibility of the organization to do so for determination of eligibility prior to the award of a grant identified under this RFA.

We will provide you the forms to fulfill these requirements as part of the pre-award process. Although an applicant may be eligible, 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**

Within the limit of funds available for such purpose, the NIFA awarding official shall make grants to those responsible, eligible applicants.

### **B. Award Notice**

The notice of federal award is the authorizing document. The award document contains award provisions and other pertinent information. See Notice of Award section at [Notice of Award](#) for further details.

### **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 may include, but are not limited to, those listed at [USDA/NIFA Federal Regulations](#).

NIFA Federal Assistance Policy Guide—a compendium of basic NIFA policies and procedures applying to all NIFA awards, unless there are statutory, regulatory, or award-specific requirements to the contrary, is available at the [USDA/NIFA Policy Guide](#).

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

Organizations that receive Smith-Lever 3(b) & (c) funding from the National Institute of Food and Agriculture (NIFA), are required to submit the following reports:

1. Fiscal Year (FY) 2022 Plan of Work (POW) update and the
2. FY 2020 Annual Report of Accomplishments and Results.

The FY 2022 Plan of Work (POW) update and the FY 2020 Annual Report of Accomplishments and Results will be due by April 1, 2021. NIFA is building a new integrated reporting portal for research and extension that will affect how the 2020 Annual Report of Accomplishments and Results will be submitted to NIFA. Updated instructions for submitting the 2020 Annual Report to NIFA will be provided at Plan of Work (POW) and REEport Integration. The FY 2022 Plan of Work should be submitted online through the Institutional Profile on the NIFA Reporting Portal.

As of FY 2021, Institutions will initiate Extension programs in the new integrated reporting system, which is scheduled for release on September 30, 2020. The new system may be accessed after September 30, 2020 via this link: <https://nifa.usda.gov/plan-work-pow-and-reeport-integration-institutional-profile>. Additional information about the new system and reporting requirements is provided at Plan of Work (POW) and REEport Integration. To sign-up to receive information, schedules, and updates about the POW-REEport Integration Project, send an email message to [pow@usda.gov](mailto:pow@usda.gov) (link sends e-mail). Insert the following text on the subject line: "Request to Sign Up for POW notifications." You will receive an email confirming your subscription.

The FY 2021 POW update and the FY 2020 Annual Report of Accomplishments and Results will be due by April 1, 2021. These reports should be submitted online through NIFA [NIFA Reporting Portal](#) Portal . In addition, information about the Plan of Work is available at [POW](#).

The additional REEport requirements are completed in the NIFA Reporting Portal [NIFA Reporting Portal](#). These include the following:

1. 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 initiation of each capacity-funded project. The project must undergo a review process and be approved before it is incorporated into the Program of Extension
2. Each institution must submit a REEport Progress Report annually for each eligible project. All Progress Reports are based on the federal fiscal year and must be submitted by March 1, for the preceding fiscal year.
3. A Final Report must be submitted to NIFA through REEport for each completed or terminated project. Such reports must be submitted at the same time as progress reports on active projects and should include a summary of accomplishments for the entire life of the project.
4. A Project Financial Report must be submitted to NIFA through REEport annually for all eligible projects from the preceding fiscal year. A Project Financial Report is also required for expenditures on all state projects to be included in the non-federal funds and matching funds computation. Reports shall be made on the federal fiscal year basis.
5. Financial reporting via the SF-425, Federal Financial Report for FY 2021 is due within the ezFedGrants portal, no later than Dec. 31, 2021, for the period of performance Oct.1, 2020, through September 30, 2021, and annually thereafter until the award is closed. Information on how to access the ezFedGrants portal can be found under the training on the ezFedGrants page [ezFedGrants \(eFG\) Grants and Agreements System](#).

See <https://nifa.usda.gov/program/smith-lever-act-capacity-grant> for additional Smith-Lever reporting requirement details. See <https://nifa.usda.gov/program/district-columbia-public-postsecondary-education-reorganization-act-program-cooperative-cooperative> for additional Postsecondary Education Reorganization Act reporting requirement details.

## **PART VII—AGENCY CONTACTS**

For questions regarding DCPPERA projects/program, please contact:

Bonita Williams, National Program Leader  
Division of Youth and 4-H  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
2312 East Bannister Road  
Mail Stop 10000 (ten thousand)  
Kansas City, MO 64131  
E-mail: [bonita.williams@usda.gov](mailto:bonita.williams@usda.gov)

For questions regarding SLBC projects/program, please contact:

Denis Ebodaghe, National Program Leader  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
6501 Beacon Drive, 5NW047  
Kansas City, MO 64133  
Phone: 202-445-5460  
E-mail: [denis.ebodaghe@usda.gov](mailto:denis.ebodaghe@usda.gov)

Mathieu Ngouajio, National Science Liaison  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
305-A Whitten Building 12th Street, SW, and Jefferson Drive Washington, DC  
Phone: 202-570-1915  
E-mail: [Mathieu.ngouajio@usda.gov](mailto:Mathieu.ngouajio@usda.gov)

For administrative questions relating to the completion of the grants.gov forms please contact.

Linda Cambron  
OGFM/National Institute of Food and Agriculture  
U.S. Department of Agriculture  
2312 East Bannister Road, Mail Stop 10000 (ten thousand)  
Kansas City, MO 64131  
Telephone: 816-926-6015  
Email: [capacitygrantquestions@usda.gov](mailto:capacitygrantquestions@usda.gov)

For questions relating to REEport forms and submissions, please contact the Planning, Accountability and Reporting Staff; Email: [electronic@usda.gov](mailto:electronic@usda.gov).

For questions relating to the 5-Year Plan of Work Update or the Annual Report of Accomplishments and Results, contact Planning, Accountability and Reporting Staff; Email: [pow@usda.gov](mailto:pow@usda.gov).

**APPENDIX A**

UNITED STATES DEPARTMENT OF AGRICULTURE  
 National Institute of Food and Agriculture  
 FY 2020 Distribution of Funds to Eligible Institutions for Extension Activities  
 Authorized under the Smith-Lever Act and the D.C. Postsecondary Education Re-organization Act  
 Appendix A – Final

Recipient Name	DUNS Number	State	Allocation	Required Match
UNIVERSITY OF ALASKA SYSTEMS GRANTS & CONTRACTS	615245164	AK	\$ 1,259,698	\$ 1,259,698
AUBURN UNIVERSITY	066470972	AL	7,426,301	7,426,301
UNIVERSITY OF ARKANSAS SYSTEM UNIVERSITY OF ARKANSAS COOPERATIVEEXTENSION SERVICE	039796771	AR	6,229,838	6,229,838
AMERICAN SAMOA COMMUNITY COLLEGE	854990793	AS	1,712,894	856,447
UNIVERSITY OF ARIZONA GCM CHICAGO	961605172	AZ	2,147,162	2,147,162
REGENTS OF THE UNIVERSITY OF CALIFORNIA, THE DIVISION OF AGRICULTURE AND NATURAL RESOURCES	080668243	CA	8,408,375	8,408,375
COLORADO STATE UNIVERSITY PRESIDENT'S OFFICE AT COLORADO STATE UNIVERSITY	829068126	CO	3,417,724	3,417,724
UNIVERSITY OF CONNECTICUT OFFICE SPONSORED PROGRAMS	614209054	CT	2,321,073	2,321,073
UNIVERSITY OF DELAWARE	059007500	DE	1,411,624	1,411,624
UNIVERSITY OF FLORIDA DIVISION OF SPONSORED RESEARCH	969663814	FL	5,053,698	5,053,698
UNIVERSITY OF GEORGIA OFFICE FOR SPONSORED PROGRAMS	619003127	GA	8,472,093	8,472,093
UNIVERSITY OF GUAM UOG	779908151	GU	1,774,834	887,417
UNIVERSITY OF HAWAII COLLEGE OF TROPICAL AGRICULTURE & HUMAN RESOURCES	930124792	HI	1,455,521	1,455,521
IOWA STATE UNIVERSITY OF SCIENCE IOWA STATE UNIVERSITY	005309844	IA	10,029,848	10,029,848
UNIVERSITY OF IDAHO UNIVERSITY OF IDAHO	075746271	ID	3,001,257	3,001,257
UNIVERSITY OF ILLINOIS BOARD OF TRUSTEES OF THE UNIVERSITY OF ILLINOIS, THE	041544081	IL	10,162,239	10,162,239
PURDUE UNIVERSITY	072051394	IN	9,639,940	9,639,940
KANSAS STATE UNIVERSITY PRE-AWARDS SERVICES	929773554	KS	5,893,602	5,893,602
UNIVERSITY OF KENTUCKY	007400724	KY	9,773,843	9,773,843
LOUISIANA STATE UNIVERSITY SYSTEM LSU AGRICULTURAL CENTER	783201833	LA	5,437,693	5,437,693
UNIVERSITY OF MASSACHUSETTS OFFICE OF GRANT & CONTRACT ADMINISTRATION	153926712	MA	2,849,846	2,849,846
UNIVERSITY OF MARYLAND COLLEGE OF AGRICULTURE AND NATURALRESOURCES	837696475	MD	3,593,026	3,593,026
UNIVERSITY OF MAINE SYSTEM RESEARCH & SPONSORED PROGRAM	186875787	ME	2,555,823	2,555,823
MICHIGAN STATE UNIVERSITY	193247145	MI	9,690,205	9,690,205
UNIVERSITY OF MINNESOTA OFFICE SPONSORED PROJECTS ADMINISTRATION	555917996	MN	9,471,911	9,471,911

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Recipient Name	DUNS Number	State	Allocation	Required Match
MISSOURI SYSTEM UNIVERSITY OF CURATORS OF THE UNIVERSITY OF MISSOURI	153890272	MO	9,583,738	9,583,738
NORTHERN MARIANAS COLLEGE	854851201	MP	1,699,061	849,531
MISSISSIPPI STATE UNIVERSITY	075461814	MS	7,277,365	7,277,365
MONTANA STATE UNIVERSITY SYSTEM MONT ST UNIV/GRANTS & CONTRACT	625447982	MT	2,891,580	2,891,580
NORTH CAROLINA STATE UNIVERSITY	042092122	NC	12,327,423	12,327,423
NORTH DAKOTA STATE UNIVERSITY	803882299	ND	3,571,686	3,571,686
UNIVERSITY OF NEBRASKA BOARD OF REGENTS UNIVERSITY OF NEBRASKA	555456995	NE	5,337,233	5,337,233
UNIVERSITY SYSTEM OF NEW HAMPSHIRE UNH COOPERATIVE EXTENSION	964184584	NH	1,872,556	1,872,556
RUTGERS THE STATE UNIVERSITY OF NEW JERSEY RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY	030501568	NJ	2,848,131	2,848,131
NEW MEXICO STATE UNIVERSITY OFFICE OF SPONSORED PROGRAMS	173851965	NM	2,246,092	2,246,092
U N R UNIVERSITY OF NEVADA, RENO	146515460	NV	1,270,397	1,270,397
CORNELL UNIVERSITY INC OFFICE OF SPONSORED PROGRAMS	872612445	NY	8,886,325	8,886,325
THE OHIO STATE UNIVERSITY O S U EXTENSION	175373752	OH	11,851,128	11,851,128
OKLAHOMA STATE UNIVERSITY	049987720	OK	6,105,401	6,105,401
OREGON STATE UNIVERSITY	053599908	OR	4,125,815	4,125,815
T PENNSYLVANIA STATE UNIVERSITY PENN STATE	003403953	PA	11,121,702	11,121,702
COLLEGE OF MICRONESIA LAND GRANT PR	854812422	PNI	1,855,093	927,547
PUERTO RICO AGRICULTURAL EXTENSION	176086184	PR	7,136,130	3,568,065
UNIVERSITY OF RHODE ISLAND CONTROLLERS OFFICE	144017188	RI	1,191,976	1,191,976
CLEMSON UNIVERSITY	042629816	SC	6,069,656	6,069,656
SOUTH DAKOTA STATE UNIVERSITY	929929743	SD	3,860,807	3,860,807
UNIVERSITY OF TENNESSEE UT AGRICULTURE EXTENSIONS SERVICE	134399448	TN	9,337,771	9,337,771
TEXAS A M AGRILIFE EXTENSION SERVICE	781568837	TX	14,037,410	14,037,410
UTAH STATE UNIVERSITY USU	072983455	UT	1,847,561	1,847,561
VIRGINIA POLYTECHNIC INSTITUTE ANDSTATE UNIVERSITY VIRGINIA TECH	003137015	VA	7,746,263	7,746,263
UNIVERSITY OF THE VIRGIN ISLANDS	090003765	VI	1,738,761	869,381
UNIVERSITY OF VERMONT & ST AGRIC COLLEGE UNIVERSITY OF VERMONT	066811191	VT	1,997,172	1,997,172
WASHINGTON STATE UNIVERSITY WSU EXTENSION AND CAHNRS	959235664	WA	4,634,695	4,634,695

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<b>Recipient Name</b>	<b>DUNS Number</b>	<b>State</b>	<b>Allocation</b>	<b>Required Match</b>
UNIVERSITY OF WISCONSIN SYSTEM UNIVERSITY OF WISCONSIN EXTENSION	003255648	WI	9,594,054	9,594,054
WEST VIRGINIA UNIVERSITY	929332658	WV	4,425,935	4,425,935
UNIVERSITY OF WYOMING SPONSORED PROGRAMS	069690956	WY	1,743,032	1,743,032
<b>Total Amount</b>			<b>\$ 303,422,017</b>	<b>\$ 295,463,632</b>
UNIVERSITY OF THE DISTRICT OF COLUMBIA			1,227,760	
<b>Total Payment to States</b>			<b>\$ 304,649,777</b>	