

# **FERS Retirement Contributions Program**

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***FY 2013 Formula Grant Opportunity (FGO) - Final***

**APPLICATION DEADLINE: July 10, 2013**



**U.S. Department of Agriculture**

**National Institute of Food and Agriculture**

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

**FERS RETIREMENT CONTRIBUTIONS PROGRAM**

**FINAL ANNOUNCEMENT**

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE:** This program is listed in the Catalog of Federal Domestic Assistance under 10.500.

**DATES:** Applications must be received by close of business (COB) (5:00 p.m. Eastern Time) on July 10, 2013.

**EXECUTIVE SUMMARY:** The National Institute of Food and Agriculture (NIFA) requests applications for the FY 2013 formula grants authorized under the FERS Retirement Contributions Program. These grants are used to defray the FERS Retirement costs to the 1862 Land-Grant institutions for the former Schedule A Appointments who conduct agricultural extension work. The amount available for support of this program in FY 2013 is \$1,392,239 and is subject to change upon final Appropriation.

This notice identifies the objectives for FERS Retirement Contributions Programs, the eligibility criteria for applicants, and the application forms and associated instructions needed to apply for a FY 2013 FERS Retirement Contributions Program formula grant allocation. NIFA additionally requests stakeholder input from any interested party for use in the development of the next Formula Grant Opportunity (FGO) for this program. Please send questions or comments to Formula Grants Branch, Office of Grants and Financial Management (OGFM), Stop 2271, 1400 Independence Avenue, SW, Washington, DC 20250-2271; fax: (202) 401-1804; or e-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov).

## What's New for FY 2013?

- 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. Therefore, CCR activities are now being conducted through SAM. See Part VI B. for additional information.
- New Application Attachment Filename Requirement. Attachment Filename Characters are now validated and enforced. Beginning August 15, 2012, applicants are now limited to using the following characters in all attachment file names. Valid file names may only include the following **UTF-8 characters**:  
**A-Z, a-z, 0-9, underscore ( \_ ), hyphen (-), space, period.**

**Note:** If applicants use any other characters when naming their attachment files their applications will be rejected.

- The FY 2013 formula grant awards will be disbursed through the Automated Standard Application for Payment System (ASAP) operated by the Department of Treasury's Financial Management Service. Applicants must ensure ASAP recipient ID information provided on the SF 424 R&R (Research and Related) is correct as NIFA will use this information to certify funds in ASAP. NIFA will no longer move ASAP funds between institutional accounts. Applicants can receive instructions on how to access ASAP and how to inform NIFA, Financial Operations Division (FOD) of their account number to use to make disbursement, by emailing the ASAP Customer Service email box at [ASAPCustomerService@nifa.usda.gov](mailto:ASAPCustomerService@nifa.usda.gov).
- There will be a single (final) Grants.gov submission in FY 2013. The funding amount provided in this FGO is an amount determined by NIFA and is subject to change upon final Appropriation.
- The Application Package for this submission will include:
  - Application for Federal Assistance, Standard Form (SF) 424 Research and Related (R&R) (Required)
  - NIFA Supplemental Information Form (Required)  
NIFA will use the Supplemental Information Form to capture all necessary attachments for this submission of the SF-424 R&R application (i.e., matching waiver requests (via pdf attachment)).
  - NIFA will be capturing the information for three key contacts, and each organization will determine who those individuals are.
    - Block 5 should reflect the person responsible for fiscal/financial issues.
    - The Authorized Representative (AR)<sup>1</sup> must have the authority to represent and bind the organization for any agreement.

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

- The name of the Project Director (PD) will be reflected on the NIFA-2009, “Award Face Sheet”, and NIFA suggests that the State Extension Director would be an appropriate person.
- NIFA plans to issue all FY 2013 Formula Grants on the NIFA-2009 form. This form is also used to issue non-formula grants.
- For formula grants issued in FY 2013, the grantee is required to submit an **annual** SF-425, Federal Financial Report (this form consolidates and replaces four financial reporting forms; the SF-269, SF-269A, SF-272, and SF-272A). The grantee is **NOT** required to submit a **quarterly** SF-425 (the **quarterly** submission requirement, however, exists for previously issued grants with DHHS as the designated payment system). When completing the SF-425, the Project/Grant Period in Block 8 must reflect the duration of the award (i.e., 5-years).

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

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

The Consolidated and Further Continuing Appropriations Act, 2013 (P. L. 113-6) provides funds for the retirement costs of the former Schedule A Appointments at the 1862 land-grant institutions. These funds are allocated to the 1862 Land-Grant institutions with former Schedule A Appointments based on each institution's relative share of the total payments to OPM during the previous year.

**The separate allocation of funds for this purpose is being phased out over a 10-year period, beginning in FY 2008. The amount available for this program is reduced each year by \$376,826 and this same amount is added to the funds available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.**

The Schedule A 213.3113 (a) (1) was issued by the U.S. Office of Personnel Management (OPM) for the United States Department of Agriculture (USDA) to employ individuals in the Cooperative Extension Service (CES) as a joint appointment between USDA and the Land-Grant institution. The official title of Schedule A appointees includes the title Agent (e.g., Agent/Cooperative Extension Director; Agent/Cooperative Extension Educator) as by law only agents with a Schedule A appointment were eligible to participate in the Federal benefit plan(s).

Employment is dependent upon an individual's appointment in the CES at the university. The appointment must be a regular position with at least 50 percent of the staff's time dedicated to extension projects, and the appointee must work and be paid over a 12 month period.

Agents in the Cooperative Extension program are not classified under the General Schedule (GS) classification system or any other Federal pay system. The positions are classified by the employing land-grant institution, and the salary is established according to policies and procedures at the institution.

The OPM has the authority and responsibility for issuing rules and regulations covering Schedule A appointments and resulting benefits. OPM has delegated to the USDA the responsibility for overseeing and managing Cooperative Extension Schedule A appointments and the accompanying Federal benefits, (e.g., retirement and insurance plans). The Human Resources Division (HRD)/Metropolitan Services Branch (MSB) with Administrative and Financial Management (AFM) of the Agricultural Research Service (ARS) carries out this function for USDA.

Effective January 31, 2003, the authority to grant Schedule A Excepted Appointments to CES employees was terminated. P. L. 107-171, Farm Security and Rural Investment Act of 2002, dated May 13, 2002, Section 7220, terminated the Schedule A appointing authority used by USDA to grant a companion Federal appointment and Federal benefits to state/university employees of the Cooperative Extension Service. The law allowed the CES Federal appointees that were employed on the day before the date of the enactment of the Act, (i.e., May 12, 2002), to: a) continue to accrue Federal creditable service for retirement; and b) participate in the

following benefits as long as the employees continued their employment with the Cooperative Extension Service:

- 1) The Federal Employees Health Benefits Program (FEHB);
- 2) The Federal Employees' Group Life Insurance Program (FEGLI);
- 3) The Civil Service Retirement System (CSRS);
- 4) The Federal Employee Retirement System (FERS);
- 5) The Thrift Savings Plan (TSP); and
- 6) The Federal Long Term Care Insurance Program (FLTCIP).

The Federal Office of Workers Compensation Program (OWCP) is the only Federal program that will not continue as it is not a program that the dual appointee was vested in. Claims already on file with the Department of Labor (DOL) Office of Workers Compensation Office will continue to be processed by the DOL. Using a formula based in the prior year's injury or illness claims, NIFA will pay these claims on behalf of each institution and charge that institution by reducing its annual retirement allocation by the amount remitted. If the amount of claims paid exceeds the institution's annual retirement allocation, NIFA will bill the institution for any OWCP costs in excess of the annual retirement allocation.

Changes and new features for the current Federal Benefits programs such as FEHB, FEGLI, TSP and FLTCIP will be offered to the CES organizations and employees that are eligible to participate in the affected program(s). However, former Federal appointees cannot participate in new Federal benefit programs that were not in effect as of May 12, 2002.

Effective January 31, 2003, CES can no longer grant Schedule A Federal appointments to new employees because they no longer have a Federal appointment authority available to make new Federal appointments. Former CES Schedule A appointees may be reappointed to another CES organization and continue their benefits as long as they do not have a break in service.

Under the Federal Funding Accountability and Transparency Act (FFATA), the U.S. Office of Management and Budget (OMB) was required to develop and maintain a public searchable data base for all Federal financial assistance awards, and Federal agencies are required to report specific data elements which will be collected via these applications (e.g., Dun and Bradstreet Data Universal Numbering (DUNS) numbers, legal name of institution, legal address, and congressional district). OMB makes this information available at <http://www.usaspending.gov>.

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

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

Guidelines for the administration of this program are published as Chapter III, Financial Operations, of the Administrative Handbook for Cooperative Extension Work, which may be accessed at <http://www.nifa.usda.gov/business/awards/formula/manuals/coopextension.pdf>. Please note that any instructions in this FGO supersede policies and procedures identified in this manual. NIFA intends to revise the manual in FY 2013 and then promulgate administrative

provisions for this program through the formal rulemaking process which includes a public comment period.

The USDA NIFA home page for FERS is:

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

**B. Purpose and Priorities**

The purpose of this funding is to defray the FERS retirement costs to the 1862 Land-Grant institutions for former Schedule A appointees performing agricultural extension work.

## **PART II—AWARD INFORMATION**

### **A. Available Funding**

The Consolidated and Further Continuing Appropriations Act, 2013 (P. L. 113-6) provides \$1,392,239 in FY 2013 for this program and is subject to change upon final Appropriation.

Funds will be distributed to the institutions on a semi-annual basis in FY 2013. See Appendix A for specific allocations. Applicants should request funding in the amounts listed in the Appendix A to this announcement.

FERS Retirement Contributions Program funds are expected to be fully expended in the fiscal year of appropriation; however, funds allocated may be carried over for up to four years from the year end for which they were appropriated.

### **B. Type of Submission**

In FY 2013, applications for awards must be submitted to the FERS Retirement Contributions Program as a “new” application on the Grants.gov website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) System, and together satisfy all legislative and regulatory pre-award requirements.

### **C. Project Types**

Applicants should request funding at the amounts listed in Appendix A to this announcement. NIFA will fund the FERS Retirement Contributions Program in FY 2013 for FERS retirement costs to the 1862 Land-Grant institutions.

## **PART III—ELIGIBILITY INFORMATION**

### **A. Eligible Recipients**

Applications may be submitted by 1862 Land-Grant institutions that are making payments to the U.S. Office of Personnel Management for FERS retirement costs for the former Schedule A Appointments. See Appendix A for the list of eligible institutions.

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

Section 3(e)(1) of the Smith-Lever Act (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 (U.S.C. §343(e)(4) provides that “Effective beginning for fiscal year 2003, in lieu of the matching funds requirements 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 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.”

## PART IV—SUBMISSION INFORMATION

### A. Electronic Formula Grants Opportunity Package

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

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

The State Extension Director, or his or her designee, also must contact the institution's AR in order to be granted permission for the submission of applications through Grants.gov. Once that permission is granted in the Grants.gov system, the State Extension Director, or his or her designee, can obtain a login and password necessary for submission of applications.

The steps to access application materials are as follows:

1. In order to access, complete and submit applications, applicants must download and install a version of Adobe Reader compatible with Grants.gov. This software is essential to apply for NIFA Federal assistance awards. For basic system requirements and download instructions, please see [http://grants.gov/help/download\\_software.jsp](http://grants.gov/help/download_software.jsp). To verify that you have a compatible version of Adobe Reader, Grants.gov established a test package that will assist you in making that determination. Grants.gov Adobe Versioning Test Package: <http://grants.gov/applicants/AdobeVersioningTestOnly.jsp>.
2. The application package must be obtained via Grants.gov, go to <http://grants.gov>, click on "Apply for Grants" in the left-hand column, click on "Step 1: Download a Grant Application Package and Instructions," enter the funding opportunity number **USDA-NIFA-OP-004293** in the appropriate box and click "Download Package." From the search results, click "Download" to access the application package.

**If assistance is needed to access the application page** (e.g., downloading or navigating PDF forms, using Adobe with a Macintosh computer), refer to the resources available on the Grants.gov Web site first (<http://grants.gov>). Grants.gov assistance is also available as follows:

Grants.gov customer support  
Toll Free: 1-800-518-4726 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 7:00 A.M. - 9:00 P.M. ET). Get help now!

Please have the following information available when contacting Grants.gov, to help expedite your inquiry:

- Funding Opportunity Number (FON)
- Name of Agency You Are Applying To
- Specific Area of Concern

See [http://grants.gov/applicants/app\\_help\\_reso.jsp](http://grants.gov/applicants/app_help_reso.jsp) or <http://www.nifa.usda.gov/funding/electronic.html> for additional resources for applying electronically.

## **B. Content and Form of Formula Grants Opportunity Package Submission**

### **General**

Each grant application must contain an “Application for Federal Assistance,” Form SF-424 (R&R) and NIFA Supplemental Information Form. If applicable, use the “Supplemental Information Form” to submit a matching waiver request.

### **Grant Application Package**

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

- Opportunity Title
- Offering Agency
- CFDA Number
- CFDA Description
- Opportunity Number
- Opportunity Open Date
- Opportunity Close Date
- Agency Contact

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

Open and complete all of the documents listed in the “Mandatory Documents” box. Complete the SF-424 (R&R) first. Data entered on the SF 424 (R&R) will populate other mandatory and optional forms where possible.

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

box, click the form/document name to select it, and then click the <= button. This will return the form/document to the “Mandatory Documents” or “Optional Documents” box.

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

### **1. SF-424 (R&R) – Cover Page**

- **Open and complete** document **SF-424 (R&R) first** as this page will pre-populate information on pages where the same information is requested:
  - **Box 1** – Type of Submission:
    - Pre-application – unless specified in a program announcement this field is NOT used by NIFA.
    - Application – *check application* (all applications are new; the type of application – New, Resubmission, Renewal or Revision is collected and identified in box 8).
    - Changed/Corrected Application – N/A
  - **Box 2** – Date Submitted and Applicant Identifier
    - Leave the “Date Submitted” box blank.
    - Applicant Identifier – If you wish to use a unique identification number for your own purpose, enter it here. Applicant use only. *Use or leave blank.*
  - **Box 3** – Date Received by State and State Application Identifier
    - Enter the date received by the State, if applicable. Enter in format mm/dd/yyyy. State use only. *Use or leave blank.* Enter the identifier assigned by the State, if applicable. State use only. *Use or leave blank.*
  - **Box 4a** - Federal Identifier
    - Enter the number assigned to your organization by the Federal agency. This field is for use when an institution has its own system for tracking application. This field allows the applicant to enter its application identifier on the application. *Leave blank.*
  - **Box 4b** - Agency Routing Number
    - To be entered only if agency specific instructions indicate. *Leave blank.*
  - **Box 5** – Applicant Information
    - Organizational DUNS Number: Enter the Organization’s D-U-N-S number (received from D&B) or the D-U-N-S +4 number (if available).
    - Legal Name: Enter the name of the institution.
    - Address: Enter complete address of applicant. Enter the institution’s mailing address.
    - Person to be contacted on matters involving this application – For the person to contact on matters related to this submission: name, organizational affiliation (if affiliated with an organization other than the applicant organization, e-mail address, phone number, and

fax number. *Enter the contact information for the person responsible for fiscal/financial issues.*

- **Box 6** – Employer Identification: Enter either the Employer Identification Number (EIN) or Taxpayer Identification Number (TIN) as assigned by the Internal Revenue Service (IRS).
- **Box 7** – Type of Applicant. From the drop down menu select the appropriate code letter and enter in the space provided. Code letters **O, P, Q, R, S, T, U, V, and W** are letters that have not been included as part of the drop down menu.
  - A. State Government
  - B. County Government
  - C. City or Township Government
  - D. Special District Government
  - E. Regional Organization
  - F. U.S. Territory
  - G. Independent School District
  - H. Public/State Controlled Institution of Higher Education
  - I. Indian/Native American Tribal Government (Federally Recognized)
  - J. Indian/Native American Tribal Government (Other than Federally Recognized)
  - K. Indian/Native American Tribally Designated Organization
  - L. Public/Indian Housing Authority
  - M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)
  - N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)
  - X. Other (specify in accordance with agency instructions)
- **Box 8** – Type of Application
  - New - application being submitted for the first time or is considered an “initial” application. Check new for the final FGO submission.
  - Resubmission – Select “Resubmission” when your institution has filed an accepted “New/Initial” or “Update” package and now desires to revise any of the information on those applications, such as matching funds available. Any matching waiver requests would be attached to this package, as well.
  - Renewal - application requesting continued funding (*previously known as competing continuation*) *N/A Leave blank.*
  - Continuation - non-competing application (*previously known as Progress Report*) - *N/A Leave Blank*
  - Revision – Select “Revision” if your institution discovers an error or omission in the “New/Initial”, or “Resubmission” application, or if you are requested to do so by NIFA as the result of its review of the application. *Leave Blank*
- **Box 8 - A-E: N/A**
  - A. Increase Award

- B. Decrease Award
  - C. Increase duration
  - D. Decrease duration
  - E. Other - provide written explanation, i.e., any other change in the terms and conditions of the existing award
- **Box 9** - Name of Federal Agency - will be pre-filled
  - **Box 10** - Do not complete Catalog of Federal Domestic Assistance. Number (CFDA) - will be pre-filled or left blank.
  - **Box 11** - Descriptive Title of Applicant's Project - fill in with the Project Title
  - **Box 12** - Enter proposed start and end dates – use format: MM/DD/YYYY. *Enter 10/01/2012- 09/30/2013.*
  - **Box 13** - Congressional District of the Applicant Organization - Enter the applicant's congressional district. *Enter the Congressional district where the main campus is located.*
  - **Box 14** - Project Director/Principal Investigator – complete all boxes in this section. Note that the nine digit zip code is required.
  - **Box 15** - Estimated Project Funding –
    - **15.a.** Enter the amount requested from the Federal agency. If the agency has specified an amount, enter that amount. *Enter your institution's actual FY 2013 allocation as listed in Appendix A to this announcement.*
    - **15.b.** Total Non-Federal Funds Requested: Enter the amount of funds from all other sources (i.e., match).
    - **15.c.** Total Federal & Non-Federal Funds: Enter total amount of Federal funds requested plus the non-federal (i.e. match) amounts.
    - **15.d.** Estimated Program Income: Enter amount of estimated program income to be generated from this project. Leave Blank.
  - **Box 16** - *Select "Program is not covered by E.O. 12372".*
  - **Box 17** - **By signing this application, I certify (1) to the statements contained in this list of certifications\* (as identified under Part IV, C), and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\* and agree to comply with any Administrative and National Policy Requirements, (as identified under Part VI, B) if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001).** Application is to be signed by the State Extension Director, or his or her designee, of the applicant organization. *The required assurances designated here include the institution's compliance with all Federal laws and regulations associated with receipt of Federal Domestic Assistance for this program, including the matching certification and certification regarding lobbying activities. By clicking*

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

*the submit button of the application, the State Extension Director, or his or her designee, certifies to the above.*

- **Be sure to click on the “I agree” button.** Although this box is for the AR to certify, if this box is not checked, an error message will result.
- **Box 18** - If applicable, attach the SFLLL (Standard Form LLL, Disclosure of Lobbying Activities).
- **Box 19** - Authorized Representative (AR) - Also known as Signing Official. To be signed by the State Extension Director, or his or her designee, of the applicant organization. Enter the name, title, phone number, e-mail address, and fax number of the State Extension Director, or his or her designee.
- **Box 20** - Pre-Applications - Unless specifically noted in a program announcement, do not use pre-applications - *leave blank*.

## 2. **NIFA Supplemental Information Form (Required)**

1. **Funding Opportunity Name:** *No entry required. This is pre-populated from the opportunity package.*  
**Funding Opportunity Number:** *No entry required. This is pre-populated the opportunity package.*
2. **Program Code Name:** Enter the name of the program to which you are applying exactly as instructed in the full announcement. This field is required. *Enter “FERS Contributions Program”.*  
**Program Code:** Enter the program code to which you are applying exactly as instructed in the full announcement. This code is used to route proposals within the agency. *Enter “FERS”.*
3. **Type of Applicant:** *No entry required. This will be pre-populated from your entry on the application cover sheet.*
4. **Additional Applicant Types:** Select one of the following options if it is applicable to the legal applicant of this application. *Select “1862 Land-Grant University” from the drop down menu in this block.*
5. **Supplemental Applicant Types:** *Please check all that apply.*
6. **HHS Account Information:** **This information will no longer be utilized as payments will be made via the Automated Standard Application System (ASAP) operated by the Department of Treasury’s Financial Management Service. Provide your institutions ASAP recipient ID number.**
7. **Key Words:** Enter the most relevant key words which describe the proposed project. This field is required. *Enter “Not applicable”.*

8. **Conflict of Interest List:** *Do not attach a conflict of interest list. NIFA will use this field to capture all necessary attachments for this submission of the final SF-424 R&R application (i.e., matching waiver requests (via pdf attachment)).*

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

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

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

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

Please attach the matching waiver request to the "Supplemental Information Form, Block 8 – Conflict of Interest List". To attach the waiver request to the form, go to "1) Please add Attachment 1," click on "Add Attachment," and follow the instructions. Insert the waiver request into Block 8 – Conflict of Interest List.

### **Saving the Application**

The application package can only be saved from the Grant Application Package screen. It is recommended that after the applicant completes each form/document that they click on the "Close Form" button to close the form and then save the application package by clicking on the "Save" button at the top of the Grant Application Package Screen. It is important to note that the application package will be saved to the last active directory on the applicant's computer. Therefore, the applicant should save the application package to their hard drive where it can be easily accessed. The applicant may save their application package at any time and should save the application package with the same file name each time. An error message will occur each time that the applicant saves the form before completing all of the mandatory fields on the mandatory forms or the optional forms are moved to the Optional Completed Documents for Submission column on the application package. The applicant may ignore this warning. This

warning will not appear when all of the mandatory fields have been completed on all of the forms/documents in the application package.

### **Check Package for Errors**

To initiate the Grants.gov edit check process, simply click on the “Check Package for Errors” button at the top of the screen. This process will identify all mandatory fields that have not been completed by the applicant. These errors will be displayed one at a time.

No checks against NIFA business rules will take place at this time.

### **Submitting the Application**

The AR must open the browser, open the application and then press the Submit button. To submit the application:

1. Close all open browser(s) and running applications.
2. Open the internet browser.
3. Navigate to the physical location where the application file is located. Select the application to open.
4. The internet browser will open the application. This may take a few moments. Please be patient.
5. Once the application is completely open, click the **Save and Submit** button. (The Submit button will not become active until all mandatory documents have been properly completed and the application has been saved.) You are required to save the application again at this point in order to begin the application submission process.
6. Click **Save and Submit**.
7. A dialog box will appear and you will need to enter your Grants.gov username and password.
8. Lastly, click **Login**.

Only the AR has the authority and user rights to **Save and Submit** an application to Grants.gov. Additional submission tips may be found at the Grants.gov website.

Grants.gov Submission Tips: [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp)

### **C. Certifications**

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

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

The Grants.gov validation process checks for an active CCR registration (applicants with expired CCR registrations will be rejected).

In July 2012, the SAM, a new system that combines eight federal procurement systems, including the CCR, and the CFDA into one new system, was implemented. Therefore, the CCR activities are now being conducted through SAM. See Part VI B. for additional information.

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

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

The application package containing an “Application for Federal Assistance,” Form SF-424 (R&R) and NIFA Supplemental Information Form is to be submitted online at the [www.grants.gov](http://www.grants.gov) website by COB (5:00 p.m. Eastern Time) on July 10, 2013.

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

**If an applicant has not received an acknowledgment within 15 days of the submission, the applicant must contact the Agency contact (see Part VII) immediately and ask for the application number assigned to the application. Failure to do so may result in the application not being processed and funding being held.** Once the application has been assigned an application number, this number should be cited on all future correspondence.

#### **E. Funding Restrictions**

##### **(1) Approved NIFA FERS Retirement Contributions Programs**

NIFA FERS retirement allocations may only be used to support FERS retirement costs for former Schedule A Appointments.

##### **(2) Matching**

Section 3(e)(1) of the Smith-Lever Act (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 (U.S.C. §343(e)(4) provides that “Effective beginning for fiscal year 2003, in lieu of the matching funds requirements 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 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.”

NIFA may consider and approve matching waivers submitted by 1862 Land-Grant Institutions in insular areas. Please note that these matching funds may be used for any extension activity identified in the state plan of work.

**(3) Indirect Costs and Tuition Remission**

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. §3319), indirect costs and tuition remission are unallowable as FERS retirement contribution formula grant expenditures.

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

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

## **PART VI—AWARD ADMINISTRATION**

### **A. General**

Once all program, financial and administrative requirements have been met by the eligible institution, funding will continue to be released on a semi-annual basis in FY 2013. The OGFM Formula Grants Branch will notify the institutions when all requirements have been met or approved.

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

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

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

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

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

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

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

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

7 CFR Part 3018 — USDA implementation of Restrictions on Lobbying.

7 CFR Part 3019 — USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations (now codified at 2 CFR 215).

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

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

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

29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute) —prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.

35 U.S.C. 200 et seq. —Bayh Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

## **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 <https://www.fsrs.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 <https://www.fsrs.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.

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

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

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

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

In July 2012, the SAM, a new system that combines eight federal procurement systems, including the CCR, and the 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”).

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

Financial reporting via the SF 425, Federal Financial Report for FY 2013 is due to the Formula Grants Branch of OGF on April 1, 2014, for the period October 1, 2012, through September 30, 2013, and annually thereafter until the award is closed out. FERS funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to four years after the end of the year for which they were appropriated. No prior approval is required to carry over funds for the additional years. Reports should be submitted to [formulagrants@nifa.usda.gov](mailto:formulagrants@nifa.usda.gov).

## **PART VII—AGENCY CONTACT**

For questions regarding FERS retirement contributions, 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: [bbarnett@nifa.usda.gov](mailto:bbarnett@nifa.usda.gov).

For questions relating to the completion of the grants.gov forms and funding release, 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: [formulagrantquestions@nifa.usda.gov](mailto:formulagrantquestions@nifa.usda.gov).

If help is needed with the Grants.gov registration process for the applicant organization, downloading or navigating PDF forms, using Adobe Reader with a Macintosh computer or with the technical aspects of submitting to the Grants.gov system, check the resources available on the Grants.gov Web site first (<http://grants.gov>). Grants.gov assistance is also available as follows:

Grants.gov customer support

Toll Free: 1-800-518-4726 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)

If the AR has not received a confirmation message from Grants.gov within 48 hours of submission of an application, please contact Grants.gov customer support.

When Grants.gov is contacted, a ticket number is issued to track the response. The applicant should maintain the ticket number as documentation of electronic issues associated with the application.

Grants.gov Help Desk Operations Process is described below:

Tier 1: Grants.gov Contact Center Operator

- Handles the initial contact and attempts to resolve the call.
- If not, files a research request (escalation).

Tier 2: Research Analyst

- Escalations go to the research analyst who does further research on the issue.
- Unable to resolve, issue escalated to Grants.gov Program Management Office (PMO).

Tier 3: Grants.gov PMO

- Research Analyst works with PMO to resolve the issue.
- Typical escalations: Policy questions/System bugs/Training or Meeting Requests.

**UNITED STATES DEPARTMENT OF AGRICULTURE  
NATIONAL INSTITUTE OF FOOD AND AGRICULTURE  
FY 2013 Distribution of Funds to Eligible Institutions  
for Federal Employees Retirement System (FERS)  
Award # 2013-41310**

**Appendix A**

<b>Institution</b>	<b>State</b>	<b>Grant Number</b>	<b>FY 2013 Allocation</b>	<b>FY 2013 Required Match</b>
Tuskegee University	AL	2013-41310-08902	\$ 8,495	\$ 8,495
University of Arizona	AZ	2013-41310-00300	50,152	50,152
University of Arkansas	AR	2013-41310-00400	40,654	40,654
University of California	CA	2013-41310-00500	4,215	4,215
Colorado State University	CO	2013-41310-00600	26,582	26,582
University of Georgia	GA	2013-41310-01000	6,885	6,885
University of Idaho	ID	2013-41310-01200	27,778	27,778
Iowa State University	IA	2013-41310-01500	86,772	86,772
Kansas State University	KS	2013-41310-01600	88,847	88,847
University of Kentucky	KY	2013-41310-01700	55,060	55,060
Kentucky State University	KY	2013-41310-08907	10,860	10,860
University of Maine	ME	2013-41310-01900	7,171	7,171
University of Maryland	MD	2013-41310-02000	2,123	2,123
University of Minnesota	MN	2013-41310-02300	227,979	227,979
Mississippi State University	MS	2013-41310-02400	8,750	8,750
University of Missouri	MO	2013-41310-02500	33,350	33,350
Montana State University	MT	2013-41310-02600	10,050	10,050
University of Nevada	NV	2013-41310-02800	15,607	15,607
Rutgers University	NJ	2013-41310-03000	20,441	20,441
New Mexico State University	NM	2013-41310-03100	36,644	36,644
Cornell University	NY	2013-41310-03200	68,519	68,519
North Carolina State University	NC	2013-41310-03300	21,662	21,662
North Dakota State University	ND	2013-41310-03400	24,429	24,429
Oklahoma State University	OK	2013-41310-03600	37,853	37,853
Oregon State University	OR	2013-41310-03700	78,128	78,128
Clemson University	SC	2013-41310-04100	17,742	17,742
South Dakota State University	SD	2013-41310-04200	0	0
University of Tennessee	TN	2013-41310-04300	275,332	275,332
Utah State University	UT	2013-41310-04500	16,492	16,492
University of Vermont	VT	2013-41310-04600	23,852	23,852
Virginia Polytechnic Institute & State University	VA	2013-41310-04700	24,167	24,167
Washington State University	WA	2013-41310-04800	24,255	24,255
West Virginia University	WV	2013-41310-04900	4,800	4,800
University of Wisconsin	WI	2013-41310-05000	6,593	6,593
<b>TOTAL</b>			<b>1,392,239</b>	<b>1,392,239</b>

**NOTE: FY 2013 Allocation is subject to change upon final Appropriation.**