



United States  
Department of  
Agriculture

National Institute  
of Food and  
Agriculture

# NIFA GRANTS.GOV APPLICATION GUIDE

**A Guide for Preparation and  
Submission of NIFA Capacity Grant  
Applications via Grants.gov**





## Summary of Recent Changes

### Change included in version dated August 24, 2020

**Part V 7.2 – 7.X** Updated instructions for institutions participating in FY 2021 Capacity budget pilot of SF 424a. This is voluntary.

### Change included in version dated July 17, 2019

**Part V 7.1 - 7.14.** Removed SF 424R&R budget instructions.

**Part V 7.1** Added an explanation about required matching information for capacity applications

**Part V 7.2 – 7.X** Added instructions for institutions participating in FY 2020 Capacity budget pilot of SF 424a budget

### Change included in version dated August 15, 2018

**Part V 4.12** Deleted the felony and tax requirements from Other Attachments of Other Project Information Form.

**Part V 7.9** Minor modifications to the indirect cost language.

**Part VI** Added Form AD-3030, Representations Regarding Felony Conviction and Tax Delinquent Status for Corporate Applicants, as an individual form.

### Changes included in versions dated March 2, 2018

**Parts IV and V** To update the numbering of subsections.

**Part V 8.** R&R Subaward Budget Attachment(s) Form. Reduced submission requirements for subrecipients.

### Changes included in versions dated December 1, 2017

This version includes updates to information throughout the document in order to move to newer versions of Grants.gov forms and to address Grants.gov's move to the use of Workspace.

### Changes included in versions dated April 27, 2016

**Part V 2.18** Modified the certification language.

**Part V 4.12** Under item (1), updated language to meet the felony and tax requirements.

### Change included in versions dated September 23 and Oct 8, 2015

**Part V 7.9** Included additional indirect cost information.

### Change included in version dated June 17, 2015

**Part V 4.12** Under item (1), updated language and document to meet the felony and tax requirements.

### Changes included in version dated March 30, 2015

This version includes updates to links throughout the document.

**Part IV 1.9** Included additional information about late applications.

**Part V 7.9** Updated the indirect cost language.



Summary of Recent Changes to the Guide

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**Changes included in version dated January 14, 2015**

This version includes updates to links throughout the document.

**Part V 4.12** Under item (1), included language and document to meet the felony and tax requirements.

**Change included in version dated January 8, 2015**

Update throughout of references that changed as a result of implementation of 2 CFR Part 200.

**Part V 7.9** Removed reference to section in Small Business Innovation Research



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## Introduction

# I. INTRODUCTION

## 1. Background

The National Institute of Food and Agriculture (NIFA) is an agency within the U.S. Department of Agriculture (USDA), part of the executive branch of the federal government. Congress created NIFA through the Food, Conservation, and Energy Act of 2008 (also known as the 2008 Farm Bill). NIFA replaced the former Cooperative State Research, Education, and Extension Service (CSREES), which had been in existence since 1994.

## 2. Purpose and Scope

This instruction document will help you prepare and submit applications to NIFA via Grants.gov. Where appropriate, relevant sections of the Grants.gov User Guide have been incorporated by reference.

## 3. Intended Audience

Any individuals, organizations, etc. that is interested in submitting an application to NIFA in response to a funding opportunity.

## 4. Document Symbols

The following symbols are used throughout this document to highlight information that is of particular interest or importance:



This symbol indicates NIFA-specific instructions.



This symbol represents a link to an important reference material.



This symbol and yellow highlights represents a required field.

## 5. Referenced Documents

### 5.1 NIFA Funding Opportunity

A NIFA Funding Opportunity includes the request for applications (e.g., full announcement) and forms necessary for the preparation and submission of an application to NIFA. A request for applications (RFA) includes, among other things, eligibility information and guidance for preparing and submitting applications to NIFA. NIFA makes active funding opportunities available via Grants.gov (<http://www.grants.gov>) or the NIFA web site.



NIFA Funding Opportunities via the NIFA website: <http://nifa.usda.gov/page/search-grant>

### 5.2 Grants.gov Applicant User Guide

The Grants.gov Applicant User Guide is a comprehensive reference to information about Grants.gov. You may download the User Guide as a pdf document.



Grants.gov Applicant User Guide: <http://www.grants.gov/web/grants/applicants/applicant-resources.html>



NIFA-Specific Instructions for Submission via Grants.gov

## II. GENERAL INSTRUCTIONS FOR SUBMISSION VIA GRANTS.GOV

### 1. Registration Process

Before using Grants.gov for the first time, each organization must register to create an institutional profile. Once registered, your organization may apply for any government grant, including NIFA, on the Grants.gov website. **Because of the time required to register, you should initiate this process well in advance of submitting an application.**

Grants.gov Registration: <https://www.grants.gov/web/grants/applicants/registration.html>.



The registration process includes Central Contractor Registration (CCR). CCR is the official, FREE on-line registrant database for the U.S. Federal Government. CCR collects, validates, stores and disseminates data in support of agency acquisition and award missions. CCR validates the registrant information and electronically shares the secure and encrypted data with the finance offices of federal agencies to facilitate paperless payments through electronic funds transfer (EFT). Registrants must update or renew their registration at least once per year to maintain an active status.

Entities (private non-profits, educational organizations, state and regional agencies, etc.) that apply for assistance awards from the federal government through Grants.gov must register with CCR. Each entity that applies and does not have an exemption under Sec. 25.110 of 2 CFR must: (1) Register in CCR prior to submitting an application or plan; (2) Maintain an active CCR registration with current information at all times while 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 an agency (DUNS number are assigned by Dun & Bradstreet, Inc. (D&B) to identify unique business entities).

**Registration in no way guarantees that the award of a contract or assistance award. Note that any information provided in your registration may be shared with authorized federal government offices.**

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

### 2. Software Requirements<sup>1</sup>

#### 2.1 Adobe Reader

You must have a version Adobe Reader that is compatible with Grants.gov in order to access, complete and submit applications. **This software is essential to apply for NIFA federal assistance awards.** See the Grants.gov User Guide for basic system requirements and download instructions.

Grants.gov has a test package that can help you determine if you have a compatible version of Adobe Reader.



Grants.gov Adobe Versioning Test Package: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

### 3. Grants.gov Workspace

Grants.gov Workspace exists to make applying for a federal grant as convenient as possible. By leveraging a range of user roles and access levels, applicants can control access to forms, create a custom workflow and save time on their application.

The application process consists of several main steps. Below is a summary of the process with links to detailed instructions on completing each step to apply for grants on Grants.gov.

<sup>1</sup> Note: Contact your organization's system administrator if you have problems setting up software on your machine.



**NIFA-Specific Instructions for Submission via Grants.gov**

1. Select Option 1: Apply Now Using Workspace in the **Package** tab on the **View Grant Opportunity** page. If you are not familiar with Workspace, read the [What Is Workspace?](#) help article.
2. [Complete an Application with Workspace](#) - To complete an application, you will need to complete all the required forms and attach all the required elements. Access the help article for instructions on completing online forms and submitting your application using Workspace.
3. [Submit a Workspace Package](#) - Once all the required forms and attachments are completed, you can check for errors and submit the application package.

For more information about Grants.gov Workspace, visit the following Workspace resources:

- [Grants.gov Workspace Overview](#)
- [Grants.gov Workspace Training Video Series](#)
- [Grants.gov Community Blog articles on Workspace](#)
- [Grants.gov Online User Guide](#)



NIFA-Specific Instructions for Submission via Grants.gov

### III. NIFA-SPECIFIC INSTRUCTIONS FOR SUBMISSION VIA GRANTS.GOV

#### 1. Comments on NIFA Instructions

To submit comments to NIFA regarding the content of the NIFA Grants.gov Application Guide send an e-mail to: [policy@usda.gov](mailto:policy@usda.gov) (this e-mail address is intended only for receiving comments). Include “NIFA Grants.gov Application Guide” in the subject line of the e-mail and detailed information regarding the comment.

#### 2. Components of a NIFA Application

The documents listed in Table 1 may be part of a NIFA application. The Grants.gov Application Package will identify which forms you must submit as part of the application and which one(s), if any, are optional.

Table 1: Components of a NIFA Application

Document	Instructions
R&R SF424 Cover Sheet	See Part V.
R&R Project/Performance Site Location(s)	See Part V.
R&R Other Project Information	See Part V.
R&R Senior/Key Person Profile (Expanded)	See Part V.
R&R Personal Data	See Part V.
R&R (Fed/Non-Fed) Budget	See Part V.
R&R Subaward (Fed/Non-Fed) Budget Attachment	See Part V.
Supplemental Information	See Part VI.
AFRI Project Type Form	See Part VI.
SBIR/STTR Information	See Part VI.
Key Contact Form	See Part VI.
Attachment Form	See Part VI.

#### 3. Conformance with Application Preparation Requirements

Applications must conform to the application preparation and submission instructions. All attachments to an application **must** comply with NIFA font, spacing and margin requirements **and MUST be in .pdf** (portable document format) (see Part III., 3.1) **otherwise the application is at risk of being excluded from NIFA consideration.** Note that NIFA RFAs may include specific requirements; in these instances, it is critical to follow the language in the RFA. NIFA may exclude from consideration applications that are not consistent with these special instructions.



### NIFA-Specific Instructions for Submission via Grants.gov

#### 3.1 Attachments (Required to be in pdf)

1. **Format of Contents:** Attachments to an application are to be a typed or word processed document using font no smaller than 12 point, regardless of line spacing, and with at least 1-inch margins. Number each page of an attachment sequentially. These specifications apply unless the RFA specifies otherwise. This guide or the RFA will indicate if a page limitation applies to a specific attachment.
2. **File Format:** NIFA **REQUIRES** that attachments be in **.pdf**. Using pdf format allows applicants to preserve the formatting of their documents.
3. **File Name Restrictions:** File names of .pdf attachments must be limited to 50 characters, may not include special characters (e.g., &, -, \*, %, /, #), periods (.), blank spaces or accent marks, and must be unique (i.e., no other attachment may have the same file name). An underscore (example: my\_Attached\_File.pdf) may be used to separate a filename.
4. **File Protections:** The pdf attachment must **NOT** be password protected. Lead institutions of multi-organization applications must ensure, that documents from collaborators are **NOT** password protected.

**ANY APPLICATION CONTAINING ATTACHMENTS THAT ARE NOT COMPLIANT WITH A. THROUGH D. ABOVE ARE AT RISK OF BEING EXCLUDED FROM CONSIDERATION.**

**ATTENTION:** There is a paper clip icon on the left side of the page in every application. Do NOT attach documents with this function. If you attach documents under this function your application will be incomplete and cause errors.

#### 4. Submission of Same Application to Multiple Agencies

Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

#### 5. Submission of an Application for NIFA Review

You may submit an application only once. Duplicate or substantially similar applications that are submitted concurrently for review by more than one program will be excluded from consideration.

#### 6. Application Status

##### 6.1 Grants.gov Application Status and Viewing the Application Manifest

Within 2 days of submitting a grant application, Grants.gov will send you two email messages:

- The first email will confirm receipt of the application.
- The second email will indicate whether the application has been validated by the system OR has been rejected due to errors.
- If the application was successfully validated, Grants.gov will send you a third e-mail notifying you the application has been passed to the agency.

There are two ways to verify the status of an application submitted to Grants.gov. One way is to use the "Track My Application" tool under the Applicants section of Grants.gov. This does not require a username or password. The second way is to "Check Application Status" under Applicant Login located under the Applicants section of Grants.gov. This tool requires a username and password. This option gives you the opportunity to view a "manifest" of submitted forms and files within Grants.gov. This manifest will allow you to review the list of forms and file attachments that were properly uploaded and received.



**NIFA-Specific Instructions for Submission via Grants.gov**

**OPTION 1 – Check status of application**



Check Grants.gov Application Status on the Track My Application Page:

<http://www.grants.gov/web/grants/applicants/track-my-application.html>

Once on the Track My Application page, enter up to five Grants.gov tracking numbers (one per line) and select the Track My Application(s) button. The system will display general information about the status of each application in a chart format as shown below.

**Application status of tracking number(s) are listed below:**

CFDA	Opportunity Number	Comp. ID	Grants.gov #	Date/Time Received	Status	Status Date
10.310	USDA-NIFA-AFRI-003742		GRANT11149830	05-Jun-12 01:01:58 PM	Rejected with Errors	05-Jun-12 01:03:21 PM
10.310	USDA-NIFA-AFRI-003742		GRANT11149685	05-Jun-12 12:38:06 PM	Validated	05-Jun-12 12:41:23 PM
10.310	USDA-NIFA-AFRI-003742		GRANT11149360	05-Jun-12 11:39:36 AM	Rejected with Errors	05-Jun-12 11:40:22 AM
10.203	USDA-NIFA-HATCH-003724		GRANT11116291	23-Apr-12 08:47:13 AM	Received by Agency	23-Apr-12 09:02:51 AM
10.500	USDA-NIFA-SLBCD-003598		GRANT11116288	23-Apr-12 08:30:11 AM	Received by Agency	23-Apr-12 08:32:42 AM

**OPTION 2 – Check status of application and view manifest of submitted forms and files**



Check Grants.gov Application Status on the Track Application Status Page:

<https://apply07.grants.gov/apply/login.faces?cleanSession=1&userType=agency&loggedout=true>

Once logged in using the above link you will be in the Applicant Center where you should select the “Check Application Status” link. You will be given the option to search for your application(s) in several different ways. Choose the one you are searching for and how the information should be displayed. Your selection(s) will be presented in a chart as shown below. One of the columns in the chart is entitled, Actions. You may view the list of particular application’s file(s) and attachment(s) (i.e., the manifest) by selecting the link in the Actions column for that application and selecting either the Details or Download Link.

Grant Tracking Number	DUNS	Funding Opportunity Number	CFDA	Competition ID	Opportunity Package ID	Date/Time Received	Status	Status Date/Time	Submission Method	Actions
GRANT00677772	00000000000000	USDA-NIFA-SRGP-001930	10.200		PKG00006366	Aug 23, 2017 09:06:59 AM EDT	Received by Agency	Aug 31, 2017 11:10:39 AM EDT	Workspace	Details   Download
GRANT00677771	00000000000000	USDA-NIFA-SRGP-001930	10.200		PKG00006366	Aug 23, 2017 09:06:41 AM EDT	Received by Agency	Sep 18, 2017 12:20:20 PM EDT	Workspace	Details   Download

It is important that you thoroughly review the manifest to ensure that required attachments outlined in the RFA are included and follow .pdf requirements (**see Part III Section 3.1 of this guide for NIFA attachment specifications**). Submitted applications that do not contain the required forms and file attachments will not be reviewed.

**If issues are found with the manifest, you should submit the application:**

**PRIOR to the deadline** – We prefer that you correct the application and submit it prior to the established deadline. You MUST notify the Agency Contact (identified in Part VII of the applicable request for applications) via telephone or email so s/he is aware that there are two applications and that one is to be accepted and the other removed from consideration. Without this notification, both applications may be excluded from consideration per Section 5. of this Part.

**FOLLOWING the deadline** – We advise you to correct the application and submit it as soon as possible. Note, however, you must provide documentation of the extenuating circumstance (e.g., hurricane, flood, fire) along with the late application (see “meeting the deadline” under Part IV, 1.5 of this Guide). You MUST notify the Agency Contact (identified in Part VII of the applicable request for applications) via telephone or email so s/he is aware that there are two applications and that one was submitted prior to the deadline with issues and a corrected version submitted following the deadline. Without this notification, both applications may be excluded from consideration per Section 5. of this Part. If the late application is not accepted for consideration, it is possible



## NIFA-Specific Instructions for Submission via Grants.gov

that the one submitted prior to the deadline may be accepted for consideration if it meets Grants.gov and agency validation processes.

### 6.2 USDA/NIFA Application Status

We will send you two email messages.

- The first will confirm NIFA's receipt of your application.
- The second will indicate whether NIFA has accepted OR declined to review the application.

## 7. Grants.gov and NIFA Assistance

### 7.1 Grants.gov Contact Center

If you need help with the Grants.gov registration process, downloading or navigating Adobe forms and/or Workspace, or with the technical aspects of submitting to the Grants.gov system, first check the resources available on the Grants.gov web site (<http://www.grants.gov>). The Grants.gov Help page (<http://www.grants.gov/web/grants/support.html>) contains useful information including answers to frequently asked questions (FAQs).

Grants.gov assistance is also available as follows:

Grants.gov customer support  
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 Authorized Representative (AR) has not received a confirmation message from Grants.gov within 48 hours of submitting an application, contact Grants.gov customer support.

Grants.gov issues a ticket number to track a response. You should maintain the ticket number as documentation of an electronic issues associated with your 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 the issue cannot be resolved, the operator files a research request (escalation).

Tier 2: Research Analyst

- Escalations go to the research analyst who does further research on the issue.
- If resolution is still not possible, the issue escalates to the Grants.gov Program Management Office (PMO).

Tier 3: Grants.gov PMO

- The Research Analyst works with the PMO to resolve issue.
- Typical escalations: involve policy questions/system bugs/training or meeting requests.

### 7.2 NIFA Help

If you still need assistance after reviewing the NIFA Grants.gov Application Guide and the applicable RFA, contact:

- Email: [electronic@nifa.usda.gov](mailto:electronic@nifa.usda.gov)
- Business hours: Monday through Friday, 7:00 am – 5:00 pm Eastern Time, excluding Federal holidays.



**NIFA-Specific Instructions for Submission via Grants.gov**

**7.3 Application File Update – PostSubmission**

Applications submitted through Grants.gov are considered official submissions to the federal government. You should immediately contact the appropriate NIFA Agency Contact (as identified in the RFA) to change or correct a previously submitted application.



Research and Related (R&R) Forms and Instructions

## IV. GRANT APPLICATION PACKAGE INSTRUCTIONS

### 1. Grant Application Package

A Grant Application Package is part of a funding opportunity. The following is information about the package and information about obtaining the necessary forms. The forms will be managed in Workspace; Workspace is the standard way for organizations or individuals to apply for federal grants in Grants.gov. Part II, 3. of this Guide contains Workspace resources. For further information about Workspace, refer to the information below as appropriate.

- [Workspace Overview](#)
- [Workspace Basic](#)
- [Workspace Intermediate](#)
- [Workspace Advanced](#)
- [Workspace Process](#)
- [Workspace Roles](#)

#### 1.1 Accessing the Grant Application Package

##### VIEW GRANT OPPORTUNITY



[« Back | Link](#)

[Login to Subscribe](#)

SYNOPSIS
VERSION HISTORY
RELATED DOCUMENTS
PACKAGE

Print Package List
?

Select Grant Opportunity Package

**READ BELOW BEFORE YOU APPLY FOR THIS GRANT!**  
 Before you can view and complete an application package, you **MUST** have Adobe Reader installed. Packages are posted in Adobe Reader format. You may receive a validation error using incompatible versions of Adobe Reader. To prevent a validation error, it is now recommended you uninstall any earlier versions of Adobe Reader and install the latest compatible version of Adobe Reader. If more than one person is working on the application package, ALL applicants must be using the same software version. [Click for more information on Adobe Reader Compatibility.](#)

OPPORTUNITY PACKAGE(S) CURRENTLY AVAILABLE FOR THIS FUNDING OPPORTUNITY:

CFDA	Competition ID	Competition Title	Opportunity Package ID	Opening Date	Closing Date	Workspace Compatible	Actions
10.200			PKG00006366	09/18/2009	12/31/2020	Yes	<a href="#">Preview</a>   <a href="#">Apply</a>

#### READ BELOW BEFORE YOU APPLY FOR THIS GRANT!

Before you can view and complete an application package, you **MUST** have Adobe Reader installed. Packages are posted in Adobe Reader format. You may receive a validation error using incompatible versions of Adobe Reader. To prevent a validation error, it is now recommended you uninstall any earlier versions of Adobe Reader and install the latest compatible version of Adobe Reader. If more than one person is working on the application package, ALL applicants must be using the same software version. [Click for more information on Adobe Reader Compatibility.](#) See Part II, 2. of this Guide for further information.

[Subscribe to Opportunity](#)

If you are not logged in Grants.gov, a “Login to Subscribe” block will be visible. We suggest you login at this time using your Grants.gov credentials. Once logged in, a “Subscribe to Opportunity” block will appear providing you the opportunity to subscribe to receive any notices (e.g., modifications) sent regarding the funding opportunity.



Research and Related (R&R) Forms and Instructions

Click “Apply” to open the Grant Application Package.

## 1.2 Verify Grant Application Package

The screenshot shows the 'PACKAGE' tab in the Grants.gov interface. At the top, there are tabs for SYNOPSIS, VERSION HISTORY, RELATED DOCUMENTS, and PACKAGE. Below the tabs is a navigation bar with links for 'Back to Packages' and 'Print Package Details'. A yellow warning box contains the text: 'Please review Applicant FAQs as you prepare and submit your application.' Below this, the 'Selected Opportunity Package:' section displays the following information:

Opportunity Package ID: PKG00006366	Opening Date: Sep 18, 2009
CFDA: 10.200 – Grants for Agricultural Research, Special Research Grants	Closing Date: Dec 31, 2020
Competition ID – Title:	

Verify the required information corresponds to the grant to which you are applying. Grants.gov will auto-populate the following information:

- Opportunity Package ID
- Catalog of Federal Domestic Assistance (CFDA) Number
- CFDA Description
- Competition ID (NIFA does not use this field, therefore, no information will be pre-populated in the field; the field will be blank. Do not enter any information in the field.)
- Opportunity Open Date
- Opportunity Close Date

**Create Workspace »**

Click the button to “Create Workspace.” Also see 1. above for further information. Note: you will only be able to create and manage a workspace if you are designated as an Authorized Representative for your organization.

The screenshot shows the 'Create Workspace' form. It has a blue header with the title 'Create Workspace' and a help icon. The form contains two main sections:

1. 'Please select Create Workspace option:' with two radio buttons: 'New Workspace' (which is selected) and 'Copy from Existing Workspace'.

2. 'Please enter required information to Create Workspace:' with a required text field labeled '\*Application Filing Name:'.

A. The “New Workspace” box will be pre-filled.

B. Enter a name for the application in the \* **Application Filing Name** field. **This field is required.** This name is solely for you to track the application through the Grants.gov submission process; NIFA will not use the filing name. You may use any combination of letters and/or numbers to name the application file.

## 1.3 Mandatory and Optional Documents

Complete all of the documents listed as “Mandatory” and complete the documents listed as “Optional” as appropriate. Complete the SF-424 (R&R) first. Data on the SF-424 (R&R) will populate other mandatory and optional forms where possible.



## Research and Related (R&R) Forms and Instructions

Application Package Forms - Users are encouraged to follow <a href="#">antivirus best practices</a> when Downloading Instructions and Forms: <span style="float: right;">Download Instructions » ?</span>						
Include in Package	Form Name (Click to Preview)	Requirement	Form Status	Last Updated Date/Time	Locked By	Actions
<input checked="" type="checkbox"/>	<a href="#">SF424 (R &amp; R) [V2.0]</a>	Mandatory	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>   <a href="#">Webform</a>
<input checked="" type="checkbox"/>	<a href="#">AFRI PROJECT TYPE [V1.0]</a>	Mandatory	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>   <a href="#">Webform</a>
<input checked="" type="checkbox"/>	<a href="#">NIFA Supplemental Information [V1.2]</a>	Mandatory	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>   <a href="#">Webform</a>
<input checked="" type="checkbox"/>	<a href="#">Project/Performance Site Location(s) [V2.0]</a>	Mandatory	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>   <a href="#">Webform</a>
<input checked="" type="checkbox"/>	<a href="#">Research &amp; Related Budget [V1.4]</a>	Mandatory	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>   <a href="#">Webform</a>
<input checked="" type="checkbox"/>	<a href="#">Research &amp; Related Personal Data [V1.2]</a>	Mandatory	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>   <a href="#">Webform</a>
<input checked="" type="checkbox"/>	<a href="#">Research And Related Other Project Information [V1.4]</a>	Mandatory	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>   <a href="#">Webform</a>
<input checked="" type="checkbox"/>	<a href="#">Research and Related Senior/Key Person Profile (Expanded) [V2.0]</a>	Mandatory	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>   <a href="#">Webform</a>
<input checked="" type="checkbox"/>	<a href="#">SBIR/STTR Information [V1.2]</a>	Mandatory	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>
<input type="checkbox"/>	<a href="#">R &amp; R Subaward Budget Attachment(s) Form 5 YR 30 ATT [V1.4]</a> <small>MANAGE SUBFORMS: 0</small>	Optional	---	---	---	<a href="#">Lock</a>   <a href="#">Download</a>   <a href="#">Upload</a>   <a href="#">Reuse</a>   <a href="#">Webform</a>

Under the “Actions” column, click on the desired selection as appropriate. See item 1. above for further information about the noted options.

### 1.4 Navigating the Forms

The SF-424 (R&R) Cover Sheet and R&R Budget forms/documents are two or more pages in length. You must complete the mandatory fields on each page of the form/document. To navigate to the next page of a form/document, simply scroll down the screen. To go back to the first page of the form/document or to the Grant Application Package screen, simply scroll up the screen. You must save the application package from the Grant Application Package screen. More information on saving the application package is available in Section 1.7, Saving the Application.

You may enter up to five budget periods on the R&R Budget form/document. To add a new budget period, click “**Add Period**” button at the bottom of page 3 of the R&R Budget form/document.

J. Fee Federal (\$)

---

K. Total Costs and Fee Federal (\$)      Non-Federal (\$)      Total (Fed + Non-Fed) (\$)

Total Costs and Fee (I + J)

---

L. \* Budget Justification

(Only attach one file.)  Add Attachment Delete Attachment View Attachment

Add Period

Many of the forms/documents in the application package require you to attach files. **As stated in Section 3.1, Portable Document Format (.pdf), NIFA REQUIRES that ALL attachments be submitted in pdf format.** All attachments also must have a unique name to identify them. Attachment file names should indicate the file contents (e.g., ProjectSummary).

### 1.5 Submitting an Electronic Application to a Competitive Funding Opportunity

You must complete all of the following steps for an application to be considered for competitive peer review:

- 1) Meeting the deadline: A date and time stamp is attached to the application when you click on the Submit button to electronically send the application to Grants.gov. The date and time stamp determines whether the application was received by Grants.gov before the deadline, which is 5:00 p.m. Eastern Time (ET) on the date identified in the applicable RFA. An application submitted or resubmitted after the deadline is late (an application is considered on time at 5:00.59 pm ET but it is late at 5:01 pm ET). Consideration of late



## Research and Related (R&R) Forms and Instructions

applications is only given in extenuating circumstances (e.g., natural disasters, confirmed Grants.gov outage) with proper documentation and support of the Agency Contact (see Part VII of the request for applications; for the Small Business Innovation Research program (SBIR) the Program Contacts are specified under subsection 1.5 of the SBIR Program Solicitation). The occurrence of one of these situations does not automatically ensure that a late application will be accepted. You should contact the Agency Contact if you want a late application considered under an extenuating circumstance. Also see <http://nifa.usda.gov/resource/late-application-consideration>.

Successful Grants.gov validation: The Grants.gov system performs a limited check of the application (see Section 1.8 above), and Grants.gov will notify you of the outcome of the initial review. The Grants.gov validation process includes a check for an active CCR registration (**applicants with expired CCR registrations will be rejected**). **The System for Award Management conducts CCR registration activities. See Part II.1. for more information.**

- 2) Grants.gov sends applications that are successfully validated to NIFA for further processing. Applications that fail Grants.gov validation may be resubmitted to Grants.gov if NIFA's deadline has not passed. (Note that the Grants.gov system may allow applications to be submitted after the deadline, but the application is considered late by NIFA.)
- 3) Successful agency validation: NIFA staff perform precursory review of the application. The agency validation process includes meeting eligibility requirements and following NIFA application guidelines (e.g., formatting, page limitations, limits on budget requests). NIFA will notify you of the outcome of this review.



**Research and Related (R&R) Forms and Instructions**

## **V. RESEARCH AND RELATED (R&R) FORMS AND INSTRUCTIONS**

### **1. Overview**

This section contains both the SF-424 (R&R) instructions and any applicable NIFA-specific instructions (NIFA-specific and cross-agency forms and instructions are included in Part VI). The NIFA-specific instructions are identified by the USDA logo. Conformance is required and will be strictly enforced unless a deviation has been approved. NIFA may exclude from consideration applications that are not consistent with these instructions. The following SF 424 (R&R) forms are required as part of the application package:

- SF 424 (R&R) Cover Sheet;
- SF 424 (R&R) Performance Site Locations;
- SF 424 (R&R) Other Project Information;
- SF 424 (R&R) Senior/Key Person (Expanded);
- SF 424 (R&R) Personal Data; and
- SF 424 (R&R) Fed/Non-Fed Budget

The SF 424 (R&R) Subaward Fed/Non-Fed Budget Attachment form is optional and only should be submitted when appropriate:

Detailed instructions for other forms that may be part of the application package are included in Part VI or may be included in the RFA. The following sections contain detailed instructions for each of the application forms.



Research and Related (R&R) Forms and Instructions

2. SF-424 (R&R) (Cover Sheet)

<a href="#">View Burden Statement</a>		OMB Number: 4040-0001 Expiration Date: 10/31/2019	
<b>APPLICATION FOR FEDERAL ASSISTANCE</b> <b>SF 424 (R&amp;R)</b>		<b>3. DATE RECEIVED BY STATE</b> <input type="text"/>	<b>State Application Identifier</b> <input type="text"/>
<b>1. TYPE OF SUBMISSION</b> <input type="checkbox"/> Pre-application <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		<b>4. a. Federal Identifier</b> <input type="text"/>	
<b>2. DATE SUBMITTED</b> <input type="text"/>		<b>b. Agency Routing Identifier</b> <input type="text"/>	
<b>Applicant Identifier</b> <input type="text"/>		<b>c. Previous Grants.gov Tracking ID</b> <input type="text"/>	
<b>5. APPLICANT INFORMATION</b>			
<b>Legal Name:</b> <input type="text"/>		<b>Organizational DUNS:</b> <input type="text"/>	
<b>Department:</b> <input type="text"/>		<b>Division:</b> <input type="text"/>	
<b>Street1:</b> <input type="text"/>		<input type="text"/>	
<b>Street2:</b> <input type="text"/>		<input type="text"/>	
<b>City:</b> <input type="text"/>		<b>County / Parish:</b> <input type="text"/>	
<b>State:</b> <input type="text"/>		<b>Province:</b> <input type="text"/>	
<b>Country:</b> <input type="text"/> USA: UNITED STATES		<b>ZIP / Postal Code:</b> <input type="text"/>	
<b>Person to be contacted on matters involving this application</b>			
<b>Prefix:</b> <input type="text"/>		<b>First Name:</b> <input type="text"/>	
<b>Last Name:</b> <input type="text"/>		<b>Middle Name:</b> <input type="text"/>	
<b>Position/Title:</b> <input type="text"/>		<b>Suffix:</b> <input type="text"/>	
<b>Street1:</b> <input type="text"/>		<input type="text"/>	
<b>Street2:</b> <input type="text"/>		<input type="text"/>	
<b>City:</b> <input type="text"/>		<b>County / Parish:</b> <input type="text"/>	
<b>State:</b> <input type="text"/>		<b>Province:</b> <input type="text"/>	
<b>Country:</b> <input type="text"/> USA: UNITED STATES		<b>ZIP / Postal Code:</b> <input type="text"/>	
<b>Phone Number:</b> <input type="text"/>		<b>Fax Number:</b> <input type="text"/>	
<b>Email:</b> <input type="text"/>			
<b>6. EMPLOYER IDENTIFICATION (EIN) or (TIN):</b> <input type="text"/>			
<b>7. TYPE OF APPLICANT:</b> <input type="text"/> Please select one of the following			
<b>Other (Specify):</b> <input type="text"/>			
<b>Small Business Organization Type</b> <input type="checkbox"/> Women Owned <input type="checkbox"/> Socially and Economically Disadvantaged			
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Resubmission <input type="checkbox"/> Renewal <input type="checkbox"/> Continuation <input type="checkbox"/> Revision		If Revision, mark appropriate box(es). <input type="checkbox"/> A. Increase Award <input type="checkbox"/> B. Decrease Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> D. Decrease Duration <input type="checkbox"/> E. Other (specify): <input type="text"/>	
Is this application being submitted to other agencies? <input type="checkbox"/> Yes <input type="checkbox"/> No What other Agencies? <input type="text"/>			
<b>9. NAME OF FEDERAL AGENCY:</b> <input type="text"/>		<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <input type="text"/>	
<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> <input type="text"/>			
<b>12. PROPOSED PROJECT:</b> Start Date <input type="text"/> Ending Date <input type="text"/>		<b>13. CONGRESSIONAL DISTRICT OF APPLICANT</b> <input type="text"/>	



Research and Related (R&R) Forms and Instructions

**2.1 Enter a Type of Submission (Field 1 on the Form)**

Select a type of submission. If this submission is to change or correct a previously submitted “New” application, click the Changed/Corrected Application box and enter the Grants.gov tracking number in the Federal Identifier field. If this submission is to change or correct a “resubmission”, “renewal”, “continuation”, or “revision” application, leave the Federal identifier field as previously filled with the existing identifier (e.g. Award number). Do NOT insert the Grants.gov tracking number in these cases. Unless requested by the agency, applicants may not use this to submit changes after the closing date. This field is required.



You should submit a changed/corrected application **only after** the appropriate NIFA program contact has been contacted. Use the changed/corrected application to modify an application you have ALREADY submitted through Grants.gov and that the original application was submitted PRIOR to the established deadline.



Only submit a pre-application if specifically required by a NIFA RFA.

**2.2 Enter Date Submitted and Applicant Identifier (Field 2 on the Form)**

Enter the date the application is submitted to Federal agency (or State if applicable). Please use mm/dd/yyyy format (e.g., 12/13/2017). Enter the Applicant’s control number (if applicable) in the **Applicant Identifier** field.



Use the Applicant Identifier field when an institution has its own system for tracking applications. This field allows the applicant to enter their application identifier on the application, if applicable.

**2.3 Enter Date Received by State and State Application Identifier (Field 3 on the Form)**

Enter the date received by state (if applicable). Enter the state application identifier (if applicable) in the **State Application Identifier** field.



NIFA does not use this information; therefore, leave the Date Received by State and State Application Identifier field blank.

**2.4 Federal Identifier (Field 4 on the Form)**

Field Name	Input
Federal Identifier	If this is a continuation, revision, or renewal application, enter the assigned Federal identifier number (for example, award number)—even if submitting a changed/corrected application.
Agency Routing Identifier	Enter the agency-assigned routing identifier per the agency-specific instructions. This is an optional field.
Previous Grants.gov Tracking ID	Enter the previous Grants.gov tracking number, if applicable.



**New project** applications should leave these fields blank unless you are submitting a changed/corrected application. When submitting a changed/corrected “New” application, enter the Grants.gov tracking number in Field 4c. If you are submitting a **renewal** application (see 2.8 of this section), enter the NIFA-assigned award number of the previously-funded application in the Federal Identifier field (Field 4a. on the form). If you are submitting a **resubmission** application (see 2.8 of this section), enter the NIFA-assigned proposal number of the previously-submitted application in the Federal Identifier field (Field 4a. on the form). If you are submitting a **resubmission renewal** application (see 2.8 of this section), enter the NIFA-assigned proposal number of the previously-submitted application in the Federal Identifier field (Field 4a. on the form). If you are submitting a **continuation** application (see 2.8 of this section), enter the NIFA-assigned award number of the previously-funded application in the Federal Identifier field (Field 4a. on the form).



NIFA does not use the Agency Routing Identifier field; it may be left blank.

**2.5 Enter Applicant Information (Field 5 on the Form)**

Enter the DUNS or DUNS+4 number of the applicant organization in the \* **Organizational DUNS** field. This field is required.



**Research and Related (R&R) Forms and Instructions**



For the Legal Name field enter the legal name of the applicant organization or individual (i.e., in whose name an award, if appropriate, should be made).

If you check the box on the Grant Application Package main page to indicate that you are submitting an applicant on your own behalf (see Part IV section 1.2), the Organizational DUNS field will prepopulate.

Field Name	Input
*Legal Name	Enter legal name of applicant, which will undertake the assistance activity, enter the complete address of the applicant (including county and country), and name, telephone number, e-mail, and fax of the person to contact on matters related to this application. This field is required.
Department	Enter the name of primary organizational department, service, laboratory, or equivalent level within the organization which will undertake the assistance activity.
Division	Enter the name of primary organizational division, office, or major subdivision which will undertake the assistance activity.
*Street 1	Enter first line of the street address in "Street1" field for the applicant. This field is required. Two lines are available for street address input. The first line is required information. The second line is not required.
Street 2	Enter second line of the street address for the applicant in "Street2" field. This field is optional.
*City	Enter the city for address of applicant. This field is required.
County/Parish	Enter the county/parish for address of applicant.
*State	Enter (select) the State where the applicant is located. This field is required if the applicant is located in the United States.
Province	Enter the Province.
*Country	Select the country for the applicant address. This field is required.
*Zip/Postal Code	Enter the nine-digit Postal Code (e.g., ZIP code) of the primary performance site location. This field is required if the Project Performance Site is located in the United States.

Person to be contacted on matters involving this application:

Field Name	Input
Prefix	Enter the prefix (e.g., Mr., Mrs., Rev.) for the person to contact on matters related to this application.
*First Name	Enter first (given) name of the person to contact on matters related to this application. This field is required.
Middle Name	Enter the middle name of the person to contact on matters related to this application.
*Last Name	Enter the last (family) name of the person to contact on matters related to this application. This field is required.
Suffix	Enter the suffix (e.g., Jr, Sr, PhD) for the name of the person to contact on matters related to this application.
*Phone Number	Enter the daytime phone number for the person to contact on matters related to this application. This field is required.
Fax Number	Enter the fax number for the person to contact on matters related to this application.
Email	Enter the e-mail address for the person to contact on matters related to this application.

**2.6 Enter Employer Identification (EIN) or (TIN) (Field 6 on the Form)**

**Employer Identification (EIN) or (TIN)** - Enter either TIN or EIN as assigned by the Internal Revenue Service. If your organization is not in the U.S., type 44-4444444. This field is required.

**2.7 Enter Type of Applicant (Field 7 on the Form)**

**Type of Applicant** - Select the appropriate applicant type code. This field is required.

If Small Business is selected as Type of Applicant, then note if the organization is Woman-owned and/or Socially and Economically Disadvantaged.

- **Woman Owned** - Check if you are a woman-owned small business - a small business that is at least 51% owned by a woman or women, who also control and operate it.



## Research and Related (R&R) Forms and Instructions

- **Socially and Economically Disadvantaged** - Check if you are a socially and economically disadvantaged small business as determined by the U.S. Small Business Administration pursuant to section 8(a) of the Small Business Act, U.S.C. 637(a).

### 2.8 Select Type of Application (Field 8 on the Form)

Select the type from the following list. Check only one.

- **New** - An application that is being submitted to an agency for the first time.
- **Resubmission** - An application that has been previously submitted, but not funded, and is being resubmitted for new consideration.
- **Renewal** - An application requesting additional funding for a period subsequent to that provided by a current award. A renewal application competes with all other applications and must be developed as fully as though the applicant is applying for the first time.
- **Continuation** - A non-competing application for an additional funding/budget period within a previously approved project period.
- **Revision** - An application that proposes a change in - 1) the Federal Government's financial obligations or contingent liability from an existing obligation; or, 2) any other change in the terms and conditions of the existing award.

This field is required.



Check Part II, B. of the RFA for the types of applications that you submit in response to the RFA. If you are submitting a *renewal* application, enter the NIFA-assigned award number of the previously-funded application in the Federal field (Field 4 on the form). If you are submitting a *resubmission* application, enter the NIFA-assigned proposal number of the previously-submitted application in the Federal field (Field 4 on the form). If you are submitting a *resubmission renewal* application, select "resubmission" and enter the NIFA-assigned proposal number of the previously-submitted application in the Federal field (Field 4 on the form). If submitting a *continuation* application, enter the NIFA-assigned award number of the previously-funded application in the Federal field (Field 4 on the form).

If Revision, mark appropriate box(es).

- A. Increase Award  B. Decrease Award  C. Increase Duration  D. Decrease Duration  
 E. Other (specify):

If a revision mark the appropriate box(es): A. Increase Award, B. Decrease Award, C. Increase Duration, D. Decrease Duration, E. Other (specify). If "Other" is selected, please specify in text box provided. May select more than one.



The type of application accepted may vary by funding opportunity. The RFA will stipulate the type of application that you may submit in response to the funding opportunity.

**\* Is this application being submitted to other agencies?** – Enter yes or no. This field is required. If yes, enter Agency name.



List the names or acronyms of all other public or private sponsors including other agencies within USDA to which your application has been or might be sent. In the event you decide to send your application to another organization or agency at a later date, you must inform the identified NIFA Program Contact as soon as practicable. Submitting your application to other potential sponsors will not prejudice its review by NIFA; however, submitting the same application to another NIFA program is not permissible.

### 2.9 Name of Federal Agency (Field 9 on the Form)

**\* Name of Federal Agency** – This is the name the Federal agency from which assistance is being requested by this application. This information is pre-populated from the opportunity package.



Research and Related (R&R) Forms and Instructions

**2.10 Catalog of Federal Domestic Assistance Number and Title (Field 10 on the Form)**

This is the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. This information is pre-populated from the opportunity package.

**2.11 Enter Descriptive Title of Applicant's Project (Field 11 on the Form)**

\* **Descriptive Title of Applicant's Project** - Enter a brief descriptive title of the project. This field is required.



The title should be a brief (**140-character-maximum including spaces**), clear, and specific designation of the proposed project. Project titles are read by a variety of nonscientific people; therefore, you should avoid highly technical words or phraseology where possible. In addition, you should not use introductory phrases such as "investigation of," "research on," "education for," or "outreach that."

**2.12 Enter Proposed Project (Field 12 on the Form)**

\* **Start Date** – Enter the proposed start date of the project. This field is required. Please use mm/dd/yyyy format (e.g., 08/13/2018).

\* **Ending Date** – Enter the proposed end date of the project. This field is required. Please use mm/dd/yyyy format (e.g., 08/13/2020).



The proposed duration for which support is requested must be consistent with the nature and complexity of the proposed activity. In some situations, a funding opportunity may limit the duration of requested support. In such cases, RFA will address the limitations. Specification of a desired starting date for the project is important and helpful to our staff; however, we may not always be able to meet the requested dates. In such cases, we will consult with you.

**2.13 Enter Congressional Districts (Field 13 on the Form)**

\* **Applicant** - Enter the applicant's Congressional District. Enter the Congressional District in the format: 2 character State Abbreviation - 3 character District Number. Examples: CA-005 for California's 5th district, CA-012 for California's 12th district. If outside the US, enter 00-000. To locate your congressional district, visit the Grants.gov web site. This field is required.

**2.14 Enter Project Director/Principal Investigator Contact Information (Field 14 on the Form)**

Field Name	Input
Prefix	Enter the prefix (e.g., Mr., Mrs., Rev.) for the name of the Project Director/Principal Investigator (PD/PI).
*First Name	Enter first name of the PD/PI. This field is required.
Middle Name	Enter the middle name of the PD/PI.
*Last Name	Enter the last (family) name of the PD/PI. This field is required.
Suffix	Enter the suffix (e.g., Jr, Sr, PhD) for the name of the PD/PI.
Position/Title	Enter the title of the PD/PI.
*Organization Name	Enter the name of organization for the PD/PI. This field is required.
Department	Enter the name of primary organizational department, service, laboratory, or equivalent level within the organization of the PD/PI.
Division	Enter the name of primary organizational division, office, or major subdivision of the PD/PI.
*Street 1	Enter first line of the street address for the PD/PI in the "Street1" field. This field is required.
Street 2	Enter second line of the street address for the PD/PI in "Street2" field. This field is optional.
*City	Enter the City for address of the PD/PI. This field is required.
County/Parish	Enter the county/parish for address of the PD/PI.
*State	Enter (select) the State where the PD/PI is located. This field is required if the PD/PI is located in the United States.
Province	Enter the Province.
*Country	Select the country for PD/PI address.
*Zip/Postal Code	Enter the Postal Code (e.g., ZIP code) of PD/PI. This field is required if the PD/PI is located in the United States.



**Research and Related (R&R) Forms and Instructions**

*Phone Number	Enter the daytime phone number for the PD/PI. This field is required.
Fax Number	Enter the fax number for the PD/PI.
*Email	Enter the e-mail address for the PD/PI. This field is required.



The Project Director/Principal Investigator (PD/PI) means the single individual designated by the awardee in the application and approved by the Authorized Departmental Officer who is responsible for the direction and management of the project. To facilitate communication with NIFA, the person designated in Field 14. will be considered the contact PD/PI. The contact PD/PI will be responsible for relaying communications between all of the PD/PIs and NIFA (other PD/PIs are identified on the R&R Senior/Key Person Profile; see Part V 5.4.).



Research and Related (R&R) Forms and Instructions

**SF 424 (R&R) APPLICATION FOR FEDERAL ASSISTANCE**

<b>14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION</b> Prefix: <input type="text"/> First Name: <input type="text"/> Middle Name: <input type="text"/> Last Name: <input type="text"/> Suffix: <input type="text"/> Position/Title: <input type="text"/> Organization Name: <input type="text"/> Department: <input type="text"/> Division: <input type="text"/> Street1: <input type="text"/> Street2: <input type="text"/> City: <input type="text"/> County / Parish: <input type="text"/> State: <input type="text"/> Province: <input type="text"/> Country: <input type="text" value="USA: UNITED STATES"/> ZIP / Postal Code: <input type="text"/> Phone Number: <input type="text"/> Fax Number: <input type="text"/> Email: <input type="text"/>	
<b>15. ESTIMATED PROJECT FUNDING</b> a. Total Federal Funds Requested: <input type="text"/> b. Total Non-Federal Funds: <input type="text"/> c. Total Federal & Non-Federal Funds: <input type="text"/> d. Estimated Program Income: <input type="text"/>	<div style="border: 2px solid red; background-color: yellow; padding: 2px;"> <b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> </div> a. YES <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE: <input type="text"/> b. NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372; OR <input type="checkbox"/> PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
<b>17. By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances * and agree to comply with any resulting terms 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 18, Section 1001)</b> <input type="checkbox"/> I agree <small>*The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>	
<b>18. SFLLL (Disclosure of Lobbying Activities) or other Explanatory Documentation</b> <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
<b>19. Authorized Representative</b> Prefix: <input type="text"/> First Name: <input type="text"/> Middle Name: <input type="text"/> Last Name: <input type="text"/> Suffix: <input type="text"/> Position/Title: <input type="text"/> Organization: <input type="text"/> Department: <input type="text"/> Division: <input type="text"/> Street1: <input type="text"/> Street2: <input type="text"/> City: <input type="text"/> County / Parish: <input type="text"/> State: <input type="text"/> Province: <input type="text"/> Country: <input type="text" value="USA: UNITED STATES"/> ZIP / Postal Code: <input type="text"/> Phone Number: <input type="text"/> Fax Number: <input type="text"/> Email: <input type="text"/> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%; text-align: center;"> <b>Signature of Authorized Representative</b>  <input style="width: 100%; height: 30px;" type="text"/> </div> <div style="width: 45%; text-align: center;"> <b>Date Signed</b>  <input style="width: 100%; height: 30px;" type="text"/> </div> </div>	
<b>20. Pre-application</b> <input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>21. Cover Letter Attachment</b> <input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>



Research and Related (R&R) Forms and Instructions

**2.15 Enter Estimated Project Funding (Field 15 on the Form)**

Field Name	Input
* Total Federal Funds Requested	Enter total Federal funds requested for the entire project period. This field is required.
*Total Non-Federal Funds	Enter total non-Federal funds requested for the entire project period. This is required information.
*Total Federal & Non-Federal Funds	Enter total estimated funds for the entire project period, including both Federal and non-Federal funds. This is required information.
*Estimated Program Income	Identify any Program Income estimated for this project period if applicable. This field is required.



Estimated program income is estimated gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award.

**2.16 Is Application Subject to Review by State Executive Order 12372 Process? (Field 16 on the Form)**

If yes, check box. If the announcement indicates that the program is covered under Executive Order 12372, applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372. If no, check appropriate box. One selection is required.



Check "NO, program is not covered by E.O. 12372," NIFA programs are excluded from the scope of the Executive Order 12372 which requires intergovernmental consultation with state and local officials (see the final Rule-related Notice to 7 CFR Part 3015, Subpart V (48 FR 29114, June 24, 1983)).

**2.17 Complete Certification (Field 17 on the Form)**

17. By signing this application, I certify (1) to the statements contained in the list of certifications\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances \* and agree to comply with any resulting terms 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 18, Section 1001)

I agree

\*The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Check to provide the required certifications and assurances. This field is required.



The applicable certifications and representations can be located on the NIFA website. See <https://nifa.usda.gov/certifications-and-representations> before signing the application. For this application, by submitting the application you are also providing the required assurances regarding the protection of human subjects, providing humane treatment of animals, and monitoring the use of recombinant DNA. By submitting the application you are also providing the required assurances noted below:

In the event NIFA funds the application, the applicant agrees to be compliant with the Federal Information System Security Management Act of 2002 (FISMA), Pub. L. 107-347, if it will collect, store, process, transmit, or use information on behalf of NIFA.

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 NIFA.

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



**Research and Related (R&R) Forms and Instructions**

**The System for Award Management conducts the CCR activities. See Part II.1. for detailed 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.

In addition, you certify that the information contained herein is true and complete to the best of your knowledge and accept to any award the obligation to comply with the terms and conditions of NIFA in effect at the time of the award.

**2.18 Enter SFLLL (Disclosure of Lobbying Activities) or Other Explanatory Documentation (Field 18 on the Form)**

If applicable, attach the SFLLL or other explanatory documentation per agency instructions.



**See Part III Section 3.1 of this Guide for NIFA attachment specifications.**

**2.19 Enter Authorized Representative (Field 19 on the Form)**

Field Name	Input
Prefix	Enter the prefix (e.g., Mr., Mrs., Rev.) for the name of the Authorized Representative.
*First Name	Enter first (given) name of the Authorized Representative. This field is required.
Middle Name	Enter the middle name of the Authorized Representative.
*Last Name	Enter the last (family) name of the Authorized Representative. This field is required.
Suffix	Enter the suffix (e.g., Jr, Sr, PhD) for the name of the Authorized Representative.
*Position/Title	Enter the title of the Authorized Representative. This field is required.
*Organization Name	Enter the name of organization for the Authorized Representative. This field is required.
Department	Enter the name of primary organizational department, service, laboratory, or equivalent level within the organization of the Authorized Representative.
Division	Enter the name of primary organizational division, office, or major subdivision of the Authorized Representative.
*Street 1	Enter first line of the street address for the Authorized Representative in the "Street1" field. This field is required.
Street 2	Enter second line of the street address for the Authorized Representative in the "Street2" field. This field is optional.
*City	City for address of the Authorized Representative. This field is required
County/Parish	Enter the county/parish for address of Authorized Representative.
*State	Enter (select) the State where the Authorized Representative is located. This field is required if the Authorized Representative is located in the United States.
Province	Enter the Province for Authorized Representative.
*Country	Select the country for the Authorized Representative address.
*Zip/Postal Code	Enter the Postal Code (e.g., ZIP code) of the Authorized Representative. This field is required if the Authorized Representative is located in the United States.
*Phone Number	Enter the daytime phone number for the Authorized Representative. This field is required.
Fax Number	Enter the fax number for the Authorized Representative.
*Email	Enter the e-mail address for the Authorized Representative. This field is required.
Signature of Authorized Representative	It is the organization's responsibility to assure that only properly authorized individuals submit the application to Grants.gov. This field is completed on submission to Grants.gov.
Date Signed	This field is completed on submission to Grants.gov.

**2.20 Enter Pre-Application (Field 20 on the Form)**

If submitting a pre-application, provide a summary description of the project in accordance with the announcement and/or agency-specific instructions and attach here.



**Research and Related (R&R) Forms and Instructions**



Infrequently, a NIFA funding opportunity will require or request submission of a preliminary application in advance of submission of a full application. The two predominant reasons for requiring you to submit a preliminary application are to:

- Reduce the unnecessary effort in application preparation when the chance of success is very small. This is particularly true of exploratory initiatives where the community senses that a major new direction is being identified, or competitions that will result in a small number of actual awards; and
- Increase the overall quality of the full submission.

The NIFA RFA will specify the content and submission requirements in Section V.A of the RFA when preliminary applications are to be used. Note that a pre-application is not the same as a Letter of Intent which NIFA, in some cases, may be used. The RFA will state when you need to submit a pre-application or a Letter of Intent, if appropriate; the RFA will remain silent if the items are not required.

**2.21 Enter Cover Letter Attachment (Field 21 on the Form)**

This field allows the applicant to enter a cover letter with the application. This field is optional.

**3. R&R Project/Performance Site Location(s)**

View Burden Statement

OMB Number: 4040-0010  
 Expiration Date: 10/31/2016

### Project/Performance Site Location(s)

I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

**Project/Performance Site Primary Location**

Organization Name:

DUNS Number:

\* Street1:

Street2:

\* City:  County:

\* State:

Province:

\* Country:

\* ZIP / Postal Code:  \* Project/ Performance Site Congressional District:

**3.1 Enter Project/Performance Site Primary Location**

Field Name	Input
I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.	Select if submitting an application as an individual and not on behalf of or representing any organization. (This field is not applicable for applicants using SF-424 Individual Form Set).
Organization Name	Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site location(s) in the block(s) provided.
DUNS Number	Enter the DUNS number associated with the organization where the project will be performed. (Note this field is not applicable for applicants using SF-424 Individual Form Set).



Research and Related (R&R) Forms and Instructions

*Street 1	Enter first line of the street address in "Street 1" field of the primary performance site location. This field is required.
Street 2	Enter second line of the street address in "Street 2" field for the primary performance site location. This field is optional.
*City	Enter the City for address of the primary performance site location. This field is required.
County	Enter the county of the performance site location.
*State	Enter the State where the primary performance site location is located. This field is required if the Project Performance Site is located in the United States.
Province	Enter the Province where the primary performance site location is located.
Country	Select the country for the primary performance site location.
*Zip Code	Enter the Postal Code (e.g., ZIP code) of the primary performance site location. This field is required if the Project Performance Site is located in the United States.
* Project/ Performance Site Congressional District	<p>Enter the Congressional District in the format: 2 character State abbreviation – 3 character District Number.          Examples: CA-005 for California's 5<sup>th</sup> district, CA-012 for California's 12<sup>th</sup> district.</p> <p>If all districts in a state are affected, enter "all" for the district number. Example: MD-all for all congressional districts in Maryland.</p> <p>If nationwide (all districts in all states) enter US-all.</p> <p>If the program/project is outside the US, enter 00-000.</p> <p>To locate your congressional district, visit the Grants.gov web site. Note is it likely that this field will be identical to the "Congressional Districts of Applicant" field provided elsewhere in this application.</p>

3.2 Project/Performance Site Location 1

Project/Performance Site Location 1  I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

\* Street1:

Street2:

\* City:  County:

\* State:

Province:

\* Country: USA: UNITED STATES

\* ZIP / Postal Code:  \* Project/ Performance Site Congressional District:

Enter for the Project/Performance Site Location 1 the information required for the Project/Performance Site Primary Location. If it is necessary to enter information for additional sites, click on the "Next Site" button.



Research and Related (R&R) Forms and Instructions

3.3 Additional Locations

If more than 8 performance site locations are proposed, provide the requested information in a separate file and attach.

Additional Location(s)

4. R&R Other Project Information

RESEARCH & RELATED Other Project Information

OMB Number: 4040-0001  
 Expiration Date: 10/31/2019

1. Are Human Subjects Involved?  Yes  No

1.a. If YES to Human Subjects

Is the Project Exempt from Federal regulations?  Yes  No

If yes, check appropriate exemption number.  1  2  3  4  5  6  7  8

If no, is the IRB review Pending?  Yes  No

IRB Approval Date:

Human Subject Assurance Number:

2. Are Vertebrate Animals Used?  Yes  No

2.a. If YES to Vertebrate Animals

Is the IACUC review Pending?  Yes  No

IACUC Approval Date:

Animal Welfare Assurance Number:

3. Is proprietary/privileged information included in the application?  Yes  No

4.a. Does this Project Have an Actual or Potential Impact - positive or negative - on the environment?  Yes  No

4.b. If yes, please explain:

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed?  Yes  No

4.d. If yes, please explain:

5. Is the research performance site designated, or eligible to be designated, as a historic place?  Yes  No

5.a. If yes, please explain:

6. Does this project involve activities outside of the United States or partnerships with international collaborators?  Yes  No

6.a. If yes, identify countries:

6.b. Optional Explanation:

7. Project Summary/Abstract

8. Project Narrative

9. Bibliography & References Cited

10. Facilities & Other Resources

11. Equipment

12. Other Attachments



Research and Related (R&R) Forms and Instructions

4.1 Are Human Subjects Involved? (Field 1 on the Form)

1. Are Human Subjects Involved?  Yes  No

If activities involving human subjects are planned at any time during the proposed project at any performance site, check yes. Check yes, even if the proposed project is exempt from Regulations for the Protection of Human Subjects. If no, skip the rest of block 1. This field is required.



Projects that involve research with human subjects must ensure that subjects are protected from research risks in conformance with the relevant federal policy known as the Common Rule (*Federal Policy for the Protection of Human Subjects, 45 CFR 690*). All projects that involve human subjects must either (1) have approval from the organization's Institutional Review Board (IRB) before issuance of a NIFA award or, (2) must affirm that the IRB or an appropriate knowledgeable authority previously designated by the organization (not the PD) has declared the research exempt from IRB review in accordance with the applicable subsection, as established in section 101(b) of the Common Rule. The box for "Human Subjects" must be checked "yes" with the IRB approval date (if available) or exemption subsection from the Common Rule identified in the space provided. Check "yes" even if the proposed project is exempt from Regulations for the Protection of Human Subjects. If "no", skip the remaining questions about Human Subjects. If "no" is checked at the time of submission and subsequently it is determined that human subjects are necessary, then contact the applicable Program Contact (identified in Field 14. of Form NIFA-2009, Award Face Sheet, of the award document) for instructions on submitting updated human subject information.

1.a If YES to Human Subjects

Is the Project Exempt from Federal regulations?  Yes  No

Yes, this project is exempt from Federal regulations or No, this project is not exempt from Federal regulations.

If yes, check appropriate exemption number.  1  2  3  4  5  6  7  8

**Exemption Number** – If human subject activities are exempt from Federal regulations, provide the exemption numbers corresponding to one or more of the exemption categories. The eight categories of research that qualify for exemption from coverage by the regulations are defined in the Common Rule for the Protection of Human Subjects which USDA implements through 7 CFR part 1c.104. These regulations can be found at:

<https://www.ecfr.gov/cgi-bin/text-idx?SID=a3fd4633b13e54e0e2283d2ba30331f4&mc=true&node=20170119y1.181>.

If no, is the IRB review Pending?  Yes  No

IRB Approval Date:

Human Subject Assurance Number:

If IRB is pending, check yes. If IRB is not pending, check no.

**IRB Approval Date** - If no, enter the latest Institutional Review Board (IRB) approval date (if available). Please use mm/dd/yyyy format (e.g., 08/13/2017). Leave blank if Pending.

NOTE: This is required information if the applicant selected "NO" to "Is the IRB review Pending?"

**Human Subject Assurance Number** – Enter the approved Federal Wide Assurance (FWA), Multiple Project Assurance (MPA), Single Project Assurance Number or Cooperative Project Assurance Number that the applicant has on file with the Office for Human Research Protections, if available. If the applicant has a FWA number, enter the 8-digit number. Do not enter the FWA before the number.

2. Are Vertebrate Animals Used?  Yes  No



Research and Related (R&R) Forms and Instructions

#### 4.2 Are Vertebrate Animals Used? (Field 2 on the Form)

If activities involving vertebrate animals are planned at any time during the proposed project at any performance site, check yes. If no, check no and skip the rest of block 2. This field is required.



For applications that involve the use of vertebrate animals, you must provide sufficient information within the project description to enable reviewers to evaluate the choice of species, number of animals to be used, and any necessary exposure of animals to discomfort, pain, or injury. Consistent with the requirements of the Animal Welfare Act [7 U.S.C. 2131 et seq.] and the regulations promulgated by the Secretary of Agriculture [9 CFR, 1.1-4.11] (see [https://www.ecfr.gov/cgi-bin/text-idx?SID=bc560d317ef53a7638adc1b97548ab56&mc=true&tpl=/ecfrbrowse/Title09/9cfrv1\\_02.tpl#0](https://www.ecfr.gov/cgi-bin/text-idx?SID=bc560d317ef53a7638adc1b97548ab56&mc=true&tpl=/ecfrbrowse/Title09/9cfrv1_02.tpl#0)), NIFA requires that proposed projects involving use of any vertebrate animal for research or education be approved by the submitting organization's Institutional Animal Care and Use Committee (IACUC) before an award can be made.

##### 2.a. If YES to Vertebrate Animals

Is the IACUC review Pending?  Yes  No

IACUC Approval Date:

Animal Welfare Assurance Number:

**Is the IACUC review Pending? Check yes or no.** This field is required is yes is checked to the question "Are vertebrate animals used?"

Indicate an Institutional Animal Care and Use Committee (IACUC) review is pending.

**IACUC Approval Date** – Enter the latest Institutional Animal Care and Use Committee (IACUC) approval date (if available). Please use mm/dd/yyyy format (e.g., 08/13/2017). Leave blank if Pending.

**Animal Welfare Assurance Number** – Enter the Federally-approved assurance number, if available. These fields are required if no is checked to the question "Is the IACUC review pending".

#### 4.3 Is Proprietary/Privileged Information Included in the Application? (Field 3 on the Form)

Check yes or no.

3. Is proprietary/privileged information included in the application?  Yes  No

Patentable ideas, trade secrets, privileged or confidential commercial or financial information, the disclosure of which may harm the applicant, should be included in applications only when such information is necessary to convey an understanding of the proposed project. If the application includes such information, check yes and clearly mark each line or paragraph on the pages containing the proprietary/privileged information with a legend similar to - "The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation." This field is required.



Such information also may be included as a separate statement. If you use this method, submit the statement as a single-copy document and attach it in Field 12, Other Attachments. While NIFA will make every effort to prevent unauthorized access to such material, we are not responsible or in any way liable for the release of such material.

#### 4.4 Does this Project Have an Actual or Potential Impact on the Environment? (Field 4 on the Form)

4.a. Does this Project Have an Actual or Potential Impact - positive or negative - on the environment?  Yes  No



**Research and Related (R&R) Forms and Instructions**

Indicates if this project has an actual or potential impact on the environment. Click yes here if this is the case. Click no here if this is not the case. This field is required.

**If yes, please explain** – Enter here an explanation for the actual or potential impact on the environment.

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed?  Yes  No

**If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed?**

Check yes or no. Indicates whether an exemption [has] been authorized or an Environmental Assessment (EA) or Environmental Impact Statement (EIS) [has] been performed.

4.d. If yes, please explain:

**If yes, please explain** – Enter additional details about the EA or EIS.



If the project meets one of the exemptions identified in 7 CFR Part 3407 (see chart below), NIFA's implementing regulations of the National Environmental Policy Act of 1969 (see <https://www.ecfr.gov/cgi-bin/text-id?SID=e00b7fe1ec37aa707235632274eead9e&mc=true&node=pt7.15.3407&rqn=div5>), then the explanation should include the specific exemption code.

Exemption Code	Description
<i>Department of Agriculture Categorical Exclusions (found at 7 CFR 1b.3 and restated at 7 CFR 3407.6(a)(1)(i) through (vii))</i>	
(a)(1)(i)	Policy development, planning, and implementation which are related to routine activities such as personnel, organizational changes, or similar administrative functions
(a)(1)(ii)	Activities that deal solely with the functions of programs, such as program budget proposals, disbursement, and transfer or reprogramming of funds
(a)(1)(iii)	Inventories, research activities, and studies such as resource inventories and routine data collection when such actions are clearly limited in context and intensity
(a)(1)(iv)	Educational and informational programs and activities
(a)(1)(v)	Civil and criminal law enforcement and investigative activities
(a)(1)(vi)	Activities that are advisory and consultative to other agencies and public and private entities, such as legal counseling and representation
(a)(1)(vii)	Activities related to trade representation and market development activities abroad
<i>NIFA Categorical Exclusions (found at 7 CFR 3407.6(a)(2)(i) through (ii))</i>	
The following categories of research programs or projects of limited size and magnitude or with only short-term effects on the environment:	
(a)(2)(i)(A)	Research conducted within any laboratory, greenhouse, or other contained facility where research practices and safeguards prevent environmental impacts
(a)(2)(i)(B)	Surveys, inventories, and similar studies that have limited context and minimal intensity in terms of changes in the environment
(a)(2)(i)(C)	Testing outside the laboratory, such as in small isolated field plots, which involves the routine use of familiar chemicals or biological materials
(a)(2)(ii)	Routine renovation, rehabilitation, or revitalization of physical facilities, including the acquisition and installation of equipment, where such activity is limited in scope and intensity



Research and Related (R&R) Forms and Instructions

**4.5 Is the Research Performance Site Designated, or Eligible to be Designated, as a Historic Place? (Field 5 on the Form)**

5. Is the research performance site designated, or eligible to be designated, as a historic place?

Yes  No

If yes, check the box and then provide an explanation in the box provided in 5.a. Otherwise check the No box.

**4.6 Does this Project Involve Activities Outside the U.S. or Partnership with International Collaborators? (Field 6 on the Form)**

6. Does this project involve activities outside of the United States or partnerships with international collaborators?

Yes  No

Indicate whether this project involve activities outside the United States or partnerships with international collaborators. This field is required. Check yes or no.

***If yes, identify countries. – Enter the countries with which international cooperative activities are involved.***

***Optional Explanation*** – Enter an explanation for involvement with outside entities (optional).

**4.7 Attach Project Summary/Abstract (Field 7 on the Form)**

The Project Summary must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related fields and, insofar as possible, understandable to a scientifically or technically literate lay reader. This Summary must not include any proprietary/confidential information. To attach a Project Summary/Abstract, click “Add Attachment”.



A suggested template for the Project Summary/Abstract is available at:

<http://nifa.usda.gov/resource/application-support-templates>. The summary should be approximately 250 words. **List the names and affiliated organizations of all Project Directors/co-PDs and the title of the project at the top of the page.** The summary should be a self-contained, specific description of the activity to be undertaken and should focus on: overall project goal(s) and supporting objectives; plans to accomplish project goal(s); and relevance of the project to the goals of the program. We cannot overemphasize the importance of a concise, informative Project Summary. **See Part III Section 3.1 of this guide for NIFA attachment specifications.**

**4.8 Attach Project Narrative (Field 8 on the Form)**

Provide Project Narrative in accordance with the announcement and/or agency-specific instructions. To attach a Project Narrative, click “Add Attachment”.



You must prepare the Project Narrative in accordance with the guidelines specified under Part IV.B. in the applicable RFA (for AFRI the guidelines may be specified under Part IV.C. and for SBIR the guidelines are specified under subsection 2.3.2. of the SBIR Program Solicitation). **See Part III Section 3.1 of this guide for NIFA attachment specifications.**

**4.9 Attach Bibliography & References Cited (Field 9 on the Form)**

Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Proposers should be



## Research and Related (R&R) Forms and Instructions

especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. To attach Bibliography and References Cited, click “Add Attachment”.



Bibliography and References are not part of the Project Narrative page limitation, if any, unless noted otherwise. **See Part III Section 3.1 of this guide for NIFA attachment specifications.**

### 4.10 Attach Facilities & Other Resources (Field 10 on the Form)

This information is used to assess the capability of the organizational resources available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Provide any information describing the Other Resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. To attach Facilities and Other Resources, click “Add Attachment”.



**See Part III Section 3.1 of this guide for NIFA attachment specifications.**

### 4.11 Attach Equipment (Field 11 on the Form)

List major items of equipment already available for this project and, if appropriate, identify location and pertinent capabilities. To attach Equipment, click “Add Attachment”.



**See Part III Section 3.1 of this guide for NIFA attachment specifications.** If you plan to request funds to purchase items of nonexpendable equipment necessary to conduct and successfully complete the proposed project, refer to Field C. of the R&R Budget for information about including those items in the budget.

### 4.12 Add Other Attachments (Field 12 on the Form)

Attach a file to provide any other project information not provided above or in accordance with the announcement and/or agency-specific instruction.



**See Part III Section 3.1 of this guide for NIFA attachment specifications. MULTIPLE FILES MAY BE ATTACHED.** Include the following items in Other Attachments as appropriate.

- (1) Cooperation and Institutional Units Involved. Identify each institutional unit contributing to the project and designate the lead institution or institutional unit when submitting a cooperative, multi-institutional or multidisciplinary application. Clearly define the programmatic roles, responsibilities, and budget for each institutional partner.
- (2) Appendices to Project Narrative. Appendices to the Project Narrative are allowed if they are directly germane to the proposed project. Do not use the addition of appendices to circumvent the text and/or figures and tables page limitations.
- (3) Collaborative Arrangements. Fully explain and justify formal consulting or collaborative arrangements with others, should such arrangements be necessary. Provide a vitae or resume for any consultant(s) or collaborator(s) if known at the time of application. In addition, provide evidence (e.g., letter of support) that the identified collaborators involved have agreed to render these services. You must also provide additional information on consultants and collaborators in the budget portion of the application.



Research and Related (R&R) Forms and Instructions

5. R&R Senior/Key Person Profile(Expanded)

RESEARCH & RELATED Senior/Key Person Profile

**PROFILE - Project Director/Principal Investigator**

Prefix:  \* First Name:  Middle Name:   
 \* Last Name:  Suffix:   
 Position/Title:  Department:   
 Organization Name:  Division:   
 \* Street1:   
 Street2:   
 \* City:  County:   
 \* State:  Province:   
 \* Country: USA: UNITED STATES \* Zip / Postal Code:   
 \* Phone Number:  Fax Number:   
 \* E-Mail:   
 Credential, e.g., agency login:   
 \* Project Role:  Other Project Role Category:   
 \* Attach Biographical Sketch      
 Attach Current & Pending Support

**PROFILE - Senior/Key Person 1**

Prefix:  \* First Name:  Middle Name:   
 \* Last Name:  Suffix:   
 Position/Title:  Department:   
 Organization Name:  Division:   
 \* Street1:   
 Street2:   
 \* City:  County:   
 \* State:  Province:   
 \* Country: USA: UNITED STATES \* Zip / Postal Code:   
 \* Phone Number:  Fax Number:   
 \* E-Mail:   
 Credential, e.g., agency login:   
 \* Project Role:  Other Project Role Category:   
 \* Attach Biographical Sketch      
 Attach Current & Pending Support

**ADDITIONAL SENIOR/KEY PERSON PROFILE(S)**      
**Additional Biographical Sketch(es) (Senior/Key Person)**      
**Additional Current and Pending Support(s)**



**Research and Related (R&R) Forms and Instructions**



Beginning with the PD/PI, provide a profile for each proposed Senior/Key Person. Unless otherwise specified in NIFA’s announcement, Senior/Key Personnel are defined as all individuals who contribute in a substantive, measurable way to the scientific development or execution of the project whether or not salaries are requested. Include consultants if they meet this definition.

Complete a R&R Senior/Key Person Profile for, at a minimum, the PD, each co-PD, senior associate, and other professional personnel. A co-PD serves the same role as a PD (defined in 2.15 of this Part); however, the PD is the named contact to facilitate communications with NIFA. A paraprofessional is an individual who, through formal education, work experience, and/or training, has the knowledge and expertise to assist a professional person.

**5.1 Enter Profile – Project Director/Principal Investigator**

Field Name	Input
Prefix	Pre-populated from the SF 424 (R&R). The prefix (e.g., Mr., Mrs., Rev.) for the name of the Project Director/Principal Investigator (PD/PI).
*First Name	Pre-populated from the SF 424 (R&R). The first name of the PD/PI. This field is required.
Middle Name	Pre-populated from the SF 424 (R&R). The middle name of the PD/PI.
*Last Name	Pre-populated from the SF 424 (R&R). The last (family) name of the PD/PI. This field is required.
Suffix	Pre-populated from the SF 424 (R&R). The suffix (e.g., Jr, Sr, PhD) for the name of the PD/PI.
Position/Title	Pre-populated from the SF 424 (R&R). The title of the PD/PI.
Department	Pre-populated from the SF 424 (R&R). The name of primary organizational department, service, laboratory, or equivalent level within the organization of the PD/PI.
Organization Name	Pre-populated from the SF 424 (R&R). The name of organization for the PD/PI
Division	Pre-populated from the SF 424 (R&R). The name of primary organizational division, office, or major subdivision of the PD/PI.
*Street 1	Pre-populated from the SF 424 (R&R). The first line of the street address for the PD/PI in the "Street 1" field. This field is required.
Street 2	Pre-populated from the SF 424 (R&R). The second line of the street address for the PD/PI in the "Street 2" field. This field is optional.
*City	Pre-populated from the SF 424 (R&R). The city for address of PD/PI. This field is required.
County/Parish	Pre-populated from the SF 424 (R&R). The county/parish for address of PD/PI.
*State	Pre-populated from the SF 424 (R&R). The state where the PPD/PI is located. This field is required if the PD/PI is located in the United States.
Province	Pre-populated from the SF 424 (R&R). The province.
*Country	Pre-populated from the SF 424 (R&R). The country for PD/PI address. This field is required.
*Zip/Postal Code	Pre-populated from the SF 424 (R&R). The postal code (e.g., ZIP code) of PD/PI. This field is required if the PD/PI is located in the United States.
*Phone Number	Pre-populated from the SF 424 (R&R). The daytime phone number for the PD/PI. This field is required.
Fax Number	Pre-populated from the SF 424 (R&R). The fax number for the PD/PI.
*Email	Pre-populated from the SF 424 (R&R). The e-mail address for the PD/PI. This field is required for PD/PI.
Credential; e.g., agency login	If you are submitting to an agency (e.g., NIH) where you have an established personal profile, enter the agency ID. If not, leave blank.
*Project Role	Select one. Use "Other" if a category is not listed in the pick list.
Other Project Role Category	Complete if "Other Professional" or "Other" has been selected as a project role; e.g., Engineer, Chemist.
Degree Type	Enter the highest academic or professional degree or other credentials (e.g., RN).
Degree Year	Enter the year the highest degree or other credential was obtained.

**5.2 Attach Biographical Sketch**

Provide a biographical sketch for the PD/PI. Recommended information includes - Education and Training, Research and Professional Experience, Collaborators and Affiliations (for conflicts of interest), Publications and Synergistic Activities. Save the information in a single file and attach here. This field is required.



**Research and Related (R&R) Forms and Instructions**



The Biographical Sketch should be limited to 2 pages each in length, excluding publications listings. The vitae should include a presentation of academic and research credentials, as applicable (e.g., earned degrees, teaching experience, employment history, professional activities, honors and awards, and grants received). Include a chronological list of **all** publications in **refereed journals** during the past **4 years**, including those in press. Also, list only those **non-refereed** technical publications that have **relevance** to the proposed project. List all authors in the same order as they appear on each paper cited, along with the title and complete reference as these usually appear in journals. **See Part III Section 3.1 of this Guide for NIFA attachment specifications.**

**5.3 Attach Current and Pending Support**

Provide a list of all current and pending support for the PD/PI (even if they receive no salary support from the project(s)) for ongoing projects and pending proposals. Show the total award amount for the entire award period (including indirect costs) as well as the number of person-months per year to be devoted to the project by the senior/key person, regardless of source of support. Concurrent submission of a proposal to other organizations will not prejudice its review.



A suggested template for the Current and Pending support is available at <http://nifa.usda.gov/resource/application-support-templates>. Include a current and pending support list for the PD/PI. **Even if no other funding is currently reported as “Active,” list this application as “Pending” in the information submitted.** Identify the proposed project as pending in the attached document. The percent of time committed should not exceed 100% of effort for concurrent projects. NIFA will not fund an application that duplicates or overlaps substantially with an application already funded (or to be funded) by another organization or agency. Prepare the Current and Pending support list(s) following the instructions and format noted below. **See Part III Section 3.1 of this Guide for NIFA attachment specifications.**

**Instructions:**

1. Record information for active and pending projects, including this proposal. (Concurrent submission of a proposal to other organizations will not prejudice its review by NIFA.)
2. All current efforts to which project director(s) and other senior personnel have committed a portion of their time must be listed, whether or not salary for the person involved is included in the budgets of the various projects.
3. Provide analogous information for all proposed work which is being considered by, or which will be submitted in the near future to, other possible sponsors including other USDA programs.

NAME (List/PD #1 first)	SUPPORTING AGENCY AND AGENCY ACTIVE AWARD/PENDING PROPOSAL NUMBER	TOTAL \$ AMOUNT	EFFECTIVE AND EXPIRATION DATES	% OF TIME COMMITTED	TITLE OF PROJECT
	Active:				
	Pending:				

**5.4 Enter Profile – Senior/Key Person 1**

Enter information for Senior/Key Person 1 following the instructions included in Sections in 5.1, 5.2, and 5.3.

Select **“Next Person”** to enter the next senior/key person entry. Complete the same information noted in Sections 5.1 through 5.3 for additional senior/key persons.



A PD/PI is the individual(s) a research organization designates as having an appropriate level of authority and responsibility for the proper conduct of the project, including the appropriate use of funds and administrative requirements such as the submission of progress reports to the agency. When an organization designates more than one PD/PI, it identifies them as individuals who share the authority and responsibility for leading and directing the project, intellectually and logistically. NIFA does not infer any distinction in scientific stature among



Research and Related (R&R) Forms and Instructions

multiple PD/PIs. NIFA will consider the PD/PI entered on the SF-424 R&R Cover Sheet (see Part V 2.14) as the contact PD/PI.

NIFA will recognize, on any award that is issued as a result of the application, all the PD/PI co-PD/PIs entered on this form (any individual listed as a “co-investigator” is not identified on the award). **You must attach “Current and Pending Support” information for each key person identified. Even if no other funding is currently reported as “Active,” this application is to be identified as “Pending” in the information submitted.**

To ensure proper performance of this form; after adding 20 additional Senior/ Key Persons; please save your application, close the Adobe Reader, and reopen it.

6. R&R Personal Data

OMB Number: 4040-0001  
 Expiration Date: 10/31/2019

**RESEARCH & RELATED PERSONAL DATA**  
**Project Director/Principal Investigator and Co-Project Director(s)/Co-Principal Investigator(s)**

The Federal Government has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity, or disability of its proposed PDs/PIs and co-PDs/PIs. To gather information needed for this important task, the applicant should submit the requested information for each identified PD/PI and co-PDs/PIs with each proposal. Submission of the requested information is voluntary and is not a precondition of award. However, information not submitted will seriously undermine the statistical validity, and therefore the usefulness, of information received from others. Any individual not wishing to submit some or all the information should check the box provided for this purpose. Upon receipt of the application, this form will be separated from the application. This form will not be duplicated, and it will not be a part of the review process. Data will be confidential.

Project Director/Principal Investigator

Prefix:  \* First Name:  Middle Name:

\* Last Name:  Suffix:

Gender:

Race (check all that apply):  
 American Indian or Alaska Native  
 Asian  
 Black or African American  
 Native Hawaiian or Other Pacific Islander  
 White  
 Do Not Wish to Provide

Ethnicity:

Disability Status (check all that apply):  
 Hearing  
 Visual  
 Mobility/Orthopedic Impairment  
 Other  
 None  
 Do Not Wish to Provide

Citizenship:

Next Person

The Federal government has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity, or disability of its proposed PDs/PIs and co-PDs/PIs. To gather information needed for this important task, the applicant should submit the requested information for each identified PD/PI and co-PD/PIs with each proposal. Submission of the requested information is voluntary and is not a precondition of award. However, information not submitted will seriously undermine the statistical validity, and therefore the usefulness, of information received from others. Any individual not wishing to submit some or all the information should check the box provided for this purpose. Upon receipt of the application, this form will be separated from the application. This form will not be duplicated, and it will not be a part of the review process. Data will be confidential.



**Research and Related (R&R) Forms and Instructions**



To meet the responsibilities of the U.S. Department of Agriculture, 7 U.S.C. 3121, we must collect certain information to maintain its Privacy Act Record System, Privacy Act of 1974, 5 U.S.C. 552a. Such information includes the race and ethnicity of the PD/PI and Co-PDs/Pis. This information is used only for tracking and statistical purposes necessary to meet the demands of NIFA and will not be part of the review process. This information is purely voluntary in which case the failure or refusal to provide the information would not deny an individual any right, benefit, or privilege provided by law. However, we strongly encourage you to provide the requested information to increase the quality of the NIFA database, aid in verification of eligibility for certain programs and to have a unique identifier for PD/Pis to aid in tracking grantees from one institution to another.

**6.1 Enter Project Director/Principal Investigator**

Field Name	Input
Prefix	Pre-populated from SF-424 R&R. The prefix (e.g., Mr., Mrs., Rev.) for the name of the PD/PI.
*First Name	Pre-populated from SF-424 R&R. The first name of the PD/PI. This field is required.
Middle Name	Pre-populated from SF-424 R&R. The middle name of the PD/PI.
*Last Name	Pre-populated from SF-424 R&R. The last (family) name of the PD/PI. This field is required.
Suffix	Pre-populated from SF-424 R&R. Enter the suffix (e.g., Jr, Sr, PhD) for the name of the PD/PI.
Gender	Select one.
Race (check all that apply)	Choose one or more: <i>American Indian or Alaska Native</i> - A person having origins in any of the original peoples of North, Central, or South America, and who maintains tribal affiliation or community attachment. <i>Asian</i> - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam. (Note: Individuals from the Philippine Islands have been recorded as Pacific Islanders in previous data collection strategies.) <i>Black or African American</i> - A person having origins in any of the black racial groups of Africa. <i>Native Hawaiian or Other Pacific Islander</i> - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands. <i>White</i> - A person having origins in any of the original peoples of Europe, the Middle East or North Africa. <i>Do Not Wish to Provide</i>
Ethnicity	Choose one: <i>Hispanic or Latino</i> - A person of Mexican, Puerto Rican, Cuban, South or Central American, or other Spanish culture or origin, regardless of race. <i>Non-Hispanic or Latino</i> <i>Do not wish to provide</i>
Disability Status (check all that apply)	Select one or more: <i>Hearing</i> <i>Visual</i> <i>Mobility/Orthopedic Impairment</i> <i>Other</i> <i>None</i> <i>Do Not Wish to Provide</i>
Citizenship	Select one: <i>U.S. Citizen</i> <i>Permanent Resident</i> <i>Other non-U.S. Citizen</i> <i>Do Not Wish to Provide</i>

**6.2 Enter Co-Project Director/Co-Principal Investigator Information**

Click on the "Next Person" button to advance to the next person's record.  
 To enter the Co-Project Director/Co-Principal Investigator information, complete the same information noted in Section 6.1.



## Research and Related (R&R) Forms and Instructions

### 7. Capacity Budget

Capacity grantees do not submit a budget or budget justification with your capacity proposal. If the program has a required match, you are required to submit a Source of Match .pdf as an attachment to your application. For FY 2021, NIFA has decided to continue the successful FY 2020 pilot and allow institutions to get additional experience preparing and submitting the SF-424a budget form and a budget justification with the capacity grant proposal. It is NIFA's intention, dependent on the results of the Budget pilot conducted in FY2020 and FY2021, to require capacity grantees to submit SF 424a and budget justification for all capacity proposals, except for those submitted for the Expanded Food and Nutrition Education Program.in FY 2022.

#### 7.1 Source of Match (IF PARTICIPATING IN THE FY 2020 CAPACITY BUDGET PILOT, DISREGARD AND SEE 7.2 BELOW)

If matching funds are required as specified under Part III, B. Cost- Sharing or Matching of the Request for Applications, then matching is an eligibility criteria and grantees must include and attach a pdf. document as part of their application identifying the non-federal source of match.

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 the amount for each source) and amount of all matching support including matching from outside the applicant institution and place that information in PDF format (see Part III, Section 3. of this guide for attachment requirements) and include as a separate attachment to the Attachment Form.

#### 7.2 FY 2021 Capacity Budget pilot

Follow these instructions **ONLY IF YOU ARE PARTICIPATING IN THE FY 2021 CAPACITY BUDGET PILOT**. In Fiscal Year (FY 2021), NIFA will continue its pilot for capacity grants to submit an SF-424a budget and budget justification with your capacity grant application. Participation is voluntary. For volunteers who signed up with NIFA in advance, NIFA has identified which capacity program budget a volunteer will pilot. The below information provides instructions as to how to complete the SF 424a.

Additional information about the capacity budget pilot, as well as Frequently Asked Questions, sample budgets, and sample budget justifications are available on the [capacity budget resource page](#).

#### 7.3 Enter Budget information on the SF 424a

You must complete the required fields on each page of the SF 424a for the specified grant program, which includes attaching a budget justification (See 7.10 Budget Justification, of this section). Only list one program (i.e. Smith-Lever, Hatch, etc.) per SF424a. Budget information is for the upcoming Fiscal year; however, the object categories encompass the entire period of performance for the award (e.g. 5 years for Smith-Lever and 1890 Extension, and ; 2 years for Hatch, and 1890 Research, etc.) versus just one year of planned expenditures.



Research and Related (R&R) Forms and Instructions

7.4 Enter information on Section A, Budget Summary, Line 1

View Burden Statement		<b>BUDGET INFORMATION - Non-Construction Programs</b>				OMB Number: 4040-0006 Expiration Date: 01/31/2019	
SECTION A - BUDGET SUMMARY							
	Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
			Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.			\$	\$	\$	\$	\$

- a) Grant Program function of Activity: Enter the capacity program RFA title under which the application is being submitted (e.g. Hatch Act of 1887 (Regular Research); Agricultural Research at 1890 Land- Grant Institutions, etc...)
- b) Assistance Listing Number (formerly CFDA): Enter the Assistance Listing number for the program. Reminder, extension Assistance Listing numbers changed in FY 2019; see the [NIFA website](#) for more information
- c) Estimated Unobligated Funds – Federal: Enter the amount of Federal carry over funds from the previous FY. For Smith-lever, since funds may be carried over up to 5 years, this will be the cumulative amount of carry-over from previous FY's.
- d) Estimated Unobligated Funds – Non Federal: Enter the amount of matching funds (Non Federal share) being carried over; funds reported are from the corresponding FY to the Federal award.
- e) New or Revised Budget – Federal: Enter the amount from Appendix A in the appropriate capacity RFA.
- f) New or Revised Budget – Non Federal: Enter the required match, if applicable. If you are submitting a matching waiver request with the application, enter the amount of match that would be required if the waiver is approved.
- g) New or Revised Budget – Total: This number is auto calculated and includes the Federal and Non Federal (match) carry over as well as the Federal and Non Federal funds from the upcoming FY.

7.5 Section B – Budget Categories

Fill in Column 1 with appropriate capacity program name from Box 1a. You will only fill in column 1. The amounts entered will include ONLY the Federal funds for the award, found on Appendix A of the RFA or in Section A, Line 1(e) of the SF 424a. The amounts are budget estimates for the overall capacity program; individual projects (i.e. Hatch, Evans-Allen) are not broken out on the SF 424a; the numbers are the aggregate budget estimates. These amounts are for the entire period of performance, not just the FY. Therefore, enter estimates for the entire period of performance. The total will add up to the Appendix A amount.



Research and Related (R&R) Forms and Instructions

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
b. Fringe Benefits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Travel	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. Equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Supplies	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Contractual	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Construction	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Other	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Total Direct Charges (sum of 6a-6h)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
j. Indirect Charges	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
k. TOTALS (sum of 6i and 6j)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
7. Program Income	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

Line 6a. Personnel: Enter estimated Federal funds for personnel for the program. Personnel refers to wages and salaries paid to employees of your institution who are directly involved in grant implementation. This line does not include personnel hired by subgrantees; those costs are included in the “contractual” line.

Line 6b Fringe Benefits: Enter the estimated total Federal funds for fringe benefits for the program. Fringe benefits refer to the cost of benefits paid to the personnel on the grant, including the cost of an employer’s share of FICA, health insurance, workers’ compensation, vacation, and supplies.

Line 6c Travel: Enter the estimated Federal funds required for travel for the program. Travel refers to travel costs of personnel that are reasonable and necessary to effectively manage and carry out grant activities; provide oversight; or measure program effectiveness. Travel must be in accordance with institution policies and procedures as well as 2 CFR 200.

Line 6d Equipment: Enter the estimated Federal funds required for purchase of equipment to support the program. Equipment is defined as non-expendable personal property that has a useful life of more than one year and a per-unit cost of \$5000 or more. Equipment included here and supported in the budget justification with the current templates/required information attached, will receive prior approval when you receive your Notice of Award.

Line 6e Supplies: Enter the estimated Federal funds required for supplies for the program. Supplies are consumable materials costing less than \$5000 per unit. Supplies include computing devices as well as items such as copy paper, pens, materials needed to conduct training; etc. Refer to the Uniform Guidance 2 CFR 200 Subpart E and the award terms and conditions for unallowable costs (for example, promotional items, t-shirts, etc.) and cost limitations.

Line 6f Contractual: Enter the estimated Federal funds to be spent for contractual costs. Contractual costs include the cost of any contract or subgrant agreement.



**Research and Related (R&R) Forms and Instructions**

Line 6g Construction: Enter the estimated Federal funds to be spent on construction. If not applicable, leave blank. Construction requires prior approval from NIFA. Provide additional information in the Budget Justification so that NIFA may provide prior approval upon award. NOTE: Construction is UNALLOWABLE for all capacity programs EXCEPT Hatch and Evans-Allen.

Line 6h Other: Enter the estimated amount of Federal funds for other costs. Other costs are direct costs that do not fit in any of the above categories, such as rent for buildings to conduct grant activities, leased equipment, transportation expenses, publications, outreach materials; etc. Refer to the Uniform Guidance 2 CFR 200 Subpart E and the award terms and conditions for unallowable costs and cost limitations.

Line 6i Total Direct Charges: This is auto calculated and is the sum of lines 6a-6h.

Line 6j Indirect Charges: NOT APPLICABLE – leave blank.

Line 6k TOTALS: Auto calculated. This total amount will equal Line 1(c) plus 1(e).

Line 7 Program Income: Enter the estimated amount of program income, if any, expected to be generated during the year. Program income is defined as income earned by the Non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance. If you have reported program income on your SF 425, use past amounts to estimate program income for the upcoming fiscal year. For more information on program income, please review 2 CFR 200.80 and 200.307.

**7.6 Section C – Non Federal Resources**

Fill in Line 8 with appropriate capacity program name from Box 1a. You will only fill in Line 8(a) – (e).

SECTION C - NON-FEDERAL RESOURCES					
	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8.		\$	\$	\$	\$
9.					
10.					
11.					
12. TOTAL (sum of lines 8-11)		\$	\$	\$	\$

Line 8(a) Grant Program: Enter the grant program from line 1(a).

Line 8(b) Applicant: Enter the amount of matching funds (Non Federal share) provided by the applicant.

Line 8(c) State – Enter the amount of matching funds (Non Federal share) provided by the state.

Line 8(d) Other Sources – Enter the amount of matching funds (Non Federal share) provided by other sources. If a number is entered in this box, please list the other sources in Line 23, remarks and include the sources for “Other” in the budget justification.

Line 8(e) Totals – Auto calculated. This total will be the required Non Federal funds for the upcoming year (e.g. FY 2021).



**Research and Related (R&R) Forms and Instructions**

**7.7 Section D Forecasted Cash Needs**

NOT APPLICABLE – LEAVE BLANK.

**7.8 Section E – Budget Estimates of Federal Funds Needed for Balance of the Project –**

NOT APPLICABLE. LEAVE BLANK

**7.9 Section F – Other Budget information.**

Enter text information in these fields per the above instructions or instructions in the RFA. Indirect charges field is NOT APPLICABLE and will remain blank.

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

Line 21 Direct Charges: Use this space to explain amounts for individual direct object class categories that may appear to be out of the ordinary or to explain details as required in the RFA. Costs you may list include publication costs, consultant services, ADP/computer services; alterations and renovations; and facility rental/user fees.

Line 22 Indirect Charges: NOT APPLICABLE; LEAVE BLANK.

Line 23 Remarks: If you have listed an amount in 8(d) for matching from other sources, please list the sources. Please refer to the RFA for other required information.

**7.10 Attach Budget Justification (Field L on the Form)**

Use the budget justification to provide the additional information requested in each of the budget categories identified above and any other information you wish to submit to support your budget request.

The budget justification detail should follow the same order as the budget. While you should provide information for each item of the budget, you must justify the following budget categories, where applicable: salaries, fringe, equipment, supplies, travel, contractual, other direct cost categories. Only one file may be attached. See Part III Section 3.1 of this guide for NIFA attachment specifications.



Research and Related (R&R) Forms and Instructions

8. R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form

OMB Number: 4040-0001  
 Expiration Date: 10/31/2019

**R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form**

**Instructions:** On this form, you will attach the R&R Subaward Budget (Fed/Non-Fed) files for your grant application. Complete the subawardee budget(s) in accordance with the R&R (Fed/Non-Fed) budget instructions. Please remember that any files you attach must be a PDF document.

[Click here to extract the R&R Budget \(Fed/Non-Fed\) Attachment](#)

**Important:** Please attach your subawardee budget file(s) with the file name of the subawardee organization. Each file name must be unique.

1) Please attach Attachment 1		Add Attachment	Delete Attachment	View Attachment
2) Please attach Attachment 2		Add Attachment	Delete Attachment	View Attachment
3) Please attach Attachment 3		Add Attachment	Delete Attachment	View Attachment
4) Please attach Attachment 4		Add Attachment	Delete Attachment	View Attachment
5) Please attach Attachment 5		Add Attachment	Delete Attachment	View Attachment
6) Please attach Attachment 6		Add Attachment	Delete Attachment	View Attachment
7) Please attach Attachment 7		Add Attachment	Delete Attachment	View Attachment
8) Please attach Attachment 8		Add Attachment	Delete Attachment	View Attachment
9) Please attach Attachment 9		Add Attachment	Delete Attachment	View Attachment
10) Please attach Attachment 10		Add Attachment	Delete Attachment	View Attachment
11) Please attach Attachment 11		Add Attachment	Delete Attachment	View Attachment
12) Please attach Attachment 12		Add Attachment	Delete Attachment	View Attachment
13) Please attach Attachment 13		Add Attachment	Delete Attachment	View Attachment
14) Please attach Attachment 14		Add Attachment	Delete Attachment	View Attachment
15) Please attach Attachment 15		Add Attachment	Delete Attachment	View Attachment
16) Please attach Attachment 16		Add Attachment	Delete Attachment	View Attachment
17) Please attach Attachment 17		Add Attachment	Delete Attachment	View Attachment
18) Please attach Attachment 18		Add Attachment	Delete Attachment	View Attachment
19) Please attach Attachment 19		Add Attachment	Delete Attachment	View Attachment
20) Please attach Attachment 20		Add Attachment	Delete Attachment	View Attachment
21) Please attach Attachment 21		Add Attachment	Delete Attachment	View Attachment
22) Please attach Attachment 22		Add Attachment	Delete Attachment	View Attachment
23) Please attach Attachment 23		Add Attachment	Delete Attachment	View Attachment
24) Please attach Attachment 24		Add Attachment	Delete Attachment	View Attachment
25) Please attach Attachment 25		Add Attachment	Delete Attachment	View Attachment
26) Please attach Attachment 26		Add Attachment	Delete Attachment	View Attachment
27) Please attach Attachment 27		Add Attachment	Delete Attachment	View Attachment
28) Please attach Attachment 28		Add Attachment	Delete Attachment	View Attachment
29) Please attach Attachment 29		Add Attachment	Delete Attachment	View Attachment
30) Please attach Attachment 30		Add Attachment	Delete Attachment	View Attachment



## Research and Related (R&R) Forms and Instructions



On this form, you will attach the R&R Subaward (Fed/Non-Fed) Budget files for your grant application. **Only subaward (Fed/Non-Fed) budgets are to be attached to this form.** Complete the subawardee budget(s) in accordance with the R&R (Fed/Non-Fed) budget instructions (**this includes the preparation of a budget justification for the subaward and attaching it in Field K. of the subaward budget**). All file(s) you attach must be in .pdf documents. **See Part III Section 3.1 of this guide for NIFA attachment specifications.**

The R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form allows no more than 30 R&R Subaward (Fed/Non-Fed) Budget Files for a grant application. Include any remaining subaward budget(s) (beyond the 30 subaward budget attachments) under Field K. "Budget Justification" of the applicant organization, incorporating them as part of the required PDF attachment.

Annual budget(s) including a budget justification and a cumulative budget are required for each subcontractual arrangement **ONLY** when: 1) subawards comprise 50 percent or more of an overall award amount (individually or cumulatively); or 2) subawards are directed to Federal agencies.

To extract or download, fill, and attach the additional R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form:

1. On the R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form, press the "Click here to extract the R&R Subaward (Fed/Non-Fed) Budget Attachment" button to download the form.

[Click here to extract the R&R Budget \(Fed/Non-Fed\) Attachment](#)

2. Save the subawardee budget file(s) with the name of the subawardee organization. Each file name attached to the R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form must be unique.

3. Open the form that you have just saved.

4. Enter your subawardee organization information in this supplemental form. Complete the subawardee budget(s) in accordance with the R&R (Fed/Non-Fed) budget instructions (see Section 7. of this Part).

5. When you have completed the supplemental form, save it and close it.

6. Return to the "R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form."

7. Attach the saved supplemental form that you just completed and saved to one of the blocks provided on this "attachment(s)" form.

8. Extract and attach additional R&R Subaward (Fed/Non-Fed) Budget Attachment forms for the subaward organizations as necessary using the process outlined above. The files you attach must be a previously extracted R&R Subaward (Fed/Non-Fed) Budget Attachment form. Attaching any other type of file may result in the inability to submit your application to Grants.gov.



Annual budget(s) including a budget justification and a cumulative budget are required for each subcontractual arrangement **ONLY** when: 1) subawards comprise 50 percent or more of an overall award amount (individually or cumulatively); or 2) subawards are directed to Federal agencies. If there are more than 10 subcontractual arrangements, you must add the budgets—including the budget justification for the subcontractual arrangements that are not included in the R&R Subaward (Fed/Non-Fed) Budget Attachment(s) Form—to the application by including them in the primary applicant's budget justification *or* by attaching them to Field 12, Other Attachments, of the R&R Other Project Information form (see Part V., 4).



**NIFA-Specific Forms and Instructions**

## **VI. NIFA-SPECIFIC AND CROSS-AGENCY FORMS AND INSTRUCTIONS**

You must complete and submit the following form in conjunction with the SF-424 (R&R) forms included in this application package.

- Supplemental Information Form

The following forms are optional and should only be submitted when appropriate:

- AFRI Project Type Form
- SBIR/STTR Information
- Key Contacts
- Attachments

Instructions for completing each of these forms follow.



NIFA-Specific Forms and Instructions

1. Supplemental Information Form

Supplemental Information Form

OMB Number: 0524-0039  
Expiration Date: 10/31/2018

Please complete this form in conjunction with the SF-424 Application for Federal Financial Assistance.

1. Funding Opportunity

Funding Opportunity Name

Funding Opportunity Number

2. Program to which you are applying

Program Code Name

Program Code

3. Type of Applicant

4. Additional Applicant Types

5. Supplemental Applicant Types (Check all that apply)

- Alaska Native-Serving Institution
- Cooperative Extension Service
- Hispanic-Serving Institution
- Historically Black College or University (other than 1890)
- Minority-Serving Institution
- Native Hawaiian-Serving Institution
- Public Nonprofit Junior or Community College
- Public Secondary School
- School of Forestry
- State Agricultural Experiment Station
- Tribal College (other than 1994)
- Veterinary School or College

6. ASAP Recipient Information

Does the legal applicant have an active Automated Standard Application for Payments (ASAP) Recipient Identification Number for NIFA awards?

 Yes  No

What is the ASAP Recipient ID (which corresponds with this applications's DUNS and EIN) to be used in the event of an award?

7. Key Words

8. Conflict of Interest List

Add Attachment

Delete Attachment

View Attachment



## NIFA-Specific Forms and Instructions

### 1.1 Funding Opportunity (Field 1 on the Form)

**\*Funding Opportunity Name** – Pre-populated from the opportunity package. Verify the accuracy of the funding opportunity name. This field is required.

**\*Funding Opportunity Number** – Pre-populated from the opportunity package. Verify the accuracy of the funding opportunity number. This field is required.

### 1.2 Program to which you are applying (Field 2 on the Form)

**\* 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.

**\* Program Code** – Enter the program code to which you are applying exactly as instructed in the full announcement. This code is used to route an application within the agency. This field is required.

### 1.3 Type of Applicant (Field 3 on the Form)

Pre-populated from the SF-424 R&R. Field 3 describes the legal applicant that is identified in Field 5 of the SF-424 R&R. Field 4 (see 1.4) further describes the legal applicant.

### 1.4 Additional Applicant Types (Field 4 on the form)

Select one of the following options if it is applicable to the legal applicant of this application. The following are a few examples to illustrate how fields 3 and 4 might be completed.

a. If the applicant is an 1862 Land-grant University, the **type of applicant** is “Public/State Controlled Institution of Higher Education” and the **additional applicant type** is “1862 Land-Grant University.”

b. If the applicant is an 1890 Land-grant University, the **type of applicant** is “Public/State Controlled Institution of Higher Education” and the **additional applicant type** is “1890 Land-Grant University.”

c. If the applicant is an 1994 Land-grant University, the **type of applicant** is “Public/State Controlled Institution of Higher Education” and the **additional applicant type** is “1994 Land-Grant University.”

d. If the applicant is a USDA Agency, the **type of applicant** is “Other” and the **additional applicant type** is “USDA Agency.”

### 1.5 Supplemental Applicant Types (Field 5 on the Form)

Select any of the listed options that are applicable to the legal applicant of the application.

### 1.6 ASAP Recipient Information (Field 6 on the Form)

Does the legal applicant have an active Automated Standard Application for Payments (ASAP) Recipient Identification Number for NIFA awards?

Yes  No

If the legal applicant has an active ASAP Recipient Identification Number select yes. If it does not select no. This field is required.

What is the ASAP Recipient ID (which corresponds with this applications's DUNS and EIN) to be used in the event of an award?

Enter the ASAP Recipient ID to be used in the event of an award. This field is to be completed if yes is selected as answer to previous question.



**NIFA-Specific Forms and Instructions**

**This information will no longer be used as payments will be made via the Automated Standard Application System (ASAP) operated by the U.S. Department of Treasury’s Financial Management Service.**

**1.7 Key Words (Field 7 on the Form)**

Enter the most relevant words which describe the proposed project. This field is required.

**1.8 Conflict of Interest List (Field 8 on the Form)**

**Unless stated otherwise in the RFA, a Conflict of Interest (COI) list is required for each Senior/Key Person included in the R&R Senior/Key Person profile.** Prepare the COI list(s) following the instructions and format below. A suggested template for the COI list is available at <http://nifa.usda.gov/resource/application-support-templates>. **Attach a single attachment containing a COI list for each Senior/Key Person included in the R&R Senior/Key Person Profile (i.e., one attachment containing all the COI lists). See Part III Section 3.1 of this guide for NIFA attachment specifications.**

INSTRUCTIONS: For each Senior/Key Person, list alphabetically by last name (and with last name first), the full names of individuals in the following categories and mark each category which applies with an “x”.

- All thesis or postdoctoral advisees/advisors
- All co-authors on publications within the past 3 years, including pending publications and submissions
- All collaborators on projects within the past 3 years, including current and planned collaborations
- All persons in your field with whom you have had a consulting/financial arrangement/other conflict-of-interest in the past 3 years including receiving compensation of any type (e.g., money, goods or services).

Note: Other individuals working in the applicant's specific area are not in conflict of interest with the applicant unless those individuals fall within one of the listed categories. The Program Contact must be informed of any additional conflicts of interest that arise after the application is submitted.

<b>CONFLICT OF INTEREST LIST</b>				
Name: _____				
Name	Co-Author	Collaborator	Advisees/ Advisors	Other – Specify Nature

**2. Representations Regarding Felony Conviction and Tax Delinquent Status for Corporate Applicants**

This form only needs to be completed by corporations.



**NIFA-Specific Forms and Instructions**

This form is available electronically.

Form Approved – OMB No. 0505-0025  
 Expiration Date: 04/30/2019

<b>AD-3030</b>		
<b>U.S. DEPARTMENT OF AGRICULTURE</b>		
<b>REPRESENTATIONS REGARDING FELONY CONVICTION          AND TAX DELINQUENT STATUS FOR CORPORATE APPLICANTS</b>		
<p><b>Note:</b> <u>You only need to complete this form if you are a corporation.</u> A corporation includes, but is not limited to, any entity that has filed articles of incorporation in one of the 50 States, the District of Columbia, or the various territories of the United States including American Samoa, Federated States of Micronesia, Guam, Midway Islands, Northern Mariana Islands, Puerto Rico, Republic of Palau, Republic of the Marshall Islands, or the U.S. Virgin Islands. Corporations include both for profit and non-profit entities.</p> <p><i>The following statement is made in accordance with the Privacy Act of 1974 (5 USC 552(a), as amended). The authority for requesting the following information for U.S. Department of Agriculture (USDA) Agencies and staff offices is in §745 and 746 of the Consolidated Appropriations Act, 2016, Pub. L. 114-113, as amended and/or subsequently enacted. The information will be used to confirm applicant status concerning entity conviction of a felony criminal violation, and/or unpaid Federal tax liability status.</i></p> <p><i>According to the Paperwork Reduction Act of 1985 an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0505-0025. The time required to complete this information collection is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.</i></p>		
<b>1. APPLICANT'S NAME</b>	<b>2. APPLICANT'S ADDRESS (Including Zip Code)</b>	<b>3. TAX ID NO. (Last 4 digits)</b>
		<input style="width: 80px; height: 20px; border: 1px solid red;" type="text"/>

**2.1 Applicant's Name (Field 1 on the Form)**

Enter the applicant's name. This field is required.

**2.2 Applicant's Address (Field 2 on the Form)**

Enter the applicant's address including the zip code. This field is required.

**2.3 Tax ID No. (Field 3 on the Form)**

Enter the last four digits of the Tax ID Number. This field is required.



**NIFA-Specific Forms and Instructions**

4A. Has the Applicant been convicted of a felony criminal violation under any Federal law in the 24 months preceding the date of application?  YES  NO

4B. Does the Applicant have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability?  YES  NO

Providing the requested information is voluntary. However, failure to furnish the requested information will make the applicant ineligible to enter into a contract, memorandum of understanding, grant, loan, loan guarantee, or cooperative agreement with USDA.

PART B - SIGNATURE		
5A. APPLICANT'S SIGNATURE (BY)	5B. TITLE/RELATIONSHIP OF THE INDIVIDUAL IF SIGNING IN A REPRESENTATIVE CAPACITY	5C. DATE SIGNED (MM-DD-YYYY)

*The U.S. Department of Agriculture (USDA) prohibits discrimination in all of its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, political beliefs, genetic information, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write to USDA, Assistant Secretary for Civil Rights, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, S.W., Stop 9410, Washington, DC 20250-9410, or call toll-free at (866) 632-9992 (English) or (800) 877-8339 (TDD) or (866) 377-8642 (English Federal-relay) or (800) 845-6136 (Spanish Federal-relay). USDA is an equal opportunity provider and employer.*

Rev. 02/18

**2.4 Has the Applicant been convicted of a felony criminal violation under any Federal law in the 24 months preceding the date of application? (Field 4A. on the Form)**

Has the Applicant been convicted of a felony criminal violation under any Federal law in the 24 months preceding the date of application, check the Yes box. Otherwise, check the No box.

YES  NO

**2.5 Does the Applicant have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability? (Field 4B. on the Form)**

Does the Applicant have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, check the Yes box. Otherwise, check the No box.

YES  NO

**2.6 Applicant's Signature (Field 5A. on the Form)**

Enter the applicant's signature. This is a required field.

**2.7 Title/Relationship of the Individual if Signing in a Representative Capacity (Field 5B. on the Form)**

Enter the title. This field is a required field.



NIFA-Specific Forms and Instructions

2.8 Date Signed (MM-DD-YYYY) (Field 5C. on the Form)

Enter the date signed. This field is a required field.

3. AFRI Project Type Form

This form is only required for applications submitted to the Agriculture and Food Research Initiative (AFRI) program.

OMB Number: 0524-0038  
Expiration Date: 10/31/2018

**AFRI PROJECT TYPE**

**Instructions:**

**Who completes this form:** Each project director (PD) applying to the Agriculture and Food Research Initiative (AFRI) Request for Applications (RFA).

**How this template is completed:**

- \* Check one Project Type Box and one Grant Type Box
- \* For FASE Grants, select an appropriate sub-category. NOTE: New Investigators may also qualify for a strengthening sub-category.

**Project Type**

Research

Education

Extension

Integrated

**Grant Type**

Standard Grant

Coordinated Agricultural Project (CAP) Grant

Conference Grant

Other:

Food and Agriculture Science Enhancement (FASE) Grant

- New Investigator
- Postdoctoral Fellowship Grant
- Predoctoral Fellowship Grant
- Strengthening
  - Sabbatical
  - Equipment
  - Seed
  - Strengthening Standard
  - Strengthening CAP
  - Conference Grant
  - Other:



## NIFA-Specific Forms and Instructions

### 3.1 Project Type

Select one Project Type. Note: Integrated proposals contain at least two of the three project type categories (any combination of research, education, and Extension). The RFA will include descriptions, as appropriate, and state which types of projects are being solicited.

### 3.2 Grant Type

Select one Grant Type. The RFA includes descriptions, as appropriate, and state which types of grants are being solicited.

- **Standard Grant;**
- **Coordinated Agricultural Project (CAP) Grant;**
- **Conference Grant;**
- **Other; or**
- **Food and Agriculture Science Enhancement (FASE) Grant.** If FASE is the selected grant type, you must identify the type of FASE Grant by selecting one from the list of four, as appropriate, types (see RFA for the types of FASE Grants being solicited):
  - New Investigator;
  - Postdoctoral Fellowship grant;
  - Predoctoral Fellowship grant; or
  - Strengthening. If Strengthening is the selected FASE Grant, you must identify the type of Strengthening project by selection one from the list of seven types, as appropriate, types (see RFA for descriptions and the types of Strengthening projects being solicited):
    - Sabbatical;
    - Equipment;
    - Seed;
    - Standard;
    - CAP;
    - Conference; or
    - Other. If Other is the selected, you must include a description.

### 4. SBIR/STTR Information

Use this form ONLY if you are submitting to the NIFA Small Business Innovation Research Grants Program (SBIR).



NIFA-Specific Forms and Instructions

**SBIR/STTR Information**

OMB Number: 4040-0001  
 Expiration Date: 10/31/2019

\* Agency to which you are applying (select only one)

DOE  HHS  USDA  Other:

\* SBC Control ID:  (This 9 digit code is obtained from the Small Business Administration)

\* Program Type (select only one)

SBIR  STTR  
 Both (See agency-specific instructions to determine whether a particular agency allows a single submission for both SBIR and STTR)

\* Application Type (select only one)

Phase I  Phase II  Fast-Track  Direct Phase II  Phase IIA  Phase IIB  
 Commercialization Readiness Program (See agency-specific instructions to determine application type participation.)

Phase I Letter of Intent Number:

\* Agency Topic/Subtopic:

**Questions 1-7 must be completed by all SBIR and STTR Applicants:**

<input type="checkbox"/> Yes <input type="checkbox"/> No	* 1a. Do you certify that at the time of award your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement?
	* 1b. Anticipated Number of personnel to be employed at your organization at the time of award. <input type="text"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 1c. Is your small business majority owned by venture capital operating companies, hedge funds, or private equity firms?
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 1d. Is your small business a Faculty or Student-Owned entity?
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 2. Does this application include subcontracts with Federal laboratories or any other Federal Government agencies? * If yes, insert the names of the Federal laboratories/agencies: <input style="width: 100%; height: 40px;" type="text"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 3. Are you located in a HUBZone? To find out if your business is in a HUBZone, use the mapping utility provided by the Small Business Administration at its web site: <a href="http://www.sba.gov">http://www.sba.gov</a>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 4. Will all research and development on the project be performed in its entirety in the United States? If no, provide an explanation in an attached file. * Explanation: <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 5. Has the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work? * If yes, insert the names of the other Federal agencies: <input style="width: 100%; height: 40px;" type="text"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 6. Disclosure Permission Statement: If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and email address of the official signing for the applicant organization to state-level economic development organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment)?
	* 7. Commercialization Plan: The following applications require a Commercialization Plan: Phase I (DOE only), Phase II (all agencies), Phase III Fast-Track (all agencies). Include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions. * Attach File: <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>



**NIFA-Specific Forms and Instructions**

**4.1. Agency to which you are applying (select only one)**

Agency to which you are applying. This field is required.



Select USDA.

**4.2. SBC Control ID**

Enter the SBC Control ID number. This field is required.



Enter the nine digit SBC Control ID. This number is obtained through the Login/Register process on the [Small Business Administration \(SBA\)](#) website.

**4.3. Program Type (select only one)**

If you are applying under the SBIR program, check the SBIR box. If you are applying under the STTR program, check the STTR box. If a particular agency allows a single submission for both SBIR and STTR, check the Both box.



NIFA only has a SBIR program therefore, check SBIR; the STTR or Both boxes should not be checked.

**4.4. Application Type (select only one)**

See agency-specific instructions to determine application type participation. This field is required. If Phase I is selected, enter the Phase I Letter of Intent Number.



If you are submitting a Phase I application, check the Phase I box. NIFA does not require a Phase I Letter of Intent Number, therefore, N/A should be entered in the applicable field. If you are submitting a Phase II application, check the Phase II box. When submitting a Phase II Application following an awarded Phase I, be sure to include the Phase I SBIR grant number in the "Federal Identifier" in field 4.a. of the SF-424 R&R Cover Page.

**4.5. Agency Topic/Subtopic**

Enter agency topic/subtopic.



NIFA will not be using any information entered in this field; you may include N/A.

**4.6. Do you certify that at the time of award your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement? (Question 1.a.)**

If you certify that at the time of award, your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement, check the Yes box. Otherwise, check the No box.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

**4.7. Anticipated Number of personnel to be employed at your organization at the time of award (Question 1.b.)**

Enter the number of personnel anticipated to be employed by the small business at the time of award.



NIFA-Specific Forms and Instructions

**4.8. Is your small business majority owned by venture capital operating companies, hedge funds, or private equity firms? (Question 1.c.)**

If your small business is majority owned by venture capital operating companies, hedge funds, or private equity firms, check the Yes box. Otherwise, check the No box.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

**4.9. Is your small business a Faculty or Student-Owned entity? (Question 1.d.)**

If your small business is a faculty or student-owned entity, check the Yes box. Otherwise, check the No box.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

**4.10. Does this application include subcontracts with Federal laboratories or any other Federal Government agencies? (Question 2.)**

If this application includes subcontracts with Federal laboratories or any other Federal Government agencies, check the Yes box and insert the name of the Federal laboratories/agencies in the space provided. Otherwise, check the No box.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

If yes, insert the names of the Federal laboratories/agencies.

**4.11. Are you located in a HUBZone? To find out if your business is in a HUBZone, use the mapping utility provided by the Small Business Administration at its web site: <http://www.sba.gov>. (Question 3.)**

If you are located in a HUBZone check the Yes box. Otherwise, check the No box.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

**4.12. Will all research and development on the project be performed in its entirety in the United States? Explanation. (Question 4.)**

If all research and development on the project will be performed in its entirety in the United States, check the Yes box. Otherwise, check the No box and use the Add Attachment button below to attach an explanation.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

If no, provide an explanation in an attached file.

**4.13. Has the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work? (Question 5.)**

If the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work, check the Yes box and insert the names of the other Federal agencies. Otherwise, check the No box.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

If yes, insert the names of the other Federal agencies.



NIFA-Specific Forms and Instructions

**4.14. Disclosure Permission Statement: If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and e-mail address of the official signing for the applicant organization to organizations that may be interested in contacting you for further information (e.g., possible collaborators, investment)? (Question 6.)**

If the application does not result in an award, and the Government is permitted to disclose the title of your proposed project, and the name, address, telephone number and e-mail address of the official signing for the applicant organization to organizations that may be interested in contacting you for further information (e.g., possible collaborators, investment), check the Yes box. Otherwise, check the No box.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

**4.15. Commercialization Plan: If you are submitting a Phase II or Phase I/Phase II Fast-Track Application, include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions. (Question 7.)**



See Part III Section 3.1 of this guide for NIFA attachment specifications.

### SBIR/STTR Information

<b>SBIR-Specific Questions:</b>	
<i>Questions 8 and 9 apply only to SBIR applications. If you are submitting <u>ONLY</u> an STTR application, leave questions 8 and 9 blank and proceed to question 10.</i>	
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 8. Have you received SBIR Phase II awards from the Federal Government? If yes, provide a company commercialization history in accordance with agency-specific instructions using this attachment.  * Attach File: <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 9. Will the Project Director/Principal Investigator have his/her primary employment with the small business at the time of award?

<b>STTR-Specific Questions:</b>	
<i>Questions 10 - 12 apply only to STTR applications. If you are submitting <u>ONLY</u> an SBIR application, leave questions 10 - 12 blank.</i>	
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 10. Please indicate whether the answer to BOTH of the following questions is TRUE: (1) Does the Project Director/Principal Investigator have a formal appointment or commitment either with the small business directly (as an employee or a contractor) OR as an employee of the Research Institution, which in turn has made a commitment to the small business through the STTR application process; AND (2) Will the Project Director/Principal Investigator devote at least 10% effort to the proposed project?
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 11. In the joint research and development proposed in this project, does the small business perform at least 40% of the work and the research institution named in the application perform at least 30% of the work?
	* 12. Provide DUNS Number of non-profit research partner for STTR. <input type="text"/>

**4.16. Have you received SBIR Phase II awards from the Federal Government? If yes, provide a company commercialization history in accordance with agency-specific instructions using this attachment. (Question 8.)**

If you have received SBIR Phase II awards from the Federal Government then check the Yes box and use the Add Attachment button below, to attach a company commercialization history in accordance with agency-specific instructions. Otherwise, check the No box.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No



NIFA-Specific Forms and Instructions

**4.17. Will the Project Director/Principal Investigator have his/her primary employment with the small business at the time of award? (Question 9.)**

If the Project Director/Principal Investigator will have his/her primary employment with the small business at the time of award then check the Yes box. Otherwise, check the No box.

Yes  
 No

**4.18. STTR-Specific Questions**

Questions 10 through 12 apply only to STTR applications. NIFA does not have a STTR program therefore, leave these questions blank.

**5. Key Contacts Form**

OMB Number: 4040-0010  
 Expiration Date: 10/31/2019

**Key Contacts Form**

\* Applicant Organization Name:

Enter the individual's role on the project (e.g., project manager, fiscal contact).

\* Contact 1 Project Role:

Prefix:

\* First Name:

Middle Name:

\* Last Name:

Suffix:

Title:

Organizational Affiliation:

\* Street1:

Street2:

\* City:

County:

\* State:

Province:

\* Country:

\* Zip / Postal Code:

\* Telephone Number:

Fax:

\* Email:

**5.1. Applicants Organization Name**

Enter the legal name of the applicant that will undertake the assistance activity. This field is required.



**NIFA-Specific Forms and Instructions**

**5.2. Contact 1**

Field Name	Input
*Project Role	Enter the project role of the contact person (e.g., project manager, fiscal contact). This field is required.
Prefix	Enter the prefix (e.g., Mr., Mrs., Miss, Ms, Rev.).
*First Name	Enter first (given) name. This field is required.
Middle Name	Enter the middle name.
*Last Name	Enter the last (family) name. This field is required.
Suffix	Enter the suffix from the provided list or enter a new suffix not provided on the list (e.g., Jr, Sr, PhD).
Title	Enter the position title.
Organizational Affiliation	Enter the organizational affiliation of the person to contact on matters related to this application.
*Street 1	Enter first line of the street address in "Street1" field. This field is required.
Street 2	Enter second line of the street address in "Street2" field. This field is optional.
*City	Enter the city for address. This field is required.
*State	Enter (select) the State for address. This field is required if individual is located in the United States.
Province	Enter the Province.
*Country	Select the country for the address. This field is required.
*Zip/Postal Code	Enter the nine-digit Postal Code (e.g., ZIP code). This field is required if it is a United States address.
*Phone Number	Enter the daytime phone number for the person. This field is required.
Fax Number	Enter the fax number for the person.
Email	Enter the e-mail address for the person.

Select **"Next Person"** to enter the next contact person entry. Complete the same information noted above for additional contacts.



NIFA-Specific Forms and Instructions

6. Attachments Form

The attachments form is an optional form that NIFA will use in limited circumstances. Use the form following instructions in the RFA. **See Part III Section 3.1 of this guide for NIFA attachment specifications.**

**ATTACHMENTS FORM**

**Instructions:** On this form, you will attach the various files that make up your grant application. Please consult with the appropriate Agency Guidelines for more information about each needed file. Please remember that any files you attach must be in the document format and named as specified in the Guidelines.

**Important:** Please attach your files in the proper sequence. See the appropriate Agency Guidelines for details.

1) Please attach Attachment 1	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
2) Please attach Attachment 2	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
3) Please attach Attachment 3	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
4) Please attach Attachment 4	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
5) Please attach Attachment 5	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
6) Please attach Attachment 6	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
7) Please attach Attachment 7	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
8) Please attach Attachment 8	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
9) Please attach Attachment 9	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
10) Please attach Attachment 10	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
11) Please attach Attachment 11	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
12) Please attach Attachment 12	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
13) Please attach Attachment 13	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
14) Please attach Attachment 14	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
15) Please attach Attachment 15	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment



**NIFA-Specific Forms and Instructions**

## **VII. APPLICATION PREPARATION CHECKLIST**

We strongly recommend that you conduct an administrative review to ensure that the application is responsive to the request for applications (RFA) and this guide prior to its submission. This checklist is not intended to be an all-inclusive repetition of the application preparation instructions nor will each item be applicable to every application. It is, however, meant to bring awareness to items that are often required as a way to assist you in a successful submission of an application.

### **General:**

- Proposal is responsive to the program description/announcement/solicitation.
- If a proposal has been previously declined and is being resubmitted, proposal has been revised to take into account the comments from the prior NIFA review.
- Proposed work is appropriate for funding by NIFA, and is not a duplicate of, or substantially similar to, a proposal already under consideration by NIFA from the same submitter.
- Do all attachments comply with the requirements of Part III, 3.1 (no type smaller than 12 point font, pdf, no file name restrictions, and not password protected)?
- Is a letter of intent requested/required?

### **Cover Sheet:**

- For a previously funded project, is the previous award number entered in Field 4 on the form?
- Is Form SF LLL, Disclosure of Lobbying Activities, attached in Field 18 on the form (if applicable)?

### **R&R Project/Performance Site Location:**

- Are all sites included on the form or in an attachment?

### **Other Project Information:**

- Does the project involve human subjects? If so and the project is exempt, is an exemption number identified? If the project is approved for human subjects, is the approval date and assurance number included?
- Is the project approved for use of vertebrate animals? If so, is the approval date and Animal Welfare Assurance Number included?
- Is proprietary or privileged information identified or included as a separate attachment (if applicable)?
- If the project will have any (negative or positive) actual or potential impact on the environment is an explanation attached? If an exemption has been authorized or an environmental assessment (EA) or environmental impact statement (EIS) has been performed, is an explanation included?



**NIFA-Specific Forms and Instructions**

If the research performance site is designated, or eligible to be designated, as a historic place, is an explanation included?

If the project will involve activities outside of the United States or partnerships with international collaborators, is an explanation included?

Project Summary:

Is suggested template being used?

It should be approximately 250 words in size.

Ensure that it is concise and focuses on overall project goal(s) and supporting objectives, plans to accomplish the goal(s) and relevance of project to the goals of the program.

Project Narrative:

Ensure that it does not exceed the page limitation specified in the request for applications.

Is a Response to Previous Review included, if applicable?

Does it include all the components specified in the request for applications?

If there are references cited in the project narrative, is a bibliography attached and does it include the items specified in this guide?

Did you include an attachment describing the facilities and other organizational resources available to perform the proposed project?

Did you include an attachment listing the major items of equipment already available for use in the project along with the equipment's location and capabilities?

If a cooperative, multi-institutional or multidisciplinary application is being submitted, have you identified each institutional unit contributing to the project and designated the lead institution or institutional unit? Are the programmatic roles, responsibilities and budget for each institutional partner clearly defined?

If appendices to the project narrative are included, are they directly germane to the proposed project?

If formal consulting or collaborative arrangements with others is necessary, are the arrangements fully explained and justified, a vitae or resume provided, and evidence (e.g., letter of support) included that the collaborators have agreed to render the services?

**Senior/Key Person:**

Are the biographical sketches each limited to 2 pages?

Did you attach current and pending support information, if applicable (required for competitive programs)? Is the application being submitted included in the pending support section?



**NIFA-Specific Forms and Instructions**

**Budget:**

Is a budget included for each subcontract?

Is a budget justification included for the prime budget and each subcontract?

**Supplemental Information Form:**

Is conflict of interest information, if applicable (required for competitive programs), included for each senior/key person?

**Representations Regarding Felony Conviction and Tax Delinquent Status for Corporate Applicants:**

If you're a corporation, did you include the required Felony and Tax Representation form, Form AD-3030?

**VIII. ADMINISTRATION OF AWARDS**



Information regarding the administration of NIFA awards, including relevant award conditions, is available on the NIFA web site: <http://nifa.usda.gov/regulations-and-guidelines>.