

**DEPARTMENT OF AGRICULTURE****Cooperative State Research,  
Education, and Extension Service****Proposed Guidelines for State Plans of  
Work for the Agricultural Research and  
Extension Formula Funds**

**AGENCY:** Cooperative State Research, Education, and Extension Service, USDA.

**ACTION:** Notice and Request for Comment.

**SUMMARY:** The Cooperative State Research, Education, and Extension Service (CSREES) is requesting public comment on the proposed Guidelines for State Plans of Work for the Agricultural Research and Extension Formula Funds. These guidelines prescribe the procedures to be followed by the eligible institutions receiving Federal agricultural research and extension formula funds under the Hatch Act of 1887, as amended (7 U.S.C. 361a *et seq.*); sections 3(b)(1) and (c) of the Smith-Lever Act of 1914, as amended (7 U.S.C. 343 (b)(1) and (c)); and sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3221 and 3222). The recipients of these funds are commonly referred to as the 1862 land-grant institutions and 1890 land-grant institutions, including Tuskegee University. CSREES is also requesting public comment on the development of research and extension protocols used to evaluate the success of multistate, multi-institutional, and multidisciplinary research and extension activities, and joint research and extension activities, in addressing critical agricultural issues identified in the submitted plans of work.

**DATES:** Written comments are invited from interested individuals and organizations. To be considered in the formulation of the guidelines, comments must be received on or before May 19, 1999.

**ADDRESSES:** Address all comments to CSREES-USDA; Office of Extramural Programs; Policy and Program Liaison Staff; Mail Stop 2299; 1400 Independence Avenue, S.W.; Washington, D.C. 20250-2299. Comments may be hand-delivered to CSREES-USDA; Office of Extramural Programs; Room 302 Aerospace Center; 901 D Street, S.W.; Washington, D.C. 20024. Comments may also be mailed electronically to [oep@reeusda.gov](mailto:oep@reeusda.gov).

**FOR FURTHER INFORMATION CONTACT:** Dr. George Cooper; Deputy Administrator, Partnerships; Cooperative State

Research, Education, and Extension Service; U.S. Department of Agriculture; Washington, D.C. 20250; at 202-720-5285 or 202-720-5369, 202-720-4924 (fax) or via electronic mail at [bhewitt@reeusda.gov](mailto:bhewitt@reeusda.gov).

**SUPPLEMENTARY INFORMATION:****Paperwork Reduction Act**

In accordance with the Office of Management and Budget (OMB) regulations (5 CFR Part 1320) that implement the Paperwork Reduction Act of 1995 (44 U.S.C. Chapter 35), the information collection and recordkeeping requirements imposed by the implementation of these guidelines have been submitted to OMB for approval. Those requirements will not become effective prior to OMB approval. The eligible institutions will be notified upon this approval.

**Title:** Reporting Requirements for State Plans of Work for Agricultural Research and Extension Formula Funds.

**Summary:** The purpose of this collection of information is to implement the requirements of section 7 of the Hatch Act of 1887, as amended (7 U.S.C. 361g); section 4 of the Smith-Lever Act, as amended (7 U.S.C. 343); and section 1444(d) and section 1445(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3221(d) and 3222 (c)), which require that before funds may be provided to a State or eligible institution under these Acts a plan of work must be submitted by the proper officials of the State or eligible institution, as appropriate, and approved by the Secretary of Agriculture.

**Need for the Information:** The Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA), Pub. L. 105-185, amended the Hatch Act of 1887, Smith-Lever Act, and sections 1444 and 1445 of NARETPA to require plans of work to be received and approved by CSREES prior to the distribution of funding authorized under these Acts. This collection of information will satisfy the plan of work reporting requirements as imposed by these Acts. This collection of information includes three parts: the submission of a 5-year plan of work every five years; the submission of an annual update of the 5-year plan of work, if applicable; and the submission of an annual report of accomplishments and results.

The first two collections of information are required in order to satisfy the above amendments to the Acts that authorize the distribution of agricultural research and extension formula funds to States and eligible

institutions. In addition to a description of planned programs, the 5-Year Plan of Work must include information on how critical short-term, intermediate, and long-term agricultural issues in the State will be addressed in research and extension programs; how the State or eligible institution has developed a process to consult users of agricultural extension and research in the identification of critical agricultural issues in the State and the development of programs and projects targeting these issues (also referred to as stakeholder input); how the State or eligible institution has made efforts to identify and collaborate with other universities and colleges that have a unique capacity to address the identified agricultural issues in the State and the extent of current and emerging efforts (including the regional and/or multistate efforts) to work with these institutions; the manner in which research and extension, including research and extension activities funded other than through formula funds, will cooperate to address the critical issues in the State, including activities to be carried out separately, sequentially, or jointly; and for extension, the education and outreach programs already underway to convey available research results that are pertinent to a critical agricultural issue, including efforts to encourage multicounty cooperation in the dissemination of research information.

Section 103(e) of AREERA (7 U.S.C. 7613(e)) also required, effective October 1, 1999, that a merit review process be established at the 1862 land-grant institutions and 1890 land-grant institutions in order to obtain agricultural research and extension formula funds. The 5-Year Plan of Work includes a section for the description of the merit review process to ensure that such a process is in place prior to the distribution of agricultural research and extension formula funds.

Sections 104 and 105 of AREERA also amended the Hatch Act and Smith-Lever Act to require that a specified amount of the agricultural research and extension formula funds be expended for multistate activities and that a description of these activities be reported in the plan of work. Section 204 of AREERA further amended the Hatch Act and Smith-Lever Act to require that a specified amount of the agricultural research and extension formula funds be expended for activities that integrate cooperative research and extension and that a description of these activities be included in the plan of work. Two components of the 5-Year Plan of Work submission on Multistate Activities and on Integrated Research

and Extension Activities have been included to meet these additional requirements.

The second collection of information will be an annual update to the 5-Year Plan of Work. This will be required only if there is a substantive change to planned programs or a significant change in funding as outlined in the proposed guidelines.

The third collection of information will be the Annual Report of Accomplishments and Results. This will be based on the 5-Year Plan of Work and will assist CSREES in ensuring that federally supported and conducted research and extension activities are accomplished in accordance with the management principles set forth under section 102(d) of AREERA (7 U.S.C. 7612(d)). These principles require that to the maximum extent possible, CSREES shall ensure that federally supported research and extension activities are accomplished in a manner that integrates agricultural research, extension, and education functions to better link research to technology transfer and information dissemination activities; encourages regional and multistate programs to address relevant issues of common concern and to better leverage scarce resources; and achieves agricultural research, extension, education objectives through multi-institutional and multifunctional approaches and by conducting research at facilities and institutions best equipped to achieve these objectives.

**Respondents:** Respondents will be the 57 1862 land-grant institutions and the 17 1890 land-grant institutions, including Tuskegee University, who will provide a 5-year plan of work once every five years; will update annually this 5-year plan of work, if necessary; and will report on the accomplishments and results of this 5-year plan of work annually to CSREES.

**Estimate of Burden:** The amendments to AREERA require a plan of work for funds that are distributed on an annual basis. To reduce the burden on respondents, CSREES proposes a 5-Year Plan of Work to be modified by an annual update only where there are substantive program changes and/or significant funding changes.

The total reporting and recordkeeping requirements for the submission of the "5-Year Plan of Work" is estimated to average 1,349.44 hours per response. There are five required components of this "5-Year Plan of Work": "Planned Programs," "Stakeholder Input Process," "Program Review Process," "Multistate Activities," and "Integrated Research and Extension Activities." The total reporting and recordkeeping

requirement for "Planned Programs" is estimated at 690.00 hours; for "Stakeholder Input Process" is estimated at 9.19 hours; for "Program Review Process" is estimated at 276.00 hours; for "Multistate Activities" is estimated at 216.75 hours; and for "Integrated Research and Extension Activities" is estimated at 157.50 hours.

**Estimated Number of Respondents:** 57.

**Estimated Number of Responses:** 148.

**Estimated Total Annual Burden on Respondents:** 199,717.12 hours.

**Frequency of Responses:** Once every five years.

If the "5-Year Plan of Work" needs to be updated as an "Annual Update to the 5-Year Plan of Work," the total reporting and recordkeeping requirement is estimated to average 134.94 hours per response.

**Estimated Number of Respondents:** 7.

**Estimated Number of Responses:** 15.

**Estimated Total Annual Burden on Respondents:** 2,024.16 hours.

**Frequency of Responses:** Annually.

The total annual reporting and recordkeeping requirements for the "Annual Report of Accomplishments and Results" is estimated to average 1,366.67 hours per response.

**Estimated Number of Respondents:** 57.

**Estimated Number of Responses:** 148.

**Estimated Total Annual Burden on Respondents:** 202,267.16 hours.

**Frequency of Responses:** Annually.

**Comments:** Comments are invited on: (a) whether the proposed collection of information is necessary for the proper performance of the functions of the Agency, including whether the information will have practical utility; (b) the accuracy of the Agency's estimate of the burden of the proposed collection of information including the validity of the methodology and assumptions used; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of collection of information on those who are to respond, including the use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology. Comments may be sent to: CSREES-USDA; Office of Extramural Programs; Policy and Program Liaison Staff; Mail Stop 2299; 1400 Independence Avenue, S.W.; Washington, D.C. 20250-2299 by June 23, 1999 or to the Desk Officer for Agriculture, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20502. Reference should be made

to the volume, page, and date of this **Federal Register** publication.

### Background and Purpose

The Cooperative State Research, Education, and Extension Service (CSREES) proposes to implement the following Guidelines for State Plans of Work for the Agricultural Research and Extension Formula Funds in order to meet the plan of work reporting requirements enacted in the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA), Pub. L. 105-185. The AREERA amendments added new and consistent plan of work requirements for agricultural research and extension formula funds provided under the Hatch Act of 1887 (7 U.S.C. 361a *et seq.*), the Smith-lever Act (7 U.S.C. 341 *et seq.*), and sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (U.S.C. 3221 and 3222). The specific plan of work reporting requirements are outlined in the "Preface and Authority" section of the Guidelines.

These guidelines were developed by CSREES in consultation with the State partners at the 1862 land-grant institutions and the 1890 land-grant institutions, including Tuskegee University. Since the enactment of AREERA on June 23, 1998, the Agency has engaged in these consultations, under an exemption to the Federal Advisory Committee Act (7 U.S.C. 3124a(e)), with members of both the Federal and State partnership focusing on different aspects of the plan of work and requirements for the agricultural research and extension formula funds (i.e., stakeholder input, multistate and integrated activities), and has received input and comments from the 1862 and 1890 land-grant community to ensure that the Guidelines, while meeting the legal requirements of the legislation, address the issues and concerns of the recipients.

CSREES is committed to a set of basic principles regarding the plan of work emphasizing the content in the plan of work rather than the format. CSREES has developed guidance about what goes into a plan of work, not how it is to be reported. Thus, CSREES does not intend to develop a prototype, template, or a model plan of work. CSREES is committed to allowing all institutions maximum flexibility in responding to the content required by legislation.

The amendments to the Hatch and Smith-Lever Acts plan of work requirements made by section 202 of AREERA require the Secretary of Agriculture to develop protocols to

evaluate the success of multistate, multi-institutional, and multidisciplinary research and extension activities, and joint research and extension activities, in addressing the critical agricultural issues identified in the plans of work. Although not included in the Guidelines at present, CSREES also seeks comments on evaluation protocols and criteria for the plans of work that will eventually become part of the Guidelines. This section also stipulates that these protocols be developed by CSREES in shared consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board. CSREES is in the process of developing these protocols in consultation with this Advisory Board.

CSREES is proposing to use the Annual Reports of Accomplishments and Results to evaluate the success of multistate, multi-institutional, and multidisciplinary activities, and joint research and extension activities, in addressing critical agricultural issues identified in the 5-Year Plans of Work. At this time, CSREES proposes to use the following evaluation criteria: (1) Did the planned program address the critical issues of strategic importance, including those identified by the stakeholders? (2) Did the planned program address the needs of under-served populations of the State(s)? (3) Did the planned program describe the expected outcomes and impacts? and (4) Did the planned program result in improved program effectiveness and/or efficiency?

Pursuant to the plan of work requirements enacted in the Agricultural Research, Extension, and Education Reform Act of 1998, the Cooperative State Research, Education, and Extension Service hereby proposes to implement the Guidelines for State Plans of Work for Agricultural Research and Extension Formula Funds as follows:

### Guidelines for State Plans of Work for Agricultural Research and Extension Formula Funds

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### I. Preface and Authority

Sections 202 and 225 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA), Pub. L. 105-185, enacted amendments requiring all States and 1890 institutions receiving formula funds authorized under the Hatch Act of 1887, as amended (7 U.S.C. 361a *et seq.*), the Smith-Lever Act, as amended (7 U.S.C. 341 *et seq.*), and sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3221 and 3222), to prepare and submit to the Cooperative State Research, Education, and Extension Service (CSREES) a plan of work for the use of those funds.

While the requirement for the Hatch Act and Smith-Lever Act funds applies to the States, CSREES assumes that in most cases the function will be performed by the 1862 land-grant institution in the States. The only "eligible institutions" to receive formula funding under sections 1444 and 1445 of NARETPA are the 1890 land-grant institutions and Tuskegee University. Therefore, these guidelines refer throughout to "institutions" to include both the 1862 and 1890 land-grant institutions, including Tuskegee University.

Further, these guidelines require a plan of work that covers both research and extension. Although the District of Columbia receives extension funds under the District of Columbia Postsecondary Education Reorganization Act, Pub. L. 93-471, as opposed to the Smith-Lever Act, CSREES has determined that it should be subject to the plan of work requirements imposed under these

guidelines except where expressly excluded.

All the requirements of AREERA with regard to agricultural research and extension formula funds were considered and were incorporated in these plan of work guidelines including descriptions of the following: (1) The critical short-term, intermediate, and long-term agricultural issues in the State and the current and planned research and extension programs and projects targeted to address the issues; (2) The process established to consult with stakeholders regarding the identification of critical agricultural issues in the State and the development of research and extension projects and programs targeted to address the issues; (3) The efforts made to identify and collaborate with other colleges and universities that have a unique capacity to address the identified agricultural issues in the State and the extent of current and emerging efforts (including regional and multistate efforts) to work with those other institutions; (4) The manner in which research and extension activities funded other than through formula funds, will cooperate to address the critical issues in the State, including the activities to be carried out separately, sequentially, or jointly; and (5) For extension, the education and outreach programs already underway to convey available research results that are pertinent to a critical agricultural issue, including efforts to encourage multicounty cooperation in the dissemination of research information.

These guidelines also take into consideration the requirement in section 102(c) of AREERA for the 1862, 1890, and 1994 land-grant institutions receiving agricultural research, extension, and education formula funds to establish a process for receiving stakeholder input on the uses of such funds. This stakeholder input requirement, as it applies to research and extension at 1862 and 1890 land-grant institutions, has been incorporated as part of the plan of work process.

The requirement of section 103(e) of AREERA also is addressed in these plan of work guidelines. This section requires that the 1862, 1890, and 1994 land-grant institutions establish a merit review process, prior to October 1, 1999, in order to obtain agricultural research, extension, and education funds. For purposes of these guidelines applicable to formula funds, a merit review process must be established for extension programs funded under sections 3(b)(1) and (c) of the Smith-Lever Act and under section 1444 of NARETPA, and for research programs funded under

sections 3(c)(1) and (2) of the Hatch Act (commonly referred to as Hatch Regular Formula Funds) and under section 1445 of NARETPA. Section 104 of AREERA amended the Hatch Act of 1887 also to stipulate that a scientific peer review process (that also would satisfy the requirements of a merit review process under section 103(e)) be established for research programs funded under section 3(c)(3) of the Hatch Act (commonly referred to as Hatch Multistate Research Funds). As previously stated, these program review processes must be established prior to October 1, 1999, in order for the institutions to obtain agricultural research and extension formula funds. Consequently, a description of the merit review and scientific peer review process has been included as a requirement in the submission of the 5-Year Plan of Work.

These plan of work guidelines also require reporting on the multistate and integrated research and extension programs. Section 104 of AREERA amended the Hatch Act of 1887 to redesignate the Hatch regional research funds as the Hatch Multistate Research Fund, specifying that these funds be used for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another state agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve the problems that concern more than one State. Section 105 of AREERA amended the Smith-Lever Act to require that each institution receiving extension formula funds under sections 3(b) and (c) of the Smith-Lever Act expend for multistate activities in FY 2000 and thereafter a percentage that is at least equal to the lesser of 25 percent or twice the percentage of funds expended by the institution for multistate activities in FY 1997. Section 204 of AREERA amended both the Hatch and Smith-Lever Acts to require that each institution receiving agricultural research and extension formula funds under the Hatch Act and sections 3(b) and (c) of the Smith-Lever Act expend for integrated research and extension activities in FY 2000 and thereafter a percentage that is at least equal to the lesser of 25 percent or twice the percentage of funds expended by the institution for integrated research and extension activities in FY 1997. These sections also require that the institutions include in the plan of work a description of the manner in which they will meet these multistate and integrated requirements.

These applicable percentages apply to the Federal agricultural research and extension formula funds only. Federal

formula funds that are used by the institution for a fiscal year for integrated activities may also be counted to satisfy the multistate activities requirement.

The multistate and integrated research and extension requirements do not apply to formula funds received by American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands. Since the Smith-Lever Act is not directly applicable, the multistate and integrated extension requirements do not apply to extension funds received by the District of Columbia, except to the extent it voluntarily complies.

The amendments made by sections 105 and 204 of AREERA also provide that the Secretary of Agriculture may reduce the minimum percentage required to be expended by the institution for multistate and integrated activities in the case of hardship, infeasibility, or other similar circumstance beyond the control of the institution. CSREES will issue separate guidance on the establishment of the FY 1997 baseline percentages for multistate activities and integrated activities and on requests for reduction in the required minimum percentage.

Also included in these guidelines are instructions on how to report on the annual accomplishments and results of the planned programs contained in the 5-Year Plan of Work, information on the evaluation of accomplishments and results, and information on when and how to update the 5-Year Plan of Work if necessary.

## II. Submission of the 5-Year Plan of Work

### A. General

#### 1. Planning Option

This document provides guidance for preparing the plan of work with preservation of institutional autonomy and programmatic flexibility within the Federal-State Partnership. The plan of work is a 5-year prospective plan that covers the period of fiscal year 2000 through 2004, with the option to submit annual updates to the 5-Year Plan of Work. The 5-Year Plans of Work may be prepared for an institution's individual functions (i.e., research or extension activities), for an individual institution (including the planning of research and extension activities), or for state-wide activities (a 5-year research and/or extension plan of work for all the eligible institutions in a State). Each 5-Year Plan of Work must reflect the content of the program(s) funded by Federal agricultural research and extension formula funds and the required matching funds. This 5-Year

Plan of Work must describe not only how the program(s) address critical short-term, intermediate, and long-term agricultural issues in a State, but how it relates to and is part of the broad national goals.

#### 2. Period Covered

The 5-Year Plan of Work should cover the period from October 1, 1999, through September 30, 2004.

#### 3. Projected Resources

The resources that are allocated for various planned programs in the 5-Year Plan of Work, in terms of human and fiscal measures, should be included and projected over the next five years. The baseline for the institution's or State's initial plan (for five years) should be the Federal agricultural research and extension formula funds for FY 1999 and the required matching funds. During the course of the 5-Year Plan of Work, if the baseline for the formula funds at the FY 1999 level changes by more than 10 percent in one year or by 20 percent or more cumulatively during the 5-year period, a revised 5-Year Plan of Work should be submitted as an annual update the following fiscal year.

#### 4. Submission and Due Date

The 5-Year Plan of Work must be submitted by July 1, 1999, to the Partnerships Unit of the Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture. It is preferred that these 5-Year Plans of Work be submitted electronically to bhewitt@reeusda.gov in either WordPerfect file format, Microsoft Word file format, or ASCII file format. If this submission method is not available, an original and two copies of the 5-Year Plan of Work should be submitted to: Partnerships/POW; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; Stop 2214; 1400 Independence Avenue, S.W.; Washington, D.C. 20250-2214.

#### 5. Certification

The 5-Year Plan of Work must be signed by the 1862 Extension Director, 1862 Research Director, 1890 Extension Administrator, and/or 1890 Research Director, depending on the planning option chosen.

#### 6. Definitions

For the purpose of implementing the Guidelines for State Plans of Work for Agricultural Research and Extension Formula Funds, the following definitions are applicable:

*Formula funds for the purposes of the plan of work guidelines means funding*

provided by formula to 1862 land-grant institutions under section 3 of the Hatch Act of 1887, as amended (7 U.S.C. 361a) and sections 3(b)(1) and (c) of the Smith-Lever Act, as amended (7 U.S.C. 343(b)(1) and (c)) and to the 1890 land-grant institutions under sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3221 and 3222).

*Formula funds for the purposes of stakeholder input* means the funding by formula to the 1862 land-grant institutions and 1890 land-grant institutions covered by these plan of work guidelines as well as the formula funds provided under the McIntire-Stennis Cooperative Forestry Research Program (16 U.S.C. 582, *et seq.*), the Animal Health and Disease Research Program (7 U.S.C. 3195), and the education payments made to the 1994 land-grant institutions under section 534(a) of Pub. L. 103-382 (7 U.S.C. 301 note).

*Integrated or joint activities* means jointly planned, funded, and interwoven activities between research and extension to solve problems. This includes the generation of knowledge and the transfer of information and technology.

*Merit review* means an evaluation whereby the quality and relevance to program goals are assessed.

*Multi-institutional* means two or more institutions within the same or different States or territories that will collaborate in the planning and implementation of programs.

*Multistate* means collaborative efforts that reflect the programs of institutions located in at least two or more States or territories.

*Multi-disciplinary* means efforts that represent research, education, and/or extension programs in which principal investigators or other collaborators from two or more disciplines or fields of specialization work together to accomplish specified objectives.

*Outcome indicator* means an assessment of the results of a program activity compared to its intended purpose.

*Output indicator* means a tabulation, calculation, or recording of activity of effort expressed in quantitative or qualitative manner which measures the products or services produced by the planned program.

*Program review* means either a merit review or a scientific peer review.

*Scientific peer review* means an evaluation performed by experts with scientific knowledge and technical skills to conduct the proposed work whereby the technical quality and relevance to program goals are assessed.

*Seek stakeholder input* means an open and fair process which allows opportunities for individuals, groups, and organizations a voice in a process that treats all with dignity and respect.

*Stakeholder* is any person who has the opportunity to use or conduct agricultural research, extension, and education activities in the State.

*Under-served* means individuals, groups, and/or organizations whose needs have not been addressed in past programs.

*Under-represented* means individuals, groups, and/or organizations especially those who may not have participated fully including, but not limited to, women, racial and ethnic minorities, persons with disabilities, and limited resource clients.

**B. Components of the 5-Year Plan of Work**

**1. Planned Programs**

*a. National Goals.* The 5-Year Plan of Work should be based on the five national goals established in the Cooperative State Research, Education, and Extension Service (CSREES) Agency Strategic Plans and linked to the five national goals within the Research, Education, and Economics (REE) Mission Area of the U.S. Department of Agriculture. These national goals were adopted by the National Agricultural Research, Extension, Education, and Economics Advisory Board. These goals were developed from stakeholder input in conjunction with existing Federal-State Partnerships. The body of the 5-Year Plan of Work narrative should focus on these goals and outcomes.

Currently the national goals are:

*Goal 1: An agricultural system that is highly competitive in the global economy.* Through research and education, empower the agricultural system with knowledge that will improve competitiveness in domestic production, processing, and marketing.

*Goal 2: A safe and secure food and fiber system.* To ensure an adequate food and fiber supply and food safety through improved science based detection, surveillance, prevention, and education.

*Goal 3: A healthy, well-nourished population.* Through research and education on nutrition and development of more nutritious foods, enable people to make health promoting choices.

*Goal 4: Greater harmony between agriculture and the environment.* Enhance the quality of the environment through better understanding of and building on agriculture's and forestry's complex links with soil, water, air, and biotic resources.

*Goal 5: Enhanced economic opportunity and quality of life for Americans.* Empower people and communities, through research-based information and education, to address economic and social challenges facing our youth, families, and communities.

*b. Format.* As mentioned under the Planning Options section, an institution or State may opt to submit independent plans for the various units (e.g. 1862 research) or an integrated plan which includes all units in the institution or State. Regardless of the option chosen, the 5-Year Plan of Work should be reported in the appropriate matrix format, each cell of which identifies planned programs that fall under one of the national program goals. If an integrated 5-Year Plan of Work is submitted, the various units within the entity for which the 5-Year Plan of Work has been developed (i.e., 1862 research, 1890 research, 1862 extension, 1890 extension) would appear on the vertical axis. Individual cells within the matrix would be used to summarize the State programs.

The following example illustrates the desired matrix.

	Goal 1	Goal 2	Goal 3	Goal 4	Goal 5
1862 Research					
1862 Extension					
1890 Research					
1890 Extension					

*c. Program Descriptions.* Program descriptions presented in a narrative form or in each cell of the matrix for a

planned program will be related to one of the five national goals and should

reflect the following planning components:

1. The *statement of issue* to be addressed. This component should discuss the critical agricultural issue within the State that was identified and being targeted by this planned program. This component may also reference the stakeholder input which identified the critical agricultural issue in the State and the need for the targeted research and/or extension program.

2. The *performance goal(s)* is a target level of performance. The *output indicators* should reflect the tabulation, calculation, or recording of activity or effort expressed in quantitative or qualitative manner which measures the products or services produced by the program. The *outcome indicators* should assess the results of a program activity compared to its intended goal.

3. The *key program component(s)* identify the major efforts included in the work to be conducted.

4. The *internal and external linkages* include activities identified as integrated, multidisciplinary, multi-institutional, and/or multistate. This component may also address any efforts made to identify and collaborate with other colleges and universities that have a unique capacity to address the identified agricultural issues within the State and the extent of current and emerging efforts (including regional efforts) to work with those institutions.

5. The *target audiences* identifies the set of stakeholders, customers, and/or consumers for which the program is intended. The 5-Year Plans of Work should address the institution's commitment to facilitating equality of service and ease of access to all research and extension programs and services.

6. The *program duration* should be expressed as short-term, intermediate (one to five years), or long-term (over five years).

7. The *allocated resources* (human and fiscal measures) must be described for each planned program. This component may not only include the amount of Federal agricultural research and/or extension formula funds and matching funds allocated to this planned program, but also the manner in which funds, other than formula funds, will be expended to address the critical issues being targeted by this planned program.

8. *Education and outreach programs* must be described that are already underway to convey the research results that are pertinent to the critical agricultural issue identified in the "Statement of Issue." Efforts to encourage multicounty cooperation in dissemination of research results should also be identified. This planning component applies only to those 5-Year

Plans of Work incorporating extension activities of the 1862 and/or 1890 land-grant institutions.

## 2. Stakeholder Input Process

Section 102(c) of AREERA requires the 1862 land-grant institutions, 1890 land-grant institutions, and 1994 land-grant institutions receiving agricultural research, extension, and education formula funds from CSREES to establish a process for stakeholder input on the uses of such funds. CSREES will promulgate separately in the **Federal Register** regulations to implement this stakeholder input requirement.

As a component of the 5-Year Plan of Work, each institution must report on the actions taken to seek stakeholder input that encourages their participation and a brief statement of the process used by the institution to identify stakeholders and to collect input from them. This report will be required annually and may be submitted with the Annual Report of Accomplishments and Results. This component will satisfy the reporting requirements imposed by the separately promulgated regulations on stakeholder input.

## 3. Program Review Process

a. *Merit Review.* Effective October 1, 1999, each 1862 land-grant institution and 1890 land-grant institution must establish a process for merit review in order to obtain agricultural research or extension formula funds.

b. *Scientific Peer Review.* A scientific peer review is required for all research funded under the Hatch Act of 1887 Multistate Research Fund. For such research, this scientific peer review will satisfy the merit review requirement specified above.

c. *Reporting Requirement.* As a component of the 5-year Plan of Work, each institution depending on the type of program review required will provide a description of the merit review process or scientific peer review process established at their institution. This description should include the process used in the selection of reviewers with expertise relevant to the effort and appropriate scientific and technical standards.

## 4. Multistate Research and Extension Activities

a. *Hatch Multistate Research.* Effective October 1, 1998, the Hatch Multistate Research Fund replaced the Hatch Regional Research Program. The Hatch Multistate Research Fund must be used for research employing multidisciplinary approaches to solve research problems that concern more than one State. For such research, State

agricultural experiment stations must partner with another experiment station, the Agricultural Research Service, or another college or university.

b. *Smith-Lever Multistate Extension.* Effective October 1, 1999, the cooperative extension programs at the 1862 land-grant institutions must expend up to 25 percent of their formula funds provided under sections 3(b)(1) and (c) of the Smith-Lever Act for activities in which two or more State extension services cooperate to solve problems that concern more than one State. As required by law, CSREES will work with each 1862 land-grant institution to identify the amount each institution expended for multistate extension activities for fiscal year (FY) 1997. For FY 2000 and thereafter, cooperative extension programs must commit two times their FY 1997 baseline percentage or 25 percent, whichever is less, for multistate activities. Institutions should describe the contributions of extension staff and programs toward impacts rather than to describe the programs. Each participating State or territory must be a collaborator towards objectives and involved in the outcomes. Evidence of the proposed collaboration must be provided in the 5-Year Plan of Work submitted by each State. This planning is documented through formal agreements, letters of memorandums, contracts, or other instruments that provide primary evidence that a multistate relationship exists.

c. *Reporting Requirements.* The 5-Year Plan of Work should include a description of the Multistate Research, where applicable, and Multistate Extension programs as specified above and these programs must be reported consistently across the units of an institution as well as with the 5-Year Plan of Work of the cooperating State(s) or State institutions.

## 5. Integrated Research and Extension Activities

Effective October 1, 1999, up to 25 percent of all funds provided under section 3 of the Hatch Act and under section 3(b)(1) and (c) of the Smith-Lever Act must be spent on activities that integrate cooperative research and extension. As required by law, CSREES will work with each 1862 land-grant institution to establish the institution's baseline for integrated research and extension activities for FY 1997. For FY 2000 and thereafter, 1862 land-grant institutions must commit twice the FY 1997 baseline percentage or 25 percent, whichever is less, for integrated activities. Integration may occur within the State or between units within two or

more States. Integrated programming must be reported in the 5-Year Plan of Work and be reported consistently across the units of the institutions as well as with the 5-Year Plan of Work submitted by cooperating State(s). Federal formula funds used by a State for integrated activities may also be counted to satisfy the multistate research and the multistate extension activity requirements.

### *C. 5-Year Plan of Work Evaluation by CSREES*

#### 1. Schedule

All 5-Year Plans of Work will be evaluated by CSREES. The 5-Year Plans of Work will either be accepted by CSREES without change or returned to the institution, with clear and detailed recommendations for its modification. The submitting institution(s) will be notified by CSREES of its determination within 90 days (review to be completed in 60 days, communications to the institutions allowing a 30-day response) of receipt of the document. Adherence to the Plan of Work schedule by the recipient institution is critical to assuring the timely allocation of funds by CSREES. Five Year Plans of Work accepted by CSREES will remain in effect for five years and will be publicly available in a CSREES database. CSREES will notify all institutions of a need for a new 5-year plan of work two years prior to the plan's expiration on September 30.

#### 2. Review Criteria

CSREES will evaluate the 5-Year Plans of Work to determine if they address agricultural issues of critical importance to the State; identify the alignment and realignment of programs to address those critical issues; identify the involvement of stakeholders in the planning process; give attention to under-served populations; indicate the level of Federal formula funds in proportion to all other funds at the

director or administrator level; provide evidence of multistate, multi-institutional, and multidisciplinary and integrated activities; and identify the expected outcomes and impacts from the proposed 5-Year Plan of Work.

#### 3. Evaluation of Multistate and Integrated Research and Extension Activities

CSREES is proposing to use the Annual Reports of Accomplishments and Results to evaluate the success of multistate, multi-institutional, and multidisciplinary activities and joint research and extension activities, in addressing critical agricultural issues identified in the 5-Year Plans of Work. Once evaluation protocols are developed, these guidelines will be modified to specify the protocols that will be used to evaluate the Annual Reports of Accomplishments and Results.

### **III. Annual Update of the 5-Year Plan of Work**

#### A. Applicability

An annual update to the 5-Year Plan of Work is optional and is only required if: (1) there is a substantive change in planned programs; (2) if the change in Federal agricultural research and extension formula funding is 10 percent or greater in one year from the FY 1999 base year; or (3) if the cumulative change during the five year period is 20 percent or greater than the FY 1999 base year.

#### B. Reporting Requirement

If a revised 5-Year Plan of Work is required, or if the institution(s) chooses to submit an optional update to the 5-Year Plan of Work, it should be submitted at the beginning of the next plan of work cycle (July 1) to either the same electronic mail address or regular mail address as listed for the submission of the 5-Year Plan of Work.

### **IV. Annual Report of Accomplishments and Results**

#### 1. Reporting Requirement

The 5-Year Plan of Work for a reporting unit, institution, or State should form the basis for annually reporting its accomplishments and results. This report will be due on or before December 31 each year with the first report being due on December 31, 2000, for FY 2000. This report should be submitted to either the same electronic mail address or regular mail address as listed for the submission of the 5-Year Plan of Work.

#### 2. Format

This annual report should include the relevant information related to each component of the program in the matrix cells of the 5-Year Plan of Work. Accomplishments and results reporting should involve two parts. First, institutions should submit an annual set of impact statements linked to sources of funding. Strict attention to just the preceding year is not expected in all situations. Some impact statements may need to cover ten or more years of activity. Focus should be given to the benefits received by targeted end-users. Second, institutions should submit annual results statements based on the indicators of the outputs and outcomes for the activities undertaken the preceding year. These should be identified as short-term, intermediate, or long-term critical issues in the 5-Year Plan of Work. Attention should be given to highlighting multistate, multi-institutional, and multidisciplinary and integrated activities, as appropriate to the 5-Year Plan of Work.

Done at Washington, D.C., this 13th day of April 1999.

#### **I. Miley Gonzalez,**

*Under Secretary, Research, Education, and Economics.*

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