USDA Animal and Plant Health Inspection Service
U.S. DEPARTMENT OF AGRICULTURE

Fiscal Year 2024
VS Field Operations Grants and Cooperative Agreements Guide

Recipient Guidance
and
Application Information

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INTRODUCTION

Animal and Plant Health Inspection Service (APHIS), Veterinary Services (VS), Field Operations (FiOps) provides funding for surveillance, monitoring, reporting, prevention, and control activities through a comprehensive approach for animal health management. This Grants and Cooperative Agreements Guide outlines the process for applying for Federal financial assistance with FiOps, which is typically awarded through a Cooperative Agreement.

A Cooperative Agreement, defined in Title 2, Code of Federal Regulations (2 CFR), Part 200.1, is a "legal instrument of financial assistance between a Federal awarding agency and a Recipient or pass-through entity and a subrecipient." It provides for substantial involvement between FiOps and the non-Federal entity in carrying out the activities identified in the Cooperative Agreement.

VS identifies three distinct categories of Cooperative Agreements:

- **Umbrella Cooperative Agreements** cover all animal disease activities with the exception of Animal Disease Traceability (ADT)
- **ADT Cooperative Agreements** cover all activities identified for traceability
- **Other Cooperative Agreements** are provided on a case-by-case basis. Often, these Agreements are for pilot programs or emergency animal health outbreaks. For further guidance on emergencies, contact your Area Veterinarian in Charge (AVIC)/Program Manager (PM)

Cooperative Agreements will be processed and managed using the online grants management system, ezFedGrants (eFG). Please review the Award Face Sheet and the standard set of Terms and Conditions prior to signing the Cooperative Agreement in eFG.

Refer to Appendix 1 for a list of definitions.

Refer to Appendix 2 for references.

SECTION 1: GENERAL GUIDANCE

Eligible Applicant Requirements

FiOps provides funding to States, local governments, Indian Tribes, institutions of higher education, or non-profit organizations to assist them in carrying out the programs identified in this guide.

Recipients are required to have:

1. An active System for Award Management (SAM) account (https://www.sam.gov) including a Unique Entity Identifier (UEI) number and complete the Representations and Certifications
2. USDA Level 2 eAuthentication access to eFG

Additional details regarding these items can be found in Appendix 3.

Applications for funds will not be considered for award if there are any outstanding delinquent Performance or Financial Reports from previous Cooperative Agreements. For Avian Health funding, this includes data entry into the Data Integration Services (DIS) system and the submission of annual VS 9-4, Summary of Breeding Flock Participation, reports to the National Poultry Improvement Program (NPIP) office. For Cattle Health funding, this includes complying with Quarterly Reporting of measurable activities which support Program goals and objectives. For Sheep and Goat Health funding, this includes providing the necessary reports for completion of the annual Scrapie epidemiology and identification (ID) compliance report.

All Recipients will be checked for Suspension or Debarment before a Cooperative Agreement can be fully executed. *Refer to APHIS Directive 2280.1, Suspension and Debarment, dated 6/20/14 for more information.*

Period of Performance

The period of performance, defined in 2 CFR Part 200.1, is "the total estimated time interval between the start of an initial Federal award and the planned end date, which may include one or more funded portions, or budget periods. Identification of the period of performance in the Federal award per 2 CFR Part 200.211(b)(5) does not commit the awarding agency to fund the award beyond the currently approved budget period". Most of the FiOps Cooperative Agreements run for 12 months from April 1 to March 31. Costs will only be reimbursed if they occur during the Cooperative Agreement period of performance.

If the Cooperative Agreement cannot be signed prior to the start date, then Recipients may, contingent upon Recipient internal policy, submit a Pre-Award Letter Request which, if approved, allows the Recipient to initiate work and be reimbursed when the Cooperative Agreement is fully executed. A fully executed Cooperative Agreement package includes a signed Award Face Sheet which is issued by eFG when the Cooperative Agreement becomes active. Pre-award costs are ***always*** incurred at the Recipient's risk. Pre-award costs must be allowable under the applicable cost principles to be reimbursed.

- The Recipient must submit a Pre-Award Letter Request that is signed by the Recipient Certifying Official, to the FiOps Signatory Official (SO)/District Director through the AVIC/PM to obtain approval to incur these costs.
- If the request is approved, a copy that has been signed by the AVIC/PM and the FiOps SO will be provided to the Recipient. If the request is denied, a reason will be provided to the Recipient. ***Verbal approval to enter into a Cooperative Agreement or incur costs is not valid and cannot be honored.***
- Pre-Award Letter requests sent early, i.e. prior to March 15th, will be processed only if needed the last week in March. An email will be sent to acknowledge receipt of the letter and that it will be processed as needed.

If the 90-day pre-award period expires and an extension has not been approved, then the Cooperative Agreement start date will revert to date of final signature. Any costs incurred outside of the Cooperative Agreement period of performance cannot be reimbursed.

There is an allowance of a one-time extension request of up to 12 months for the performance period to complete the project assuming there is no funding increase requested. If the extension results in two Cooperative Agreements running concurrently, then the Recipient will need to clearly identify that there will not be overlapping activities between the two Cooperative Agreements. Extension requests will be considered on a case-by-case basis.

Cost Guidance

This section provides guidance on allowable and unallowable costs that can be reimbursed through a Cooperative Agreement. Allowable costs must be reasonable, allocable, and necessary to the project. Office of Management and Budget (OMB) cost principles must be used to determine whether and to what extent a cost can be charged to the project.

Refer to Appendix 1 for a list of definitions.

Refer to Appendix 4 for a quick reference on common cost types.

Cost Sharing and Matching

Cost sharing or matching, defined in 2 CFR Part 200.1, is "the portion of the project costs not paid by Federal funds (unless otherwise authorized by Federal statute)." For additional information on cost share please reference 2 CFR Part 200.306.

There is a legislative requirement that Brucellosis Eradication Programs contain a minimum cost matching by States of at least 40 percent. No other Programs currently require a cost share/match. If a Recipient includes cost share in their budget proposal and it is accepted by VS, the commitment of funds becomes legally binding, must be reported on the SF-425, and is subject to audit.

If the Recipient is not meeting their cost-share ratio or cost-match requirement as stipulated in the Cooperative Agreement, action can be taken to (1) reduce the next Cooperative Agreement, (2) reduce VS' share proportionately, or (3) allow the reduced cost share when it is in the best interest of the Federal Government. Once the Cooperative Agreement has expired, adjustments to the cost share cannot be approved.

Unallowable Costs

The items below are costs that cannot be funded through FiOps Cooperative Agreements:

- Land acquisition
- International Travel
- Research
- Compensation for Federal employees
- Travel of Federal employees
- Federal subawards
- Construction and/or major rehabilitation of buildings
- Bonuses or commissions
- Fundraising
- Meeting, conference, symposia, or workshop honoraria, which is payment to individuals or guests other than for documented professional services
- Vehicle purchases or leases
- Promotional, outreach, or giveaway items such as calendars, rulers, pens, pencils, squishy balls, cups, etc.

Publications and Audiovisuals (Outreach Materials)

Whenever possible, existing publications or audiovisuals, sometimes referred to as outreach materials, should be used. The FiOps Programs, Office of the Deputy Administrator (ODA), and the Office of Legislative and Public Affairs (LPA) must review a draft of any new publications or audiovisuals produced with Cooperative Agreement funds for public use. All outreach materials created with Cooperative Agreement funds must be submitted through the AVIC/PM and SO for this review and approval. A determination will be made if the USDA logo may be used and APHIS' participation in the project may be acknowledged. Please allow a minimum of two weeks for review and approval of materials (pamphlets, flyers, posters, etc.). Approval must be obtained prior to printing.

Departmental Regulation (DR) 1020-006 establishes USDAs policy for public access to scholarly publications and digital scientific research data assets. The DR requires USDA to make all peer-reviewed, scholarly publications and digital scientific research data assets arising from unclassified scientific research **supported wholly or in part by the USDA** accessible to the public, to the extent practicable. The full text of the DR can be found here: https://www.usda.gov/directives/dr-1020-006. Awardees and contractors from non-USDA organizations who are

engaged in USDA-supported scientific research that received any direct funding from a USDA grant or cooperative agreement active in Fiscal Year 2023 or beyond must ensure that the final, peer-reviewed, accepted manuscripts be made freely accessible to the public on a USDA public access archive system (PubAg) within 12 months of publication.

Refer to the General Terms and Conditions for APHIS Cooperative Agreements Grants, Publications and Audiovisuals article and the Scholarly Publications and Digital Scientific Research Data article.

All outreach materials created with Cooperative Agreement funds must be submitted through the AVIC/PM and SO for review and approval. Approval must be obtained prior to printing.

Laboratory Equipment

The Federal definition of equipment is tangible personal property (including information technology systems) having a useful life of more than one year and a per unit value of $5,000 or more, unless the Recipient definition of equipment is more restrictive. If laboratory equipment is being requested, the Laboratory Equipment Request Form must be submitted with the Workbook. This form may also be used to request emergency response equipment, such as foamers or CO2 systems. A justification must be provided for the equipment requested.

Information Technology

All Information Technology purchases, regardless of the amount will require a review. Please allow an additional two weeks for this review. Approvals are tied to a given Fiscal Year (FY) and new requests must be submitted annually.

Information technology, defined in 2 CFR Part 200.1, is "Computing devices, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources. See also the definitions of computing devices and equipment."

Some examples of information technology include:

- Specialty desktop machines (e.g., Geographic Information System (GIS) workstations, computers which have a desktop operating system and are part of a laboratory system)
- Scanning equipment or services
- Software programs or applications either developed in-house or by contractors, consulting services, or Recipients
- Telephones, cell phones, Smartphones (e.g., Blackberries, iPhones), or Global Positioning System (GPS) equipment
- Devices with an embedded operating system

Travel

Animal Health Association (AHA) Conferences and Meetings

Animal Health Association (AHA) (Local, State, Regional, or National) conference, meeting, or training attendance approval will be based on the Recipient showing a benefit to VS for attendance. If attendance is proven to be a benefit, the Recipient may only claim reimbursement for up to two attendees per Recipient to attend each conference. For example, two attendees may attend the Regional AHA meeting and two attendees may attend the National AHA meeting. The two attendees limit **combines the Umbrella and ADT Cooperative Agreement requests for travel** and applies whether the attendees are a participant or presenter.

Out of State Travel

Umbrella Cooperative Agreements: The established limit for out of State travel to attend meetings and conferences is $10,000 or seven percent of the total Federal Funding amount, whichever is less.

ADT and Other Cooperative Agreements: The established limit for out of state travel to attend meetings and conferences is $5,000 or seven percent of the total Federal Funding amount, whichever is less.

Items NOT subject to the travel cap:

- Travel to attend trainings, workshops, and working groups
- Travel to attend AHA meetings within your State
- Registration fees for conferences and meetings (categorized as "other" in the Financial Plan)

International Travel

International travel is not an allowable expense on FiOps Cooperative Agreements.

The Recipient must provide additional justification in writing to the FiOps SO for approval to exceed any of the travel limits identified above.

Animal Health Emergency Outbreak

VS works closely with commercial operators, States, and backyard and hobby growers to prevent avian influenza and other diseases in the United States.

Please contact your AVIC/PM or VS Grants Specialist for additional Cooperative Agreement information in the event of an animal health outbreak emergency.

SECTION 2: PROGRAM GOALS AND OBJECTIVES

ADT Goals and Objectives

Animal Disease Traceability Work Plan

ADT Cooperative Agreements, funded through Animal Health Technical Services (AHTS), will follow the guidelines set forth above, as well as those identified in this section to implement the ADT Program and the four overarching goals to advance ADT established by USDA:

1. Enhance electronic sharing of data among Federal and State animal health officials, veterinarians, and industry; including sharing basic ADT data with the Federal Animal Health Events Repository (AHER)
2. Increase use of electronic identification (ID) tags for animals requiring individual identification in order to make the transmission of data more efficient
3. Enhance the ability to track animals from birth to slaughter through a system that allows tracking data points to be connected
4. Elevate the discussion with States and industry to work toward a system where animal health certificates are electronically transmitted from private veterinarians to State animal health officials

The utilization of a State ADT Road Map supports this approach as it provides the Recipient's vision, long-term plans, and objectives for implementing the ADT Program. State Recipients must have a current and approved ADT Road Map that

addresses key objectives in order to be eligible to receive ADT Cooperative Agreement funding. Recipients who received approval of their Road Maps in previous Cooperative Agreement periods must update their plans a minimum of every three years or more frequently as necessary to accurately reflect their approach and implementation solutions to advance ADT.

Recipients are to submit updates to their Road Maps with the ADT Workbook for review and approval by the AVIC/PM. (**NOTE**: Be sure to list the date of the update on the cover of the Road Map.) The Recipient's annual Work Plan must focus on activities the Recipient plans to implement during the funding period that supports their ADT Road Map. To increase awareness of and access to the ADT Road Maps, the most recent ADT Road Maps for each State are posted on the Animal Disease Traceability website as the annual ADT Cooperative Agreements are signed.

A. Recipient Responsibilities in Animal Disease Traceability Cooperative Agreements

Recipients must include specific activities they will undertake in their annual Cooperative Agreement Work Plan to support all of the following activities:

1. Traceability Performance Measures (TPMs)

ADT is a performance-based program designed to measure outcomes that will document successful advancement of traceability. In prior Cooperative Agreement years, TPMs have been used to measure and document progress, in addition to the use of supplementary National Priority Traces (NPTs) introduced in FY 2018. Beginning in FY 2020, the traditional TPMs administered by VS District staff (Animal Identification Coordinators/AVICs) were entirely replaced with NPTs administered by VS ADT staff. This has allowed a more accurate measure of tracing capability, while reducing the overall amount of work for State partners. The NPTs completed by ADT Recipients will continue to reflect tracing capabilities based on the previously defined four (4) trace performance measures or activities. Compilation of the results across all Recipients will continue to enable APHIS to determine current traceability values and to document progress made from the National baseline values and subsequent "comparison years" that were established in prior Cooperative Agreement periods. Updated guidelines provided for the administration and completion of NPTs must be followed to maintain eligibility for reimbursements of expenditures. Recipient Work Plans must detail the following elements:

1.1. Provide an overview of how the Recipient will complete the assigned TPMs in the Emergency Management Response System 2 (EMRS2).

1.1.1. Upon completion of a State's required TPMs for the Cooperative Agreement period, a TPM performance report will be distributed to States. Upon receipt of the report, States should review the information and if issues have been identified, work with their AVIC/PM to provide key actions or activities that they plan to continue to improve key tracing capability indicators prior to the next performance period. The Recipient should contact the AVIC/PM for their report, if it was not previously received.

1.2. Recipients that identify potential compliance issues in the course of completing TPMs shall report enforcement actions taken to their AVIC/PM for inclusion in the VS quarterly ADT Enforcement Action Summary Report.

2. Administration of Official Identification Devices

Recipients must include activities that support and advance official identification and record keeping for the distribution of official eartags in their Quarterly and Final Accomplishment Reports. Advancement of ADT requires activities that will make electronic information more readily available. Technology such as Radio Frequency Identification (RFID) tags, readers, and associated electronic interstate movement documentation must be given high priority in the Work Plan and must include a description of how ADT funding is to be applied to increase use of RFID devices.

2.1. Explain how official identification devices will be made available to producers and plans for increasing the use of official RFID tags and reading devices. Explain how the RFID tags will be read electronically and data collected after the initial application of the tag to ensure the technology is appropriately utilized.

2.2. Explain how the Recipient is maintaining records of official identification devices distributed and/or applied to ensure timely retrieval of such records when needed, including devices administered through accredited veterinarians, markets, tagging sites, etc. Explain how tag distribution records for tags provided to veterinarians are monitored. *See the ADT Workbook Quarterly Reporting tabs* to report the number and type of official identification devices distributed and/or applied.

3. Information Sharing

Sharing information quickly and effectively will help APHIS and its Recipients respond to animal disease events and make ADT successful. The collection and storage of electronic records along with the ability to share that information is critical. Therefore, all Recipients must adhere to defined data elements for official identification and interstate movement information in accordance with accepted data standards (i.e., International Standard 11784 and the United States Animal Health Association (USAHA) electronic interstate Certificate of Veterinary Inspection (eCVI) xml schema, respectively). Integration of systems and/or communication processes to support efficient data sharing options must also be documented in the Work Plan. Enhancing existing systems/applications to utilize recognized standards for sharing data (e.g., developing the ability to send or receive the USAHA eCVI Data Exchange Standard XML message) and integrating data systems is necessary.

3.1. Explain what information systems are being used to support traceability and describe the process and in what format APHIS and other States will be provided access to the data when needed. Recipients must include a description of systems utilized for the distribution of official identification, program disease, and movement record keeping. Contributing summary data from State systems (e.g., USAHerds, CoreOne) to AHER is a high priority for ADT; therefore, States must work with VS counterparts to develop a plan for sharing key data elements (tag number, date, event type, State, Premises ID of producer or State office, and system holding data) with AHER from their systems that support traceability including timelines for implementation of integration.

3.2. Recipients who have developed or obtained their own information systems should explain how their systems are aligned with established data and communication interfaces to ensure compatibility of information systems.

4. Electronic Records

In addition to the key elements noted in the ADT Road Maps, activities to increase the volume of electronic records that optimize the searchability of potential ADT data shall be described.

4.1. Priority areas to consider include distribution records, tags-applied records of official identification devices, Interstate Certificate of Veterinary Inspection (ICVIs), and other sources deemed applicable for the Recipient (e.g., data from bovine brucellosis vaccination and testing, bovine tuberculosis testing, brand inspection certificates, etc.).

4.2. The Work Plan must describe the Recipient's approach to increase and track the utilization of electronically searchable eCVI systems by accredited veterinarians. [*See the ADT Workbook Quarterly Reporting tabs* for reporting the number of paper and electronic ICVIs issued per species covered under ADT, the number of Category II accredited veterinarians using eCVIs, and a listing of the eCVI applications utilized by accredited veterinarians within the State.]

NOTE: Searchable eCVIs are linked to a data system where data fields may be retrieved electronically (scanned images of an ICVI created in either a fillable format or handwritten may be attached as a file but are not considered as a true eCVI unless the individual data elements are searchable).

5. Outreach and Communication

5.1 Implementation of an outreach plan for the Recipient's approach, including timelines and goals is vital to support ADT. Recipients should focus on outreach events with stakeholders that demonstrate the value of ADT including understanding of electronic animal ID, premises ID, timelines, regulations, and exercises/demonstrations of real-world scenarios. Recipients are encouraged to conduct table-top exercises in cooperation with Federal personnel and use models/resources provided by APHIS. *See the ADT Workbook Quarterly Reporting tabs* for the reporting of ADT outreach activities.

6. Compliance and Enforcement of Traceability Regulations

High compliance with traceability regulations is critical to achieve optimum tracing capabilities. While APHIS is the lead on the regulations defined in 9 CFR Part 86, Recipients are encouraged to work cooperatively with Federal resources on activities that will support compliance with and enforcement of ADT, particularly when the State has regulations that align with the Federal regulations.

6.1. The Recipient, in collaboration with the AVIC/PM, is to document processes to examine and report compliance with ADT requirements and enforcement actions taken for official identification and interstate movement defined in 9 CFR Part 86. To avoid duplication of reporting, the State should provide their AVIC/PM with counts of enforcement activities to augment the VS quarterly ADT Enforcement Action Summary Report.

6.2. Ensuring that accredited veterinarians and other tag managers that acquire official identification devices directly from manufacturers keep accurate records of tags distributed and applied is high priority. Recipients must document efforts that will be taken to ensure compliance with this requirement.

B. Allowable Use of ADT Funds

VS will fund expenditures that support the administration of traceability activities, including the following, unless noted in Section 1, Cost Guidance as an unallowable cost:

Personnel: Human resource support for advancing ADT, including entering available ADT data to make it electronically searchable. List the number of personnel responsible for data entry separately from other personnel resources as full-time equivalents (FTE). Duties for data entry personnel include data entry and scanning of identification and diagnostic results from paper-based test and vaccination charts, and movement documents. Personnel expenses for data entry should be balanced by a description of methods and systems being implemented to automate and streamline the data collection processes.

Fringe Benefits: Benefits for human resources described above. List fringe benefits for data entry personnel separately from other personnel resources.

Travel: Travel and transportation costs related to ADT activities and in accordance with Section 1, Travel.

Equipment: Equipment (tangible personal property, including information technology systems, having a useful life of more than one year, and a per unit value of $5,000 or more) used to manage location data associated with the application or recording of official identification, official animal identification distribution records, or recording of official identification associated with animal movement records (e.g., hardware including, but not limited to, hardware used to operate traceability software (e.g., servers) and RFID stationary readers over $5,000 per unit). When more than one application is housed on the hardware, the use of ADT Cooperative Agreement funds is to be proportionate to the systems' role related to the priority areas for ADT funding.

Supplies: Provide a description of the supplies required to perform the proposed activities including, but not limited to, identification devices, eartag applicators, handheld, and stationary RFID readers under $5,000 per unit, personal

digital assistants, tablets, desktop or laptop computers, printers, wireless air cards, GPS devices, office supplies, etc. For identification devices, list the type of device (e.g., low frequency (HDX or FDX), ultra-high frequency, microchips), species, the approximate number, and cost of tags to be purchased. When the cumulative value of supplies exceeds $5,000 provide an itemized breakdown of the types of supplies and the total estimated cost per type.

RFID readers for use by State, Tribal, or territorial animal health officials: The purchase of RFID reading equipment may be itemized as either supplies or equipment, depending on per unit cost. The make and model of the readers must be listed. Recipients may request funding to purchase automated data capture hardware (RFID readers) used specifically for administering animal disease or traceability programs by employees under the direct supervision of, or personnel at the direction of, the State, Tribal, or territorial animal health official. The process for transferring data to the primary, or permanent, ADT databases (databases capable of returning location, suspect and exposed official animal identification numbers, event, and time information) must be defined in the request for purchase of such devices.

Infrastructure for livestock markets and Category II accredited veterinarians: States are encouraged to support development of infrastructure for advancing electronic ID (EID) (i.e., readers) in select sites (e.g., livestock markets, Category II accredited veterinarians). The purchase of RFID reading equipment may be itemized as either supplies or equipment depending on per unit cost and the make and model of the readers must be listed. States may provide the reading devices directly or share costs with the market or veterinarian. States will describe how the infrastructure funds are to be used and how the State or industry will contribute to the infrastructure development through direct funding, training, demonstrations, and/or personnel and technical support. Readers must be compatible with USDA Mobile Information Management System (MIMS) software. A listing of compatible readers is available from the VS ADT staff.

Contractual: Installation, maintenance, and user fees (including licensing) for traceability application software that supports the Recipient's ADT Road Map and/or Work Plan objectives (e.g., USAHerds, Statevet.com, eCVI applications, high-speed internet connections, etc.). A detailed explanation reflecting how the software specifically supports the Recipient's traceability plan and the collection/recording of official ID in searchable databases is required. When the application software provides functionality and is used for purposes that are in addition to ADT priorities (e.g., brand inspection, animal health programs, etc.), the use of ADT funds is to be proportionate with the application software's role to each activity.

VS assumes that the Recipient has existing licenses for, and will not cover the cost of, operating systems and system software (e.g., Oracle or Microsoft SQL).

VS may authorize the use of ADT Cooperative Agreement funds for software enhancements to existing ADT systems when the criteria below are met. Funds utilized for ADT enhancements must be listed in the contractual line item with the name of the system provided in the budget.

1. The system to be modified or enhanced with ADT Cooperative Agreement funds has been operational in the State requesting the enhancement in a production environment for a minimum of one year.

2. The Recipient does not have access to a USDA-supported information system that provides similar functions. That is, the software that would be modified does not have the same primary use or similar attributes and functionality of a USDA-supported system.

3. The Recipient provides a clear explanation of the proposed enhancement and how the modification would improve tracing capabilities.

4. The Recipient provides a cost estimate of the enhancement and the amount of ADT funds requested for the modification. If more than one State is supporting the modification, the total of all funds is to be reported in the same request.

5. The software vendor must agree that all current and future users of the information system will receive access to the enhancement at no additional cost.

6. The Recipient is to complete the form, "Use of ADT Cooperative Agreement Funds for Enhancing a Software Application," to document the above information. This form is part of the ADT Workbook located in Section 3, ADT Workbook.

Other: Shipping and postage (shipping for identification devices must be listed separately), outreach and educational materials (including web sites that support the communication activities), meeting registration and refreshments, rent, etc.

**** It is recommended that Recipients use the ADT Cooperative Agreement Financial Plan Excel template (see Financial Plan tab in ADT Workbook) to document planned expenditures to support the Work Plan. Workbooks submitted without the ADT Cooperative Agreement Financial Plan Excel template, or the requested information, will be returned to the Recipient.**

C. Unallowable use of ADT Funds

1. Developing new application software or an ADT system when an existing system provides similar functionality/utilities.

2. Modifications to application software (ADT systems) unless the criteria in Section B above is met.

3. Paying expenses related to interfacing internal systems not associated with the Recipient's traceability information technology infrastructure or that has no relevance to traceability information.

4. Conducting research, field trials, or pilot projects to develop or test potential solutions for animal identification technologies and animal movement data collection (unless reviewed and approved in advance by the VS ADT staff).

5. Federal funds may not be utilized to purchase visual only official identification devices (metal tags or visual plastic 840 tags) directly from a manufacturer.

Avian Health Goals and Objectives

The goals of the Avian Health Program are to: (1) quickly diagnose, control, and prevent the spread of all H5 and H7 (H5/H7) Avian Influenza (AI) subtypes; (2) improve biosecurity, sanitation, and disease control in commercial poultry, live bird marketing system (LBMS) and high risk poultry sectors; (3) minimize the effects of H5/H7 AI on the U.S. LBMS and commercial poultry industry; and (4) support the surveillance and control of other avian diseases of economic and/or public health significance.

The Avian Health Program section should address AI surveillance testing, record keeping, premises sanitation and biosecurity, disease surveillance, and response when AI-positives are found. H5/H7 AI surveillance, monitoring, and biosecurity education and enforcement in the higher risk categories of auctions, shows, small sales, flea markets, swap meets, farmers markets, feed stores, botanicas, custom exempt poultry facilities, and backyard or hobby flocks should be specifically addressed in the Work Plan. In addition, support for the National Poultry Improvement Plan (NPIP) related activities, such as lab audits, record keeping, review of 9-3 forms, etc. should be listed here.

Objective 1 – Avian Influenza Surveillance

1.1 Active Surveillance – NPIP Flocks

Conduct active surveillance sampling for AI in NPIP Flocks. Activities under this objective may include:

- Active surveillance of NPIP flocks – including number of trips for sample collection in the proposed activities section of the Work Plan (trips without diagnostic samples collected should be listed under Objective 2)
- For samples submitted directly by producers, indicate as a direct submission and list number of samples anticipated
- Surveillance supplies such as testing kits, mailers, media etc. utilized or distributed – include approximate numbers to be distributed in the proposed activities section of the Work Plan
- Other activities directly related to active surveillance of NPIP flocks; include the metrics by which they are to be measured

1.2 Active Surveillance – Non-NPIP Flocks

Conduct active surveillance sampling for AI in live bird marketing system sectors, small flocks, fairs, shows, auctions, and backyard/hobby flocks. Activities under this objective may include:

- Active surveillance of non-NPIP flocks – include number of trips for sample collection in the proposed activities section of the Work Plan (trips without diagnostic samples collected should be listed under Objective 2)
- For samples submitted directly by producers, indicate as a direct submission and list number of samples anticipated
- Surveillance supplies such as testing kits, mailers, media etc. utilized or distributed – include approximate numbers to be distributed in the proposed activities section of the Work Plan
- Other activities directly related to active surveillance of non-NPIP flocks; include the metrics by which they are to be measured

1.3 Passive Surveillance Activities

Conduct passive surveillance sampling for AI in commercial poultry, upland game birds, LBMS sectors, and/or backyard/hobby flocks in response to sick bird calls and reported poultry mortalities. Necropsy and sampling for AI should be performed on all reported cases of unexplained respiratory disease, egg production drops, and unexplained mortality in poultry. For high-risk flocks, testing for other diseases of significance may be included as well. ***All States must include samples under the passive surveillance objective or provide a detailed explanation indicating how this requirement is being met outside of the Cooperative Agreement.*** Activities under this objective may include:

- Sick bird calls – include the approximate number of sick bird calls expected in the proposed activities section of the Work Plan
- Avian Foreign Animal Disease (FAD) investigations – include the approximate number of avian FAD investigations expected in the proposed activities section of the Work Plan
- Other activities directly related to passive surveillance – including the metrics by which they are to be measured

Reporting required for Surveillance Objectives

In addition to completing the Performance Reports, the Recipient will report active and passive surveillance testing metrics quarterly directly into the DIS system for Avian Surveillance, which includes the number of birds tested and number of tests performed by bird production type and test type. Please complete the AI Surveillance Goals Worksheet which includes your expected surveillance goals for the performance period and submit it with your Work Plan. No testing data will be reported on spreadsheets, only the goals. As a reminder, outbreak testing is NOT to be reported in DIS. That data is entered into Emergency Management Response System (EMRS).

Please submit the names of the individuals responsible for reporting data to Patricia.E.Fox@usda.gov who will assist them with accessing and using the DIS system for reporting.

Objective 2 – NPIP, LBMS, and General Avian Health Support

Describe other Avian Health activities and objectives which support the program goals. Activities under this objective may include:

- NPIP on-farm biosecurity audits, hatchery inspections, laboratory inspections, recordkeeping audits, etc. (no diagnostic samples taken) – include estimated number of trips and the venue type(s) in the proposed activities section of the Work Plan
- Personnel to perform virtual biosecurity audits – include estimated number of virtual audits
- Inspections of LBMS, fairs, shows etc. (no diagnostic samples taken) – include number of trips and the venue type(s) in the proposed activities section of the Work Plan
- Support for data entry and recordkeeping for the NPIP – include number of hours or percentage of effort
- Equipment and supplies for personnel, including IT equipment, biosecurity supplies, office supplies etc.
- If laboratory equipment with a single item cost of greater than $5,000 is being requested, the Laboratory Equipment Request Form must be included with the Workbook

Objective 3 – Laboratory Diagnostics

Conduct diagnostic testing for AI and other significant avian diseases on the targeted surveillance samples collected in accordance with the surveillance objectives previously described.

Cost Per Test and Laboratory Information

In the Work Plan, the Recipient should identify the total cost-per-test for each test type and the estimated number of tests to be conducted during the Cooperative Agreement cycle. Costs should be calculated from the time the sample enters the laboratory to the reporting of results back to the submitter. This may include personnel, diagnostic kits, reagents, consumable laboratory supplies, equipment depreciation/lifecycle replacement, equipment maintenance, and proficiency testing.

- Costs not directly associated with sample testing should be listed separately under Objective 2 – General Program Support, with ample justification as to how these items support the program goals and objectives and why they would not be included in the cost per test calculation
- Do not include any costs which are covered by other laboratory funding sources such as National Animal Health Laboratory Network (NAHLN) or National Institute of Food and Agriculture (NIFA) funding
- Antigen Capture Immunoassay (ACIA) testing should be used only on sick or dead birds for passive surveillance in the field. Laboratories will not be reimbursed for ACIA testing. Test kits (NOT listed as a cost per test) can be included under supplies in Objective 2
- Use virus isolation for exotic birds or species for which Polymerase Chain Reaction (PCR) has not been validated
- For high-risk flocks (non-commercial only), testing for other diseases of significance may be included, such as Pullorum-Typhoid (PT), Mycoplasma Gallisepticum (MG), Mycoplasma Synoviae (MS), Mycoplasma Meleagridis (MM), or Salmonella Enteritidis (SE)
- **The diagnostic necropsy charge listed should include only the gross examination**. AI and other testing charges associated with the necropsy exam should be listed separately in the testing totals for the appropriate test(s) elsewhere in the objective
- The number and type of tests listed in the Work Plan should match those entered on the AI Surveillance Goals Worksheet submitted with the Work Plan

Objective 4 – Education and Outreach

Provide education on biosecurity and disease prevention, especially to high-risk flock owners. The "Defend the Flock" campaign has resources available for use by States. Any additional materials developed with Cooperative Agreement

funds (posters, pamphlets, etc.) require prior approval. At this time, Cooperative Agreement funds may **not** be used to produce calendars. Please allow at least 2 weeks for the approval process. Activities under this objective may include:

- Provide education and outreach materials at fairs, shows, auctions, small sales, and other venues – include number of trips and the venue type(s) in the proposed activities section of the Work Plan
- Host outreach events to backyard and small flock owners on poultry health and biosecurity – include number of trips/events and the venue type(s) in the proposed activities section of the Work Plan
- Assist producers in preparing for biosecurity audits as required under the NPIP Biosecurity Principles Program Standards, including the number of trips and the producer type(s) in the proposed activities section of the Work Plan
- Campaign materials – include the expected number that will be produced

Objective 5 – Travel and Training

Provide personnel with opportunities for training and other travel that directly supports program goals. See Section 1 for additional limitations to travel and training. Activities under this objective may include:

- NPIP Diagnostic Workshops for diagnosticians at NPIP approved laboratories, NPIP Biennial Conference, and NPIP Official State Agency meetings
- USAHA and other conferences that directly support Avian Health Programs
- LBMS Working Group meeting and LBMS Continuing Education training

If travel is being funded across commodities, please indicate the estimated percentage provided by Avian Health funding.

Objective 6 – Preparedness and Response

Detect and contain high consequence animal diseases including program diseases, as quickly as possible. Activities under this objective may include:

- Conduct the annual review of the Initial State Response and Containment Plans (ISRCP) – Include the number of attendees
- Personnel hours to review, update, edit, and distribute the ISRCP
- Exercise the State ISRCP at least once every 3 years; include number of participants. Indicate table-top or functional exercise
- Funding to store, repair, and maintain depopulation equipment. Please list storage or maintenance contracts, supplies, and equipment parts separately. If any preparedness and response equipment with a single item cost of greater than $5,000 is being requested, the Laboratory Equipment Request Form must be included with the Workbook
- Exercise and train personnel in the use of depopulation equipment at a minimum on a quarterly basis. Include number of exercises and number of people trained
- Conduct epidemiologic investigations in accordance with animal health program regulations and program standards. Include the approximate number of investigations expected in the proposed activities section of the Work Plan
- Conduct disease response activities such as cleanup, traceback investigations, post exposure monitoring, and testing, as appropriate. Include the approximate number of avian response activities expected in the proposed activities section of the Work Plan

Cattle Health Goals and Objectives

Cattle Health Surveillance and Outreach Goals

Conduct surveillance in domestic cattle and bison and targeted high-risk wildlife populations to maintain National, State, and herd disease status certifications as described in program regulations, program standards, and surveillance plans. Outreach efforts should complement the program activities.

Surveillance Data Quarterly Reporting

States should supply surveillance and outreach data to the AVIC/PM and the Ruminant Health Center for those program activities that the area office does not have available. AVICs/PMs will work with Recipients to collect data on a quarterly basis using the DIS system. Data and information submitted through surveillance and activity reports may be used to inform decisions about future Cooperative Agreement funding levels. Specific data fields regarding activities are available from the AVICs/PMs.

Program-Specific Objectives and Expected Outcomes
Recipients are encouraged to complete the Cattle Health Workbook, even if they are not requesting funds.

Brucellosis

The 2018 Consolidated Appropriations Act requires Brucellosis Eradication Programs, by States, a minimum matching of at least 40 percent of State to Federal dollars. Furthermore, this commitment of funds is legally binding and subject to audit after VS accepts a Recipient's proposed cost share as described in the Cooperative Agreement budget.

State Objectives – Idaho (ID), Montana (MT), and Wyoming (WY)

- Conduct surveillance activities required to implement Brucellosis Management Plans (BMPs)
- Implement risk-based management plans to mitigate risks associated with wildlife that impact animal agriculture
- Each State in the Greater Yellowstone Area (GYA) (i.e., ID, MT, and WY) will commit to one meeting during the Cooperative Agreement period where two State wildlife and two State livestock officials meet with APHIS representatives to plan how to decrease brucellosis prevalence in wild elk
    - Provide the proposed date and a list of participants within the narrative for the Workbook and attach the meeting notes to the Performance Report once the meeting has occurred
- Encourage abortion screening in cattle
- Conduct epidemiologic investigations in accordance with animal health program regulations and program standards including disease response activities such as clean-up, trace back investigations, post-exposure monitoring, testing, and disposal of high-risk animals/herds, as appropriate
- Provide education to State, Tribal, and Federal Veterinary Medical Officers (VMOs), Animal Health Technicians (AHTs), Animal Identification Coordinators (AICs), and other appropriate animal health officials to assure full understanding of the National Bovine Brucellosis Surveillance Plan, National Lab Standard Operating Procedures (SOP), GYA algorithm, and associated program activities, including conducting quality epidemiologic investigations

State Objectives – Non-GYA States

- Provide education to State, Tribal, and Federal VMOs, Animal Health Technicians (AHTs), Animal Identification Coordinators (AICs), and other appropriate animal health officials to assure full understanding of the National Bovine Brucellosis Surveillance Plan, National Lab SOP, and associated program activities, including conducting quality epidemiologic investigations
- Encourage abortion screening in cattle

- Support brucellosis epidemiological investigations as necessary

Bovine Spongiform Encephalopathy (BSE) Surveillance

State Objectives

- Collect samples to achieve State-level goals defined in the BSE National sampling plan. Collections should represent the three major World Organization of Animal Health (OIE) BSE surveillance streams: clinical suspects (cattle over 12 months of age), emergency slaughter (non-ambulatory cattle over 30 months of age), and fallen stock (dead cattle over 30 months of age)
- Conduct outreach and education with accredited veterinarians and producers to encourage sample submissions in support of National surveillance goals and sample collection targets
- Conduct outreach and education with public health officials and public health laboratory directors about forwarding rabies negative submissions from cattle to the National Veterinary Services Laboratories (NVSL) for BSE surveillance

Cattle Fever Tick

Texas (TX) State Objectives

- Conduct targeted surveillance in areas where tick-infested livestock and ungulates have been discovered outside the Permanent Quarantine Zone in TX
- Coordinate wildlife/hunting surveillance with local, State, and Federal entities both within and along the Permanent Quarantine Zone
- Collaborate with VS Cattle Fever Tick Eradication Program (CFTEP) to identify research needs and collaborate with APHIS Agricultural Research Service (ARS) on joint fever tick research
- Provide fever tick program data to APHIS, TX Animal Health Commission, and related entities for evaluation of quarantine and treatment efficacy
- Collaborate with TX Parks and Wildlife on whitetail deer census and fever tick surveillance
- Continue to submit ticks for identification to NVSL

Tuberculosis (TB)

- Visit State-inspected slaughter establishments to validate slaughter inspection and ensure compliance with existing granuloma submission performance standards (i.e., one submission per 2,000 adult cattle slaughtered)
- Conduct outreach, training, and education with accredited veterinarians to ensure compliance with existing performance standards (Appendix C of 2005 Bovine Tuberculosis Eradication Uniform Methods and Rules)
- Implement a system to monitor the response rate reported by each accredited and regulatory veterinarian conducting official tuberculin tests. Veterinarians that do not meet the caudal fold tests (CFT) standards outlined in Appendix C of the 2005 Bovine Tuberculosis Eradication Uniform Methods and Rules, after 300 animals have been tested, must be addressed and appropriate action taken and documented
    - Communication with each veterinarian failing to meet the appropriate response rate. Report numbers in the Cattle Health Quarterly Reports in the DIS system
    - Submit names of veterinarians that don't improve without a valid justification to State AVIC for potential suspension or removal of accreditation
- Conduct epidemiologic investigations in accordance with animal health program regulations and program standards including disease response activities such as clean-up, trace back investigations, post-exposure monitoring, testing, and disposal of high-risk animals/herds, as appropriate
- Provide travel funds to cover the travel cost for State VMO's to become approved to conduct the comparative cervical tuberculin (CCT) test at APHIS approved training
- For States with a bovine TB detection:

- Conduct targeted surveillance in geographic areas where TB has been identified in livestock or wildlife. Identify additional source herds, herds containing known TB-exposed animals, and adjacent herds as revealed by epidemiological investigation. Such herds shall be placed under quarantine within 15 days of identification and a herd test of all eligible livestock shall be scheduled
- Implement herd plan(s) and management strategies to eradicate the infection from TB-affected herds, including depopulation plans or testing plans leading to quarantine release and assurance phases, and testing of restocked herds after depopulation in consultation with VS
- Implement State-wide risk-based management plans to mitigate threats associated with impacted animal agriculture within a State when TB is detected
- Conduct wildlife surveillance to determine if TB is present in wildlife. The "TB Wildlife Surveillance" manual (available upon request from VS Cattle Health Program staff) may serve as a useful guide. If TB is detected in wildlife, surveillance will be conducted to demonstrate that prevalence in wildlife is less than 0.5 percent for three consecutive years

Other

Blood and Tissue Collection (BTC)

- Assist VS in bringing all Federally-inspected, State-inspected, and custom kill slaughter plants and all rendering plants into compliance with 9 CFR 71.21, (BTC rule) or in conducting quarterly inspections

National List of Reportable Animal Diseases – National Animal Health Reporting System (NLRAD-NAHRS)

- Complete applicable monthly NAHRS reporting through NLRAD-NAHRS Web Reporting System
- Complete data entry (EMRS2, Surveillance Collaboration Services (SCS CoreOne), NVSL Laboratory Information Management System, Veterinary Services Laboratory Submission (VSLS), NAHRS/NLRAD)

Preparedness and Response Objectives

- Prepare, maintain, and exercise State-level plans, standard operating procedures, response templates, and guidance documents for responding to endemic, foreign, zoonotic, and emerging disease or re-emerging disease events impacting animal agriculture. Ensure that these plans are consistent with National plans developed by VS
- Investigate, control, and eliminate (when appropriate) emerging, re-emerging, endemic, zoonotic, and foreign diseases that impact animal agriculture
- Implement risk-based management plans to mitigate risks associated with emerging, re- emerging, endemic, zoonotic, and foreign diseases that impact animal agriculture

One Health and Zoonotic Disease Goals and Objectives

This section covers National priority and State specific zoonotic disease activities, not already covered under regulatory programs or FAD plans, and other One Health (OH) events with an animal component. "One Health events" are problems occurring at the intersection of human, animal, and environmental health. These problems are often complex and benefit from increased collaboration, communication, and coordination across and between all sectors involved in prevention, detection, preparedness, and response.

Examples of OH partners include: Federal, State, Territorial, Tribal, and local animal, public, and environmental officials, industry stakeholders, and Universities.

1. Surveillance Goals

The One Health and Zoonotic Disease surveillance goals are to: Identify opportunities and develop activities across animal-human-environmental sectors that facilitate timely prevention, detection, and response to incidents involving

animals. Progress reports on enhanced information sharing and collaborative efforts should be provided at least quarterly with frequency specified in the Work Plan.

Opportunities under this goal should include:

- Implementing processes to improve information sharing between sectors
- Delivering routine or ad hoc information to State and Federal partners
- Implementation of quarterly training workshops with OH partners
- Creation of a quarterly zoonotic threat assessment report
- Establishment of a shared or centralized data repository accessible by all sectors with biannual effectiveness reviews

Surveillance Objectives:

- Develop and maintain cross-sector communication protocols and produce quarterly evaluation reports documenting collaboration between OH partners (human, animal wildlife, and environmental health and other state and local agencies as appropriate) regarding human cases of zoonotic disease and confirmed or suspected cases of zoonotic disease in animals, including livestock and wildlife. Include the approximate number of communication protocols in the proposed activities section of the Work Plan
- Conduct routine and/or incident-specific cross-sector surveillance and risk assessments for zoonotic diseases and other OH incidents. This includes State-level cross-sector monitoring of human illness, to include coordinating with State and local human health, during known/potentially zoonotic disease outbreaks. Include the approximate number of surveillance activities and risk assessments in the proposed activities section of the Work Plan
- Enhance cross-sector information sharing by identifying and implementing methods that facilitate communication and reporting between OH partners. Potential methods include:
    - Forming interagency OH Zoonotic Disease working groups, hosting workshops or events using tools that facilitate OH collaborations e.g., the One Health Systems Mapping Analysis Resource Toolkit (OH-SMART). Include estimated number of events, trave, and venues (virtual, in-person, hybrid) in the proposed activities section of the Work Plan. Approximate travel and venue costs must also be included in the Work Plan
    - Creating interagency agreements or memorandums of understanding and data sharing agreements. Specify agencies and key information to be shared in the proposed activities section of the Work Plan

Expected Outcomes:

- Productive OH partnerships which result in in cross-sector surveillance with risk assessment planning, implementation, and evaluation of OH incidents in animals
- Establishment, implementation, and education of cross-sector surveillance reporting systems for zoonotic diseases that incorporate National priorities and State specific OH events in animals
- Activities that promote cross-sector information sharing, address confidentiality issues, and enhance zoonotic disease surveillance data collection and exchange among OH partners

Reporting for Zoonotic Surveillance and OH:

- Complete applicable monthly NAHRS reporting through NLRAD-NAHRS Web Reporting System
- Provide data and information on all activities carried out to fulfill the Zoonotic Disease and OH surveillance objectives during the reporting period, using the One Health Work Plan and Report tab of the Workbook provided
    - Number and description of cross-sector Zoonotic Disease/OH issue communication and surveillance plans and/or risk assessments developed. Include information on shared protocols, plans, and best practices

- Number and description of routine and/or event specific Zoonotic Diseases/OH incidents under surveillance and/or risk assessments performed; include details of activities conducted with cross-sector partners
- Description of other activities that promote information exchange, address confidentiality issues, and improve zoonotic disease data collection and sharing among OH partners

2. Preparedness and Response Goals

The One Health and Zoonotic Disease preparedness and response goals are to: (1) Prevent, detect, and respond to Zoonotic Diseases and OH issues as quickly as possible using a multisector, OH approach and strategies that protect animal agriculture, animal, and public health; and (2) Identify and implement 'best practices' for partnering and communicating with cross-sector officials and other OH partners during zoonotic disease outbreaks and OH incidents. Activities under this goal must be included in the Work Plan and reported on quarterly.

Opportunities under this goal should include:

- Cross-sector State-level plans that respond to zoonotic diseases and other OH incidents
- Advance assessments of OH issues and zoonotic diseases to protect human and animal health Biosecurity practices that minimize the risk of zoonotic disease transmission to humans from animals
- Response Teams that address emerging zoonotic diseases that affect human and animal health

Preparedness and Response Objectives:

- Develop, maintain, and exercise cross-sector State-level plans to prepare for and respond to National priorities and State specific OH incidents in animals that fully engage in public and environmental health sectors. Provide specific activities and estimated personnel hours in the Work Plan
- Develop and conduct targeted epidemiologic studies/assessments of Zoonotic Diseases or OH issues, in collaboration with OH partners, to identify risk factors and opportunities to protect animal and public health. Include the specific studies, diseases, or issues in the proposed activities section of the Work Plan
- Implement stronger biosecurity practices to minimize the risk of transmission of zoonotic disease from animals to humans. Include specific practices and approximate personnel hours in the proposed activities section of the Work Plan
- Establish and support joint/coordinated response teams to address emerging zoonotic diseases that have potential implications for both animal and human health. Include details about teams such as number of personnel, team composition, and expected personnel hours in the Work Plan
- Investigate, control, and eliminate (if possible) Zoonotic Disease outbreaks and OH issues in collaboration with OH partners. Include specific investigations or actions in the proposed activities section of the Work Plan

Expected Outcomes:

- Cohesive Cross-sector State-level preparedness and response plans that incorporate National priorities and State specific OH incidents in animals. Plans take into consideration animal, human, and environmental health aspects, as well as continuity of operations. Examples include:
  - Framework for coordinating cross-sector preparedness and response activities, e.g., strategic and/or action plans
  - Defined triggers, roles, responsibilities, and methods for investigation and response
  - Outlines of animal, human, and environmental health considerations, roles, responsibilities, and structures that will be activated during a Zoonotic Disease or OH incident response (Ensure consistency with National plans developed by VS)
  - Processes/procedures/protocols for joint human and animal investigations, that include wildlife and environmental aspects (as appropriate), sample collection and analysis
  - Methods for aligning risk communication and prevention messages between agencies

- Targeted epidemiologic studies/assessments for National priority and State specific zoonotic diseases and OH issues are developed and performed in collaboration with OH partners
- Collaboration with OH partners to investigate National priority and State specific Zoonotic Diseases
- Risk-based management plans to mitigate risks associated with Zoonotic Diseases and OH issues are implemented, when appropriate, in collaboration with OH partners

Reporting:

- Provide data and information on all activities carried out to fulfill the Zoonotic Disease and OH preparedness and response objectives during the reporting period, using the One Health Work Plan and Report tab of the Workbook provided
    - Number and description of cross-sector State-level preparedness and response plans developed, updated, and/or exercised in collaboration with OH partners
    - Number and description of epidemiologic investigations and/or studies undertaken; including name of specific Zoonotic Diseases/OH issues addressed, activities performed, and details of cross-sector/OH partners involvement
    - Include information on/examples of shared templates, plans, or best practices implemented during reporting period

3. <u>Education and Outreach Goal</u>

The One Health and Zoonotic Disease education and outreach goals are to: (1) Identify areas where increased OH issue and Zoonotic Disease awareness is needed; and (2) Attend, provide, and 2develop training and outreach to fill the gaps identified. Areas and issues under this goal must be specified in the Work Plan and reported on quarterly. Potential examples under this goal include:

- Research exploring OH issues or zoonotic diseases in animals
- Distribution of education/outreach material developed as part of research
- Establishment of regular Zoonotic Disease/OH trainings, workshops, simulation exercises, or just in time trainings for joint investigation and response teams, producers, and other stakeholders

Education and Outreach Objectives:

- Conduct research with tangible, reportable results on OH issues or zoonotic diseases (existing or emerging) in animals. Include issues or diseases to be studied in the proposed activities section of the Work Plan
- Develop and execute public awareness campaigns to educate producers and consumers (e.g. the public, farmers, and animal owners) about the importance of the OH approach and the role they play in preventing and responding to emerging zoonotic diseases. Include approach to campaign and audience to be reached in the proposed activities section of the Work Plan
- Collaborate regularly with local or regional partners to offer specialized workshops and exchange programs to broaden expertise and perspectives in dealing with emerging zoonotic diseases. Include partners, vision of collaboration, frequency, and venue (virtual, in-person, hybrid) in the proposed activities section of the Work Plan
- Facilitation of regular cross-sector zoonotic disease or OH trainings/meetings/workshops to enhance understanding of zoonotic disease prevention, investigation, and response. Activities should develop and improve practical tools that facilitate engagement and communication creating a collaborative problem-solving approach among professionals from different sectors and/or disciplines. Include types of activities or events, frequency, and venue (virtual, in-person, hybrid) in the proposed activities section of the Work Plan
- Develop or provide cross-sector educational/outreach materials that enhance understanding of emerging zoonotic diseases or OH issues of concern. Material should engage and improve coordination between animal,

human, and environmental health agencies. Include agencies to contact, types of materials, and methods of delivery in the proposed activities section of the Work Plan

- Provide comprehensive training programs for field personnel focused on the principles of One Health and the latest techniques in disease surveillance, outbreak investigation, and response. Detail training methods (virtual, in-person, hybrid), frequency, and number of personnel to train in the proposed activities section of the Work Plan
- Collaborate regularly with local or regional partners to offer specialized workshops and exchange programs to broaden expertise and perspectives in dealing with emerging zoonotic diseases. Programs should enhance the capacity of field staff to recognize and report unusual disease patterns through training and ongoing support. Include partners, vision of collaboration, frequency, and venue (virtual, in-person, hybrid) in the proposed activities section of the Work Plan

Expected Outcomes:

- Implementation of education and outreach activities have improved cross-sector awareness of National priority and State specific Zoonotic Disease and OH issues; including prevention, investigation, and response activities
- Intrastate collaboration to develop/distribute National priority and State specific Zoonotic Disease and OH education and outreach activities, tools, and materials is occurring
- Education and outreach activities have improved understanding of National priority and State specific Zoonotic Diseases and OH issues among stakeholders, e.g., producers, youth in agriculture and the public

Reporting:

- Provide data and information on all activities carried out to fulfill the Zoonotic Disease and OH education and outreach objectives during the reporting period, using the One Health Work Plan and Report tab of the Workbook provided
    - Number and description of cross-sector Zoonotic Disease or OH trainings/meetings/workshops attended and/or provided, including target audience
    - Number and description of cross-sector Zoonotic Disease or OH educational/outreach materials developed and/or distributed, including target audience
    - Description of other activities, tools, and methods used to promote cross-sector communication and collaboration, including use of OH-SMART and any subsequent projects

Sheep, Goat, Cervid, and Equine (SGCE) Goals and Objectives

Sheep and Goat Scrapie Surveillance Goals

The overall goal of these objectives is to increase the effectiveness and efficiency of scrapie surveillance. Scrapie surveillance is to be conducted in compliance with the National Scrapie Surveillance Plan. Submit samples from scrapie suspects to NVSL; send all other samples to you assigned Contract laboratory. All payments for testing will be made through existing contracts with these laboratories, therefore, no payments for these tests will be made via Cooperative Agreements. All investigations of scrapie suspects must be recorded in the Scrapie National Database. This is an e-authentication password protected database. If a Recipient needs access, then they should contact the AVIC/PM for their State to request it. The National Scrapie Eradication Program (NSEP) website includes the monthly and annual reports which provide progress reports by State on meeting surveillance minimums. State personnel may also request access from the AVIC/PM for their State to the APHIS Sheep and Goat SharePoint site which includes a wide range of scrapie program information including more detailed surveillance reports and current and historical sheep and goat surveillance minimums for each State. Please see VSG 7207.1 for the steps VS would take when a State fails to meet its annual scrapie surveillance sampling minimums and how a State that doesn't meet its sampling minimums each fiscal year can avoid loss of their Scrapie Consistent State status. Please contact your State's Designated Scrapie Epidemiologist (DSE) or a Sheep and Goat Health Specialist for Epidemiology (SGHSE) at vs.sp.sheep.and.goat@usda.gov, if you have any questions.

NOTE: Sheep and goat eartags and implants cannot be purchased using Cooperative Agreement funds.

Objectives

- Investigate and sample scrapie suspect sheep and goats
- Collect all targeted animals at Regulatory Scrapie Slaughter Surveillance (RSSS) sites. Targeted animals include all sheep and goats from 18 months of age up to 72 months of age as evidenced by examination of the teeth, regardless of traceability, and any mature animal that dies prior to slaughter, or is condemned on ante-mortem inspections, is non-ambulatory, exhibits central nervous system sigs, or exhibits intense rubbing, abrasions, or rough, thickened, and/or hyperpigmented skin
- Maintain current and add new RSSS collection sites
- Increase scrapie surveillance of sheep and goats from higher risk and under-represented flocks or populations and higher risk animals such as mature found dead animals on farms or at livestock markets. For example, State employees could collect necropsy or live animal samples from these populations on-farm or at other sites such as livestock markets, dealers, or slaughter establishments before they are slaughtered. **NOTE**: Live animal testing must be approved by the SGHSE prior to contacting producers, however submission of necropsy samples does not require prior approval
- Conduct surveillance to meet or exceed the State-of-origin based surveillance annual sampling minimums for sheep and goats (sheep and goat minimums for FY 2024 will be posted on the APHIS Sheep and Goat SharePoint site). All States are encouraged to include activities addressing this element, particularly States that did not exceed their minimums for FY 2023. Examples of approved activities include paying personnel at slaughter plants, livestock markets, or other concentration points, and laboratories which conduct rabies testing on or necropsy sheep and goats to:
    - Remove and ship whole heads to the VS collection facility. Contact Remington.Locker@usda.gov for supplies and instructions. Alternatively, States may have the heads sent to an in-State centralized collection site, such as, a State Veterinary Medical Diagnostic Laboratory (VMDL) for tissue collection
    - Remove, chill, and store the whole head; VS or State employee collects tissues samples, either on-site or off-site, and submits samples for testing
    - Remove the heads and a VS or State employee collects samples on-site, ships tissues, and enters the submission information into the VSLS system
    - Collect and submit diagnostic tissues to an assigned laboratory and enter the submission into the VSLS system
    - Assist in collection of live-animal samples at markets and other concentration points

Other innovative surveillance methods may be discussed with and approved by the SGHSE, to include paying for necropsy testing of targets animals at diagnostic labs when suitable samples are submitted for scrapie testing.

Statement of Work (SOW) templates have been created for the bulleted scenarios above and are available on the external Sheep and Goat SharePoint site in the "QUICK FIELD RESOURCES" library or through your Program Manager. Note that a SOW template for laboratories to submit samples will also be made available when it is finalized.

Expected Outcomes

- Investigate and sample all scrapie suspect sheep and goats
- Collect targeted animals at RSSS sites
- Maintain current and add new RSSS collection sites
- Increase surveillance of mature sheep and goats found dead, and other higher risk sheep and goat populations
- Meet or exceed State-of-origin based surveillance sampling minimums for sheep and goats

Reporting

Reports are to be submitted to the AVIC/PM for the State involved on a quarterly basis and reviewed quarterly by the

Sheep/Goat Team. Sample charts are provided in Sheep/Goat RSSS and Non-RSSS Activities for the Reporting Period Template that may be used for this purpose. Add rows for any item not included in the template. **NOTE**: Since the total number of animals sampled and entered is recorded in VSLS we are only asking for the State contribution to be reported as part of the Cooperative Agreement Quarterly Report.

Sheep, Goat, Cervid, and Equine Health Education and Outreach Goals

Use education and outreach to increase:

- ID and recordkeeping compliance for sheep and goats
- Reporting and submission of species showing clinical signs of specified diseases (e.g., scrapie, chronic wasting disease (CWD)) and potential foreign or high impact emerging diseases in sheep, goats, cervids, or equines
- Submission of found dead mature sheep and goats for scrapie testing
- Producer awareness of how to use genotyping and other strategies to prevent scrapie introduction

Education and Outreach Performance

Describe in narrative, or table form, the SGCE specific education and outreach activities conducted and meetings attended during the reporting period that were supported by Cooperative Agreement dollars.

Information to include in the activity report:

- Audience, including type(s) and numbers of stakeholders reached; content of the educational materials; the method(s) used for outreach/education; and the outcomes. If there was a tangible product such as a brochure, newsletter, PowerPoint presentation, etc., provide a copy. If done at a meeting, also include the name of the meeting, organization holding the meeting, and where the meeting was held
- For meetings or trainings attended for purposes other than giving a presentation, list the name, organization providing the training or meeting, purpose of attending, who attended by name and job, where held, and outcome. If available, attach a copy of the agenda

Sheep, Goat, Cervid, and Equine Health Preparedness Goals

Detect and respond to occurrences of regulatory diseases, foreign animal diseases, or emerging diseases in sheep, goats, cervids, or equids.

NOTE: No official sheep and goat RFID or any other eartags or implants can be purchased with Cooperative Agreement funds unless approved by the National Scrapie Program Coordinator as part of the transition to RFID for sheep and goats.

Preparedness and Response Objectives

- Conduct epidemiologic investigations in accordance with animal health program regulations and program standards to include epidemiologic investigations for regulatory diseases such as brucellosis, pseudorabies, TB, or non-regulatory emerging diseases as requested by VS
- Conduct disease response activities such as clean-up, trace back investigations, post-exposure monitoring, testing, and disposal of high-risk animals/herds/flocks, as appropriate
- Increase the number of flocks listed in the Scrapie National Database and the percentage that use official ID
- Monitor for and enforce ID and recordkeeping compliance at concentration points. ID compliance activities are to be reported using the ID compliance spreadsheet that is part of the monthly Epidemiology and ID Compliance Report Workbook; an Excel copy may be requested from the AVIC/PM

Reporting and Expected Outcomes

- For investigations and other disease response activities, provide the disease of interest and the activity performed. This may be done utilizing a spreadsheet or chart listing the activities as rows and the disease for which the activity was conducted in columns and filling in the number performed as shown below:

Field Activities for the reporting period	Scrapie	Cervid TB	Cervid Brucellosis	Etc. – add more columns as needed

- For sheep/goat ID compliance activity, provide the State inspection data needed to complete the ID compliance section of the monthly Epidemiology and ID Compliance Report. Please contact the AVIC/PM for additional information

Swine Goals and Objectives

Swine Surveillance Goals

1. Conduct active surveillance, eradication, and disease prevention programs of swine including but not limited to activities included under comprehensive and integrated surveillance in swine. These activities currently include surveillance for classical swine fever (CSF), African swine fever (ASF), swine brucellosis (SB), pseudorabies virus (PRV), and influenza A Virus in swine. Additional disease surveillance may be added, as necessary, to meet swine health goals.
2. Perform Swine Health Protection (SHP) activities as required by State and Federal regulations for disease prevention including active searches for illegal feeding of garbage as defined in 9 CFR 166 and submission of monthly SHP activity reports.
3. Submission of annual swine activities report, search for ethnic undocumented swine production, training and response for swine FAD activities, monitor markets and other regulated entities for ID and premises reporting, advance relationships with producers, swine veterinarians, swine labs, and associated industry.
4. **NOTE**: States may not utilize swine health funds for the purchase of laboratory equipment.
5. **Reporting and expected outcomes:**
    a. Enter data collected for various swine program and surveillance activities into the appropriate data repository as specified in this State-Federal Cooperative Agreement. This includes using SCS CoreOne (PRV/SB routine surveillance), Comprehensive Lab Submission Module (CLSM) or MiCo (for active ASF/CSF surveillance) or equivalent system for routing surveillance sample information, EMRS2 for recording information related to the investigation of non-negative PRV and SB cases, and EMRS2 for traces out of positive herds or FAD investigations and responses.
    b. Conduct investigations to follow-up on laboratory tests that are positive for program diseases and investigate reports of clinical signs that are consistent with FADs; Outcomes and approaches to investigations are entered into EMRS2 per instructions from staff.
    c. Supply Monthly SHP summary data to VS for entry into EMRS.

Measurable Outcomes for States that allow garbage feeding:

- Number of licenses issued or re-issued
- Number of inspections of garbage feeding facilities
- Number of temperature checks of garbage cooking equipment
- Number of searches undertaken for illegal garbage feeding

- Number of investigations undertaken and resolution of all cases

Measurable Outcomes for States that prohibit garbage feeding:

- Number of searches undertaken for illegal garbage feeding
- Number of investigations undertaken and resolution of all cases

d. Complete monthly NAHRS reporting through the NLRAD-NAHRS Web Reporting System. NAHRS reporting reflects a broad range of animal disease surveillance activities in the United States (FADs, endemic, and zoonotic diseases).
e. Submit annually the Application for Renewal of PRV Stage V (Free) Status.
f. Submit triennially the Application for Validation of a Brucellosis Free Area.

Higher Risk Surveillance-Based Alternative Sampling (SBAS) PRV-SB

Assess within State industry structure and develop relationships with high-risk outdoor production operations and their processors to develop sample collection protocols for PRV-SB serology testing of at-risk herds. Work outlined can be done by Cooperative Agreement or through the use of VS District personnel. Contact VS Swine Health Program staff at VS.SP.ASEP.Swine@usda.gov with any questions.

1. Perform high risk swine surveillance activities for PRV and SB. PRV and SB **high risk** surveillance targets for all States are listed below in a table format. High risk samples are samples collected from any swine raised outdoors or with access to outdoors, swine that originate from herds where management practices allow for direct or indirect feral swine contact, or swine housed on operations that may procure swine from other high-risk herds. These samples are directed towards meeting the surveillance objective of early detection. **NOTE**: Targets for commercial sow samples from the 29 largest swine States are set nationally and monitored by staff and the Kentucky Federal Brucellosis Laboratory (KYFBL) personnel. Most samples are collected by VS contracts at selected larger sow slaughter facilities and tested at the KYFBL.
2. Shipping costs to the KYFBL, along with PRV and SB testing costs, are covered elsewhere and are not to be included in the funding request. **Ensure all high-risk samples collected are shipped with the code SBAS on the pre-paid shipping label and SBAS on the proper submission forms.** The KYFBL personnel will recognize and not discard SBAS-coded samples and will enter test results in SCS CoreOne for access.
3. States currently testing high risk swine for PRV and SB at their own expense, and wish to continue, may do so with any non-negative samples forwarded to NVSL for confirmation. Contact VS Swine Health Program staff regarding alternatives for reporting negative results to document activities.
4. Utilize VS Form 4-54 Brucellosis Market Test form to collect sample information for submission to KY lab indicating these samples are from a SBAS source on the form. Include summaries of this activity in quarterly and annual performance reports.
5. If States anticipate difficulty meeting their slaughter surveillance targets, Umbrella Cooperative Agreement funds may be used for collection of high-risk samples with VS District staff and VS Swine Health Program staff approval. States may not utilize Federal funds for PRV/SB collection or testing of feral swine. If States believe that the demographics of their high risk swine populations have changed, they may contact the Swine Health Team to discuss these updates further.

State	SBAS Target	State	SBAS Target
Alabama	50	Montana	50
Alaska	30	Nebraska	100
Arizona	50	Nevada	30
Arkansas	500	New Hampshire	100
California	300	New Jersey	100
Colorado	100	New Mexico	50
Connecticut	100	New York	100
Delaware	50	North Carolina	1,000

State	SBAS Target	State	SBAS Target
Florida	200	North Dakota	50
Georgia	200	Ohio	400
Hawaii	400	Oklahoma	500
Idaho	75	Oregon	100
Illinois	50	Pennsylvania	500
Indiana	250	Rhode Island	50
Iowa	200	South Carolina	50
Kansas	400	South Dakota	50
Kentucky	200	Tennessee	100
Louisiana	200	Texas	2,500
Maine	100	Utah	50
Maryland	100	Vermont	100
Massachusetts	100	Virginia	200
Michigan	300	Washington	75
Minnesota	100	West Virginia	100
Mississippi	200	Wisconsin	50
Missouri	500	Wyoming	50

Higher Risk ASF-CSF Sampling

1. Identify and sample from higher risk markets, aggregation points, and slaughter establishments based on condemnation reasons suggestive of a hemorrhagic disease. Place the highest priority for sampling within this program upon the highest risk samples as determined by a local risk evaluation.
2. Assess animal ID compliance related to samples collected for ASF-CSF market surveillance.
3. Utilize CLSM or MiCo to collect sample information for submission to assigned NAHLN labs.
4. ASF whole blood/CSF serum and ASF/CSF tissue surveillance targets for States are listed below in a table format. For States not listed, please contact VS Swine Health Program staff at VS.SP.ASEP.Swine@usda.gov for guidance in determining eligibility for sampling under the Umbrella Cooperative Agreement.
5. For specifics on the ASF/CSF Surveillance Program objectives, methods, reporting requirements, and communications, see the Swine Hemorrhagic Fevers Surveillance Manual.
6. ASF whole blood/CSF serum samples from high-risk pigs (i.e., garbage feeders) are to be sent to Foreign Animal Disease Diagnostic Laboratory (FADDL). ASF/CSF tissue samples are to be sent to a NAHLN lab designated to receive samples. Please contact VS Swine Health Program staff prior to collecting samples to determine which NAHLN lab will receive your samples. **NOTE**: “SLA” in the table below refers to slaughter samples from high-risk facilities.

State	ASF Whole Blood/CSF Serum	Premise Type
AR	75	Garbage feeder
FL	1300	Transitional on-farm/SLA
FL	205	Garbage feeder
GA, LA, NJ, and NY	25	Garbage feeder
HI	390	Garbage feeder
MA	40	Garbage feeder
NC	100	Garbage feeder
PR	1085	Garbage feeder
TX	2900	Transitional on-farm/SLA
** AK, CA, CT, ME, NH, NM, NV, PA, RI, and WV**	5-10 per garbage feeder	Garbage feeder

State	ASF/CSF Tissue	Premise Type
CA	350 (50 from small plants)	SLA higher risk market swine
HI	50	SLA higher risk market swine
IA	1250	SLA higher risk market swine
IL	400	SLA higher risk market swine
IN	400	SLA higher risk market swine
KS	150	SLA higher risk market swine
MN	500	SLA higher risk market swine
MO	200	SLA higher risk market swine
NC	500	SLA higher risk market swine
NE	200	SLA higher risk market swine
OH	200	SLA higher risk market swine
OK	200	SLA higher risk market swine
PA	100	SLA higher risk market swine
SD	100	SLA higher risk market swine
TX	230	SLA higher risk market swine
WI	100	SLA higher risk market swine

Garbage Feeding Inspections (For States in which Garbage Feeding is Legally Allowed)

1. The Swine Health Protection Act (SHPA) – 9 CFR Part 166.5 provides the standards for licensed garbage-treatment facilities. On-farm inspections of the garbage cooking and feeding process are used to carefully monitor garbage treatment and feeding facilities to ensure requirements are met.
2. SHPA funds are to be used for inspections and investigations that involve enforcement of the Act. Funds are not to be used for routine low risk checking of garbage sources where there is no indication of any violation of the Act. Funds can be used to conduct searches at locations where there is risk of introduction of foreign animal disease (e.g., ethnic restaurants, buffets, urban environments where there is potential for travelers to bring in foreign meat products).
3. Guidelines for States that allow feeding of garbage as defined in 9 CFR 166:
    a. Apply license procedures to all facilities that feed garbage to swine.
    b. Inspect all licensed garbage feeding facilities every 90 days, at a minimum.
    c. Investigate and resolve all reports of illegal garbage feeding in swine.
4. Guidelines for States where swine garbage (as defined in 9 CFR 166) feeding is banned:
    a. Investigate and resolve all reports of illegal garbage feeding in swine.
5. Sample pigs, as appropriate, for ASF/CSF (spleen or tonsil samples on dead garbage-fed hogs), PRV-SB (using SBAS testing at the KYFBL), including solicitation of calls reporting mortality events in garbage fed herds.
6. Utilize CLSM or MiCo for data collection related to ASF/CSF surveillance samples.

Preparedness and Response Objectives

1. Prepare, maintain, and exercise State-level plans, standard operating procedures, response templates, and guidance documents for responding to endemic, foreign, zoonotic, and emerging disease or re-emerging disease events impacting animal agriculture. Ensure that these plans are consistent with National plans developed by VS.
2. Conduct epidemiologic investigations in accordance with animal health program regulations and program standards. Including epidemiologic investigations for regulatory diseases such as ASF/CSF, brucellosis, pseudorabies, TB, or non-regulatory emerging diseases as requested by VS.

3. Conduct disease response activities such as herd clean-up, trace back/forward investigations, testing, and disposal of high-risk animals/herds, as appropriate.

Education and Outreach Goals

Describe in narrative, or table form, the swine specific education and outreach activities conducted, and meetings attended, during the reporting period that were supported by Cooperative Agreement dollars. Outreach activities associated with the U.S. SHIP Program are not eligible for funding through the Umbrella Cooperative Agreement process.

Information to include in the activity report:

1. Audience, including type(s) and numbers of stakeholders reached; content of the educational materials; the method(s) used for outreach/education; and the outcomes. If there was a tangible product such as a brochure, newsletter, PowerPoint presentation, etc. provide a copy. If done at a meeting, also include the name of the meeting, organization holding the meeting, and where the meeting was held.
2. For meetings or trainings attended for purposes other than giving a presentation, list the name, organization providing the training or meeting, purpose of attending, who attended by name and job, where held, and outcome. If available, attach a copy of the agenda.

Outreach for FMD-SVA FAD Investigations at High Incidence Slaughter Facilities: Develop collaborative relationships and sampling protocols in slaughter facilities exhibiting high rates of FSIS-reported vesicular cases.

1. Use program flexibility for submitting official testing at local NAHLN labs to establish negative results without 100 percent shipment to FADDL for testing.
2. Assist plants and shippers in modifying protocols to reduce the incidence of vesicular lesions in slaughter facilities.

SECTION 3: WORKBOOK DEVELOPMENT

The completion of the Microsoft Excel Cooperative Agreement Workbook templates is the preferred method for satisfying Work Plan, Financial Plan, and reporting requirements. The Workbook must clarify how Federal financial assistance will enable the Recipient and FiOps to accomplish Cooperative Agreement goals and outline any subaward activities. The ADT Workbook is one file in comparison to the Umbrella Workbook which is separated into two. If the suggested Workbook is not used, refer to Appendix 5 regarding the minimum requirements for the Work Plan and Appendix 6 for Financial Plan requirements.

The Workbook must be approved by the AVIC/PM prior to submitting an application for Federal funding in eFG.

ADT Workbook

The ADT Workbook includes the following tabs: Cover Page, Work Plan and Accomplishments, Financial Plan, four Quarterly Reports, Software Enhancement Form, and Program Manager Checklist.

ADT Workbook Template

Refer to Appendix 7 for an example of a completed ADT Financial Plan.

Quarterly Reporting Tabs

In addition to the narrative accomplishments provided on the Work Plan and Accomplishments tab, the Quarterly Reporting tabs should be used for reporting:

- Outreach activities
- The number and type of official identification devices distributed and/or applied
- The number of paper or electronic ICVIs issued per species covered under ADT, the number of Category II accredited veterinarians using eCVIs, and a listing of the eCVI applications utilized by accredited veterinarians within the State

Software Enhancement Form Tab

When requesting the use of ADT Cooperative Agreement funds for software enhancements to existing ADT systems, the Software Enhancement Form tab must be completed and signed. We will accept an electronic signature on this form.

Refer to Appendix 9 for instructions on signing the Software Enhancement Form.

Program Manager Checklist Tab

The Program Manager Checklist is an internal VS document that is completed by the AVIC/PM to confirm that ADT Cooperative Agreement criteria have been appropriately addressed in the Work Plan by the Recipient. This Checklist is a useful tool to review when developing your Work Plan.

Umbrella Workbook

The Umbrella Workbook is comprised of the Umbrella Work Plan and Accomplishments Report Microsoft Excel file and the Umbrella Financial Plan Microsoft Excel file. The Umbrella Work Plan and Accomplishments Report includes the following tabs: Cover Page, Avian, Cattle, One Health, SGCE, and Swine. The Umbrella Financial Plan includes the following tabs: Avian, Cattle, One Health, SGCE, Swine, and Combined.

Umbrella Work Plan and Accomplishments Report Template
Umbrella Financial Plan Template

On the Cover Page tab, all Umbrella Work Plans **must** include a funding chart broken out in US dollars by the estimated amounts to fund each Program's activities. A sample chart is below. The funding in this chart must match the amounts FiOps provides to you based on negotiations when FiOps submitted their spending plan (summer of the previous year). If you need to adjust your funding amounts, please submit a detailed request that includes the amounts that need to shift between the Programs and an explanation. We have developed the Funding Modification Request Form that may be used to submit this information. These requests will be evaluated on a case-by-case basis and approval is not guaranteed. Any funding adjustments need to be made prior to submission of your Workbook. **Once the Workbook is approved and the Cooperative Agreement is awarded, shifting of any amount between Programs is not authorized**.

	AVIAN	CATTLE	ONE HEALTH	SGCE	SWINE	TOTAL
DIRECT	$	$	$	$	$	$
INDIRECT	$	$	$	$	$	$
TOTAL	$	$	$	$	$	$

New this year, the Umbrella Financial Plan Template includes five separate Financial Plans; one for each Program. Each Financial Plan should be completed with the costs pertinent to the scope and objectives for the respective Program. On the Avian Financial Plan specifically, please list personnel and mileage for each of the six objectives separately and specify if supplies are for surveillance, response, or support. The Combined Financial Plan will automatically populate based on the information provided in the individual Financial Plans. If you need more lines than those that have been provided, then please contact the AVIC/PM.

Refer to Appendix 8 for an example of a completed Umbrella Financial Plan.

General Workbook Guidance

Work Plan and Accomplishments

The Work Plan and Accomplishments tabs include:

- Metric driven goals and objectives
- Proposed activities
- Quarterly accomplishments

Each Work Plan tab lists Program goals. If funding for a goal is not requested, then indicate "Not Applicable or N/A" under column C, Proposed Activity. Alternatively, if a goal is not listed, please contact the AVIC/PM to discuss adding new goals/objectives. New goals and objectives can be added to the bottom of the appropriate Program Work Plan tab.

This template can be used to submit accomplishments for the Quarterly Performance Reports. For additional information regarding how this template is used for reporting, see Section 4, Performance Reporting.

Financial Plan

The Financial Plan estimates the financial resources required to carry out the project. In developing the Financial Plan, please refer to Section 1, Cost Guidance. The amounts on the Financial Plan must match the cost categories and totals shown on the SF-424A that the Recipient will complete as part of the application in eFG.

Please note there are red arrows within the Financial Plan that link to comments which provide additional information and instructions on how to complete the form.

Refer to Appendix 6 for guidance on listing costs on the Financial Plan.

Refer to Appendix 7 for an example of a completed ADT Financial Plan and Appendix 8 for an example of a completed Umbrella Financial Plan.

SECTION 4: APPLICATION PROCESS

Once the Workbook has been approved, the Recipient will be notified via email. This email will include an Opportunity Number which will be used to search and apply to the specified Cooperative Agreement Opportunity. Refer to the Job Aid, Applying to Opportunities in ezFedGrants, for detailed instructions on this process.

Please include the following items in your eFG application packet:

1. SF-424 Application for Federal Assistance (completed during the application process in eFG)
2. SF-424A Budget Information – Non Construction Programs (completed during the application process in eFG)
3. Certification Regarding Lobbying (for Cooperative Agreements exceeding $100,000)
4. SF-LLL, Disclosures of Lobbying Activities (for Cooperative Agreements exceeding $100,000 and there are activities to disclose)
5. Negotiated Indirect Cost Rate Agreement (signed Agreement is required when the Recipient is assessing indirect costs to the project)
6. Copy of State's Intergovernmental Review Single Point of Contact's (SPOC) letter per Executive Order 12372 (if applicable)
7. Pre-Award Letter Request (when costs will be incurred prior to finalization of the Cooperative Agreement)

Additional details regarding these items can be found in Appendix 10.

Forms attached to the application packet in eFG must be physically or electronically signed. Typed signatures will not be accepted. In addition, please complete the Representations and Certifications (financial portion) in SAM when renewing the yearly registration.

Draft applications that have not yet been submitted can be edited, by the application creator and any Grants Administrative Officers (GAOs) in the same organization, when accessed through the Actionable Items section of the eFG Home page. Please edit draft applications, rather than creating new applications. Contact your Cooperative Agreement Administrative Officer (CA AO) or FiOps Grants Specialist for issues or questions regarding the application process.

SECTION 5: POST-AWARD

Claims

Claims are submitted and processed through eFG to receive reimbursement for allowable, reasonable, and allocable costs. Claims should be broken down by cost category using the "Requested Amounts by Cost Element" section or included as an attachment. Claims may be withheld for non-compliance with Cooperative Agreement conditions or Federal reporting requirements. Reference 2 CFR Part 200.305. Reimbursement claims should be submitted quarterly, and advanced request claims should be submitted monthly. An advanced request claim will not be accepted for the final claim. Once approved, payment for the claim should be issued within 7 business days.

Each claim submitted for an Umbrella Cooperative Agreement is required to be broken down by Program as well as direct and indirect costs and cannot exceed the approved funding amount for each Program. Uploading a completed chart, like the example chart provided below, to the Attachments tab of your claim in eFG will satisfy this requirement. If you do not wish to use this chart, you will need to attach fillable SF-270 form(s), available on Grants.gov, completed by Program, using the vertical columns on the form (you may need to click on the link, download the file, and open the document from your computer to view it), with your overall claim in eFG. This approach may require you to submit more than one SF-270 form with your claim. Shifting expenses of any amount between Programs is not authorized. Failure to submit a breakdown with your claim may result in delay of payment and does not comply with the Cooperative Agreement terms and conditions.

	AVIAN	CATTLE	ONE HEALTH	SGCE	SWINE	TOTAL
DIRECT	$	$	$	$	$	$
INDIRECT	$	$	$	$	$	$
TOTAL	$	$	$	$	$	$

Claims cannot be processed in eFG if there are any past due reports associated with the Cooperative Agreement and only one claim can be submitted and processed at a time, otherwise the claim will be marked ineligible. Refer to the Job Aid, ezFedGrants Reimbursement Claim Submission, for detailed instructions on this process.

Reporting

Performance and Financial Reports are submitted through eFG in accordance with the frequency outlined in the Award Face Sheet.

- The report template becomes available for submission in eFG on the last day of the reporting period
- Reports are named according to calendar year quarter (not the Cooperative Agreement quarter)
- Interim Reports are due 30 days after the report is generated

- Final reports are due no later than 120 days following the expiration or termination of the Cooperative Agreement

If the Report deadline will not be met, then submit a written request for an extension to the AVIC/PM before the report deadline. Claims cannot be processed in eFG if there are any past due reports associated with the Cooperative Agreement, even if an extension has been granted.

Refer to the Job Aid, Submit Financial or Performance Reports in ezFedGrants, for detailed instructions on this process.

Reports are accessible to all users within the same organization. Upon generating, reports go into a common Actionable Items list where they are visible to anyone from the organization to open, complete, and submit the report. If a user accesses a report from the common Actionable Items list, then the report will be automatically placed in that user's personal Actionable Items list, and it will not be accessible to others in the organization. If a report hasn't been submitted by 2am eastern time the following day, then it will automatically be returned to the common Actionable Items list and will again be accessible to others in the organization.

Financial Reporting

The Recipient must maintain complete, accurate, and current records which disclose the Federal and non-Federal funds of each VS-sponsored project or program. The Federal Financial Report, SF-425, is cumulative and used to report the funding status for all non-construction Federal financial assistance awards.

There are two types of accounting (block 7 of the SF-424):

1. Cash Basis: expenses are not recorded until payment is received (revenue)
2. Accrual Basis: expenses are recorded when they are incurred regardless of having received the payment to cover the expense

If Cash Basis accounting is used, then the amount in block 10 (c), Cash on Hand, should be $0.00 as funds should not have been drawdown for an amount greater than what was expended. If line (c) is greater than $0.00, an explanation must be provided in Block 12.

If Accrual Basis accounting is used, then block 10 (c), Cash on Hand, will usually be a negative number representing the amount of money owed to recipient (funds expended but not yet reimbursed).

If the Agreement has cost share, then Section 10.i – k on the Federal Financial Report must be completed for the cost share amount contributed during the reporting period.

If there are indirect costs claimed on the Cooperative Agreement, then Section 11 must be completed. If a new rate has been negotiated during the period of report, then attach a copy of the new signed Negotiated Indirect Cost Rate Agreement (NICRA) to the report. A revised rate can only be honored once a copy of the new NICRA is provided.

On the **Final** Federal Financial Report:

- An amount should not be listed under Section 10.f, Unliquidated Obligation (Federal Share)
- If an amount is listed under Section 10.h, Unobligated balance of Federal Funds, this amount will be deobligated in the close out process
- If a cost share was established in the negotiated Financial Plan, the Final Federal Financial Report, Section 10.i – k. should reflect contributions to meet this cost share. If the cost share was not met, then any savings on the project should be shared between the Recipient and VS according to the percentages established at the implementation of the Cooperative Agreement

Refer to Appendix 1 for a list of definitions.

Performance Reporting

Performance Reports outline the accomplishments that have been achieved by the Recipient to meet the proposed Work Plan goals and objectives.

It is recommended that in the performance narrative section, Section 10 of the eFG generated report, state "See Attached" and upload your Umbrella Work Plan and Accomplishments Report or ADT Workbook to the Attachments tab.

All Performance Reports can be submitted using the Umbrella Work Plan and Accomplishments Report or ADT Workbook. The Umbrella Work Plan and Accomplishments Report and the ADT Workbook have been designed as a "living" document. Once you have developed your Umbrella Work Plan and Accomplishments Report or ADT Workbook, accomplishment data should be added quarterly. Prior quarterly data remains in the Umbrella Work Plan and Accomplishments Report or ADT Workbook. This approach assists in tracking progress on the proposed activities throughout the Cooperative Agreement cycle. The SGCE Program requires additional reporting on RSSS and non-RSSS activities. The Avian Program requires Avian testing to be reported using the DIS system. The SGCE Program's reporting template and the DIS User Guide can be found in Appendix 11.

If testing is conducted on your Cooperative Agreement, then include the number of tests performed in your quarterly Performance Report.

Property/Equipment Reporting

Recipients are required to maintain an inventory log and conduct a physical inventory every two years for property and equipment purchased with VS Cooperative Agreement funds. Currently, there is no OMB approved Inventory Report for use. Please use the Inventory Log spreadsheet until an official Inventory Report is posted to the OMB website.

Recipients who have purchased equipment with prior year Agreement funds and no longer need the equipment should first determine if the property is still considered equipment, meaning it has a per unit fair market value of $5,000 or more and a useful life of a year or more. If the property is no longer considered equipment, the Recipient can dispose of it as they see fit. If the property is still considered equipment, then they should reach out to the AVIC/PM for guidance. The AVIC/PM may advise the Recipient to transfer the equipment to VS or dispose, donate, or sell the equipment. If the equipment is sold, then FiOps should be reimbursed at the same cost share ratio for which the equipment was originally purchased. For additional information, please reference 2 CFR Part 200.313(e) and the General Terms and Conditions for APHIS Cooperative Agreements Grants.

Amendments

Per 2 CFR Part 200.308, Recipients are required to report deviations from budget, project scope, or objective. Amendments and/or deviations to the Cooperative Agreement must be requested in writing, in advance of the change occurring and before the expiration of the Cooperative Agreement. A minimum of 30-day notice is recommended. An amendment is required when any of the following occur:

- Changes in scope
    - Changes in scope cannot be approved after September 30 due to Federal Appropriation limitations
- Extension requests
    - Written justification, including why approved goals and objectives were not met during the original performance period, and a revised SF-424 must be received 10 days prior to the expiration of the Cooperative Agreement
    - Only one extension can be granted for up to 12 months
    - An extension will not be approved solely to liquidate unobligated funds

- Budget shifts, as detailed below
- Increases or decreases to the Cooperative Agreement amount and/or cost share
- Changes or disengagement of key personnel for more than three months or 25 percent of the Cooperative Agreement period
- Inclusion of costs that require prior written approval in accordance with 2 CFR Part 200.407
- Transfer of funds budgeted for participant support costs as defined in 2 CFR Part 200.1
- Subawarding, transferring or contracting out of any work, not including acquisition of supplies, materials, equipment, or general support services, not already approved in the initial Cooperative Agreement negotiations

Budget Shifts

Recipients should request budget shifts in writing via email or memo to the AVIC/PM for review. Budget shifts between cost categories that exceed 10 percent or any shift between Programs on the Umbrella Cooperative Agreement must have approval prior to any actual budget changes. The request should include the following information:

- Amount requesting to shift
- Cost categories and/or Programs affected
- Justification
- Confirmation original objectives have or will be met
- Applicable scope changes (Scope changes cannot occur after September 30)

If the Cooperative Agreement is over the Simplified Acquisition Threshold ($250,000) and there is a cumulative shift of more than 10 percent amongst direct cost categories, then the Recipient must submit a revised Financial Plan and SF-424A in addition to the justification per the General Terms and Conditions for APHIS Cooperative Agreements Grants. AVIC/PM, FiOps SO, and Program approvals are required for these shifts and for Program shifts of any amount.

All requested shifts must be received by FiOps no later than 30 days prior to the expiration of the Cooperative Agreement. FiOps will inform the Recipient in writing if the shift is allowable.

Shifting of any amount between Programs is not authorized.

FiOps may not approve budget changes to allow purchase of general purpose equipment in the last quarter of the performance period if it appears the modification is being made for the purpose of using unobligated funds.

SECTION 6: CLOSEOUT

The eFG system notifies the Recipient at least 30 days prior to expiration of the Cooperative Agreement. Within 120 days of the expiration of the Cooperative Agreement, the Recipient must pay all obligations and have submitted the following in eFG:

- All Quarterly Reports (Performance and Financial)
- Final Claim
- Any other products specified in the Terms and Conditions of the Cooperative Agreement or approved Workbook

Upon receipt of all reports and claims, FiOps will close the Cooperative Agreement.

If an amount is listed on the Final Financial Report under Section 10.h, Unobligated balance of Federal Funds and:

- The Recipient requests funding on a reimbursable basis, then the remaining balance will be deobligated based on APHIS Policy
- The Recipient requests funds in advance, then the Recipient will be required to return the unused funds in a check referencing the Cooperative Agreement number. Additional instructions will be provided as applicable

Deobligated or returned amounts may impact future Cooperative Agreement amounts.

All Cooperative Agreements are subject to an internal audit and may be selected for review by the APHIS Review and Analysis Branch (RAB). The APHIS Administrative and Financial Review Questionnaire for Cooperative Agreements is an example of the type of information that may be requested.

Refer to Appendix 1 for a list of definitions.

SECTION 7: RECORDS MANAGEMENT

In accordance with the requirements set forth in the 2 CFR Part 200.334, the Recipient must retain all financial records, supporting documents, statistical records, and all other records pertinent to the Cooperative Agreement for at least three years from the date of submission of the Final Federal Financial Report. When a Cooperative Agreement is under an audit or compliance review, **records must be retained for three years after all issues are resolved.** Retention is required for purposes of Federal examination and audit.

APHIS may request that the Recipient transfer records to its custody when there is long-term retention value. When the records are transferred to or maintained by APHIS, the three-year retention requirement does not apply to the Recipient.

Appendix 1: Definitions

The 2 CFR Part 200, Subpart A includes a comprehensive list of definitions. Below are some common definitions along with definitions for some terms that are not listed in the 2 CFR Part 200, Subpart A.

1. Allowable costs: costs that are reasonable, allocable, and necessary to the project and comply with funding statute requirements.

2. Cooperative Agreement: a legal instrument of financial assistance between a Federal awarding agency and a Recipient or a pass-through entity and a subrecipient; the Federal awarding agency does provide substantial involvement.

3. Cost Sharing or Matching: means the portion of the project costs not paid by Federal funds or contributions (unless otherwise authorized by Federal statute). See also 2 CFR Part 200.306.

4. Disallowed costs: those charges to a Federal award that the Federal awarding agency or pass-through entity determines to be unallowable, in accordance with the applicable Federal statutes, regulations, or the terms and conditions of the Federal award.

5. Equipment: tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or $5,000.

6. Grant Agreement: a legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity; the Federal awarding agency does not provide substantial involvement.

7. Information technology systems: computing devices, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources.

8. Non-Federal entity: a State, local government, Indian tribe, institution of higher education (IHE), or nonprofit organization that carries out a Federal award as a Recipient or Subrecipient.

9. Recipient: an entity, usually but not limited to non-Federal entities, that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The term Recipient does not include Subrecipients.

10. Research: a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. It is not the intent or purpose of this funding for any VS Cooperative Agreement to support research.

11. Restricted costs: a mixture of allowable and unallowable costs and/or requires Federal awarding agency approval.

12. Subaward: an award provided by a pass-through entity to a Subrecipient for the Subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

13. Subrecipient: an entity, usually but not limited to non-Federal entities, that receives a subaward from a pass-through entity to carry out part of a Federal award; but does not include an individual that is a beneficiary of such award. A Subrecipient may also be a Recipient of other Federal awards directly from a Federal awarding agency.

14. Substantial involvement: when the Federal awarding agency provides collaboration, participation, or intervention. The Federal awarding agency is substantially involved when it acts as a partner with the Recipient.

15. Unliquidated financial obligations: for financial reports prepared on a cash basis, financial obligations incurred by the non-Federal entity that have not been paid (liquidated). For reports prepared on an accrual expenditure basis, these are financial obligations incurred by the non-Federal entity for which an expenditure has not been recorded.

16. Unobligated balance: the amount of funds under a Federal award that the non-Federal entity has not obligated. The amount is computed by subtracting the cumulative amount of the non-Federal entity's unliquidated financial obligations and expenditures of funds under the Federal award from the cumulative amount of the funds that the Federal awarding agency or pass-through entity authorized the non-Federal entity to obligate.

Appendix 2: References

Recipients are reminded to review the following regulations and ensure that Grant/Cooperative Agreement activities are conducted in accordance with the applicable guidance:

Reference Number/Link	Name of Reference
Executive Order 12372	Intergovernmental review of Federal programs
Executive Order 12549	Debarment and suspension
OMB Circular A-129	Policies for Federal Credit Programs and Non-Tax Receivables
M-21-20	Promoting Public Trust in the Federal Government through Effective Implementation of the American Rescue Plan Act and Stewardship of the Taxpayer Resources
7 U.S.C. 2279	Outreach and assistance for socially disadvantaged farmers and ranchers
18 U.S.C 287	The False Claims Act - False, fictitious, or fraudulent claims
18 U.S.C. 1001	The False Claims Act - Statements or entries generally
31 U.S.C. 63	Using Procurement Contracts and Grants and Cooperative Agreements
31 U.S.C. 1352	Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions
41 U.S.C. 83	Buy American Act
Public Law 91-190	National Environmental Policy Act of 1969 (NEPA)
Public Law 109-282	Federal Funding Accountability and Transparency Act of 2006 (FFATA) (31 USC 6101)
Public Law 101-453	The Cash Management Improvement Act of 1990 (31 USC 6501)
Public Law 110-246	Food, Conservation, and Energy Act of 2008 (7 USC 8701)
2 CFR	Grants and Agreements
2 CFR Part 25	Universal Identifier and System for Award Management
2 CFR Part 170	Reporting Subaward and Executive Compensation Information
2 CFR Part 170.320	Federal financial assistance subject to the Transparency Act
2 CFR Part 180	OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Non-procurement)
2 CFR Part 200	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
2 CFR Part 200.500	Audit Requirements
2 CFR Part 400	Federal Agency Regulations for Grants and Agreements – Department of Agriculture
2 CFR Part 417	Nonprocurement Debarment and Suspension
5 CFR Part 1320	Controlling Paperwork Burdens on the Public
7 CFR	Agriculture
7 CFR Part 2.80	Delegation of Authority for Animal Plant Health Inspection Service (APHIS)
7 CFR Part 371.4	Authorities for Veterinary Services
9 CFR	Animals and Animal Products
31 CFR Part 205	Rules and Procedures for Efficient Federal-State Funds Transfers
48 CFR Subpart 9.4	Federal Acquisition Regulation (FAR) – Debarment, Suspension, and Ineligibility
APHIS Directive 2280.1, 6/20/14	Suspension and Debarment
APHIS Directive 3220.1, dated 2/4/13	APHIS Information Technology (IT) Acquisition Approval Request (AAR) Requirements
Departmental Regulation (DR) 1700-2	OIG Organization and Procedures, dated 6/17/97
Departmental Regulation (DR) 2280-001	Suspension and Debarment, dated 9/7/22

Appendix 3: Applicant Eligibility Requirements

This appendix includes additional details regarding the applicant eligibility requirements.

1. **SAM** registration must take place online at the SAM website: https://www.sam.gov. A UEI number will be assigned during SAM registration. You will also need to complete the Representations and Certifications in SAM. Please check "Yes" to the Federal Assistance questions. There is a help guide at https://www.fsd.gov/sys_attachment.do?sys_id=9ae9e2161ba17810070f202ce54bcb02 to assist you with completing the Representations and Certifications. Frequently Asked Questions, User Guides, Demonstration Videos, etc., can be found at the SAM website, under the "Help" tab. **Registration is free. Please allow sufficient time for the registration process.**

2. Recipients must use the eFG system to apply for a Cooperative Agreement with FiOps which requires **Level 2 Access**. Recipients new to eFG should review the Job Aids located in the Job Aid Library Section of the NFC eFG Recipient Landing Page.

The eFG system requires each Recipient to have a minimum of at least one Grants Administrative Officer (GAO) and one Signatory Official (SO). It is best practice to have at least one back up in each role in order to keep items, such as claims or amendments, moving through the system.

Below is a chart showing the various roles a Recipient can designate and the actions they can take in the system.

ezFedGrants Role	Role Functions
Grants Processor	• Prepare and submit Financial and Performance Reports • Create and Edit Applications and Claims • Search and View Opportunities, Applications, Claims, Reports, and Amendments • Be designated as a Certifying Official (secondary role)
Grants Administrative Official (GAO)	• Grants Processor functions, PLUS • Approve access requests, change user roles, and deactivate user access • Reassign draft or returned Applications, Claims, and Reports • Generate work item and user administration reports
Signatory Official (SO)	• Prepare and submit Financial and Performance Reports • Search and View Opportunities, Applications, Claims, Reports, and Amendments • Review and digitally sign Applications, Agreements, and Amendments • Be designated as a Certifying Official (secondary role)

Appendix 4: Quick Reference of Common Cost Types

2 CFR – Subpart E – Cost Principles General Provisions for Selected Items of Cost

Type of Cost	2 CFR Part	Classification of Costs
Advertising and public relations costs	200.421	Restricted – refer to CFR
Advisory councils	200.422	Unallowable – unless authorized by statute, the Federal agency or as an indirect cost where allocable to Federal awards
Alcoholic beverages	200.423	Unallowable
Alumni/ae activities	200.424	Unallowable
Audit services	200.425	Restricted – refer to CFR
Bad debts	200.426	Unallowable
Bonding costs	200.427	Restricted – refer to CFR
Collections of improper payments	200.428	Refer to CFR
Commencement and convocation costs	200.429	Unallowable except as provided for in Appendix III to Part 200-Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education, paragraph (B)(9) Student Administration and Services, as student activity costs.
Compensation - fringe benefits	200.431	Allowable – provided that the benefits are reasonable and are required by law, non-Federal entity-employment agreement, or an established policy of the non-Federal entity.
Compensation - personal services	200.430	Refer to CFR
Conferences	200.432	Refer to CFR
Contingency Provisions	200.433	Restricted – refer to CFR
Contributions and donations	200.434	Unallowable
Defense and prosecution of criminal and civil proceedings, claims, appeals, and patent infringements	200.435	Restricted – refer to CFR
Depreciation	200.436	Restricted – refer to CFR
Employee health and welfare costs	200.437	Refer to CFR
Entertainment costs	200.438	Unallowable
Equipment and other capital expenditures	200.439	Restricted –refer to CFR
Exchange rates	200.440	Allowable – refer to CFR
Fines, penalties, damages, and other settlements	200.441	Unallowable, unless there is prior approval of agency – refer to CFR
Fund raising and investment management costs	200.442	Restricted – refer to CFR
Gains and losses on disposition of depreciable assets	200.443	Restricted – refer to CFR
General costs of government	200.444	Unallowable
Goods or services for personal use	200.445	Restricted – refer to CFR
Idle facilities and idle capacity	200.446	Restricted – refer to CFR
Insurance and indemnification	200.447	Restricted – prior approval of agency required – refer to CFR
Intellectual property	200.448	Restricted – refer to CFR
Interest	200.449	Restricted – refer to CFR
Lobbying	200.450	Unallowable – refer to CFR
Losses on other awards or contracts	200.451	Unallowable

Type of Cost	2 CFR Part	Classification of Costs
Maintenance and repair costs	200.452	Allowable
Materials and supplies costs, including costs of computing devices	200.453	Allowable
Memberships, subscriptions, and professional activity costs	200.454	Restricted – refer to CFR
Organization costs	200.455	Unallowable, unless there is prior approval of agency – refer to CFR
Participant support costs	200.456	Allowable – prior approval of agency required – refer to CFR
Plant and security costs	200.457	Allowable
Pre-award costs	200.458	Restricted – refer to CFR
Professional service costs	200.459	Restricted – refer to CFR
Proposal costs	200.460	Restricted – refer to CFR
Publication and printing costs	200.461	Refer to CFR
Rearrangement and reconversion costs	200.462	Allowable
Recruiting costs	200.463	Refer to CFR
Relocation costs of employees	200.464	Restricted – refer to CFR
Rental costs of real property and equipment	200.465	Allowable – refer to CFR
Scholarships and student aid costs	200.466	Restricted – prior approval of agency required – refer to CFR
Selling and marketing costs	200.467	Unallowable, unless there is prior approval of agency – refer to CFR
Specialized service facilities	200.468	Allowable – refer to CFR
Student activity costs	200.469	Unallowable
Taxes (including Value Added Tax)	200.470	Restricted – refer to CFR
Telecommunication costs and video surveillance costs	200.471	Restricted – refer to CFR
Termination costs	200.472	Restricted – refer to CFR
Training and education costs	200.473	Allowable
Transportation costs	200.474	Allowable
Travel costs	200.475	Refer to CFR
Trustees	200.476	Refer to CFR

Appendix 5: Work Plan Guidance in lieu of using Workbook

To assist in the development of the program Work Plan/Proposal, the following Work Plan formulation table has been prepared as a guide. The Work Plan/Proposal should describe, in detail, the activities to be conducted by the parties to the Agreement. Involvement by other parties in the program or project, which is incidental to the Agreement, should also be discussed.

The Work Plan for a Cooperative Agreement discusses the roles and responsibilities of the parties signing the Cooperative Agreement (i.e., those that are mutual, APHIS', and the Recipient's) and the interaction between them as well as their resource contributions.

For a Grant, the Proposal would address activities exclusively conducted by the Grantee as APHIS would not have a role in conducting the project.

Major topics outlined (I, II, III, IV, and V) should be included in each Work Plan/Proposal. It is not intended to be all inclusive, but to serve as a reference for items which should be discussed in the development of the program narrative.

An introductory paragraph should be included to identify the cooperating parties and the overall purpose of the initiative as illustrated in the next paragraph.

> *This Work Plan reflects a cooperative relationship between the (insert Recipient's agency name) (the Recipient) and the United States Department of Agriculture (USDA), Animal and Plant Health Inspection Service (APHIS), Veterinary Services (VS) under a Notice of Cooperative Agreement/Grant (pick one) Award. This Work Plan also outlines the mission-related goals, objectives, and anticipated accomplishments as well as the approach for conducting a (insert description of program, e.g., gypsy moth survey and control program) and the related roles and responsibilities of the parties as negotiated.*

WORK PLAN FORMULATION TABLE

SECTION TITLES	Questions that are to be considered in addressing each Section, as applicable. Questions are **not** to be inserted into the Work Plan. **Use bolded text as subsection titles**, when applicable to the project. Write in a narrative format and place under each Section of Column 1, as appropriate.
I. OBJECTIVES AND NEED FOR ASSISTANCE	**A. Relevant Need or Problem Requiring a Solution** What relevant need or problem within the applicant's mission area requires a solution in carrying out a public purpose of support or stimulation authorized by a United States law? Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. How does the need or problem align with the mission area and strategic goals of APHIS? **B. Supporting Documentation** Is there any relevant supporting documentation or other testimonies from concerned interests other than the applicant that needs to be referenced or incorporated by reference? Any relevant data based on planning studies should be included or footnoted. **C. Need for Assistance**

SECTION TITLES	Questions that are to be considered in addressing each Section, as applicable. Questions are **not** to be inserted into the Work Plan. **Use bolded text as subsection titles**, when applicable to the project. Write in a narrative format and place under each Section of Column 1, as appropriate.
	Why and in what way does the applicant need APHIS assistance? Demonstrate the need for the assistance and state the principal and subordinate objectives of the project.
II. RESULTS OR BENEFITS EXPECTED	What results or benefits will be derived by providing assistance to the applicant for this cooperative effort?
III. APPROACH	What is the overall approach to the project? This Section should discuss an overall plan of action and clearly outline in separate sections the roles and responsibilities that are mutual, those of the recipient, and those of APHIS in terms of work to be performed, expected accomplishments by each party, and resources to be contributed by each. A **grant** proposal would reflect only the work of the **grantee**. The following subsections will assist in the preparation of a concise proposal that provides APHIS with the information required to determine the appropriateness of a cooperative agreement or grant. These sections are to be included in the work plan as applicable. **A. Plan of Action** What is the overall plan of action for the project pertaining to the scope? How will the proposed work be accomplished for the project? Cite factors which might accelerate or decelerate the work and reasons for taking this approach as opposed to others. **B. Work Performed by Activity or Function** The activities or functions must be within the scope of the Award and consistent with the terms and conditions therein. Provide a description for each of the activities or functions (e.g., survey, regulatory, control, etc.) for which funding is to be expended. Define roles and responsibilities of the parties within each functional area. If specific program protocols, action plans, or uniform rules or other program guidelines must be followed, mention them in this section wherever they apply **C. How each Activity or Function is to be Accomplished** By activity or function, what are the projected accomplishments? Cite program standards, action plans, or other program guidelines as a standard for conducting the particular functions for this program, as applicable. **D. Unusual Features** Describe any unusual features of the project, such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvements. **E. Resources Required** Specify the resources to be contributed by each party. This information should support what is reflected in the detailed Financial Plan to the Work Plan/Proposal.

SECTION TITLES	Questions that are to be considered in addressing each Section, as applicable. Questions are **not** to be inserted into the Work Plan. **Use bolded text as subsection titles**, when applicable to the project. Write in a narrative format and place under each Section of Column 1, as appropriate.
	1. **Number and Type of Personnel:** What numbers and types of personnel will be needed? Tie these needs back to the activities outlined in III.A. a. **Current Employees:** Are the employees currently employed or will they be hired? b. **Recruitment:** If recruited, who will hire the personnel, and what mechanism will be used to hire them? c. **Pay Status of Employees:** Will they be full-time or part-time? Are they paid or volunteers? d. **Unemployment:** How will unemployment payments be handled upon terminating assistance? Ensure compliance with APHIS limits specified in the Notice of Award. 2. **Equipment Needed**: What equipment will be needed to perform the work? Include major items of equipment with a value of $5,000 or more. Identify information technology equipment, e.g., computers and their ancillary components. a. **Equipment Provided**: What equipment will be provided by: i. The Recipient? ii. APHIS? b. **Purchased with APHIS Funds**: What equipment will be purchased by the recipient in whole or in part with APHIS funds? c. **Uses for Equipment**: How will the equipment be used? d. **Method of Acquisition**: How will the equipment be acquired, i.e., purchase, lease (GSA or commercial, donated by a third party, etc.)? Who will handle acquisition needs? Recipient procurements shall be in accordance with 2 CFR Part 200.317 or .318, as applicable. e. **Method of Disposition**: What is the proposed method of disposition of the equipment upon termination of the agreement/project? 3. **Supplies Needed**: What supplies will be needed to perform the project activities? a. **Supplies Provided**: What supplies will be provided by: i. The Recipient? ii. APHIS? b. **Purchased with APHIS Funds**: What supplies will be purchased by the applicant in whole or in part with APHIS funds? c. **Uses for Supplies**: How will the supplies be used? d. **Method of Acquisition**: How will supplies be acquired, e.g., purchased, donated by third parties? Who will handle acquisition needs? Recipient procurements shall be in accordance with 2 CR Part 200.317 or .318, as applicable. e. **Method of Disposition**: What is the proposed method of disposition of the supplies with a cumulative value over $5,000 upon termination of the agreement/project? 4. **Special Contracts**: Are there special contractual requirements, e.g., aerial application, pesticides, cleaning and disinfecting, etc.? Which subawards/contracts will be awarded by the recipient and by APHIS? What is the purpose of the subaward and/or contract, i.e., what goods or services are being purchased and for what activity and where? Recipient procurements

SECTION TITLES	Questions that are to be considered in addressing each Section, as applicable. Questions are **not** to be inserted into the Work Plan. **Use bolded text as subsection titles**, when applicable to the project. Write in a narrative format and place under each Section of Column 1, as appropriate.
	shall be in accordance with 2 CFR Part 200.317 or .318, as applicable. Other types of subawards must be approved per 2 CFR Part 200.308 (c) (6). 5. **Travel Needs**: What are the travel needs for the project? a. **Local Travel**: Is there any local travel to daily work sites? What is the purpose? Who, by position type, travels and by what means? Who is the approving official? What are the methods of payment? Indicate number of trips per day/week/month, as appropriate, mileage and related rates plus meals (if authorized by regulation). Total projected mileage, rates, and total costs are to be reflected in the Financial Plan. b. **Extended Travel**: What extended or overnight travel will be performed (number of trips, their purpose, frequency, and approximate dates)? What is the purpose? Who is the approving official? What is the method of payment? Indicate number of trips, rates, transportation costs, and total cost in the Financial Plan. **F. Projected Accomplishments** By activity or function, what are the projections of accomplishments to be achieved? 1. **Quantitative Projection of Accomplishments**: What are the anticipated accomplishments by month, quarter, or other specified intervals? a. **Monthly accomplishments**: b. **Quarterly accomplishments**: c. **Other specified intervals**: 2. **Non-quantitative Accomplishments**: When accomplishments cannot be quantified, list the activities in chronological order to show the schedule of accomplishments and target expected completion dates. **G. Data Collection and Maintenance** The narrative is to include any information or data that will be shared with APHIS. What type of data will be collected and how will it be maintained? Address timelines for collection and recording of data. How will APHIS be provided access to the data? **H. Project Evaluation** 1. **Criteria:** What criteria will be used to evaluate the results and successes of the project? 2. **Methodology:** What methodology will be used to determine if needs identified and discussed are met and if the results and benefits are achieved? **I. Contributing Parties** Are there any other organizations, cooperators, consultants, or other key individuals, in addition to the parties to this agreement, who will be working on the project? Who are they and what is the nature of their effort and their contribution? These organizations would be third party contributors who could be in separate agreements with the parties to the agreement covered by this project.

SECTION TITLES	Questions that are to be considered in addressing each Section, as applicable. Questions are **not** to be inserted into the Work Plan. **Use bolded text as subsection titles**, when applicable to the project. Write in a narrative format and place under each Section of Column 1, as appropriate.
IV. GEOGRAPHIC LOCATION	What is (are) the precise location(s) of the project and area to be served by the proposed project? Maps or other graphic aids may be attached. This information is important in determining the extent of the Executive Order 12372 Intergovernmental Review.
V. SUPPLEMENTAL INFORMATION	If applicable provide the following information: **A. Research and Demonstration Assistance** Present a biographical sketch of the program director with the following information: name, address, telephone number, background, and other qualifying experience for the project. Also, list the name, training, and background for other key personnel engaged in the project. **B. Relationship to other Projects** Describe the relationship between this project and other work planned, anticipated, or underway under Federal assistance. Explain the reason for all requests for supplemental assistance and justify the need for additional funding. **C. Accomplishments to Support New Funding Requests** Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress, or milestones anticipated with the new funding request. **D. Revisions and Extensions** If there have been significant changes in the project objectives, objectives, location, approach, or time delays, explain and justify. For other requests for changes, or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify (including a new timeline). If the total budget has been exceeded or if the individual budget items have changed more than the prescribed limits, explain and justify the changes and its effects on the project.

Appendix 6: Financial Plan Guidance

Recipient must be in compliance with Federal and State policy and should follow the instructions below when completing the Financial Plan Template. For example Financial Plans refer to Appendix 7 and Appendix 8.

1. Personnel: Identify the number of employees per position title in the Item Description, number of hours to be worked in the Quantity column, rate of pay per hour in the Rate column (OR percentage of effort in the Quantity column and salary rate in the Rate column), and total for each position. For Avian, personnel for each of the six objectives should be listed separately.

2. Fringe Benefits: List the benefits rate. Benefits may include health and life insurance, unemployment insurance, workers' compensation, retirement, including social security, leave and pensions, etc.

3. Travel: Funds may be requested for field work, training, attendance at meetings and conferences, and other travel costs associated with the proposed work. Recipients should follow their State written travel policies when calculating travel costs. If there is no State travel policy, Federal per diem rates should be used in the calculation of travel costs. Federal per diem rates can be found on GSA. Reference 2 CFR Part 200.475.

    - Local Travel: Identify any local travel to daily work sites as outlined in your proposed activities. Indicate by position type who will be traveling, total projected mileage, and rate per mile. If extended or overnight travel is planned, then include number of days and per diem rates. Indicate the number of trips per day/week/month, as appropriate. For Avian, mileage for each of the six objectives should be listed separately.
    - Out of State Travel: Identify the number of travelers, meeting/conference/training title and destination. Provide the cost of transportation, lodging, subsistence and related items, number of days, rate per day, and the total. Registration fees should be included in the "Other" cost category.
    - International Travel: Not authorized on the Umbrella or ADT Cooperative Agreements.

    NOTE: Please refer to Section 1, Travel which outlines additional travel restrictions.

4. Equipment: The Federal definition of equipment is tangible personal property (including information technology systems) having a useful life of more than one year and a per unit value of $5,000 or more, unless the Recipient definition of equipment is more restrictive. Provide a description of the equipment to be purchased or leased, including unit cost, and total purchase or leasing costs. If laboratory or preparedness and response equipment is being requested, the Laboratory Equipment Request Form must be submitted with the Workbook. Ensure the purpose of each equipment item and how it will benefit or be used for the project has been included in the Proposed Activity description(s).

5. Supplies: Provide a general description of the supplies required to perform the proposed activities. When the cumulative value of supplies exceeds $5,000 provide an itemized breakdown of the types of supplies and total estimated cost per type. For Avian, please specify if supplies are for surveillance, response, or support.

    VS limits the amount of Personal Protective Equipment that may be included on a Cooperative Agreement to 72 hours or three days of supply. This limit is based on the average amount of time it takes to establish an incident command and receive deliveries from the National Veterinary Stockpile.

6. Contractual: Provide a description of the contract and the total cost. Ensure the purpose of the contract, i.e., what goods or services are being purchased for what activity and where, is outlined in the proposed activities.

    If testing is done as a subcontract, then the Recipient shall identify which approved laboratories will be conducting diagnostic testing, detail the type of test, number of tests, and cost per test/sample. All billing for

laboratory costs shall be done on a cost-per-test basis; e.g. 500 samples at $10.00 equals $5,000. Do not include any costs which are covered by other laboratory funding sources such as NAHLN or NIFA funding.

7. Other: Identify any direct costs which were not itemized elsewhere, such as conference registration fees, communications, printing, publication charges, computer time or usage, Recipient laboratory testing, etc.

   If testing is done in a Recipient's laboratory, then the Recipient shall detail the type of test, number of tests, and cost per test/sample. All billing for laboratory costs shall be done on a cost-per-test basis; e.g. 500 samples at $10.00 equals $5,000. Do not include any costs which are covered by other laboratory funding sources such as NAHLN or NIFA funding.

8. Indirect Costs and Recipient Cost Share: include these costs as necessary. Apply indirect costs according to Appendix 10.

VS' total share of the project must be a whole dollar amount, no cents, and cannot exceed the allocation amount.

Appendix 7: ADT Financial Plan Example

*****Financial Plan must match SF-424A, Section B*****

Cost Category	Item	Description	Quantity	Rate	Recipient Share	APHIS Share	Total Budget
Personnel	ADT (General) FTE	5 Field Inspectors (2,080 hours per Inspector)	10,400	$11	$0	$114,400	$114,400.00
	ADT Data Entry FTE	1 Clerical for 52 weeks @ 2 hr/wk	104	$10	$0	$1,040	$1,040.00
	Personnel Subtotal						**$115,440.00**
Fringe Benefits	ADT (General) FTE	Field Inspectors	5	33%	$0	$37,752	$37,752.00
	ADT Data Entry FTE	Clerical	1	24%	$0	$249.60	$249.60
	Fringe Subtotal						**$38,001.60**
Travel	Out of state travel: meetings and conferences	Annual USAHA meeting in Minneapolis, MN ($1,000 airfare; $39 per diem*4.5 days; $100 lodging*4 nights; $50 misc)*2 Attendees	2	$1,625.50	$0	$3,251	$3,251.00
	Out of state travel: trainings and workshops	Annual ADT meeting in Minneapolis, MN ($1,000 airfare; $39 per diem*4.5 days; $100 lodging*4 nights; $50 misc)	1	$1,625.50	$0	$1,625.50	$1,625.50
	In state travel	1 Field Inspector at 50 mi/wk for 39 wk at $0.365/mi	1,950	0.365	$0	$711.75	$711.75
	Travel Subtotal						**$5,588.25**
Equipment	Chute		1	$5,300	$0	$5,300	$5,300.00
	Equipment Subtotal						**$5,300.00**
Supplies - IT Hardware	Laptop	Dell	5	$500	$0	$2,500	$2,500.00
Supplies - Tags	RFID - LF (HDX)		75	$1.50	$0	$112.50	$112.50
	RFID - LF (FDX)		150	$0.75	$0	$112.50	$112.50
Supplies - RFID Readers	LF - Stationary Reader		20	$600	$0	$12,000	$12,000.00
	LF - Handheld Reader		10	$100	$0	$1,000	$1,000.00
Supplies - Other	Office Supplies		1	$1,500	$1,000.05	$499.95	$1,500.00
	Supplies Subtotal						**$17,225.00**
Contractual - IT Systems	USAHerds		1	$5,000	$0	$5,000	$5,000.00
Contractual - Other							
	Contractual Subtotal						**$5,000.00**
Other	Registration	USAHA	1	$300	$0	$300	$300.00
	USAHA Registration		1	$300	$0	$300	$300.00
	Other Subtotal						**$600.00**
Totals	**TOTAL DIRECT COSTS**						**$187,154.85**
	INDIRECT COSTS	**Total Personnel**		**28.00%**		**$32,323**	**$32,323.20**
	TOTAL PROJECT COSTS						**$219,478.05**
	Less Cooperator Share						**$1,000.05**
	APHIS Cost Share						**$218,478.00**

Appendix 8: Umbrella Financial Plan Example

Financial Plan must match SF-424A, Section B

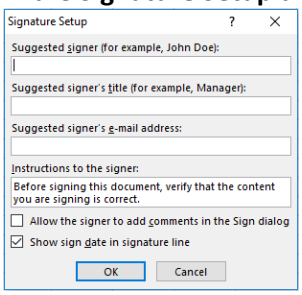
Cost Category	Item Description	Quantity	Rate	Recipient Share	APHIS Share	Total Budget
Personnel	5 Field Inspectors (2,080 hours per Inspector)	10,400	$11	$22,880.00	$91,520.00	$114,400.00
	1 State Field Supervisor @ 3/4 FTE	0.75	$42,528	$6,379.20	$25,516.80	$31,896.00
	1 Clerical for 52 weeks @ 2 hr/wk	104	$10	$208.00	$832.00	$1,040.00
	1 Temp Clerk @ 20 hr/wk for 52 weeks	1,040	$13	$2,704.00	$10,816.00	$13,520.00
				$32,171.20	**$128,684.80**	**$160,856.00**
Fringe Benefits	33% of salary of permanent employees		33%	$9,724.00	$38,897.00	$48,621.00
	24% of wages of temporary employees		24%	$649.00	$2,596.00	$3,245.00
				$10,373.00	**$41,493.00**	**$51,866.00**
Travel	5 Field Inspectors at 400 mi/wk for 39 wk at $0.365/mi	78,000	0.365	$5,694.00	$22,776.00	$28,470.00
	1 Field Supervisor at 500 mi/wk for 52 wk at $0.365/mi	26,000	0.365	$1,898.00	$7,592.00	$9,490.00
	Annual USAHA meeting in Minneapolis, MN ($1,000 airfare; $39 per diem*4.5 days; $100 lodging*4 nights; $50 misc)*2 Attendees	2	$1,625.50	$650.20	$2,600.80	$3,251.00
				$8,242.20	**$32,968.80**	**$41,211.00**
Equipment	Back-up Generator, Quiet Series	1	$5,300	$1,060.00	$4,240.00	$5,300.00
				$1,060.00	**$4,240.00**	**$5,300.00**
Supplies	Office supplies			$161.60	$646.40	$808.00
	Brochures			$157.00	$628.00	$785.00
	Disposable Biosecurity Suits for Inspection Visits	3-day supply		$224.00	$896.00	$1,120.00
				$542.60	**$2,170.40**	**$2,713.00**
Contractual	Animal Diagnostic Lab Testing	500	$10	$1,000.00	$4,000.00	$5,000.00
				$1,000.00	**$4,000.00**	**$5,000.00**
Other	USAHA Registration	2	$300	$120.00	$480.00	$600.00
				$120.00	**$480.00**	**$600.00**
Totals	**Total Direct Costs**			**$53,509.00**	**$214,037.00**	**$267,546.00**
	Indirect Costs (28% of Total Direct Costs)			**$14,983.00**	**$59,930.00**	**$74,913.00**
	Total Project Costs			**$68,492.00**	**$273,967.00**	**$342,459.00**

Appendix 9: Instructions on Signing a Form in Microsoft Excel

The following instructions only apply to the Software Enhancement Form tab of the ADT Workbook.

To sign a form in Excel, follow these instructions:

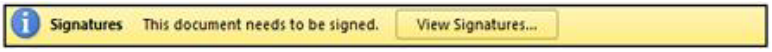
1. In the worksheet, select the cell where you want to create a signature line.
2. On the **Insert** tab, in the **Text** group, click the **Signature Line** list, and then click **Microsoft Office Signature Line**.
3. In the **Signature Setup** dialog box, type information that will appear beneath the signature line:



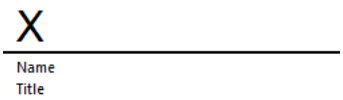
   - **Suggested signer**: The signer's full name.
   - **Suggested signer's title**: The signer's title, if any.
   - **Suggested signer's e-mail address**: The signer's e-mail address, if needed.
   - **Instructions to the signer**: Add instructions for the signer, such as "Before signing the document, verify that the content is correct."
4. Select one or both of the following check boxes:
   - **Allow the signer to add comments in the Sign dialog box**: Allows the signer to type a purpose for signing.
   - **Show sign date in signature line**: The date the document was signed will appear with the signature.

Tip: To add additional signature lines, repeat these steps.

NOTE: If the document remains unsigned, the **Signatures** Message Bar appears. Click **View Signatures** to complete the signature process.



5. Sign the signature line in Excel
   - When you sign a signature line, you add a visible representation of your signature and a digital signature.



   1. In the file, right-click the signature line.

NOTE: If the file opens in Protected View, click **Edit Anyway**, if the file is from a reliable source.

   2. From the menu, select **Sign**.
      - To add a printed version of your signature, type your name in the box next to the **X**.
      - To select an image of your written signature, click **Select Image**. In the **Select Signature Image** dialog box, find the location of your signature image file, select the file that you want, and then click **Select**.

NOTE: In addition, you can sign a signature line by double-clicking the signature line. Type your name next to the **X**. Or, in the **Signature Pane**, in the **Requested Signatures** section, click the **arrow** next to the signature. From the menu, select **Sign**.

   - To add a handwritten signature (Tablet PC users only), sign your name in the box next to the **X** by using the inking feature.
   - Click **Sign**.
   - The **Signatures** button appears at the bottom of the document or worksheet.

The following image shows the **Signatures** button.

Appendix 10: Application Process

This appendix includes additional details regarding the documentation Recipients may need to provide when applying for Federal financial assistance.

Forms attached to the application packet in eFG must be physically or electronically signed. Typed signatures will not be accepted. In addition, please complete the Representations and Certifications (financial portion) in SAM when renewing the yearly registration.

1. **SF-424**, Application for Federal Assistance: This information will be entered directly into eFG by the Recipient. Ensure Recipient's address and UEI number is consistent with the information listed in SAM. Also, please make sure the Recipient's SAM registration is ACTIVE.

2. **SF-424A**, Budget Information – Non-Construction Programs: This information will be entered directly into eFG by the Recipient. Section B (object class categories) should be supported by a detailed Financial Plan for each cost category.

3. **Certification Regarding Lobbying** (for Cooperative Agreements exceeding $100,000): If applicable, this document will need to be attached in eFG when the application is submitted.

4. **SF-LLL,** Disclosures of Lobbying Activities (for Cooperative Agreements exceeding $100,000 only when there are activities to disclose): If applicable, this document will need to be attached in eFG when the application is submitted.

5. Indirect costs are negotiated by the Recipient and their cognizant agency for indirect costs (2 CFR Part 200.1). The cognizant agency is the Federal agency that provides the most Federal funds to the Recipient. The result of this negotiation is a **Negotiated Indirect Cost Rate Agreement** (NICRA). A signed NICRA needs to be attached to the application in eFG if indirect costs are assessed. When a Cooperative Agreement budget/funding period does not coincide with the same period for which the rate was established, it may be necessary to use two different rates in computing the amount of indirect costs applicable to the Cooperative Agreement budget. If a new rate has been negotiated, then attach a copy of the signed NICRA to the applicable Financial Report submission. If indirect costs were previously claimed based on the use of a "provisional" rate and a "final" or a "fixed" rate is determined prior to the end of the Cooperative Agreement period of performance, then adjustments to the claims are required to reflect the establishment of the final or fixed rates.

   Recipients, except for state and local government entities that receive more than $35 million in direct Federal funding each year, that have an expired NICRA or who have never had an approved rate, can use a de minimis rate of 10 percent of modified total direct costs pursuant to 2 CFR Part 200.414 (f). If a Recipient is interested in applying for a de minimis rate, then please reach out to your FiOps Grants Specialist.

   The Agricultural Appropriations bill places a statutory cap of 10 percent on indirect costs that can be claimed on Cooperative Agreements with nonprofit organizations. This does not apply to Grants. When the statutory cap applies, APHIS cannot pay indirect costs in excess of 10 percent of the total direct costs of the Cooperative Agreement. If the Recipient's NICRA rate when applied is less than 10 percent of total direct costs, then the Recipient NICRA applies.

   When discussing indirect costs, the definition for nonprofit institutions differs from the definition given in the cost principles. Nonprofit institutions include both private and public organizations including colleges, universities, schools, hospitals, and others. State, local, and Tribal governmental entities are not considered nonprofit institutions. Below are two examples which illustrate the proper application of the indirect cost rate, considering the statutory cap.

Example 1:
Yellowstone Fish and Wildlife Society (an IRS classified Nonprofit) Cooperative Agreement with total direct costs of $100,000. The Society has an indirect cost rate of 30% and the base for application is salaries, wages, and fringe benefits.

The Society's SF-424A states that $70,000 will be spent on salaries, wages, and fringe benefits. The remaining $30,000 is for travel, contracts, and equipment.

In this case, if the 10% statutory cap was applied, the indirect costs would be 10% x $100,000 = $10,000. If their 30% rate was applied to the base of $70,000 (salaries, wages, and fringe benefits), the indirect costs would be 30% x $70,000 = $21,000. In this scenario, the statutory cap would apply, and they could only claim $10,000 in indirect costs.

Example 2:
Kansas State University (KSU) Cooperative Agreement with total direct costs of $100,000. KSU has an indirect cost rate of 15% and the base for application is exclusively salaries and wages.

KSU's SF-424A states that $50,000 will be spent on salaries and wages. The remaining $50,000 is for fringe benefits, travel, supplies, and training.

In this case, if the 10% statutory cap was applied, the indirect costs would be 10% x $100,000 = $10,000. If their 15% rate was applied to the base of $50,000 (salaries and wages), the indirect costs would be 15% x $50,000 = $7,500. In this scenario, KSU's rate would apply since it is less than the statutory cap.

6. All VS funding (CFDA 10.025) is subject to Executive Order 12372, "Intergovernmental Review of Federal Programs." Names and addresses of States' **Single Point of Contact (SPOC)** are listed on the Office of Management and Budget's home page.

   For those Recipients that have this process in their State, submit your application to the SPOC. A copy of the SPOC waiver or approval letter, which should include the State Application Identifier (SAI) number, should be attached to your application in eFG. Failure to meet this requirement may result in your application being returned.

7. For additional information on the **Pre-Award Letter Request**, please refer to Section 1, Period of Performance.

Appendix 11: Program Reports

Refer to the DIS User Guide for Avian Health Surveillance Testing Reports

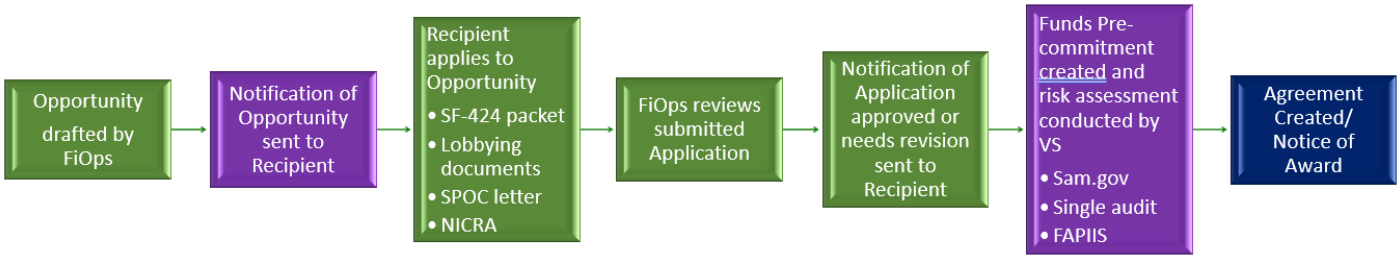
Sheep/Goat RSSS and Non-RSSS Activities for the Reporting Period

DIS User Guides for Cattle Health Reports are available in DIS or from the Cattle Health Program (VS.SP.Cattle.Health.Center@usda.gov)

Appendix 12: Workflows

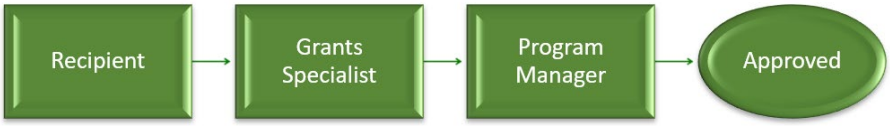
This appendix includes charts that outline workflows for Federal financial assistance awards. The charts have been color coded for VS use only.

Awarding Process



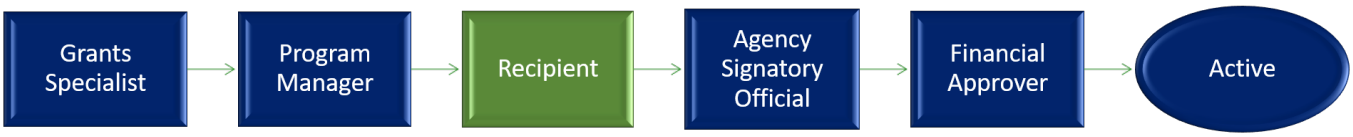
The flow chart above outlines the awarding process. Once the Workbook has been approved, an Opportunity will be drafted by FiOps. The Recipient will be notified to apply to the Opportunity by email. The Recipient will apply to the Opportunity by submitting the SF-424 packet in eFG and attaching the approved Workbook documents, Lobbying documents, SPOC Letter, and/or NICRA as applicable. FiOps will review the application and send a notification of approval or return the application to the Recipient for revision. Simultaneously, FiOps will conduct a risk assessment which includes checking the Recipient's Single Audit and their record in SAM.gov. Once the application is approved, this will trigger the Cooperative Agreement document to be created.

Application Workflow



The flow chart above illustrates the steps an application for Federal funding will go through for approval. The first step is to submit the application within eFG. Once the application is submitted, it routes to the FiOps Grants Specialist for review and approval. Once the application is approved by the FiOps Grants Specialist, it is then routed to the AVIC/PM for approval.

Cooperative Agreement Workflow



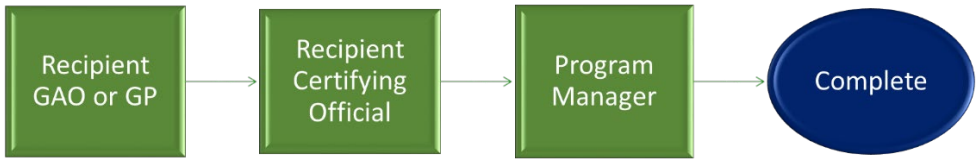
The flow chart above illustrates the steps a Cooperative Agreement goes through after the application has been approved. The first step is for the system generated Cooperative Agreement to be completed by the FiOps Grants Specialist. Then, it routes to the AVIC/PM for approval. After AVIC/PM approval, the Cooperative Agreement routes to the Recipient SO for approval and signature. Once the Cooperative Agreement is signed by the Recipient SO, it routes to the FiOps SO to approve and sign. In the last step, the Cooperative Agreement routes to the APHIS Financial

Approver to accept it before it becomes active in eFG; this generates the Award Face Sheet that is automatically sent out from eFG.

Claim Workflow

The flow chart above illustrates the steps a claim goes through before it is paid. Claims are created and submitted in eFG. The first step is for an individual from the Recipient organization to create the claim and attach any necessary documentation within eFG. Once the claim is created, it is sent to the Recipient Certifying Official designated in the claim when it was drafted to sign and submit forward. After the claim is submitted, it is reviewed and signed by the AVIC/PM. Once the claim is approved by the AVIC/PM, it is routed to the FiOps Grants Specialist to review and approve. After the claim is approved by the FiOps Grants Specialist, it is routed back to the AVIC/PM for final approval. Once final approved, payment for the claim should be issued within 7 business days.

Performance/Financial Report Workflow



The flow chart above illustrates the steps a Performance or Financial Report will go through for approval. Reporting templates are generated automatically in eFG. The Recipient GAO or GP completes the report and attaches any necessary documentation. The report is then routed to the Recipient Certifying Official designated in the report for approval. After the report is approved by the Recipient Certifying Official, it routes to the AVIC/PM for approval.

Amendment Workflow

The flow chart above illustrates the steps an amendment may go through for approval within eFG. Amendment steps may take place outside eFG first, such as requests to change scope or budget shifts. Please note, not all amendments require all of these approvals. After the Recipient submits an amendment request and it is approved, the FiOps Grants Specialist creates the amendment in eFG and routes it for AVIC/PM approval. Once the amendment is approved by the AVIC/PM, it routes to the Recipient SO for approval and signature. Once the amendment is signed by the Recipient SO, it routes to the FiOps SO to approve and sign. In the last step, the amendment routes to the APHIS Financial Approver to accept it before it becomes active in eFG.