For questions regarding any of the content in this manual, please contact aesresearch@oregonstate.edu.
Capacity Funding and AES Appointments Overview
Acronyms to Know

AES: Agricultural Experiment Station
CAS: College of Agricultural Sciences
NIFA: National Institute of Food and Agriculture
OAES: Oregon Agricultural Experiment Station, encompassing the College of Agricultural Sciences, the Carlson College of Veterinary Medicine, and the College of Health
SAES: State Agricultural Experiment Station(s)
USDA: United States Department of Agriculture

What is Capacity Funding? How does it fit with my competitive grants?

Capacity funds are provided by a series of non-competitive grant programs through USDA-NIFA. These programs include Hatch, Hatch Multistate, and Animal Health and Disease Research (OAES); Smith-Lever (Extension); and McIntire-Stennis (College of Forestry), among others. The quality of capacity funds that are made available to each qualifying institution is based on calculations performed at NIFA and is matched 1:1 by each receiving state.

The purpose of capacity funding is to ensure each institution always has a baseline capacity to perform their research and Extension work. Faculty are then able to expand on this utilizing competitive grants and other funds that they secure.

At the OAES, we primarily use capacity grants to fund a portion of our faculty salaries based on what NIFA-approved Hatch and Hatch Multistate research projects they participate in. Although these projects are required, they shouldn’t be distinct from faculty’s existing research. Typically, they will be complementary to the work that’s already being done and will contribute to the same overall body of research.

This article by USDA-NIFA expands on the overall role of capacity funding at land grant institutions and briefly describes the differences between each Capacity Grant Program.
What is Hatch funding and what does it do?

Under the Hatch Act of 1887, federal capacity funding is provided to the OAES (and matched by state and local contributions) to support agricultural research. Together with the other Statewide Public Service Programs (or Statewides for short), the research conducted through the OAES works to find solutions to problems that our communities face and to disseminate those findings to those who need them. In particular, the College of Agricultural Sciences has identified four Strategic Advantage themes as both our strengths and our areas of focus. This funding is a core part of our Land Grant mission.

At OSU, Hatch funding (for collaboration within OSU) and Hatch Multistate funding (for collaboration that spans institutions and regions) is expended as a portion of the base budget and in particular, is used for faculty salary. This allows OSU to ensure that we’re securing the expertise that forms the backbone of our research enterprise. As a result, faculty are expected to apply a portion of their effort to a qualifying research project. More information about these projects can be found in this section.

Who is required to be on a Hatch or Hatch Multistate research project?

In CAS, all professorial employees (including non-tenure track positions) with an appointment with greater than or equal to 0.2 FTE that is paid by AES funds are required to be an investigator on at least one NIFA-approved Hatch or Hatch Multistate research project within 6 months of the start of their employment.

If you’re not sure if this requirement applies to you, please contact your unit leader or reach out to the OAES staff at aesresearch@oregonstate.edu.

What are the project types and which ones meet CAS AES appointment requirements?

There are many different types of projects or activities that faculty can join, but not all are Hatch funded. Only OSU Hatch Collaborative, OSU Hatch Single Investigator, and Hatch Multistate research projects are supported by NIFA capacity funds and so only those project types satisfy the CAS requirement to join a Hatch or Hatch Multistate research project.

Generally, the criteria for meeting this requirement are as follows: 1) it must be a research project, 2) it must undergo NIFA review and approval, and 3) it must be approved by the OAES Director. An overview of qualifying projects is shown in the below table, with more detail in the following pages.
<table>
<thead>
<tr>
<th>Project Type</th>
<th>Project Numbers Beginning With</th>
<th>Qualifying Project Type?*</th>
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<tbody>
<tr>
<td></td>
<td>North Central Region</td>
<td>Northeast Region</td>
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<tr>
<td>Research Projects</td>
<td>NC###</td>
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<tr>
<td>Education/Extension and Research Activity (ERA)</td>
<td>NCERA###</td>
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<tr>
<td>Coordinating Committee (CC)</td>
<td>NCCC###</td>
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<td>Advisory Committee (AC)</td>
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<td>Development Committee (DC)</td>
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*Qualifying project types refer to projects which meet the CAS requirement for faculty with at least a 20% AES research appointment to join a NIFA-funded Hatch or Hatch Multistate research project.

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**Qualifying Projects**

**OSU Hatch Single Investigator**

OSU Hatch Single Investigator projects are research projects coordinated by a single PI at OSU. Projects are written to encompass a 5-year duration. These projects undergo peer review, as well as NIFA review and approval. PIs should actively look for participation on OSU Hatch Collaborative projects rather than engage in an OSU Hatch Single Investigator project.

OSU Hatch Single Investigator projects are designated by an ORE project number (ORE0###). A project record is maintained in NRS, where all project reporting occurs.

**OSU Hatch Collaborative**

OSU Hatch Collaborative research projects are large, interdisciplinary research programs. These umbrella projects include teams of faculty from OSU and have a duration of 5 years. They undergo peer review, as well as NIFA review and approval. In addition to funding a portion of the salary of participating faculty, teams are provided project funds which are administered by the project leader. (See the Project Team Funds Policy for more information.)

Updated: 9/19/2023
OSU Hatch Collaborative projects are designated by an ORE project number (ORE0##). A project record is maintained in NRS, where all project reporting occurs.

**Hatch Multistate**

Hatch Multistate research projects focus on research for high-priority topics among the State Agricultural Experiment Stations (SAES), in partnership with NIFA and other research institutions and agencies. These projects are national or regional scope and have a duration of 5 years.

Participants from each state receive funding from their respective SAES and the project is coordinated by an Administrative Advisor from the originating region. Since each project is administered both on a project level and on an individual SAES level, there are also different levels of review and documentation. The state-specific portion of the project is reviewed by their respective SAES Director and the full project proposal, which incorporates all state contributions, is evaluated by a region-specific committee of SAES Directors. A project record and full participant list are maintained in NIMSS. A state-specific project record, with that institution’s lead PI, is maintained in NRS and undergoes NIFA review and approval.

These projects have a project number beginning with only a regional prefix (i.e., W, S, NC, NE).

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<th>North Central Region</th>
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<td>NC###</td>
<td>NE###</td>
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**Non-Qualifying Projects/Activities**

**Education/Extension and Research Activity (ERA)**

ERAs are activities that serve to integrate education (academic and/or Extension) and research on a particular topic where multistate coordination or information exchange is appropriate. ERAs do undergo peer review.

ERAs have an identifier beginning with a regional prefix (i.e., W, S, NC, NE) and the activity abbreviation (ERA). Since ERAs are not NIFA-approved, a record is maintained in NIMSS only.

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<td>NCERA###</td>
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Coordinating Committee (CC)

Coordinating Committees are activities that provide a mechanism for addressing critical regional issues where multistate coordination or information exchange is appropriate within a function (i.e., research, education, or Extension). Coordinating Committees do undergo peer review.

These committees have an identifier beginning with a regional prefix (i.e., W, S, NC, NE) and the committee abbreviation (CC). Since Coordinating Committees are not NIFA-approved, a record is maintained in NIMSS only.

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<th>North Central Region</th>
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<td>SCC###</td>
<td>WCC###</td>
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</table>

Advisory Committee (AC)

Advisory Committees are formed of department chairs/heads from a particular discipline that exchange information and serve a multistate administrative function through review of multistate activities. However, these committees are not peer reviewed.

These committees have a project number beginning with a regional prefix (i.e., W, S, NC, NE) and a committee abbreviation (AC). Since Advisory Committees are not NIFA-approved, a record is maintained in NIMSS only.

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<td>SAC###</td>
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Development Committee (DC)

Development Committees have a duration less than two years and are formed for the purpose of developing a Multistate Activity. These committees have the expected outcome of a full proposal for a particular Multistate Activity and are peer reviewed.

These committees have an identifier beginning with a regional prefix (i.e., W, S, NC, NE) and the committee abbreviation (DC). Since Development Committees are not NIFA-approved, a record is maintained in NIMSS only.

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<tr>
<td>NCDC###</td>
<td>NEDC###</td>
<td>SDC###</td>
<td>WDC###</td>
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Joining a Project
Why should I join a project?

1) **The obvious: You’re required to.**
   If you have a Research appointment of at least 0.20 FTE paid by AES funds, you are required to join a qualifying NIFA-funded project within 6 months of the start of your employment in order to be considered in compliance with CAS policy.

2) **It’s complementary to work that you’re already doing.**
   While we know that faculty already have many demands on their time, your chosen Hatch or Hatch Multistate research project should be relevant to your existing research program and so should be a continuation of work that you’re already doing.

3) **It’s a part of our Mission.**
   This funding exists to address the needs of our community. It is inseparable from our vision as a College and our mission as a Land-Grant institution.

4) **Use it or lose it.**
   OSU receives more than 8 million dollars in Hatch and Hatch Multistate funding (federal and matching funds). These funds are “use it or lose it”. If we can’t utilize the funding we receive, we may receive less in the following years. Without this funding, CAS would be at risk of losing a number of the faculty positions that it currently supports. Faculty who join qualifying projects help us to keep spending these funds as usual, which allows us to keep receiving the level of funding that we rely on to help support our faculty positions.

Can I be on more than one project/activity?

Yes. However, faculty are expected to first meet their obligation to join a Hatch or Hatch Multistate research project before they join another project or activity type. Additionally, faculty should ensure that participation in another project does not supersede their participation in their chosen Hatch or Hatch Multistate research project. Assignment to a project is not sufficient to meet Hatch funding requirements; faculty should be active and productive participants on their Hatch or Multistate research project, barring any reasonable barriers.
How much FTE should I apply to my project?

As a starting point, we recommend that faculty look at their overall research program and plans for the next 5 years and then consider the portion of their work that fits the overall project scope and objectives of their chosen project. From there, they should estimate how much of their effort will be apportioned to each research theme.

The below scale can be used to help make that evaluation. We would expect that faculty whose project represents only a small portion of their research program would be dedicating a larger percentage of their time toward the rest of their research program. Whereas faculty whose project is highly relevant to their overall research program may spend a higher percentage of their time working on project objectives.

**How much of your overall research program do the topics of this project represent?**

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<tr>
<th>Only a small portion</th>
<th>10%</th>
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<th>30%</th>
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<td>Most or all</td>
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Based on your answer to the above scale, the OAES staff and your unit accountant can work with you to determine the final amount of FTE that might be charged to the project.

How do I join an existing project?

Faculty can review inventories of existing projects to determine if any of them align with their research interests. This document includes a list of all current OSU Hatch collaborative projects. To view existing Hatch Multistate research projects, faculty can search for keywords from the NIMSS home page without needing to log in. Please note that only project types beginning with W, S, NC, and NE and excluding all other acronyms are qualifying NIFA-approved research projects. All other listed projects/activities do not meet CAS AES appointment requirements. (See this section for more information.)
Once faculty have identified a project that they're interested in joining, they can reach out to aesresearch@oregonstate.edu to request to be added to the project.

Those requesting to join a Hatch Multistate research project must complete the Appendix E form, which the OAES staff will assist with. They should also email the project team to discuss how they would contribute toward the project objectives. They should email the Technical Leading/Editors (listed in NIMSS) and copy the Administrative Advisor, as well as email any OSU participants on the project.

Please note that if you are joining a Hatch Multistate research project and no other OSU PIs are currently on the project, you will be asked to complete an OSU-specific proposal. This proposal is adapted from the project record in NIMSS to encompass only the OSU contributions and will be submitted in NRS for NIFA-approval. The OAES only provides Hatch and Hatch Multistate funding for projects that have been approved by NIFA in NRS. For more details on the difference between NRS and NIMSS, please see this section.

What if I can’t find an existing project that matches my research focus?

Contact the Associate Director of the OAES, Shawn Donkin, for assistance.
Reporting and Other Requirements
What requirements come with being on a project?

OSU Hatch Projects

The lead PI of a NIFA-supported OSU Hatch project (Single Investigator and Collaborative) is required to submit an annual report (Result Report) via the NIFA Reporting System (NRS) portal. See the NIFA Reporting System User Guide for assistance with completing the Result Report.

It is a NIFA requirement that faculty should include the following acknowledgement text in any published articles, manuscripts, dissertations, posters, presentations, inventions, patents, and press releases made resulting from their Hatch project,

“This work is/was supported, in part, by Hatch funds from the USDA National Institute of Food and Agriculture.”

Links to this acknowledgement are used by Congress and USDA-NIFA to track and determine the impact of Hatch funding to land grant universities.

Hatch Multistate Projects

The OSU lead PI assigned to a NIFA-supported Hatch Multistate project is required to submit an annual report (Result Report) via the NIFA Reporting System (NRS) portal. This report should be specific to the participation in the project by OSU faculty. See the NIFA Reporting System User Guide for assistance with completing the Result Report.

Participants are also required to complete a station report (specific to OSU activities) to contribute toward the project’s SAES-422 annual report in NIMSS after the project’s annual meeting. Faculty should note that although they can adapt the content of their station report to complete their Result Report, they cannot submit the station report in the place of their Result Report. The contents of each report are different and the station report must be revised in order to be used for this purpose. If a faculty member submits an unedited station report in the place of a Result Report, they will be considered out of compliance with their NIFA reporting requirements.

Faculty should include the following acknowledgement text in any published articles, manuscripts, dissertations, posters, presentations, inventions, patents, and press releases made resulting from their Hatch Multistate project,
“This work is/was supported in part by Hatch funds from the USDA National Institute of Food and Agriculture.”

ERA/AC/CC/DC/Rapid Response Activities

Since these activities are not Hatch funded, faculty do not have a NIFA reporting obligation via the OAES. However, participants are still required to complete a station report (specific to OSU activities) to contribute toward the activity’s annual report (SAES-422 Appendix D) in NIMSS after the project’s annual meeting.

Why should I complete reporting?

1) **The obvious: You’re required to.**
   NIFA requires annual reporting for all projects funded by their Capacity Fund Programs.

2) **If you don’t do your reporting, we can’t do ours.**
   The annual reporting by faculty is used to develop the OAES Annual Report of Accomplishments, which is also required by the terms of the awards we receive. Put simply, the Annual Report of Accomplishments is how the OAES demonstrates to NIFA the ways in which the funds we receive are being used. Failure to submit the OAES reporting can result in delay of funds.

3) **It can impact legislation.**
   Reports like the Annual Report of Accomplishments may also be used to inform Congress on the impacts of Hatch and Hatch Multistate funding on national agricultural research.

4) **It can impact your budget.**
   Compliance in reporting impacts CAS budget policy decisions.
How do I complete reporting?

**Project Lead**
The project lead is responsible for submitting annual reporting in NRS. Due to how NIFA has designed the reporting portal, only the project lead (as listed in NRS) will be able to submit the report. If there has been a change of project lead, please contact aesresearch@oregonstate.edu so that info can be updated in the reporting portal.

The project lead should reach out to the other participants on the project to gather their contributions. All participants, including the project lead, should expect to describe the work that they did over the last federal fiscal year toward the project objectives. This template shows the fields that NIFA has asked to be addressed. Please note that if the report does not address the prompts or if the report is not substantive, the project participants will be asked to revise by the OAES.

The below section outlines the process for submitting the report.

1. As project lead, you should already have an existing account in NRS associated with your OSU email address. If this is your first time logging into NRS, you’ll need to activate this account. (If you’re not sure what email is associated with your account, the OAES staff can provide that information.) Account activation requires going through the eAuthentication process, which asks you a series of questions related to your identity. This NIFA guide walks you through the process. If you have difficulty navigating the eAuthentication process or if you’re not able to activate your account, please contact aesresearch@oregonstate.edu.

2. Once your account is activated, this section of the NRS User Manual will guide you through submitting the Result Report.
   - Please note that if you select “Nothing Significant to Report”, you are required to provide an explanation in the comments section. If the included explanation is considered inadequate by the OAES staff or by NIFA, the project participants will be asked to revise.

3. After you’ve selected Submit for Organizational Review, please notify aesresearch@oregonstate.edu. There are no system-generated notifications for submitted reports, so a quick email from the project lead will ensure that the report is reviewed, revised if needed, and submitted to USDA-NIFA prior to the reporting deadline.
**Project Participants**

Please reach out to your project lead to provide your contributions toward this report. You should expect to describe the work that you did over the last federal fiscal year toward the project objectives. This template shows the fields that NIFA has asked to be addressed. Please note that if the report does not address the prompts or if the report is not substantive, the project participants will be asked to revise the OAES.

NOTE: Previously, the OAES requested that faculty fill out the Result Report template, which was then uploaded into NRS on behalf of the faculty. This process is now obsolete. Faculty are now responsible for report submitting in NRS, though OAES staff will be happy to assist and answer questions as they arise.
Other FAQs
Will CAS pay for me to travel for my Multistate project/activity?

The OAES provides travel support for faculty with Research appointments of at least 20%. Faculty who do not qualify may be able to receive travel support from CAS Extension. Please see the travel policy for Multistate research projects for more details.

What is the difference between NRS and NIMSS?

**NIFA Reporting System (NRS)**

NRS is USDA NIFA’s official portal for all capacity funding programs. All information in this system is managed and approved by NIFA and is organized on an institutional level. For each project for which OSU uses its capacity funds (Hatch, Hatch Multistate, and others), there will be a corresponding project record in NRS.

For NIFA’s purposes, this portal is OSU’s required “plan of work” documenting how we are using and plan to use the funding we receive. Its use is required under the terms of the award. The OAES only expends capacity funding for projects which receive NIFA approval in NRS and so submission of a project proposal is a mandatory prerequisite for faculty to meet their AES research appointment responsibilities. (See this section for more details on joining a project and when faculty might expect to draft the project proposal.)

NRS is also the portal in which nearly all NIFA-required reporting is submitted. Project lead PIs will submit their required annual progress report (the Result Report) in that portal.

**National Information Management & Support System (NIMSS)**

NIMSS is the portal which hosts all Multistate research projects and activities. All information is managed by the State Agricultural Experiment Stations (SAES) and the regional associations. While NIFA and other parties use this portal to inform legislative and other decisions, authority to approve projects has been delegated to the SAES Directors.

The projects and activities in NIMSS are recorded on a national or regional level. All participating institutions will be listed in NIMSS, as well as all of their respective faculty who are approved participants.
What's different?

The type of work represented in NRS is more narrow than NIMSS. It represents only a single institution. Additionally, it only includes research projects and it is only these projects for which the OAES expends its capacity funds. In addition to Multistate research projects, NRS contains other types of research projects, such as OSU Hatch collaborative projects and Animal Health and Disease Research.

In addition to Multistate research projects, NIMSS includes a number of activity types that don’t receive NIFA-approval and for which NIFA capacity funding isn’t used. These won’t appear in NRS. (For example, ERAs, Coordinating Committees, etc.)

How do they overlap?

For NIFA-funded research projects, NRS and NIMSS document the same work. At each participating institution, NRS documents the work being done by that institution’s faculty only. NIMSS documents the whole. In terms of the work being done by the faculty, if you think of the project as a puzzle, each NRS project record is a piece and the NIMSS project record is the assembled puzzle.

The project records in NRS and NIMSS document the same work, but they serve different purposes and have different levels of oversight.
Associated Policy Documents
Multistate Travel Policy

The OAES provides $1,200 in travel funds for use to travel for Multistate annual meetings. These funds are available to all qualifying participants on Multistate research projects, activities, and committees. To read more about the policy and how it applies to each project/activity type, please see this document.

Project Team Funds Policy

OSU Hatch collaborative projects receive a $40K annual budget allocation for use toward the on-going research needs of the project. These funds are expected to benefit the entire project and participating faculty and are administered by the project lead PI. These funds are referred to as the Project Team Funds (formerly the Project Leader Funds). You can find the policy governing the use of these funds here.

Budget Policy

You can find the details of the College's approved budget practices regarding use of AES funds in MyCAS in the Budget Practices and Guidelines document.

CAS Hiring and Staffing Manual

This manual includes sections on topics such as language for position descriptions and offer letters for AES research appointments. You can read these sections and others here.

For any other questions, please contact aesresearch@oregonstate.edu.

For policy and guidance documents as well as other cheat sheets, please visit beav.es/hatch.