



United States  
Department of  
Agriculture

National Institute  
of Food  
and Agriculture

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# **FALCON Pre and Post Award Management**

**November 5, 2018**

**Presented by:  
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# **OVERVIEW**

- **Pre-award Information**
- **Continuation Information**
- **Awards and Post-award Modifications**
- **Release of Withheld Funds**
- **Draw Down Information**
- **Reporting Requirements**
- **Grant Management Affects Program Impacts**
- **What to Expect from NIFA Site Visit**



# **REQUEST FOR APPLICATION** **INFORMATION**

- **Important to read the RFA and meet deadlines (submit early if possible)**
- **Address program specifics**
- **Follow application guidelines**
- **Keep Grants.gov and SAM Registration up to date**

**This could impact receiving your funds**



# **STATUTORY TIME LIMITATION**

- **Authorizing language limits grant period**
  - **Standard Tribal Programs are limited to five years from the start date of the award**
- **Extensions of time beyond the maximum time limitations (5 yrs.) cannot be approved**



# **APPLICATION INFORMATION**

- **Double check information on SF 424**
- **Ensure EIN and DUNS are accurate and match the Legal entity as registered in SAM**
- **Attachments must be PDF Documents**
- **Separate Budgets and Narratives must be included for all years of your award**



# **1994 INSTITUTION'S** **RESPONSIBILITY**

**Must have procedures in place to document the post award process**

**- Things to think about:**

- **Who will initiate submissions to grants.gov**
- **Role of Authorized Representative to approve all requests submitted**
- **Who will send it to USDA/NIFA/AMD**
- **Who will be drawing down your funds**



# **EQUITY AND EXTENSION CAPACITY**

## **continuation awards**

- You will not use Grants.gov to get your Equity and Extension Capacity funding
- You will use the two-page continuation form, will be sent via e-mail
- You are in the **SECOND** year of a four-year continuation cycle
- Two pages: program and budget
- Program pages are different for each program, budget page is the same
- Special Emphasis and Research Grants use Grants.gov



# BUDGET PAGE PART 1

You only need to use the itemized spreadsheet if your budget is going to change from you planned in 2018.

**Section D, Travel**

- 1. Domestic
- 2. Foreign

**Section E, Participant/Trainee Support Costs**

- 1. Tuition/Fees/Health/Insurance
- 2. Stipends
- 3. Travel
- 4. Subsistence
- 5. Other
- 6. Number of Participants/Trainees

	Itemized (\$)	Totals (\$)	
	[ ]		Amount to be awarded : [ ]
	[ ]		
	[ ]		
	[ ]		Staff changes from original budget
	[ ]		[ ]
	[ ]		
	[ ]		
	[ ]		
	[ ]		Equipment/travel changes from original budget
	[ ]		[ ]
	[ ]		
	[ ]		
	[ ]		Other cost changes from original budget
	[ ]		[ ]





# BUDGET PAGE PART 2

- 1. Materials and Supplies
- 2. Publication Costs
- 3. Consultant Services
- 4. ADP/Computer Services
- 5. Subawards/Consortium/Contractual Costs
- 6. Equipment or Facility Rental/User Fees
- 7. Alterations and Renovations
- 8. Other 1
- 9. Other 2
- 10. Other 3

Total Other Direct

I

J

Section G, Direct Costs (A thru F)

Section H, Indirect Costs--NOTE: Indirect costs are for Equity ONLY. Extension cannot take indirect costs.

Section I, Total Direct Costs and Indirect Costs (G + H)

Section J, Fee

You wrote a proposed budget for 2019 last year as part of your four-year Equity application. If nothing needs to change click the checkbox and have your AR sign the form. Then you scan it and email it to Erin—copy the program specialist.

I have had no changes from the original 2019 budget (this fiscal year) from my original application submitted in 2018 (If no changes are needed choose checkbox and sign. You will not need to complete the itemization above).



AR Signature



# Top of a Face Sheet

## United States Department of Agriculture National Institute of Food and Agriculture AWARD FACE SHEET

1. Award No. 2014-47002-xxxxx	2. Amendment No. 1	3. Proposal Number 2017-05xxx	4. Period of Performance 09/01/2014 through 08/31/2018	5. Type of Instrument Grant
6. Type of Action Continuation	7. CFDA Number 10.500	8. FAIN 20144xxxxxx	9. Method of Payment ASAP 47002xxxxxxxxxxxx17000	10. CRIS Number 10xxxxx
11. Authority: 7 U.S.C. 341, Section 534 of P.L. 103-382, as amended, Extension Activities at 1994 Institutions				
12. Agency (Name and Address) Awards Management Division National Institute of Food and Agriculture Washington, DC 20250-2271		13. Awardee Organization A Great Tribal College City, State Zipcode-four digits		
14. Program Point of Contact: Timothy Grosser Telephone: 202-690-0402 tgrosser@nifa.usda.gov		Administrative Point of Contact: Shynika Loften Telephone: 202-401-6031 sloften@nifa.usda.gov		15. Project Director/Performing Organization A. Nother P. Dee A Great Tribal College City, State Zipcode-four digits
16. Funding:		17. Funds Chargeable		
	<u>Federal</u>	<u>Non-Federal</u>	<u>EY - FDC</u>	<u>Amount</u>
Previous Total	\$200,000.00	\$0.00	17- 513-47002	\$100,000
+ or -	\$100,000.00	\$0.00		
Total	\$300,000.00	\$0.00		
Grand Total	\$300,000.00			
18. Title of Proposal Reservation Farmers, Youth and Seniors Comprehensive Capacity Building Program				

This is the account number in ASAP for this allotment of money

Use this to locate your REEport documents

Section 16 tells how much has been awarded since the grant began and what is awarded for this year.



# Bottom of a Face Sheet

This Award incorporates the following:

## PROVISIONS

1. FY 2016 funds in the amount of \$100,000 are being withheld pending receipt and approval of progress report entered into the REEport system for proposal number 2017-xxxxx, a signed revised budget and budget narrative and a rate of pay for the evaluator (\$1,500). In addition, please provide a 2016 SF425, an updated IRB and a renewed IACUC number (\$50,000).
2. The referenced proposal and any revision thereto - incorporated by reference
3. NIFA General Terms and Conditions (12/14) at <http://nifa.usda.gov/terms-and-conditions>
4. General Provisions found in Title 2: 2 CFR Part 400; 2 CFR Part 415; 2 CFR Part 416; 2 CFR Part 418; 2 CFR Part 422; and, Title 7: 7 CFR Part 3430 - all incorporated by reference and found at <http://www.gpo.gov/searchwebapp/browse/collectionCfr.action?collectionCode=CFR>
5. The Award Budget pending approval
6. NIFA Project Initiation Documents - incorporated by reference
7. The obligation of funds may be terminated without further cause unless the recipient commences the timely drawdown of funds; initial drawdown of funds signifies acceptance of award terms and conditions and should commence in a timely manner within the award period.
8. This is the fourth budget period for this four year continuation project.

If funds are withheld use item 1 as your checklist to get your funds released.

You will see this on the LAST year of a continuation project

### FOR THE UNITED STATES DEPARTMENT OF AGRICULTURE

This award, subject to the provisions above, shall constitute an obligation of funds on behalf of the Government. Such obligation may be terminated without further cause unless the recipient commences the timely drawdown of funds; such drawdowns may not exceed one year from issuance date of the award.

Typed Name  
Robert Shawn Bennett  
Authorized Departmental Officer

Signature  
RBENNETT

Date  
08/20/2015



# **AWARDS and POST AWARD** **MODIFICATIONS**

**Continuation Awards and amendments are issued as a revision to your original award for all post-award actions.**

- **Electronic notification of approved actions are received from [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov)**

**Authorized Representative (AR) and Project Director (PD) receive notifications of awards and amendments**



# **POST AWARD MODIFICATIONS**

- **All Post-Award Requests Require:**
  - **A letter signed by the AR and the PD**
  - **Intent of the Action(s) stated in letter**
  - **Include the Award Number on documentation**
  - **Send as PDF attachment to e-mail address [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov). You can copy the Program office. **Do not send request to NPL****



# **POST-AWARD MODIFICATIONS**

## **Administrative Waivers**

- **Does not need NIFA approval:**
  - **1<sup>st</sup> Time No-cost extensions (up to a year)**
    - **NIFA must be notified officially on letterhead at least 10 days before the award expires by the recipient. You will receive an amendment to your award with the updated period of performance.**
  - **Most Budget changes can be made at the institution, keep records**
  - **Pre-award expenditures 90 days before start date**



# **POST AWARD MODIFICATIONS**

## **NIFA Approvals Required!**

- **Second or subsequent No-Cost Extension**
- **A written request must be received 30-days prior to the expiration date and must include: (Research and Special Emphasis)**
  - **The length of additional time needed**
  - **A justification of exceptional reasons for the additional time**
  - **Summary of progress to date and an estimate of funds remaining unobligated**
  - **Time table to complete the portion that prompted the extension**



# **POST AWARD MODIFICATIONS**

## **NIFA Approvals Required! Cont**

- **Change in key people (PD/Co-PD): When Key Personnel is changed, or time commitment changed by 25% or more:**
  - **Letter indicating change with AR's and new PD's signatures**
  - **New PD's Resume**
  - **New PD's Current and Pending Support Form including current project**





# **POST AWARD MODIFICATIONS**

## **NIFA Approvals Required! Cont**

- **Changes in the scope or objectives of project**
  - **For substantial changes, submit a revised plan**
- **Subcontracts over 50% of the award or to a Federal Agency not approved in original award.**
  - **Submit a letter of commitment from the subcontractor, a budget, and statement of work**
  - **Changes to participant support costs budget line**



# **RELEASE OF WITHHELD FUNDS**

- **The first provision on NIFA-Award Face Sheet will provide information on withheld funds**
- **Signature of PD and AR on release request sent to NIFA, except for funds withheld for REEport**
- **Call the administrative contact listed on block 14 Award Face Sheet for questions**



## **FUNDS WITHHELD BECAUSE**

- **Lack of budget details or letter of intent for sub-award or consultant**
- **Missing forms, ie Current and Pending and PD vita, etc**
- **Reporting requirements are not up to date.**
  - **Post-award requests will not be approved until reporting is up to date.**



# **DRAW DOWN INFORMATION**

- **Draw down funds regularly**
  - **Funds may be drawn as reimbursement for expenditures or in anticipation of expenses**
  - **Draw-downs for anticipated expenses should be expended within 3 days.**
- **Expenditures must be made within the grant period and for costs allowable on the specific award only. No co-mingling funds.**
- **Tracking expenses and ensuring that funds are for the purpose of the specific award is critical**



# **DRAW DOWN INFORMATION, Cont**

- **Final draw down must be made within 85 days after end date of award**
- **After 85 days ASAP account is suspended**
- **Draw-down funds for allowable expenses BEFORE the 85 days to prevent losing funds**
- **Questions about ASAP? Contact ASAPcustomerservice@nifa.usda.gov**



# **ANNUAL REPORTING REQUIREMENTS**

- **Annual Financial Report SF-425**
  - Due no later than 90-days after anniversary date of the award
  - Annual Financial Reports must be up to date at time of processing continuation awards as well as post award actions
- **Annual Progress Report in REEport**
  - Reports on annual program activity
  - Due within 90-days of the anniversary date of grant
- **Late reports will delay approval of post-award requests and could impact funding**



# **FINAL REPORTING REQUIREMENTS**

- **Final Financial Report SF-425**
  - **Due within 90-days after expiration of grant**
  - **Notification of Final Financial Report sent electronically 45-days prior to expiration and again at 90-days after if not received.**
    - **Notification sent by [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov)**
- **Submit required financial reports electronically to [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov)**



# **FINAL REPORTING**

## **REQUIREMENTS, Cont**

- **Final Technical Reports are submitted through REEport, National Program Leader must approve, may ask for a revision**
- **Due within 90 days after expiration of the award**
- **Lack of Final Reports may impact future funding**





# ***WHAT TO EXPECT FROM NIFA SITE VISIT***

- **A copy of the general ledger for each award, financial and source documents identifying actual expenditures will be requested**
- **Drawdown schedule showing funds received for NIFA awards**
- **A list of all personnel and fringe benefits charged to grant**
- **Supporting documents for all payments – vouchers, receipts, invoices, and etc.**



# **WHAT TO EXPECT FROM NIFA**

## **SITE VISIT, Cont**

- **Accounting system should adequately identify expenditures for each grant; has unique general ledger to accumulate the cost of NIFA's grant apart from other grants or college expenses**
- **Accounting system provides recording of expenses for each grant by budget cost category (Travel, Materials and Supplies, etc)**
- **Time sheets or other time records are maintained for each employee on the award to account for specific work hours dedicated to each award.**



# **WHAT TO EXPECT FROM NIFA**

## **SITE VISIT, Cont**

- **Copy of college's policies and procedures, administrative areas such as accounting, payroll, procurement, travel, etc.**
- **Most recent copies of OMB A-133 Audit Report**
- **Brief programmatic report from each active award**
- **Tour of institution and sites where grant is being carried out.**



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# **AMD Brach 1994 Liaisons**

**Jose' Berna**  
**[jberna@nifa.usda.gov](mailto:jberna@nifa.usda.gov)**  
**202-401-6509**

**Bay Mills Community College**  
**Keweenaw Bay Ojibwa Com. College,**  
**Cankdeska Cikana Com. College**  
**Nueta Hidatsa and Sahnish College**  
**Saginaw Chippewa Tribal College**  
**Sinte Gleska University,**  
**Sisseton Wahpeton Com. College**  
**Sitting Bull Community College**  
**United Tribes Technical College**

**Shynika Loften**  
**[sloften@nifa.usda.gov](mailto:sloften@nifa.usda.gov)**  
**202-401-6031**

**Aaniih Nakoda College**  
**Blackfeet Community College**  
**Chief Dull Knife College**  
**Institute of American Indian Arts**  
**Little Big Horn College**  
**Navajo Technical College**  
**Southwestern Indian Polytechnic Institute**  
**Stone Child College**



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# **AMD Brach 1994 Liaisons**

**Tracey Roy**

**troy@nifa.usda.gov**

**202-401-3681**

**College of Muscogee Nation**

**Fond du Lac Tribal and Com. College**

**Haskell Indian Nations University**

**Ilisagvik College**

**Lac Courte Oreilles Ojibwa College**

**Leech Lake Tribal College**

**Little Priest Tribal College**

**Nebraska Indian Community College**

**White Earth Tribal and Com. College**

**Alicia Simon**

**asimon@nifa.usda.gov**

**202-401-6104**

**College of Menominee Nation**

**Dine' College**

**Ft. Peck Community College**

**Northwest Indian College**

**Oglala Lakota College**

**Salish Kootenai College**

**Tohono O'odham Com. College**

**Turtle Mountain Com. College**