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# **Post-Award Management (Non Endowment)**

**National Institute of Food  
and Agriculture (NIFA)  
Office of Grants and Financial  
Management (OGFM)  
Awards Management Division (AMD)**



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# **OVERVIEW**

- **1994 Institute Responsibility**
- **Post-Award Modifications**
- **When is NIFA Approval Required/NOT Required?**
- **Payment / Draw Down Information**



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# *Overview*

- **Treasury Time Limits**
- **Reporting Requirements**
  - **REEport**
- **Changes Happening in AMD**
- **Contacts**
- **Helpful Websites**



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# **1994 INSTITUTE 'S RESPONSIBILITY**

***Your Institution must have procedures in place to document the post award process—***

**Things to think about:**

- **Who will initiate the request**
- **Who will approve it at the institute**
- **Who will send it electronically to:**  
**NIFA/AMD -- [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov)**



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# **Post-Award Modifications**

- **All Post-Award Requests Require:**
  - **A letter signed by the Authorized Representative (AR) and the Project Director (PD)**
  - **The Intent of the Action(s) articulated in letter**
  - **Include the Award Number on documentation**
  - **Submit via pdf to [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov)**



## ***When is NIFA Approval Required?***

- **Change in key personnel (PD and co-PDs)**
- **Fund releases**
- **Second or Subsequent No Cost Extension**
- **Pre-Award Costs more than 90 days preceding the start date of the award**
- **Changes in the scope or objectives of project**
- **Subcontracts over 50% of the award or to a Federal Agency (unless previously approved by NIFA at time of award)**



## **NIFA Approval Required!**

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



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# **NIFA Approval Required**

- **Fund Releases:**
  - **The first provision on NIFA-Award Face Sheet will provide information on withheld funds and what is needed to release them**
  - **Signature of PD and AR on request letter to release funds**
  - **Contact the administrative contact listed in block 14 of the Award Face Sheet for clarification**





# **FUNDS WITHHELD BECAUSE . . .**

- Lack of details for sub-award or consultant
- Is cost for speaker/trainer fees vs. consultant?
- Reporting requirements are not up to date



## **NIFA Approval Required**

- **Second or subsequent No-Cost Extension:**
  - **More closely scrutinized**
  - **Agency Research Terms and Conditions state:**  
“Normally, no single extension may exceed 12 months and only in exceptional cases will more than one extension be considered.”
  - **Grantee must provide: summary of progress to date, justification of exceptional reason(s) for the additional time, remaining fund balance, a time line of completion, and signature of the AR and the PD**



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# NIFA Approval is also Required

- **Pre-award costs beyond 90-days:**
- **Change in Scope/Objectives**
- **The ADDITION of Subcontracts over 50% or to Federal Agency**



# NIFA Approval NOT Required

- **1<sup>st</sup> Time No-cost extensions**
  - *NIFA must be notified in writing with AR signature at least 10 days before the award expires by the recipient*
- **Budget changes from one category to another**
- **Pre-award expenditures within 90 days of the start date**
- **Refer to Research Terms and Conditions for specific requirements**



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# **PAYMENT**

- **Awards funds made available through the U.S. Treasury Automated Standard Application for Payments (ASAP) System**
- **Items to check before calling ASAP:**
  - **May not have completed the enrollment process**
  - **Grant may be expired**
  - **Funds may be withheld**



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# **PAYMENT**

**IF YOU STILL HAVE:**

**Questions or problems accessing funds,  
contact the NIFA Financial Operations  
Division (FOD) at:**

**[asapcustomerservice@nifa.usda.gov](mailto:asapcustomerservice@nifa.usda.gov)**

**OR**

**Your Administrative Point of Contact**



# **DRAW DOWN INFORMATION**

- **Regular draw down of funds should be completed by the Business Office**
  - Funds may be drawn as reimbursement for expenditures or in anticipation of expenses within **THREE** working days
- **Expenditures must be made within the grant period**
- **Final draw down must be made within 90-days of the expiration date**
- **Unless expiring Treasury Authorization**
  - **ASAP account is closed after 90-days**



## **Treasury Authorization LIMIT CAN IMPACT** **FINAL DRAWDOWNS**

- **Five year awards with expiration dates in the months of JUNE, JULY and AUGUST do not have the full 90 days after expiration.**
  - **Must make final drawdown for expenditures no later than August 31 of the fifth year**
- **This is VERY important– FUNDS WILL REVERT BACK TO THE TREASURY**





# **ANNUAL FINANCIAL REPORTING** **REQUIREMENTS**

- **SF-425 due within 90 days based on the anniversary date of the award**
- **The Annual 425 is prepared by the Business Office**
  - **Includes information on matching and indirect costs**
  - ***Post-award requests will not be approved without annual 425 report***



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## **Final Financial Report**

- **SF-425 is due 90-days after grant expiration date**
- **Notification for submission sent electronically 45 days prior to expiration and again at 90-days after if not received.**
- **Submit report to [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov)**



# REReport

- **Technical Reports are now called Grant Reports**
  - **AD-416/417 no longer exists**
- **Projects start with “Project Initiation”**
- **Subsequent reports are called “Progress Reports”**
- **Reporting requirements (how often and when) remain the same**



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## **REEReport (Cont'd)**

- **Email message is sent when selected for award**
  - **Notification and Instructions with link are included in notification**
- **REEReport Contact Information:**
  - **Email: [reereport@nifa.usda.gov](mailto:reereport@nifa.usda.gov)**
  - **Customer Service Hotline: 202-690-0009**



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## **ANNUAL GRANT REPORTS**

- **Due 90-days after the anniversary date of the award**
- **Reminder sent by REEport**
- **Very important for Continuation awards**



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## **FINAL GRANT REPORT**

- **Due 90-days after expiration of the award**
- **Submit through REEport (electronic reporting system)**
- **Failure to comply will impact future funding on NEW and Continuation awards**



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# Changes Happening in AMD

- **Grant Portfolio Management:**
  - **Administrative point of contact to remain constant throughout grant life**
  - **Specialists will actively manage their grant portfolio**
  - **Leads to improved customer service and award management**



# Changes Happening in AMD

- **Post-award approvals are issued as amendments to the award on the award face sheet**
  - **Started June 2013**
  - **Approvals will be sent electronically to the Authorized Representative and Project Director**
  - **Process will be electronic, more efficient, and better documented**





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# **Changes Happening in AMD**

- **Awards Management Division mailbox for post-award requests:**
  - For submission of required financial reports, post-award requests and notifications
  - [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov)



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# **ADMINISTRATIVE GRANT** **RELATED QUESTIONS?**

**Contact the Administrative Point of  
Contact for your award (as listed in  
block 14 of your award document)  
OR the Awards Management Division  
(AMD) at 202-401-4986**



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# **ENDOWMENT GRANT RELATED** **QUESTIONS?**

Brenda Barnett, Branch Chief

202-401-6520

[bbarnett@nifa.usda.gov](mailto:bbarnett@nifa.usda.gov)



# **Program Points of Contact**

- Equity, Extension and Endowment:
  - Tim Grosser, NPL 202-690-0402  
[tgrosser@nifa.usda.gov](mailto:tgrosser@nifa.usda.gov)
  - Jill Lee, Program Specialist 202-720-3511  
[jlee@nifa.usda.gov](mailto:jlee@nifa.usda.gov)
  - Rhiannon Elms, Program Assistant 202-690-2975  
[relms@nifa.usda.gov](mailto:relms@nifa.usda.gov)



# ***Award Terms & Conditions***

- **Research Terms & Conditions**
  - Government-wide terms and conditions
  - <http://www.nsf.gov/bfa/dias/policy/rtc/terms.pdf>
- **NIFA Agency Specific Terms and Conditions**
  - *Contain Agency Specific information – Meals, Equipment, all Reporting requirements*
  - [http://www.nifa.usda.gov/business/managing\\_grant.html](http://www.nifa.usda.gov/business/managing_grant.html)



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## **Helpful Websites:**

- USDA/NIFA Home Page:

<http://www.nifa.usda.gov>

- Tribal Portal website:

[\(http://www.nifa.usda.gov/\)](http://www.nifa.usda.gov/)

- Then click education on the left hand side,  
then click tribal institutions –



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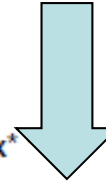
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# **Helpful Websites:**

- **REReport access:**
- **<http://portal.nifa.usda.gov>**
  
- **Competitive Grant Opportunities from all Federal grant-making agencies: <http://www.grants.gov>**



## Research Terms and Conditions Prior Approval and Other Requirements Matrix\* October 2008



|  | AFOSR                   | ARO  | AMRMC | EPA  | NASA | NIH | NSF | ONR  | USDA | DOC  | DOE |
|--|-------------------------|------|-------|------|------|-----|-----|------|------|------|-----|
| <b>General Requirements</b>  |                         |      |       |      |      |     |     |      |      |      |     |
| Change in Scope  | Prior approval required |      |       |      |      |     |     |      |      |      | R   |
| Absence or Change of PI  | R                       | R    | R     | R    | R    | 21  | R   | R    | R    | R    | R   |
| Need for Additional Funding  | Prior approval required |      |       |      |      |     |     |      |      |      | R   |
| Subaward of "significant part" of programmatic effort  | R                       | R    | R     | R    | R    | 2   | R   | R    | 3    | R    | 1   |
| Pre-award costs (90 days)  | Prior approval waived   |      |       |      |      |     |     |      |      |      | W   |
| Pre-award costs (more than 90 days)  | Prior approval required |      |       |      |      |     |     |      |      |      | W   |
| Initial no-cost extension of up to 12 months (per competitive segment)   | R                       | R    | W     | 4    | W    | W   | W   | R    | 5    | W    | W   |
| Subsequent no-cost extension or extension of more than 12 months   | Prior approval required |      |       |      |      |     |     |      |      |      | R   |
| Carry-forward of unexpended balances to subsequent funding   | W                       | W    | W     | W    | 6    | 7   | W   | W    | W    | W    | 22  |
| <b>Cost-related Requirements</b>   |                         |      |       |      |      |     |     |      |      |      |     |
| Rebudgeting among budget categories  | W                       | W    | W     | W    | W    | 8   | W   | W    | W    | W    | 22  |
| Rebudgeting between direct and F&A costs   | W                       | W    | W     | W    | W    | 8   | W   | W    | W    | W    | 22  |
| Rebudgeting of funds allotted for training allowances (direct payment to trainees) to other categories of expense. | W                       | W    | W     | W    | W    | 9   | R   | W    | W    | W    | W   |
| Equipment not in approved budget   | W                       | W    | W     | W    | W    | 8   | W   | W    | W    | W    | 22  |
| Capital expenditures for improvement of equipment not in the   | Prior approval waived   |      |       |      |      |     |     |      |      |      | 22  |
| Alterations and Renovations costing less than \$25,000   | W                       | W    | W     | W    | W    | 11  | W   | W    | W    | W    | W   |
| Foreign Travel   | W                       | 10   | W     | R    | W    | W   | W   | W    | W    | W    | W   |
| Inclusion of costs requiring prior approval in Cost Principles   | W                       | W    | W     | W    | W    | 12  | W   | W    | W    | W    | 22  |
| Faculty consulting compensation that exceeds base salary   | Prior approval waived   |      |       |      |      |     |     |      |      |      | 22  |
| Restrictions on costs not explicitly unallowable under Cost Principles   | none                    | none | none  | none | none | 14  | 15  | none | 16   | none | 13  |

R Prior approval required. "Prior approval" means prior written approval from the sponsor. Prior approval can take the form of the sponsor's acceptance of the proposal and/or proposal budget and subsequent incorporation into the award, or written approval of a separate request submitted by the recipient.

W Prior approval requirement waived

1 Waived except when subaward would be more than 25% of the total dollars of the award

2 Waived unless change in scope and except when subawardee is foreign

3 Waived except when subaward(s) would be more than 50% of the total dollars of the award; required for any subaward to federal agencies

4 Waived except for extensions that would result in a project period in excess of five years

5 Waived only for first-time requests for extensions of 12 months or less