



United States
Department of
Agriculture

National Institute
of Food
and Agriculture

2017 FALCON MEETING MANAGING 1994 INSTITUTION AWARDS: PRE and POST AWARD MANAGEMENT BEST PRACTICES

November 6, 2017

USDA NIFA

NATIONAL INSTITUTE OF FOOD AND AGRICULTURE

OVERVIEW

- Statutory Time Limitations
- Pre-award Information
- Awards and Post-award Modifications
- Funds Withheld
- Draw Down Information
- Reporting Requirements

STATUTORY TIME LIMITATION

- Program 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
- Funds not expended will be returned to Treasury.

1994 INSTITUTION'S RESPONSIBILITY

- Best practice to have key staff in place to with appropriate experience to carry out the project
- Communication between the Authorized Representative, Project Director and the Accounting Office
- Who will initiate and approve requests concerning your award?

AWARDS and MODIFICATIONS

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

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/or the PD
 - The Intent of the Action(s) articulated in letter
 - Include the Award Number on documentation
 - Send as PDF attachment to e-mail address at awards@nifa.usda.gov

POST-AWARD MODIFICATIONS

Administrative Waivers

- Does not need NIFA approval:
 - 1st 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 with AR signature
 - Most Budget changes
 - Pre-award expenditures 90 days before start date

POST AWARD MODIFICATIONS

NIFA Approvals Required!

- Second or subsequent No-Cost Extension
 - A written request signed by the AR and the PD must be received 30-days prior to the expiration date and must include:
 - 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'd)

- 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 this project

POST AWARD MODIFICATIONS

NIFA Approvals Required! (Cont'd)

- 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 sub-contractor, a budget & budget narrative, and statement of work
- Changes to Participant Support Costs budget line

FUNDS WITHHELD MEANS

- Your project has been approved and funds have been “obligated” at NIFA
- You will receive an Award Notification
- Some or all of the project funds may not be available to your ASAP account for expenditure until released by NIFA

FUNDS WITHHELD BECAUSE

- Lack of details or letter of intent for sub-award or consultant
- Missing forms or incorrect data
- IRB and/or IACUC approval needed
- Reporting requirements are not up to date. (post-award requests will not be approved until reporting is up to date)

RELEASE OF WITHHELD FUNDS

- The first provision on NIFA-Award Face Sheet will provide information on withheld funds and what is needed to release them
- Signature of AR on release request to be sent to NIFA
- Call the administrative contact listed on block 14 Award Face Sheet for clarification

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 you are drawing down from
- 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 90-days after end date of award
 - 90 days is for liquidation of obligations only (paying bills).
- After 90 days ASAP account is suspended
- To avoid losing funds draw-down for allowable expenses BEFORE the 90 day deadline

ANNUAL REPORTING REQUIREMENTS

- Annual Financial Report SF-425
 - Due no later than 90-days after anniversary date of the award
 - Instructions and forms:
 - http://www.whitehouse.gov/omb/grants_forms
- Annual Technical Progress Report
 - Reports on annual program activity
 - Due within 90-days of the anniversary date of grant
- Late reports will delay approval of post-award requests.

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
- Submit required financial reports electronically to awards@nifa.usda.gov

FINAL REPORTING REQUIREMENTS

Cont.

- Final Technical Reports are submitted through REEport
- Due within 90 days after expiration of the award
- National Program Leader must approve
 - NPL may ask for a revision before approving

QUESTIONS????

LIAISONS

Jose Berna

jberna@nifa.usda.gov-202-401-6509

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

Shynika Loften

sloften@nifa.usda.gov-202-401-6031

Aaniiih Nakoda College
Blackfeet Community College
Chief Dull Knife College
Institute of American Indian Arts
Little Big Horn College
Navajo Technical University
Southwestern Indian Polytechnic Institute
Stone Chile College

LIAISONS, CONT.

Tracey Roy

troy@nifa.usda.gov-202-401-3681

College of Muscogee Nation
Fond du Lac Tribal and Community 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 Community 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 Community College
Turtle Mountain Community College

THANK YOU!!!!

Susan Bowman, Branch Chief, AMD

202-401-4324, sbowman@nifa.usda.gov