The 2018 NIFA Policy Guide Update – Overview of key changes and new structure

Competitive Grantee webinar

June 26, 2018

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Office of Grants and Financial Management

Describes the statutory and regulatory responsibilities of NIFA federal-fund recipients.

Allows grantees to have access to a single document for information formerly provided by a variety of grantee manuals.
2018 Policy Guide Update Overview

Timing
- NIFA began process to update Policy Guide in 2017
- Final guide anticipated in September 2018

Format
- Format changes
- Improved Navigability
- Upfront Glossary

Content
- Content updates
- New additions
- Enhanced capacity grants sections
Stakeholder Feedback Timeline

**June - Webinars**
Overview webinars to learn about changes

**Review Draft Guide**
Available at [https://nifa.usda.gov/policy-guide](https://nifa.usda.gov/policy-guide)
- Stakeholders Review Guide and Submit comments. [Direct Link to Policy Guide](https://nifa.usda.gov/policy-guide)
- Guide is 217 pages
- Recommend multiple reviewers – breaking up document into chunks

**Prepare feedback**
Request compiled feedback by existing groups
- e.g. Regional Associations, 1890 associations, etc.

**Submit by July 30!**
Submit comments to: policyguide@nifa.usda.gov
Formatting of Revised Guide
New Policy Guide Order

I. Purpose

II. Pre-award

III. Application Evaluation

IV. Award Issuance

V. Post Award Federal Requirements

VI. Allowable Costs

VII. Audit Requirements

VIII. Other NIFA Assistance Programs
New Policy Guide Format - Appendices

• Appendix I – Public Policy Requirements
• Appendix II – Definitions
• Appendix III – NIFA Capacity Program Guide
• Appendix IV – NIFA Federal Assistance Programs: Authority References
Award Type Labels

Each Section is labeled with what type of award it applies to:

ALL AWARDS  COMPETITIVE  CAPACITY

Check sub sections

Labeled at: A, 1, a, i levels
Improved Navigability

• Table of Contents
  - Increased detail – down 3 levels
  - Labeled for applicability
  - Click on Name and bring you to that section in document

• Glossary
  - Jumps to pages within document
  - Hyperlinks to applicable regulations
Table of Contents

Table of Contents  ii
Acronyms  vii
Glossary of Frequently Used Terms  viii
Using the Guide  x

I.  NIFA Policy Guide Overview and Purpose  1
   A.  Scope  ALL AWARDS  2
   B.  Supersession and Applicability  ALL AWARDS  2
      1.  Supersession  2
      2.  Applicability  3
   C.  Sources of Requirements in Policy Guide  ALL AWARDS  3
   D.  Effect and Order of Precedence  ALL AWARDS  3
   E.  Roles and Responsibilities  ALL AWARDS  5
      1.  NIFA Roles and Responsibilities  5
      2.  Land-Grant Institutions – Cooperative Extension and Research  8
      3.  Recipient Roles and Responsibilities During the Grant period  9
VI. ALLOWABLE COSTS

A. Factors affecting allowability of costs (2 CFR 200.403) ALL AWARDS 129
B. Reasonable costs (2 CFR 200.404) ALL AWARDS 130
C. Allocable Costs (2 CFR 200.405) ALL AWARDS 130
D. Applicable credits. ALL AWARDS 131
E. Prior written approval (Prior Approval) ALL AWARDS 131
   1. Required prior approvals COMPETITIVE AWARDS 132
   2. Equipment CAPACITY AWARDS 132
   3. Carryover of Unobligated Balances COMPETITIVE AWARDS 132
   4. Transfer to a different Grantee Organization COMPETITIVE AWARDS 133
   5. Change In Grantee Organization Status COMPETITIVE AWARDS 134
   6. Salaries ALL AWARDS 135
   7. Deviation from the Award Terms and Conditions ALL AWARDS 135
   8. Requesting NIFA Prior Approval ALL AWARDS 135
F. Direct and Indirect Costs ALL AWARDS 136
   1. Direct costs ALL AWARDS 136
   2. Indirect Costs and Limitations ALL AWARDS 137
   3. Indirect Cost Rates COMPETITIVE AWARDS 138
G. Disallowed Costs ALL AWARDS 138
H. Selected Items of Cost – Allowable and Unallowable Costs ALL AWARDS 139
   1. Allowable/Unallowable costs matrix ALL AWARDS 140
   2. Support and documentation for specific items of cost ALL AWARDS 148
      a. Capacity grant limitation on retirement contribution CAPACITY AWARDS 148
      b. Food/Meals as part of conferences/meetings ALL AWARDS 148
      c. Travel ALL AWARDS 148
      d. Salaries/Time and Effort Reporting ALL AWARDS 150
## Glossary of Frequently Used Terms

This glossary is intended as a navigation aid to the definitions or explanations of common terms and subjects within the Policy Guide. This is not an index. Below is a list of common terms; click on the page number to be taken to the applicable place within the Policy Guide where the definition or role is located. Where applicable, the statutory or regulatory citation is also included with a hyperlink to the statute or regulation.

| Term                                                                 | Page Number | Citation and hyperlink (if available)                                      |
|                                                                     |             |                                                                        |
| 1862 Land-Grant Institution                                         | 175         | 7 CFR 3430.2, 7 U.S.C. 301 et seq.                                    |
| 1890 Extension Administrator and Research Director                 | 10          |                                                                        |
| 1890 Land-Grant Institution                                         | 175         | 7 U.S.C. 7601(2) and 7 CFR 3430.2                                     |
| 1994 Land-Grant Institution                                         | 175         | 7 CFR 3430.2 and 7 U.S.C. 301                                        |
| Administrative Technical Representative (ATR)                       | 12          |                                                                        |
| Agricultural Research                                              | 175         | 7 CFR 3430.2                                                           |
| Agricultural Research, Extension and Education Reform Act of 1998 (AREERA) | 176     | 7 U.S.C. 7626 7613                                                     |
| Approved Budget                                                     | 176         | 2 CFR 200.308                                                          |
| Authorized Departmental Officer (ADO).                             | 9, 176      | 7 CFR 3430.2                                                           |
| Authorized Representative                                          | 9           | 7 CFR 3430.2                                                           |
| ASAP                                                                 | 49, 50, 176 |                                                                        |
| Award                                                                | 177         | 7 CFR 3430.2                                                           |
| Budget                                                               | 25, 80, 176 |                                                                        |

**GLOSSARY**

- Page numbers are bookmarks and bring you to exact place in document
- Citations that are blue are hyperlinks to websites
Content Updates and Additions
Overview

- Uniform Guidance citations and changes
- New statutory and regulatory changes
- Capacity and Research terms and conditions
- Updated NIFA processes
- Consistent Definitions
- Discussion of Allowable costs

Roles and Responsibilities
**Purpose Updates**

- Institute and NIFA Office Descriptions
- NIFA Roles and Responsibilities
- Recipient Roles and Responsibilities

**Pre-Award**

- RFA format and updated types of applications
- Added ezFedGrants.gov info
- Felony & Tax Certification
- Updated Matching section
- Application documents and key contacts
- Updated Applicant eligibility and citizenship

**Application Evaluation**

- Capacity award section
- Enhanced Pre-award review and risk assessment
- Added FAPIIS
Pre-Award

Matching/Cost sharing section significantly expanded
- Definition
- Applicability
- Allowability
- Compliance

Streamlining of Continuation Awards
- Added overview of new, streamlined process for submitting and processing continuation awards
Award Issuance

Using Notice of Award Terminology
Updated NOA based on req’s
Updated capacity award notification per ezFedGrants
Updated payments ASAP

Award Issuance

Updated Terms and Conditions
Project Period/POP/budget period
Use of NIFA identifier requirements and language

Award Issuance

Significantly enhanced Capacity Grant Matrix
Formula Use of Funds Limitations Reporting requirements Matching requirements Carryover
Post-Award

✔ Added missing UG sections:
  • Financial Management systems
  • Internal controls
  • Revision of budget and program plans (competitive)
  • Property standards
  • Procurement
  • Subrecipient monitoring and oversight

✔ Significantly updated performance and financial reporting section
  • PARS provided input and review
Property Standards - Equipment

- Definitions
  - General Purpose
  - Special Purpose
- Prior approval
- Title
- Use

- Management Requirements
- Sale and Disposition
- Supplies and other expendable property
Intangible Property

- Research Results
- Sharing of Research
- Patents and Inventions
- Royalties
- Rights in Data
- Publications
- Plant Variety Protection
- Licenses
- Access to research
- Invention Reporting
- i-Edison
- Transfer of Rights
Performance and Financial Reporting

Program Performance Reporting updated
- Project Initiation
- Annual Progress
- Final Report

SF-425 and REEport Financial Report updated
- Added overview of new, streamlined process for submitting and processing continuation awards

Summary Chart of Due dates

FFATA reporting
Allowable Costs

• Added full discussion on concepts of reasonable, necessary and allocable
• Added section on prior approvals
• Added section on direct and indirect costs
• Added a new allowable costs matrix
• Detailed description of common questioned/disallowed costs and what requirements are associated with these costs
Prior Written Approval

Definition

Terms and Conditions

Salaries

Requesting approval

Carryover of unobligated balances

Change in Organization status

Transfer to a different organization
## Allowable Costs Matrix Items

<table>
<thead>
<tr>
<th>Uniforms/Safety Equipment/T-shirts/Clothes</th>
<th>Entertainment</th>
<th>Equipment</th>
<th>Construction/Renovation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indirect costs</td>
<td>Incentives</td>
<td>Travel/ Foreign Travel</td>
<td>Meals/Food</td>
</tr>
<tr>
<td>Memberships</td>
<td>Promotional items</td>
<td>Salaries</td>
<td>Tuition Remission</td>
</tr>
</tbody>
</table>
# Allowable Costs Matrix

1. Allowable/Unallowable costs matrix **ALL AWARDS**

   - A = Allowable
   - U = Unallowable
   - AC = Allowable with conditions

<table>
<thead>
<tr>
<th>Item of Cost</th>
<th>Description</th>
<th>Competitive</th>
<th>Capacity</th>
<th>Facilities</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meals/Food*</td>
<td>Business meals may not be charged as project costs when individuals decide to go to breakfast, lunch, or dinner together when no need exists for continuity of a meeting. Such activity is considered to be an entertainment cost. On the other hand, meals that are part of the costs of meetings and conferences, the primary purpose of which is the dissemination of technical information, are allowable as are costs of transportation, rental of facilities, speakers' fees, and other items incidental to</td>
<td>AC</td>
<td>AC</td>
<td>U</td>
<td>See supporting documentation section below.</td>
</tr>
</tbody>
</table>
Support and Documentation for Specific Items of Cost

- Detailed information about what NIFA looks for
- Applicable citations
- Broken down by competitive and capacity
- Food/Meals/Conference; Travel; Salaries
Audit Requirements and Other Programs

✔ Updates consistent with UG
  • Auditee and NIFA responsibilities
  • Audit Cognizant Agency
  • Avoiding fraud, waste, and abuse of NIFA grant funds

✔ Updates to programs/audiences per changes in authority or NIFA process
  • Tribal, 4H, HASCU, VLRMP
Appendices - Definitions

• Reviewed and updated definitions against:
  - 2 CFR 200 (Uniform Guidance)
  - 7 CFR 3430
  - 7 CFR 3419
  - Terms and Conditions
• Goal = consistency
Appendices - ALL Awards

• Appendix I - National Public Policy requirements
  - Not all inclusive
• Appendix IV - NIFA Federal Assistance Program Authority References
Submission of Comments

• Due by 5:00 p.m. ET on July 30, 2018
• Send via email to: policyguide@nifa.usda.gov
• We encourage you to aggregate comments within existing organizations
Questions?

policyguide@nifa.usda.gov