



United States  
Department of  
Agriculture

National Institute  
of Food  
and Agriculture

# FY 2020 - Implementation of Capacity Grants Budgets

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Erin Daly and Maggie Ewell

Office of Grants and Financial Management

USDA NIFA

NATIONAL INSTITUTE OF FOOD AND AGRICULTURE

# Results-Oriented Accountability for Grants

- President's Management Agenda
  - Priority Area for Transformation
    - Enhances Accountability
    - Improves Planning
    - Reduces Burden





# Why implement budgets for capacity grants in FY 2020?

Currently: NIFA does not require overarching budgets from applicants for its' capacity grant programs (with exception of EFNEP)

Reasoning: Uniform Guidance, GONE Act and DATA Act require NIFA to enhance its monitoring, oversight of all grants, including capacity

Benefit: By requiring budgets as part of capacity applications, NIFA will be able to access data on spending to report, respond to inquiries

# When will budgets be required, for which programs?

- Budgets will be required as part of FY 2020 capacity applications
  - Due September 2019
- All of NIFA's capacity grant programs will require budgets in FY 2020
  - EFNEP will continue with currently required budgeting process and forms





# What form will NIFA be requiring for capacity budgets?

- Standard Form 424a (Non-construction Programs)

<b>BUDGET INFORMATION - Non-Construction Programs</b>							OMB Approval No. 0348-0044
<b>SECTION A - BUDGET SUMMARY</b>							
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget			
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)	
1. Leave Blank	Leave Blank	\$	\$	\$	\$	\$ 0.00	
2.						0.00	
3.						0.00	
4.						0.00	
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	



# Why did NIFA choose Form 424a for capacity budgets?

- Ease of implementation – grantees & NIFA
  - Already OMB approved, widely used by HHS, Education, DOT, Energy, SBA
- High-level data required for entire award amount
  - As compared to R&R forms used in NIFA’s competitive programs
- Federal & nonfederal data, carryover included
  - Full accounting of funds



# What categories are included in the 424a budget?

- Section B - Object Class Categories
  - Where match is required, complete for federal and non-federal portions
  - Personnel = total budget for salaries
  - Indirect Charges not allowable, will have zeroes

6. Object Class Categories
a. Personnel
b. Fringe Benefits
c. Travel
d. Equipment
e. Supplies
f. Contractual
g. Construction
h. Other
i. Total Direct Charges ( <i>sum of 6a-6h</i> )
j. Indirect Charges
k. TOTALS ( <i>sum of 6i and 6j</i> )



# What information will be required for matching funds?

- Where match is required, the source will need to be broken out by applicant, state, and other

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$ 0.00
9.				0.00
10.				0.00
11.				0.00
12. TOTAL (sum of lines 8-11)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00





# Will budget justifications be required?

- Yes, these are necessary as a way of describing the categories of planned expenditures included
- Justifications will be at the aggregate level for award budget categories, not at the project level



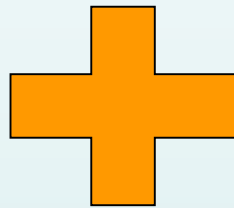
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# What guidance will there be to assist applicants in completing budgets?

FY 2019 RFA  
Instructions



**NIFA  
GRANTS.GOV  
APPLICATION  
GUIDE**



# How will NIFA gather stakeholder input on this?

## Webinars

Overview webinars to learn about implementation

- 4 regional webinars for Admin/Business contacts
- APLU, ECOP, ESCOP, 1890 & Insular Area meetings/calls & ATR meeting for McIntire-Stennis program

## Review Draft Guidance

Will be available in October at [Capacity Grant Webpage](#)

- Form 424a, sample completed form, FAQs
- Draft FY19 NIFA Grants.gov & RFA instructions

## Prepare feedback

Written or as part of dialogue on implementation

- General or related to specific program(s)
- Can be consolidated as part of region's feedback or specific to institution

## Submit by Dec 15!

Submit written comments to: [Policyguide@nifa.usda.gov](mailto:Policyguide@nifa.usda.gov)



# Timeline

Aug - Oct 2018

Conduct webinars, discuss implementation plans

Oct - Dec 15, 2018

Stakeholders review guidance; prepare & submit comments

- 2 months to review
- Comments due December 15, 2018

Dec 15 - Jan 2019

OGFM edits guidance based on feedback

Feb 2019

Revised guidance published

Apr - May 2019

NERAOC Denver, additional outreach & pilot testing

Jul - Aug 2019

FY2020 Capacity RFAs posted w/ new budgets, instructions

Aug - Sept 2019

Deadlines for submission, FY2020 Capacity applications

# How will revisions to 424a be handled?



- While auditable, 424a figures are best estimates, tools for planning purposes
  - It is not expected that subawardees will be known; however, the scope/categories of their work should be
- Revised budgets will only be required if there are significant changes from initial submission
  - Consistent with competitive budget requirements
  - Revised budgets will be emailed to INSERT EMAIL for review and approval



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How will 424a change existing  
prior approval and reporting  
requirements?

## Equipment

- If approved in 424a, prior approval not required
- If omitted from 424a, prior approval required, current process used

## SF-425s

- No changes to annual, final requirements or deadlines
- SF-425s report actual expenditures made vs. planned expenditures

## REEReport

- No changes anticipated
- Financial data reported used to evaluate Plans of Work, reportable by project & topic



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# How do I submit written comments on NIFA budget proposal?

- Due by 5:00 p.m. Dec. 15, 2018
- Send via email to: [Policyguide@nifa.usda.gov](mailto:Policyguide@nifa.usda.gov)

A yellow, multi-pointed starburst graphic with a black outline, containing the text "Stay Tuned!".

**Stay  
Tuned!**





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# Questions?

## **NIFA Office of Grants & Financial Management Contacts:**

- Erin Daly: [edaly@nifa.usda.gov](mailto:edaly@nifa.usda.gov)
- Maggie Ewell: [Margaret.ewell@nifa.usda.gov](mailto:Margaret.ewell@nifa.usda.gov)