

**HISPANIC-SERVING INSTITUTIONS EDUCATION GRANTS PROGRAM
FY 2006 GRANTEES' CONFERENCE
SEPTEMBER 5 - 8, 2006**

POST AWARD ADMINISTRATION

This program is administered under the provisions of Section 1455 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA) (7 U.S.C. 3241) pursuant to Section 815 of Public Law 104-127. Section 1455 of NARETPA authorizes the Secretary of Agriculture to make competitive grants to Hispanic-Serving Institutions (HSIs) for the purpose of promoting and strengthening the ability of HSIs to carry out education, applied research, and related community development programs.

For this program, the term "food and agricultural sciences" means basic, applied, and developmental teaching activities in food and fiber, agricultural, renewable natural resources, forestry, physical and social sciences, or rural economic, community, or business development, including related disciplines as defined in section 1404(8) of NARETPA.

INSTITUTIONAL COLLABORATIONS

Those proposals submitted as a Joint Project are required to include two or more HSIs, units of State governments (including state colleges or universities), or the private sector (including private or independent colleges). A Consortium proposal is required to include five or more institutions working together to share resources.

For Joint Projects, the lead institution must retain a minimum of 25% but no more than 75% of the award funds. The distribution of the remaining funds is determined by the participating institutions however, no cooperating institution may receive less than 10% of the award funds.

For Consortium Projects, the lead institution must retain a minimum of 25% of the award funds with the distribution of the remaining funds determined by the participating institutions.

STATUTORY TIME LIMITATIONS ON AWARDS:

Section 1472 (c) of 7 USC 3318 establishes a maximum time limitation of five years for these grants. The time period begins with the start date of the award (as opposed to the date the award is approved by CSREES). Because this is a statutory requirement, CSREES has no authority to waive the limitation. All funds must be obligated and the proposed work completed by the end of the five year period. Extensions beyond the five years can not be approved. Any funds remaining at the end of the award period must be returned to CSREES.

INDIRECT COSTS:

Section 709 of the General Provision in the FY 2006 Agricultural Appropriations Act (Public Law 109-97) limits indirect costs to 20% of the Total Federal Funds Awarded for each award.

TERMS AND CONDITIONS ON AWARDS:

Full test version of the Terms and Conditions may be found on CSREES' website under "Business with CSREES" at:

<http://www.csrees.usda.gov/business/awards/awardterms.html>

The terms and conditions most commonly used for the HSI Education Grants Program are Terms and Conditions- A, -B, or -Federal Demonstration Partnership (FDP). Most awardee organizations are under either Terms and Conditions - A or the -FDP and those who do not have a history of receiving grant awards from CSREES-USDA are placed under the more restrictive Terms and Conditions -B. Refer to your Award Face Sheet (Form CSREES-2009) to determine which Terms and Conditions apply to your award.

ADMINISTRATIVE WAIVERS:

Awardees under Terms and Conditions - A or FDP have the authority, through their Authorizing Organizational Representatives (AOR) to make certain changes or adjustments to their award or approved budgets.

1. **Pre-Award Costs** - With approval of the institution's AOR, the awardee may incur costs up to 90-days prior to the start date of the award. (Awardees under Terms and Conditions-B see the following Prior Approval Requirements for Pre-Award Costs.)

2. **No-Cost Extensions of Time** - The Awardee's AOR may approve a first-time extension of up to 12-months. This must be done prior to the expiration date of the award and CSREES must be notified within 10-days of the extension. Note: This extension must be done within the statutory time limitation of the award. It does not add another year to the time limit. *See Note under Item 4. Prior Approval Requirements. (Awardees under Terms and Conditions-B see the following Prior Approval Requirements for No-Cost Extensions of Time.)

3. **Budget Changes** - With approval of the institution's AOR, the awardee may make allowable budget changes and other administrative changes except those that change the scope or objectives of the project, change key personnel, create a need for additional funding, or other changes which are specifically prohibited by the terms and conditions. (Awardees under Terms and Conditions-B see the following Prior Approval Requirements for Budget Changes.)

PRIOR APPROVAL REQUIREMENTS:

The following post-award actions require CSREES' approval and are applicable to awardees under Terms and Conditions -A, -B, or -FDP. Requests for approval of these actions may be submitted to the Awards Management Branch (AMB) via fax. An approval letter in response to your request will be issued and mailed to your AOR.

1. **Changing the Scope or Objectives of the Project.** Projects are selected and approved based on the proposal as submitted and any changes to the objective or scope of work require CSREES' National Program Leader (NPL) and AMB approval.

Submit: A proposal detailing the revised scope or objective, a justification/explanation of why the changes are necessary, and the Project Director (PD) and AOR signatures. Keep in mind the CSREES' Program objectives. Your revision should stay within the Program's objectives.

2. **Changing Key Personnel or an Absence or Change in PD.** Key personnel are identified as the PD or Co-PD or Senior Associates. When it is necessary to replace the PD or Key Personnel, or will be absent from the project for three or more consecutive months, a replacement must be selected and approval obtained from CSREES.

Submit: A letter explaining the circumstance and identifying the replacement. The letter must be signed by the AOR and the new personnel. Include a copy of the new personnel's vita. Current and Pending Support information for the new PD must also be included.

3. **Subcontractual Arrangements.** No more than 50 percent of the total award may be subcontracted to another party or parties without prior written approval from CSREES. Any subcontract awarded to another Federal Agency must have prior approval regardless of the amount.

Submit: A justification for the need to enter into the subcontractual arrangement signed by the AOR. A statement of work, budget, and budget narrative for the proposed subcontractor should also be included.

4. **No-Cost Extensions of Time***. Awards under Terms and Conditions - B must request approval for any extensions of time on their projects. Those projects under Terms and Conditions - A or -FDP who need additional time after using their Administrative Waiver Extension may request CSREES approval for an additional extension(s).

Submit: A letter requesting the extension should be submitted to CSREES within 30-days prior to the expiration date of the award. The letter must be signed by the AOR and the PD and must include the following information:

- a. The length of additional time needed to complete the project objectives and a justification for the extension;
- b. A summary of progress to date (for projects where CRIS reporting was required, a copy of a current CRIS Report AD-421 is acceptable);
- c. An estimate of funds remaining unobligated at the current expiration date;
- d. A projected timetable to complete the portion(s) of the project for which the extension is requested;
- f. A status of cost sharing to date, if applicable.

*NOTE: It is important to pay attention to the expiration date of your award and to expend your funds in a timely manner. Projects that have funds remaining and have not been completed by the established ending date may be extended with the approval of a no-cost extension. No-cost extensions must be requested at least 30-days prior to the current ending date of the award.

Any funds expended on a project after the expiration date may not be charged to that award. Do not put your institution at risk of losing funds or having to pay back unallowable costs.

Please note, there are maximum time limitations on CSREES awards which prohibit us from approving extensions beyond those set time limits. See the Time Limitations section for important information.

5. **Budget Changes:** Awardees under Terms and Conditions - B are required to obtain CSREES' approval for changes more than 10% of the budget amount. (Awardees under Terms and Condition -A or FDP see Budget Changes under the previous Administrative Waivers section.)

Submit: A letter signed by the AOR explaining the need for the changes along with a revised budget Form CSREES-2004 with the requested changes. The budget should contain the signatures of PD and the AOR

6. **Pre-award Costs.** Awardees under Terms and Conditions - B who had a need to incur costs prior to the start date of the award may request pre-award approval and those awardees under the Terms and Conditions - A or -FDP who had a need to incur pre-award expenses beyond the 90-day authority may request approval to incur expenses.

Submit: In each case, a letter with a justification for needing pre-award expenditures, and if the costs are not reflected in the approved budget, a general breakdown of how the funds were used along with a dollar amount should be submitted to the AMB. The letter

must be signed by the PD and the AOR.

REPORTING REQUIREMENTS:

All awards issued by CSREES require the submission of final reports:

1. **Final Technical Report** - is due within 90-days after the expiration date of the award. Funds for new or continuing awards will not be released until overdue final reports are submitted. Final report could be in the form of a final CRIS Report AD-421 or a more in-depth technical report.

2. **Final Financial Report** - also due within 90-days after expiration. Form SF-269 should be submitted. See the Terms and Conditions for address where this document is submitted.

UNALLOWABLE COSTS

The following are examples of costs that are unallowable uses of Federal funds. This list is not exhaustive. Refer to the Program's Request for Applications for additional information and/or consult an AMB staff member if you have questions on whether a cost could be allowable.:

- a. Costs above the amount authorized for the project;
- b. Costs incurred after the expiration date of the award;
- c. Costs which lie outside the scope of the approved project;
- d. Entertainment costs regardless of the apparent relationship to the project.
- e. Business meals not included as a part of a workshop or conference or when no need for continuity of a meeting exists. Pre-conference breakfasts are also unallowable. This does not include meals for persons in a travel status. Those meals would be covered by the per diem rate.
- f. Consulting services performed by a Federal employee during official duty hours when such consulting services result in extra compensation to the employee.
- g. Travel for CSREES employees.
- h. Promotional give-away items. Award funds cannot be used to purchase give-away items such as coffee mugs, tote bags, T-shirts, stress balls, etc.

I. The planning, acquisition, or construction of a building or facility.

AWARDS MANAGEMENT BRANCH CONTACT INFORMATION:

Adriene Woodin
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Awards Management Branch
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CSREES-USDA
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202-401-3237

Mailing Information:

Express Mail:

Attn: _____
Awards Management Branch
OEP-CSREES-USDA
800 9th Street, SW, Room ____
Washington, DC 20024

U.S. Mail:

Awards Management Branch
Attn: _____
Office of Extramural Programs
Cooperative State Research, Education,
and Extension Service - USDA
1400 Independence Ave., SW, Stop 2271
Washington, DC 20250

Awards Management Branch HSI Education Grants Program Liaisons:

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**United States Department of Agriculture
Cooperative State Research, Education and Extension Service
Office of Extramural Programs
Awards Management Branch**

Website References for Administering CSREES Grant Awards

**OMB Circular A-21
Cost Principles for Principles for Educational Institutions**

<http://www.whitehouse.gov/omb/circulars/a021/a021.html>

This Circular establishes principles for determining costs applicable to grants, contracts and other agreements with educational institutions. This Circular provides a listing of some of the more common cost items and if they are allowable in grant budgets.

**OMB Circular A-110
Uniform Administrative Requirements for Grants & Agreements
With Institutions of Higher Education, Hospitals and Other Non-Profit
Organizations**

<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

This Circular sets forth policies on pre- and post-award requirements, including financial and program management, property and procurement standards, reporting requirements, and close-outs.

**OMB Circular A-122
Cost Principles for Non-Profit Organizations**

<http://www.whitehouse.gov/omb/circulars/a122/a122.html>

This Circular establishes principles for determining costs applicable to grants, contracts and other agreements with non-profit organizations. This Circular provides a listing of some of the more common cost items and if they are allowable in grant budgets.

7 CFR Part 3019

Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Educations, Hospitals, and other Non-Profit Organizations.

<http://www.csrees.usda.gov/business/awards/fedregulations.html>

This regulation covers the administration of grants and cooperative agreements.

To access this document after clicking on the link above, click on the link to the National Archives and Records Administration; Scroll down to Title 7 Agriculture and click on the link to Jan. 1, 2006; Scroll down and click on the link to 3000-3099 Office of Chief Financial Officer; Scroll down and click on the link to 3019 .

CSREES Award Terms and Conditions

<http://www.csrees.usda.gov/business/awards/awardterms.html>

The Terms and Conditions attached to your award provide information on administrative waivers, post-award administration, and reporting requirements.

Doing Business with CSREES - FAQ's

<http://www.csrees.usda.gov/business/businessfaq.html>

The Frequently Asked Questions section may be very helpful in finding grant information on the following topics:

[General Information](#)

[Pre-Award/Award](#)

[Payments](#)

[Post-Award Administration](#)

[Financial Reporting Requirements](#)

[Request for Application](#)

CSREES Funding Opportunities

<http://www.csrees.usda.gov/fo/fundview.cfm?fonum=1094>

This site has links to all CSREES Program Requests for Applications (RFA).
Program specific requirements and restrictions are listed in the RFA.

August 2006

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** 1994 Schools

Facilities