

# **Capacity Grant Training**

November 29, 2018



### Agenda

- What are capacity grants Terri Fayle
- Capacity grant funding Geneva Jahnke
- Capacity grant reporting Marty Draper
- K-State's webpage and USDA's REEport –
   Terri Fayle



### Cayuse Grant Management

- K-State implementing now
- Should be up and running April-May
- Plan to incorporate capacity grants
- Very possible processes around these projects will change







- Grants made to land grants and Ag Experiment Stations for...
  - Research
  - Extension
  - Forestry Research
  - Animal Health
  - Others



- Previously called Formula Funds
- Require an application on the same forms as your competitive grants
- NOA/Face Sheet issued by NIFA for the funds, same as for your competitive grants
- Subject to same federal regulations on management of funds as competitive grants
- Have some specific expenditure restrictions



- Hatch Regular 99 projects
- Hatch Multistate 87 projects
- Smith-Lever 3 b) and c) -
- McIntire-Stennis 2 projects
- Animal Health 1 project
- All of these projects make up the Kansas AES plan of work



### Hatch Multistate

- High priority topics with regional application
- AES directors approve all projects in their region
- Managed at <u>www.nimss.org</u> web-based management tool for all four regions, NC, NE, S, W



### **Project Approval**

#### Multistate

- Regional version of project
  - Written at regional level, all universities participate
  - Approved by region's AES directors
  - Final approval provided by NIFA
  - Managed at <u>www.nimss.org</u>
  - Faculty must complete
     Appendix E to participate
  - But you're not done!

### **All Projects**

- Local version of project (affects Hatch, Multistate, McIntire-Stennis, Animal Health)
  - Written by local faculty member/team
  - Approved by AES
  - Final approval provided by NIFA, only now can expenditures start
  - Managed at REEport, https://portal.nifa.usda.gov





# **Capacity Grant Funding**



### **Financial**

- Financially treated like a competitive grant.
- All are subject to 2CFR200 all operating expenditures will require the Dean/Dir's signature (including Smith-Lever funds)
- New FIS projects will be assigned annually to keep each fiscal year funds separate. (e.g.

NAGE1800HA for FFY18 Hatch, NAGE180GHA for FFY 18 Hatch GRA, NAGE1800HM for FFY18 Hatch Multi-State)

### Allowable Expenditures

- Only costs that can be <u>directly related</u> to a project/program can be charged to these grants.
- Beginning December 1<sup>st</sup>, all non-salary expenditures in all capacity grant funds (sources:1300,1321,1322,1323,1330,1341) will require Dean/Dir approval before payment can be made.

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### Non-Allowable Expenditures

- Prohibited expenditures include but are not limited to:
  - General office supplies (including printer toner, paper, and markers), periodicals, newspapers (project related journals are allowable), indirect costs or facility/administrative costs, small tools, general vehicle maintenance, tuition payments, anything directly related to teaching activities, etc...

### Equipment

- Equipment requires PRIOR approval from NIFA and permission/instructions must be obtained before disposal.
  - Equipment= tangible personal property (including IT systems) with a useful life greater than 1 year and cost of \$5,000 or more.



### **K-State Capacity Grants**

#### **Extension**

- Smith-Lever 3(b) and (c)
- Smith-Lever Special Needs
- Expanded Food & Nutrition Education Program (EFNEP)
- Renewable Resource Extension Act (RREA)

#### Research

- Hatch
- Hatch Multi-State
- McIntire-Stennis
- Animal Health & Disease Research



### **Funding Information**

Research (AES- Agriculture Experiment Station)

- Hatch Regular (1321) = \$3,000,000 budgeted annually.
  - Some base funding to department, some annually allocated, based on NIFA approved projects for in-state issues.
- Hatch Multistate (1322) = \$900,000 budgeted annually.
  - Annually allocated based on the joint projects with other states that have been officially approved by NIFA. (Projects and renewals are also reviewed by the Department Heads in the appropriate discipline and approved by NCRA AES Directors in the region, then forwarded to NIFA for final approval.)





- Hatch Multistate (1322) (cont')
  - Beginning October 2018 (FFY 19), departments will receive \$10,000 per each approved, active, multistate projects. There will no longer be an additional travel allocation. This allocation model reflects the new university budget model where funds are allocated in alignment with specific activities and also provides better accountability for our federal capacity funds.
  - Department Heads may distribute the departmental allocation however they choose.
  - Faculty on projects "housed" in other depts., may get permission to use those funds or their Dept Head may use his/her allocation to fund those expenses.



- Hatch Multistate (1322) (cont')
  - Travel to the annual multistate meetings is very important!
  - No more separate travel allocation (use the \$10K allocation).
  - Funds may be used to send any/all voting faculty members to the annual meeting. Faculty must be officially assigned to a project via NIMSS.
  - If the annual meeting is combined with a professional conference, aside from the travel costs to/from the meeting, only the additional days, per diem, etc... may be charged.
  - Funds may be used for travel expenses for faculty or GRAs to conduct actual research and/or collect data. The project objective must be identified in the description area of the payment document.

### Funding Information (con't)

- Hatch Multistate (1322) (cont')
  - All unspent funds as of the end of the Federal fiscal year (9/30) are returned to the Dean.
  - Variety of Multistate projects
    - » Regional (example North Central Region)
      - NC\_\_\_\_ Research ("fundable")
      - NCAC\_\_\_\_ Advisory Committee (Department Heads)
      - NCDC Development Committees (committees "to be")
      - NCCC Coordinating Committees
      - NCERA \_\_\_\_ Extension and Research Activities
    - » National
      - NSRP\_\_\_\_ National Research Support Project



### Funding Information (con't)

- McIntire-Stennis (1323) = \$300,000 budgeted annually.
  - Funds are used for forestry projects only- all funds are allocated to the Horticulture Natural Resources department.
- Animal Health (1341) = \$140,000 allocated annually.
  - Funds are used by Vet Med for animal disease research

Extension (CES – Cooperative Extension Service)

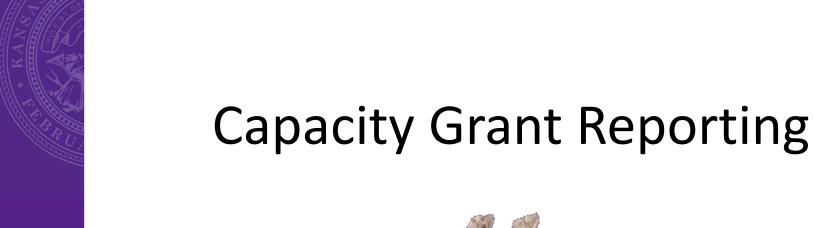
- Smith-Lever Funds (1300) = \$5,200,000 budgeted annually
  - Funds used to conduct Extension activity which disseminates information produced by the experiment stations



### Funding Information (con't)

- Renewable Resources Extension Act (1330) = \$46,000 allocated annually.
  - Funds used for Extension programs which are designed to assist forest and range landowners and managers in making resource management decisions based on research findings.
- Expanded Food and Nutrition Education Program (1330) = \$760,000 allocated annually
  - Funds used by Human Ecology to conduct peer-to-peer outreach programs that provide research based nutrition education to lowincome families and youth.









### Questions/comments I have heard...

Why do I have to do this? ... You don't (sort of)!

I don't get any money for this anyway! ... or you do...

They just go in a file somewhere! ...True!

... After they are gleaned for budget support/justification!

... After they contribute to an annual investment review!





This is our opportunity ...to defend what we do!

...to defend the investment!

...to defend science!

- The "Public."
- Federal, state and local officials.
- University administration.
- Stakeholders.
- External funding sources.
- Industry representatives.
- Pretty much everybody with skin in the game...

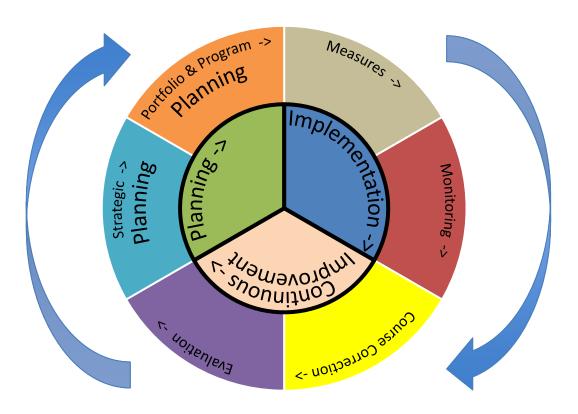




- Much more to be lost than to be gained.
- Responsible accountability.
- What you have done AND why it matters.
- Reporting informs an iterative process... it's good for you to be <u>reflective</u>!



# Project evaluation...





### Why Report Outcomes?

- Its the law!
  - The Government Performance and Results Act of 1993 (GPRA).
  - AREERA (Agricultural Research, Education and Extension Reform Act) of 1998 (POWs).
  - Government Performance and Results Modernization Act of 2010.
- Budgetary/Appropriations
  - Budget Justifications (Federal; competition within Extension).
  - Presidential management agendas and Performance assessment-based resource allocations.
  - Fiduciary responsibility when handling taxpayer dollars (OIG and GAO audits).



### Why does a funder's opinion matter?

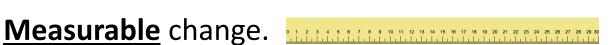
- We have competition for their attention.
- They want to see quantifiable benefits of programs.
- You can exercise some type of control over your program's future.
- And then, of course...

# What is Impact? What?

Change!



Identifiable change.





Quantifiable <u>differences</u>.









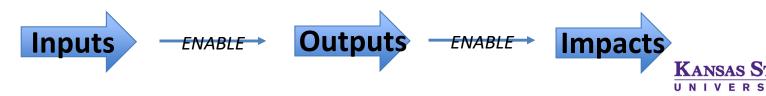
- Builds greater understanding of programs.
- Makes it easy to sell research, extension, and education programs when impacts can be demonstrated.
- Provides a product you can reuse.
- Serves as a repository of anecdotes for speeches and letters.

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### Know your Outputs!!!



- What you do and produce!
- Reports, publications, patents, data, workshops.
- Number of persons attending a **meeting**.
  - Number of persons enrolled in a program.
  - Head counts... <u>MAY</u> be a **measure** of impact.





- Program exposure.
- An <u>informed</u> public that <u>understands</u> the value of your efforts.
- Increased opportunity for future funding.

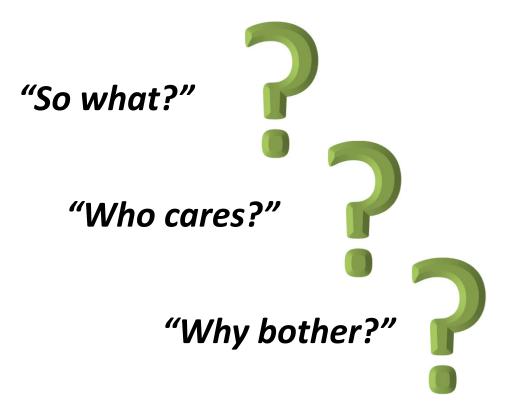


### Two Kinds of "Statements"

- Impact statement.
  - The kernel.
  - Example: <a href="https://landgrantimpacts.tamu.edu/">https://landgrantimpacts.tamu.edu/</a>
- Project report.
  - Impact statement may be in there.
  - Example: USDA's REEport.



### What is an Impact Statement?







- Demonstrates quantifiable change in at least one of the following:
  - Economic value or efficiency.
  - Environmental quality.
  - Social well-being.
  - Health or quality of life.
  - Advances in the discipline.



### What makes a good impact?

- Qualitative
  - Honest, Stories, Express relationships, NEVER overstate, anecdotal stories (esp. if backed up with quantitative data).



"When I was in the Senate, it was the stories, probably more than all the factual information, that really moved you to act."

- Tom Daschle, Former Senate Majority Leader

Anecdotes can be effective!



# What makes a good impact?

- Qualitative
  - Honest, Stories, Express relationships, NEVER overstate, anecdotal stories (esp. if backed up with quantitative data).
- Quantitative What matters?
  - Economics (It's the economy, stupid!).
  - Education (Measure of benefit: How many <u>consultants (?)</u> were trained (output), that results in how many more eyes in the field watching for <u>X</u> (something). (Did it result in doing something differently?)
  - Human health (You are better off because...).



### Simple Impact Statement Components

- Issue/Problem.
- Actions What has been done.
- Outcome/Impact The benefits.
  - What changed.
  - Who was responsible.
  - Contact information.
- Effective messages must be concise clear and use <u>common language</u> – no jargon!
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### **Example:**

Use names only with permission

- Hayti, SD wheat producer, Joe Smith, uses a predictive model to confirm his risk of Fusarium head blight. When risk is low, he withholds a fungicide treatment. That results in a cost saving of \$10.00/ acre on his 5,000 acres of wheat, a \$50,000 reduction in input costs.
  - Examples can be expanded, depending on the use; however, shorter is usually better.
  - This is a general example. You could use actual data, cite a year, and write in past tense.

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### Example:

The *Rxyz* resistance gene was confirmed and a novel methodology was developed for introgression of the gene into new (*crop*) varieties. This new gene and novel methodology could lead to dramatic suppression of *xyz* disease over the next ten years. Based on average losses to the disease, 50% suppression could result in \$(amount) over five years.

Hypotheticals can be OK, depending on the situation



# Sometimes reports become briefing documents.



Extension Professionals

### Natural Resources Extension Programs and Impacts

### Water Issues

Clean Water and Grazing Coexist in California -California rangelands provide grazing, wildlife habitat, and serve as valuable watersheds for drinking water reservoirs. At Pardee Reservior in Calaveras County grazing and clean drinking water were perceived to be incompatible. University of California Cooperative Extension advisors were contacted for assistance when the grazing lessees around the reservoir were lotd for temove their cattle due to con-



cems that Cryptosporidum might enter the drinking water supply. East Bay Municipal Utility District (EB MUD) owns and manages the land around Pardee Reservoir, which supplies drinking water to the East Bay. Extension staff provided research-based information of the staff bay. Extension staff provided research-based information of the several producing a change in grazing practices to reduce Cryptospondrum risk and a water quality sampling program. Writer livestock grazing has been maritaned, reducing invasible plant numbers, reducing fuel loads before fire season, and maintaining a viable rural industry, while protecting drinking valuer. Contact: Theresa Becchetti, Livestock Natural Resource Advisor, University O California.

Cooperative Extension; phone: 209-525-6800 email: tabecchetti@ucdavis.edu.

Minnesota Extension Works With Communities to Improve Water Quality - Wadena County residents were concerned about the water quality of Stocking Lake. Without data on the source of pollution, discussions on the topic became heated. Extension education identified the various pollution sources but here with all just sharing the monitoring results wouldn't address the broader concerns of the community, or coate a long-term solution. So, when son. Extension also invited scientifies, farmers, and community leaders to address common misconceptions and develop a plan. The meeting directly led of action: a farmer reduced runoff from his fields, individuals accepted responsibility for upgrading index







### Reporting is Science Communication!

- Two goals...
  - Help non-scientists who influence funding to understand results of our actions.
  - Help the reader (public) understand why they should care about your work (and science)!







# How to report well...

- **DO IT**! Be proactive.
- "Begin with the end in mind."
- K.I.S.S.
- Minimize jargon...
- Write lively!
- Assume your audience knows NOTHING!





- Initiation vs. Progress vs. Final
  - Be thorough.
  - Know your Target Audience.
  - Get your project Classification right.
    - Knowledge Areas (KA's)!
      - KA212! Pathogens and Nematodes Affecting Plants
      - KA216? Integrated Pest Management Systems
    - Integrated check box and effort.
    - Instruction (NO!)





- Products
  - Outputs like <u>publications</u>.
- Other Products
  - Outputs like <u>activities</u>.





- Accomplishments (= outcomes/impacts).
  - First question?
  - What was accomplished under these goals?
    - Impact nugget(s).
    - Report by goal include known changes.



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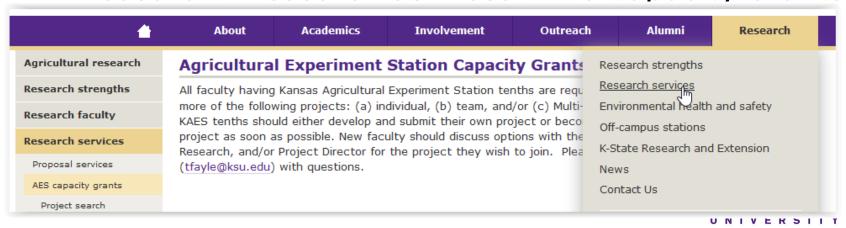
# **AES Capacity Grant Webpage**



# Capacity Grant Webpage

<a href="http://www.ag.k-state.edu/research/services/capacity-projects/index.html">http://www.ag.k-state.edu/research/services/capacity-projects/index.html</a>

- College of Agriculture
  - Research Research Services AES Capacity Grants



# Capacity Grant Webpage

### **Kansas Project Identification**

Projects must be assigned a number within NIFA's REEport system. Beginning late 2017, the nomenclature used for our capacity projects is listed below. The 2018 project number would be updated based on the year of submission to NIFA of the project initiation. Older projects will have different numbers until they expire.

- KS18HA\*\*\*\* represents a Hatch funded project starting in 2018.
- KS18MS\*\*\*\* represents a Hatch Multistate funded project starting in 2018, last digits will mimic Multistate number.
- KS18MC\*\*\*\* represents a McIntire-Stennis project starting in 2018.
- KS18AH\*\*\*\* represents an Animal Health project starting in 2018.

Search a listing of K-State's projects

**Faculty Responsibilities and New Projects** 

**Specific Funding Type Information** 

**NIFA REEport Information** 

Other REEport How-To's (for departmental business managers)

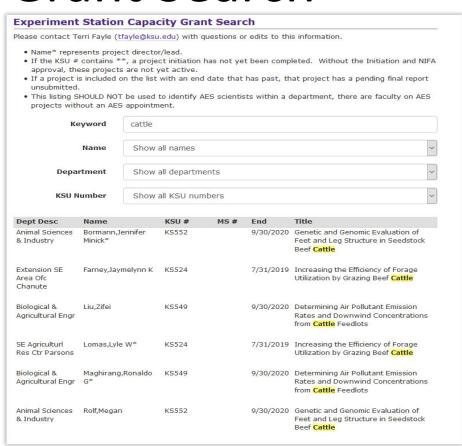




### **Capacity Grant Search**

- Keyword will search any word or portion thereof
- Pull a name from the dropdown, faculty shown as leads have \*
- Pull department name from the dropdown and see all projects in a department
- Pull KSU number from the dropdown and see all faculty on a project







# Faculty Responsibilities

**Faculty Responsibilities** 

**New Projects** 

### **Faculty Responsibilities**

As part of the salary funding you receive to be a KAES (Kansas Agricultural Experiment Station) scientist, you are required to participate in a capacity project. NIFA uses these projects to review the work being accomplished by the effort (salary) they are paying for as well as get reports of the work's accomplishments for their records. Although there is not sufficient funding for all your project operating costs, your salary is still funded by NIFA and a project is required.

- Any publications or presentations based on the work produced from these projects must recognize NIFA funding, even though the funding only provides for salary. NIFA provides this language: "This work is/was supported by the USDA National Institute of Food and Agriculture, [insert project type, e.g. Hatch/Evans-Allen/McIntire Stennis] project [insert accession number]"
- · Leverage your capacity grant for additional competitive funding
- New AES appointees MUST be on a project sometime during their first year at K-State
- · Faculty are responsible for project initiations when needed
- Faculty are responsible for timely annual progress reports, the K-State deadline is December 31
- Faculty are responsible for timely final reports following the end of your project, the K-State deadline is December 31
- · Faculty must notify KAES staff if their participation in a project changes
- · Faculty must notify KAES staff if they are planning to leave K-State

### **New Projects**

IMPORTANT: KAES is making a concerted effort to reduce the total number of projects we are managing. Accordingly, we request you first rule out Hatch or Hatch Multistate projects in which K-State <u>already</u> participates BEFORE requesting involvement in a new Hatch or Hatch Multistate. A good first step is to discuss potential projects with your Department Head.

# **Specific Funding Type Information**

### Specific Funding Type Information

- Hatch Multistate
- \* How to participate
- \* What is my username?
- \* NIMSS instructions to add yourself to a multistate project

### Specific Funding Type Information

### **Hatch Regular**

Coming soon

### Hatch-Multistate (MRF)

NIMSS (www.nimss.org) manages Multistate Research and Activities supported by the Kansas Agricultural Experiment Station (KAES) from the Hatch Multistate Research Fund (MRF) provided by the National Institute for Food and Agriculture (NIFA). The system can be queried regarding project details. NIMSS is separate from REEport. REEport is where you will process the Project Initiation (proposal) for your multi-state participation as well as submit your annual and final reports.

All expenses to multistate projects must be in line with 2 CFR 200 regulations and be **directly** related to the project's activities.

Beginning October 2018, allocations are being made to the departments for lead investigators based on the number of active projects existing in their department. There will NOT be an additional travel allocation. The amount provided to the department for each project is \$10,000. Only costs that can be directly related to a multistate project can be charged to these accounts. KAES MRF funds cannot be used for expenses related to CC, DC, and ERA projects. Travel to the annual meeting for research projects by the faculty member identified as the KSU official representative will be expected. If the official representative is unable to travel, another current faculty team member can travel in their place. Current faculty team members for a specific project can be identified in REEport or here. If this alternative faculty team member traveling to the annual meeting is in another department, arrangements should be made for the department receiving the \$10,000 allocation to pay those travel costs. Ultimately, the \$10,000 allocation to pay those travel costs.



### NIFA's REEport Information

- Logging in to REEport
- Drafting the Project Initiation
- Drafting the Progress Report
- Drafting the Final Report
- Project Change

### Logging in to NIFA's REEport

- · Navigate to portal.nifa.usda.gov.
- Your username is most likely your ksu.edu email, contact Dawn or Terri if you have trouble determining your username.
- If you do not recall your password, that can be reset with the link on the portal webpage.
- Once logged in, under Active Applications, click on REEport (SAES Kansas State University).
- Once the flow chart appears, click on the tab or flow chart item you're going to work on.
- On all of the tabs within REEport there is a link at the bottom to a <u>Users</u>
   Guide for Project Directors.

### **Drafting the Project Initiation**

- Initiations act as your 'proposal' that gets submitted to NIFA. Once you're in the Project Initiation area, use the Create New radio button.
- The first step of creating an Initiation is choosing a funding type. If you are not working on a Multi-State project, it is likely you should choose Hatch. Only certain individuals would choose McIntire-Stennis or Animal Health. But if you are not certain, please contact Dawn or Terri. Once this item is chosen it cannot be changed. If you choose incorrectly, you have to start over. If you are working on a Multi-State and your project number is NOT available from the dropdown, wait until tomorrow and try again. NIMSS.org feeds information to REEport and we need to give it

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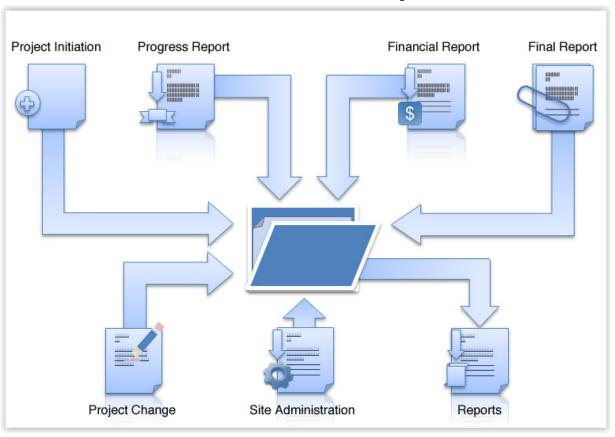
- https://portal.nifa.usda.gov
- Historically, faculty have not logged into report, that's changed
- Almost everyone's username is their ksu.edu email
- If you need to reset your password, do that on the portal home page at the top



 Detailed information on KSU's capacity grant webpage on the major items you need to work on

Active Applications	Institutional Profile (new Plan of Work, FY20 and be				
Leadership Management Dashboard - LMD	REEport (SAES - KANSAS STATE UNIVERSITY)				
Leadership Management Dashboard - LMD	REEPORT (SAES - KANSAS STATE UNIVERSITY)				







Track Progress Reports										
Message Board Your K-State contacts for quest Accomplishments section is the			aldwell@ksu.e	du) or Terri Fayle (	tfayle@ksu.edu). W	hen it comes t	to reporting, t	he		
Accession Number Performing Department Search Clear Search		t Number			Proposal Number Project Director					
Expand All Folders Collapse All F  212 Progress Report		und)								
Accn # Project #	Reporting period <u>C</u> end date	Grants.gov#	Proposal #	<u>Title</u>	<u>Proj. C</u>	<u>Dir</u>	<u>Funding</u>	<u>View</u>		
1007245 <u>KS552</u>	September 30, 2018 (	N/A)	(N/A)	Genetic and Ger Evaluation	<u>nomic</u> Borman	nn, Jennifer	HATCH	PDF		

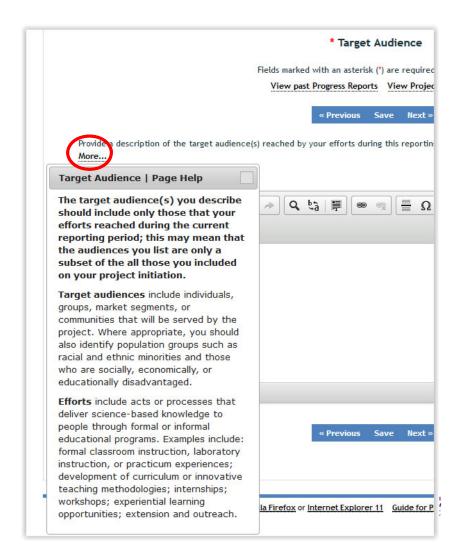


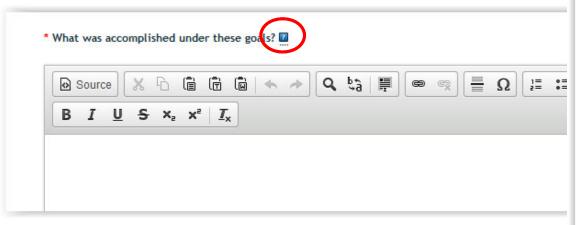
- Progress reports show you ONE reporting period at a time
- The Final Report shell is always available
- In the final year, there is a Progress AND Final report shell available, submit ONLY the Final





 NIFA instructions inside REEport





NIFA is not consistent about how they represent more information is available, sometimes a question mark, and sometimes "more"

### Accomplishments | What Was ...

In this section, NIFA defines
Accomplishments as impacts and
outcomes achieved as a result of the
project AND the results of the
experiments that led to the impacts
and outcomes.

At the beginning of this box, before information on specific goals and objectives, include a statement of 1 to 2 paragraphs describing the IMPACT of your project. This statement will be a primary tool for briefing leadership and legislators about what has been accomplished with the public funding invested in grant programs. Refer back to the non-technical summary you provided at the outset of your project. This impact statement should reflect the results and conclusion of your work that will provide benefits to broad audiences. It is imperative that this portion of your report be written in plain, non-technical language. Please do feel free to use numbers that will be meaningful to non-scientific audiences such as community leaders, politicians, taxpayers, and farmers.



For follow up questions contact Terri Fayle 2-7255, <a href="mailto:tfayle@ksu.edu">tfayle@ksu.edu</a>

