

# FY 2023 PRELIMINARY FINANCIAL REPORT GUIDANCE

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# FY 2023 PRELIMINARY FINANCIAL REPORT GUIDANCE

## SUBMISSION METHODS AND DUE DATES (COMING SOON)

This document outlines preliminary guidance on the Fiscal Year (FY) 2023 Financial Report for Capacity Grant Programs in the NIFA Reporting System (NRS). **The due date for the FY 2023 Financial Report and instructions to submit the report in the NRS will be provided early calendar year 2024.**

The Financial Report is a project/program level report that details all federal and non-federal expenditures by funding source, as well as all Full Time Equivalents (FTE) that supported the project/program, for the most recently completed federal fiscal year, which runs from 10/01 to 09/30 each year. The report is not an auditable document.

### FY 2023 Financial Report Submission Methods and Due Dates (Coming Soon)

Report	Reporting Period	Submission Method	Due Date
Financial Report for Capacity Funds	October 1, 2022 – September 30, 2023	NIFA Reporting System	<i>To be determined</i>
OGFM Supplemental Forms	October 1, 2022 – September 30, 2023	NIFA Reporting System	<i>To be determined</i>

## CAPACITY GRANT PROGRAMS IN NIFA REPORTING SYSTEM (COMING SOON)

The NRS Financial Report module is being developed for submission of the Financial Report for capacity funding and the Combined Research and Extension Office of Grants and Financial Management (OGFM) Multi-State and Integrated Activity Supplemental Forms. See [Appendix A](#) in this document for guidance and explanations for each of the columns and fields that will be found in the Financial Report template. Each Land Grant University (LGU) will have a unique template available for download upon the competition of NRS Financial Module.

**Further instructions and guidance for both Financial Report and the OGFM Supplemental Forms are forthcoming.**

## APPENDIX A: NRS TEMPLATE GUIDANCE AND DEFINITIONS

The following section is a complete listing of the data requested in the Financial Report template that will be downloaded from NRS. The financial report template will include pre-populated information for columns A-D. Guidance for each requirement is listed below.

**The template is not available to download from NRS at this time.** Once available, the template will contain prefilled information from columns A-D only. **The template will not include user input financial information stored in NRS; values in the template download will always be blank, reflecting zero (0).**

Each template will list the following information by column.

- Column A – ID (Identification)
- Column B – Project #
- Column C – Accession #
- Column D – Funding Type
- Column E – Research Capacity Fund (Evans-Allen)
- Column F – Research Capacity Fund (Hatch)
- Column G – Research Capacity Fund (Hatch Multistate)
- Column H – Extension Capacity Fund (1890)
- Column I – Extension Capacity Fund (Smith-Lever 3(b) and 3(c))
- Column J – Smith-Lever Special Needs (SLSN)
- Column K – Animal Health & Disease Research (AHDR)
- Column L – McIntire-Stennis
- Column M – Renewable Resources Extension Act (RREA)
- Column N – Other Federal Funding (Non-NIFA)
- Column O – Non-Federal State Funding
- Column P – Non-Federal Other Funding
- Column Q – FTE Faculty Count
- Column R – FTE Research and Extension Staff Count
- Column S – Other FTE Count
- Column T – Undergraduate Student Count
- Column U – Graduate Student Count
- Column V – Postdoctoral Scholar Count

## FIELD GUIDANCE AND DEFINITIONS

**Note: You will not be able to edit the Initiation ID, Project Numbers, Accession Numbers, Funding Types or Funding Sources that will be pre-populated on the Excel template. If a correction is necessary, you must correct the information in NRS by editing the project/program. Upon the release of the Financial Module, edits made to projects/programs such as changes to the dates or funding types, will take effect immediately and display on the template in the NRS Financial Module. Previous versions of the template will not be available in NRS.**

### Column A: ID (non-editable)

This project ID number is automatically created by NRS.

### Column B: Project # (non-editable)

This optional organizational number is entered by the user at project/program initiation and maintained in the records of the reporting institution. The project number may be prefixed with a variation of the three or four characters as provided by the institution.

### Column C: Accession # (non-editable)

The Accession Number is the unique, seven-digit identifier assigned by the system when the project was initiated. A few earlier accession numbers may have fewer than seven digits.

### Column D: Funding Type (non-editable)

The Funding Type tied to the accession when it was added to NRS. May be one of the following:

- Animal Health and Disease Research (AHDR)
- Extension Capacity Fund (1890)
- Extension Capacity Fund (Smith-Lever 3(b) and 3(c))
- McIntire-Stennis
- Renewable Resources Extension Act (RREA)
- Research Capacity Fund (Evans-Allen)
- Research Capacity Fund (Hatch Multistate)
- Research Capacity Fund (Hatch)

### Columns E-N: Federal Funding

These columns may be used by NIFA administered projects to report appropriate amounts for the indicated fields. Federal funds should be entered in these fields corresponding to the source.

#### Column E – Research Capacity Fund (Evans-Allen)

This column is used to report project/program level expenditures for Evan-Allen Research Capacity Funds administered by NIFA.

#### Column F – Research Capacity Fund (Hatch)

This column is used to report project/program level expenditures for Hatch Research Capacity Funds administered by NIFA.

#### Column G – Research Capacity Fund (Hatch Multistate)

This column is used to report project/program level expenditures for Hatch Multistate Research Capacity Funds administered by NIFA.

### Column H – Extension Capacity Fund (1890)

This column is used to report project/program level expenditures for 1890 Extension Capacity Funds administered by NIFA.

### Column I – Extension Capacity Fund (Smith-Lever 3(b) and 3(c))

This column is used to report project/program level expenditures for Smith-Lever 3(b) and 3(c) Extension Capacity Funds administered by NIFA.

### Column J – Smith-Lever Special Needs (SLSN)

This column is used to report project/program level expenditures for Smith-Lever Special Needs Extension Capacity Funds administered by NIFA.

### Column K – Animal Health & Disease Research (AHDR)

This column is used to report project/program level expenditures for Animal Health & Disease Research Funds administered by NIFA.

### Column L – McIntire-Stennis

This column is used to report project/program level expenditures for McIntire-Stennis Funds administered by NIFA.

### Column M – Renewable Resources Extension Act (RREA)

This column is used to report project/program level expenditures for Renewable Resources Extension Act Funds administered by NIFA.

### Column N – Other Federal Funding (Non-NIFA)

This column is used for reporting Federal funds administered by Federal agencies **other than NIFA**, and for grants made by NIFA with pass-through funds from other agencies. All non-NIFA Federal funds used for the accession should be combined in this field.

## Columns O-P: Non-Federal Funding

### Column O – Non-Federal State Funding

For funding from State appropriations.

### Column P – Non-Federal Other Funding

For other non-federal funds expended on the project including:

- self-generating accounts, such as the sale of products, royalties, or interest;
- contracts, grants, or agreements to the institution or grantee by industrial organizations, corporations, commodity commissions, and firms such as grants from food processors, manufacturers of containers, chemicals, machinery, equipment and fertilizer, transportation companies, and power companies; and
- funds from any other non-federal source not included in other columns such as local governments, professional societies, individuals, banks, etc.

## Columns Q-V: Full-Time Equivalent(s)

Enter the actual Full-time equivalent(s) (FTE) that supported this project over the course of this reporting period only. An FTE is defined by the Government Accountability Office (GAO) as the number of total hours worked divided by the maximum number of compensable hours in a full-time schedule as defined by law. For most NIFA partners and places of employment, a full-time schedule as defined by law equates to 2,080 hours of work (52 weeks multiplied by 40 hours per week). Thus, a person who works 40 hours per week for 52 weeks towards a

project equals 1 FTE. A person who works 20 hours per week towards a project for 52 weeks per year equals .5 of an FTE.

**You should include all FTEs that supported the project, regardless of source of funding** (i.e., FTEs funded by NIFA grants, other Federal funds, State, or Other funds should all be included). Volunteers should not be included in FTEs, as it is unallowable to report staff support on a project without corresponding expenditures.

**The position titles listed in the field descriptions below are examples and these examples may not align with the position titles/position descriptions at your organization. Please refer to the definition when determining which category an FTE falls under.**

### Column Q – FTE Faculty Count

A research or extension worker responsible for original thought, judgments, and accomplishments in independent scientific study or extension work. This includes investigation leaders and project leaders and portions of the time of supervising scientists or staff assistants who meet the preceding definition. Examples: Professor, Associate Professor, Assistant Professor, Scientist.

### Column R – FTE Research and Extension Staff Count

Research and Extension Staff are non-faculty staff and may include:

- A professional that does not qualify as faculty under the preceding definitions but may still significantly contribute to research or extension activities. Professionals usually hold one or more college degrees and have otherwise qualified for employments in a professional category. Generally, professionals have a high degree of research or extension activity responsibility but do not hold principal investigator status or equivalent at the reporting institution. Examples: Department Head, Resident Director, Statistician, Analyst, Assistant Director, Dean, Program Director.
- Technical Staff that are associated with research efforts in a technical capacity and do not participate in the investigative aspects of the research. Effort is typically directed toward a specific project(s). Examples: Lab Assistant, IT Professionals, Mechanic, Carpenter, Machinist, Skilled Tradesperson.

### Column S – Other FTE Count

These are clerical and administrative support staff who contribute to the non-technical support of the project. It is often difficult to assess an individual's clerical and labor support to any one project or program; they usually support groups of researchers of different projects in a broad manner, such as by ordering supplies, typing reports, managing bill payments, performing janitorial work. Examples: IT Staff, Administrative Assistant, Repairman, Janitor, Data Entry, Program Assistant.

### Column T – Undergraduate Student Count

Undergraduate students providing project support. This does not include students receiving support from the project, such as scholarship stipend assistance.

### Column U – Graduate Student Count

Graduate students providing project support. This does not include students receiving support from the project, such as scholarship or stipend assistance.

**Column V – Postdoctoral Scholar Count**

Postdoctoral scholars providing project support. This does not include scholars receiving support from the project, such as scholarship or stipend assistance.

For questions or concerns regarding NRS or financial reporting for capacity funds, please contact the NRS Help Desk at [nrs@usda.gov](mailto:nrs@usda.gov).