Introduction to Hatch Projects

Agricultural Research Division (ARD)

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Future Seminars/Webinars

Friday, November 18 from 1:00 – 2:30
ARD Hatch Multistate Funding Opportunity

Wednesday, November 30 from 3:00 – 5:00
Preparation of Annual Progress Reports for USDA NIFA

Check the ARD website for streaming info and uploaded content: http://ard.unl.edu/hatchreporting-webinars
Background

Morrill Act (1862) created land grant universities
  • 1890 Historically Black Colleges & Universities
  • 1994 Tribal Colleges

Hatch Act (1887) allocated funds for research to 1862 land grant universities to promote sound and prosperous agriculture and rural life.

Smith-Lever Act (1914) provided federal funding for Cooperative Extension
Hatch Funding

- Allocated to the State Agricultural Experiment Station (SAES):
  - All 50 states
  - Washington, DC
  - Puerto Rico
  - Guam
  - Virgin Islands
  - Micronesia
  - American Samoa
  - Northern Marianas Islands
Hatch Funding
“Formula” for Distribution

- Hatch Act was amended in 1955 to a “fixed base” with any amount in excess of the 1955 base distributed as:
  - 20% allotted equally to each state
  - An amount proportional to each state’s share of the total U.S. rural population
  - An amount proportional to each state’s share of the total U.S. farm population
Other “Formula” Funds

• Hatch Act (1862 research)
• Smith-Lever (extension)

• McIntire-Stennis (forestry research)*
• Animal Health (Section 1433; research)*

• Evans-Allen (1890 research)—not UNL

*A NIFA-approved McIntire-Stennis project or Animal Health project does NOT allow Hatch dollars to be spent on faculty salaries.
Formula Funds = Capacity Grants

- Congress does not understand “formula funds”
- Since 2010, no longer use “formula funds”
- Use “capacity grants”
Hatch Funds

- Hatch funds require 1:1 match from non-federal sources (e.g., state dollars)
- Use Hatch funds to address local or regional issues
- Research only
  - NOT allowed to pay tuition remission
Hatch Funds

1998 AREERA legislation:
• 25% of Hatch funds must be spent on multistate committees:
  • Bring scientists together to address common issues
  • Share information and resources
  • Minimize duplication of effort and resources
  • Annual meeting and annual progress report
Hatch Funds—IANR (FY 2016)

Hatch “Regular” funds: ~$3.0 million/year

Hatch “Multistate” funds: ~$1.2 million/year

State match: ~$4.2 million/year

Total: ~$8.4 million/year
Hatch Project Types

**Hatch Regular:**
- Individual investigator
- Team of investigators

**Hatch Multistate:**
- Individual investigator
- Team of investigators

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- ARD manages Hatch Multistate funds through a competitive process. Requires participation in a national, multistate research committee. Additional eligibility requirements are described in the Hatch Multistate Funding RFA. More information is available at: [http://ard.unl.edu/hatch-projects](http://ard.unl.edu/hatch-projects)
Hatch (Regular) Funds

• ~80% used for tenure-track faculty salaries
• Non-tenure track faculty are not required to have Hatch project (can be Co-PD)
• Requires annual progress report
• ARD Tenure-Track faculty MUST have Hatch project
  • Required when faculty research aligns with USDA mission
  • Not required for faculty with biomedical research interests
• ARD encourages Hatch team projects
  • Use unit resources to support team projects
Hatch (Regular) Projects
(Individual or Team)

Format Guidelines: http://ard.unl.edu/hatch-projects

Describe a five-year research plan

• Statement of Issues & Justification
• Related Current and Previous Work (REEIS/CRIS search)
• Goals/Objectives (include team members contributing to each obj)
• Methods
• Target Audience
• Products
• Outcomes
• Non-Technical Summary
• Measurement of Progress and Results
• Current and/or Potential Collaborators (outside UNL)
• Financial Support—estimate what is needed
“Regular” Hatch team projects:

• One Tenure-Track faculty leads the project
  • Early career or senior faculty
• How many faculty on a team?
  • Number & expertise to address issue/solve problem
• Common research interests/common goals
• Objectives can include sub-teams of faculty
• Not all team members on all objectives
Example #1:
Project Director: Washington
Aim #1: Washington, Adams, Jefferson, Madison, Ross
Aim #2: Adams, Jefferson, Madison, Ross
Aim #3: Washington, Jefferson, Madison
Aim #4: Washington, Adams, Ross

Example #2:
Project Director: Washington
Aim #1: Washington, Adams, Ross
Aim #2: Washington, Ross
Aim #3: Washington
Aim #4: Washington
Hatch (Regular) Team Projects

Is this a “team”?

Example #3:
Project Director: Washington
Aim #1: Washington
Aim #2: Adams
Aim #3: Jefferson
Aim #4: Madison
Aim #5: Ross
Review of Hatch (Regular) Projects (Team or Individual)

Review Guidelines: http://ard.unl.edu/hatch-projects

Peer Review Criteria (new projects):
I. Priority and Relevance
II. Technical and Scientific Merit
III. Impacts and Outputs
Review of Regular Hatch Projects
(Team or Individual)

Guidelines at: http://ard.unl.edu/hatch-projects

Submit project to Department Head/Chair/Director
  - New individual projects--two internal reviewers
  - New team projects—Department Head(s) review

Submit project to ARD
  - Peer review of new individual or new team projects
  - Team projects: roles/responsibilities/management

Submit to NIFA for approval
  - Submit project initiation forms in REEport
  - Ask Jaclyn Monaghan for assistance!
ARD Tenure-Track faculty **required** to have a Hatch project
• Letter of offer requires Hatch project within year 1
• Department Head/Chair/Director will advise
• Faculty with biomedical research interests are exempt
• Hatch (Regular) dollars for a portion of faculty salaries
• Encourage Hatch **team** projects
• Contact ARD Associate Deans (Gary Brewer) with questions
• Jaclyn Monaghan will assist with REEport
Hatch (Regular) Projects

Questions?
Hatch Multistate Committees

First letter or two indicates region where the project was initiated and is now administered:

- NC (North Central)
- NE (Northeast)
- S (Southern)
- W (Western)

Can join any project in any region!

http://ncra.info/MSR_NomenclatureDefinitions.php
Hatch Multistate Committees

Multistate Research Committees
  • Primarily research
  • Funding for research
  • Support for travel to annual meetings
  • Requires annual progress report

NC-xxxx; NE-xxxx; S-xxxx; W-xxxx

Numbers change when project renewed (or not)?

http://ncra.info/MSR_NomenclatureDefinitions.php
Hatch Multistate Committees

ERA: education/extension and research activity
- Integrate education (academic or extension) and research
- No funding for research
- Support travel to annual meetings
- Requires annual progress report

NCERA-xxxx; NEERA-xxxx; SERA-xxxx; WERA-xxxx

http://ncra.info/MSR_NomenclatureDefinitions.php
Hatch Multistate Committees

CC: coordinating committee
• Information exchange only
• No funding for research
• Support travel to annual meetings
• Requires annual progress report

NCCC-xxxx; NECC-xxxx; SCC-xxxx; WCC-xxxx

http://ncra.info/MSR_NomenclatureDefinitions.php
Hatch Multistate Committees

**DC**: development committee
- Approved for up to 2 years
- Purpose: develop a new Multistate Activity
- Expected outcome: new 5-year project
- No funding for research
- Support travel to 1 meeting
- No progress report

**NCDC-xxxx; NEDC-xxxx; SDC-xxxx; WDC-xxxx**

http://ncra.info/MSR_NomenclatureDefinitions.php
Hatch Multistate Committees

AC: Advisory Committee
- Committee of Department Heads/Chairs from a specific discipline (e.g., animal science)
- No funding for research
- Support travel to annual meeting
- No progress report

NCAC-xxxx; NEAC-xxxx; SAC-xxxx; WAC-xxxx

http://ncra.info/MSR_NomenclatureDefinitions.php
Hatch Multistate Committees

500 Series:

• Maximum of 2 year project
• Mechanism to respond to acute crisis
• Funding for research
• Can be information exchange only
• Support travel to annual meeting
• Annual progress report required

NC-5xx; NE-5xx; S-5xx; W-5xx

http://ncra.info/MSR_NomenclatureDefinitions.php
Hatch Multistate Committees

**NRSP**: National Research Support Projects
- Funded by “off the top” Hatch dollars
- Develop enabling technologies or sharing facilities
- Very few NRSP (<10)

**NRSP-xx**

(NRSP-8) National Animal Genome Research Program

http://ncra.info/MSR_NomenclatureDefinitions.php
Hatch Multistate Committees

To become a member of a multistate committee:

- Must complete Appendix E to join the national, five-year project to be official member of committee
- Appendix E: indicate percent effort on objective(s) of national project that you work on
- No description of plan of work at Nebraska
- Can join the national multistate committee at any time during the five-year, national project
- Travel funds to annual multistate committee meetings (usually one ARD faculty/multistate project/year)
ARD has competitive process for:

- Supplemental research ($10,000/year x 4 or 5 years)
- Enhanced research ($100,000/year x 4 or 5 years)
- Apply during year 5 or year 1 of national, 5-year project
- ARD application deadline January 31
- Must be a member of national multistate committee
- CC, ERA, DC, or AC projects are not eligible
- Encourage team projects (enhanced funding)

Seminar/webinar: November 18, 2016

http://ard.unl.edu/hatch-multistate-funding
How to find a relevant multistate committee?

- Ask departmental colleagues
- Search NIMSS to find a committee: www.nimss.org
- Ask ARD Associate Deans for assistance
ARD faculty encouraged to participate in Multistate committees

- Appendix E to join the national, multistate committee & get travel support to attend annual meeting
- ARD funding for Supplemental or Enhanced research
  - Competition (January deadline)
  - Dollars for research (not GRA tuition remission)
  - Multistate project (NIFA approved) can be used to allocate regular Hatch dollars to faculty salaries
ARD faculty can have either Hatch Regular or Hatch Multistate project—don’t need both!

Regular Hatch dollars support:
  • ARD tenure-track faculty salaries

Multistate Hatch dollars support:
  • Multistate research projects *(not regular)*
  • ARD tenure-track faculty salaries
REEport

Hatch Project Initiation

Project Statuses
Assigned by the REEport system:

• **Active** – Approved by NIFA

• **Deferred** – Changes or additional information requested

• **Declined** - Project that has been declined by an NPL; it may not be resubmitted.

Project Initiation Draft
> Submit for Review at Institution Level
> Submit to NIFA for Review
  > NIFA Decision Made (capacity only)
  > NIFA Decision Changes Project Status (Draft to Active/Deferred/Declined)
Hatch Project Initiation Cont’d

Process Overview

• NIFA project is approved by ARD
• ARD office sends out REEport instructions including assigned Station Number
• PI completes the Project Initiation module and submits for Institutional Review
• ARD reviews the Project for completeness and accuracy
• Project is submitted to NIFA for review
• NIFA makes decision and changes status on REEport
• Auto-notification of decision is distributed
• ARD forwards notification to unit head and business center
REEport Hatch Project Change

Project Changes may be submitted at any time for an active project (non-capacity can only make classification changes)
- Submit for Review at Institution Level
- Submit to NIFA for Review
  - Project Status remains “active” throughout submission of all project changes

Project Change Module may be necessary if:
- Change in PI or to add a Co-PI
- Change in End Date to terminate a project early
- Change in goals or objectives

Additional Project info may be required
- REEport requires data old CRIS system did not
- A change will trigger the system that these fields are incomplete
REEport Hatch Progress Reporting

- Reporting Period is October 1-September 30
- ARD tracks and notifies Unit Heads & Faculty of reporting requirements
- Report drafts are pre-loaded in sequential order for duration of project
- Content should cover the reporting period
- FTE is hours worked on project regardless of funding
  - 1 FTE = 2080 hours
- CIP count should be a whole number “head count”
• Reporting covers the **duration** of the project
• ARD tracks and notifies Unit Heads of Capacity reporting requirements
• Final Report should only be completed if all prior Progress Reports have been submitted
• Content should cover the project duration **except** FTE and Products
Hatch Project Lifecycle Summary

Project Initiation Draft
  > Submit for Review at Institution Level
  > Submit to NIFA for Review
    > NIFA Decision Made (capacity only)
      > NIFA Decision Changes Project Status (Draft to Active/Deferred/Declined)

Progress Report Draft(s) filled out and submitted chronologically (as many as required by length of the project)
  > Submit for Review at Institution Level
  > Submit to NIFA for Review
    > Project Status remains “active” throughout submission of all progress reports

Project Changes may be submitted at any time for an active project (non-capacity can only make classification changes)
  > Submit for Review at Institution Level
  > Submit to NIFA for Review
    > Project Status remains “active” throughout submission of all project changes

Final Report Draft is always available in REEport to submit at any time to terminate the project (capacity only)
  > Submit for Review at Institution Level
  > Submit to NIFA for Review
    > Project Status changes to “complete” once Final Report is submitted
      (Note that project status will also change to “complete” if the project’s original end date has passed, even if the Final Report has not been submitted and is overdue.)
Hatch REEport Summary


- Project Change for change in PI, end date or project objectives
- Progress Reports are to be completed in sequential order
- Final Report covers entire duration and terminates the project
- FTE is effort worked on Project regardless of funding
- CIP Counts and Codes must be completed if student FTE is reported and are whole numbers
- Reporting Accomplishments: NIFA defined as “impacts and outcomes achieved as a result of the project AND the results of the experiments that led to the impacts and outcomes”. Please make this section “stand alone” so that NIFA can compile these without needing to refer back to other sections.
- REEport Guides available on ARD webpage: http://ard.unl.edu/usda-grant-reporting-reeport
Questions?

The following slides are scenarios based on Frequently Asked Questions.
My regular Hatch project expired 09/30/15. I am an official member of a Multistate committee (Appendix E submitted). Does my membership on a multistate committee cover my Hatch requirement to pay a portion of my salary?

No. A NIFA-approved Hatch project (regular or multistate) is needed to allocate Hatch dollars (regular or multistate) to faculty salaries. MUST write a new regular or multistate Hatch project and get NIFA approval before Hatch funds can be used to pay a portion of faculty salary.
I have a regular Hatch project that is approved by NIFA. I would like to compete for Hatch multistate funding at UNL? What should I do?

1) Find a national multistate committee that aligns with your research interests. (www.nimss.org)
2) Submit an Appendix E to become an official member of the multistate committee.
3) Compete for Hatch multistate funding at UNL during the year that the national project is being renewed or the first year of the new project

*(CC, ERA, DC, or AC projects are not eligible)*
I am a new faculty in IANR and have been told that I need a Hatch project to cover part of my salary. Should I submit a team or individual project? Regular or Multistate?

1) ARD encourages team Hatch projects.
2) If there is a relevant, national multistate committee, encourage multistate team Hatch project.
3) If no relevant, national multistate committee, encourage regular team Hatch project.

Note: Only Tenure-Track Faculty are eligible for Hatch Salary funding therefore only these Faculty can be PIs/PDs.
Question #4

How are new team Hatch projects (regular or multistate) reviewed?

1) Submit draft project to Department Head of lead Project Director.
2) Department Head conducts general review—look for major gaps or flaws. Can ask other Department Head(s) to review.
3) Submit to ARD. ARD will schedule peer review meeting with faculty reviewers and Department Heads.
   • Follow review guidelines (http://ard.unl.edu/hatch-projects)
   • Comment on roles/responsibilities and project management
4) OR, if timing is appropriate, submit to Hatch multistate competition (instead of steps 1-3)
I have an Active Hatch project but plan to retire or leave the University before the end date. What are my options?

1. Consult with your Unit Head about finding a replacement whether it be a Co-PI already on the project or another tenure-track faculty member with similar research interests.
2. Contact the ARD office to initiate a Project change.

If a suitable replacement cannot be identified or there is no interest in continuing the project then a Final report should be filed to terminate the project. If the end date is more than 90 days from when the Final Report will be filed then a Project change needs to be initiated. Contact the ARD office to start the process.
Questions?

Feel free to contact ARD:

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Hector Santiago
Deb Hamernik

Jaclyn Monaghan
Jared Evert
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