

# Effective Grants Management: A Webinar

October 22, 2009

Presented by:  
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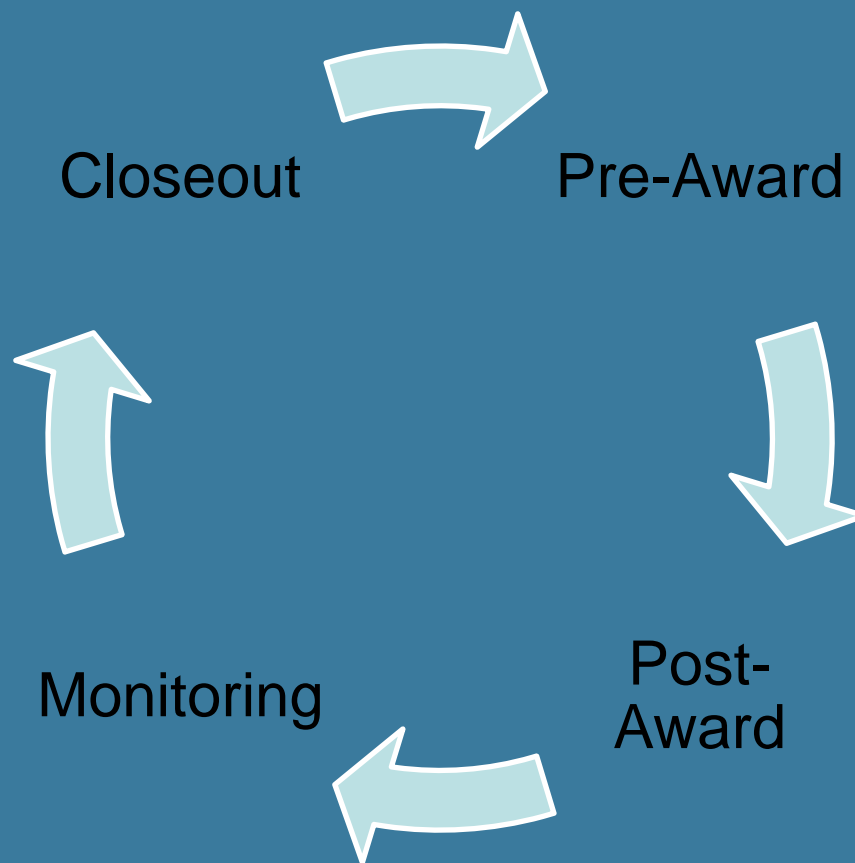
# Today's Goal

Share information about the lifecycle of a grant from funding announcement through closeout in an effort to clarify expectations and highlight pitfalls to avoid throughout the process.

## We will discuss:

- The grants process
- Grants planning
- The progress report template
- Indirect costs
- Pitfalls to avoid
- Updates
- Answers to your questions

# Lifecycle of a Grant



# PRE-AWARD

# Planning

October - March

- Draft and publish funding opportunity

June - October

- Applicants draft and submit proposals

October - March

- Merit review process and proposal ranking
- Recommendations to selecting official(s)
- Selections made

March 30

- Funding recommendations submitted to GMD

# How Do We Prepare?

- Know the IOOS objectives/mission and how your organization's expertise fits in
- Prepare your proposals in such a way that you can peel off tasks in order of preference should appropriations not meet needs
- Participate in regional meetings so you are dialed in to IOOS long-term priorities

# Application and Review Process

- Applications are submitted via [www.grants.gov](http://www.grants.gov).
- The package must include: required standard forms, project description and budget justification
- The federal program officer (FPO) reviews the application package: (a) to ensure all required forms are included; (b) eligibility requirements are met; and (3) proposal submitted on time
- Technical Program Officer (TPO): (a) conducts initial technical review, and (b) leads merit review and selection process



# Timelines/Deadlines

- Always defer to the dates and times written in the Federal Funding Opportunity Notice. The FFO takes precedence over any published dates you may see on the IOOS Website or hear during a meeting or informal conversation

# Issuance of Awards

- Recommendation package is submitted to the Grants Management Division (GMD) for review and approval
- GMD has anywhere from 15 – 60 days to notify an applicant if their grant proposal will be funded
- Only a grants officer can notify an applicant that their proposal has been funded
- Recipients must accept an award with electronic signature in Grants Online within 30 days or risk losing funding at the Grants Officer's discretion

# POST-AWARD

# Award Action Requests

Listed below are the various types of award action requests that will require action on the part of the FPO and/or TPO. An \* indicates an amendment is required.

*No cost extension – prior approval required	No-cost extension – prior approval waived
Extension to closeout	Reprogram/rebudget
*Change in scope	Equipment purchase
*Transfer of award	Foreign travel
Change in principal investigator/project director	Sole source contract
Change in institution name	*Other
Change in key person specified in the application	Absence of PI/director for more than 3 months or 25% of project
Satisfied special award conditions	Inclusion of costs that requires prior approval based on cost principles
Transfer of funds allotted for training to other categories of expenses	*Sub-award transfer or contracting out any work under the award if not in original app
Pre-award cost	*Termination for convenience

# Terms and Conditions

- All terms and conditions governing the award are attached to the official Financial Assistance Award (CD-450). They include:
  - DOC Financial Assistance Standard Terms & Conditions
  - NOAA Specific Administrative Standard Award Conditions
  - SF-424A (final line item budget approved by GMD)
  - 15 CFR Part 14, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, Other Non-profits and Commercial Organizations
  - OMB Circular A-122, Cost Principles for Non-Profit Organizations or A-21 for Institutions of Higher Ed

# Monitoring

# Monitoring

- Performance/Progress Report (PPR) Frequency - PPRs are required semi-annually from the start date of the award (Reviewed and approved by TPO and FPO)
- Financial Report (SF-425) – SF-425s are also required semi-annually (Reviewed by FPO and approved by GMD). A sample SF-425 can be found at [http://www.ago.noaa.gov/ago/grants/docs/sf425\\_new\\_ffr.pdf](http://www.ago.noaa.gov/ago/grants/docs/sf425_new_ffr.pdf)
- Special award conditions can be placed on any award requiring more frequent reporting. The grants officer can initiate a high-risk status or use the recommendation of the program office

# Types of Enforcement Actions

- High-risk special award condition
- Suspension of payments
- Suspension of award
- Termination for cause
- Termination for convenience
- Debarment and suspension of a recipient



# Progress Reports

- No required length or format - as stipulated in OMB Circulars A-102 and A-110
- Provide updates to NOAA on project goals and objectives
- Help IOOS explain program accomplishments and justify budget requests
- Allow IOOS grants team to anticipate upcoming actions
- Submit through NOAA Grants Online

# Fraud Indicators

- Post American Recovery and Reinvestment Act (ARRA) the Office of the Inspector General (OIG) reviews grant activity through a new, narrower lens. Go to the following links to see the fraud indicators GMD has been trained to identify:
  - <http://www.oig.doc.gov/recovery/reports/Briefing/Fraud%20Indicators%20Training.pdf>
  - <http://www.oig.doc.gov/recovery/reports/Briefing/Recovery%20Act%200Tranparency%20and%20Accountability%20in%20Grants%20Managment.pdf>

# Close-Out

# Award Close-Out

- An award expires at midnight local time on the date which is listed on the last approved amendment (CD-451)
- Immediately following the expiration of an award, steps must be taken to ensure that activity is complete and that DOC and the recipient have met all requirements imposed by applicable laws, regulations, OMB circulars, and award terms and conditions.

# NICRA

# Negotiated Indirect Cost Rate Agreement

- Indirect costs are facilities and administrative costs
- Indirect costs will not be allowable charges against the award unless specifically included as a cost item in the approved budget incorporated into the award
- The recipient is not authorized at any time to transfer amounts budgeted for direct costs to the indirect costs line item or vice versa, without written prior approval of the Grants Officer

## NICRA Cont'd

- If the recipient has not previously established an indirect cost rate with a Federal agency, the negotiation and approval of a rate is subject to the procedures in the applicable cost principles
- DOC or its designee will negotiate indirect cost rates using the cost principles found in 48 CFR Part 31, "Contract Cost Principles and Procedures."

## NICRA Cont'd

- For guidance on how to put an indirect cost plan together go to:
  - <http://www.dol.gov/oasam/programs/boc/costdeterminationguide/main.htm>



# NICRA Cont'd

- Within 90 days of the award start date, the recipient shall submit to the address listed below documentation (indirect cost proposal, cost allocation plan, etc.) necessary to perform the review. The recipient shall provide the Grants Officer with a copy of the transmittal letter.

Office of Acquisition Management  
U.S. Department of Commerce  
14th Street and Constitution Avenue, N.W.  
Room 6412  
Washington, DC 20230

## NICRA Cont'd

- For more detailed information refer to the Department of Commerce Financial Assistance Standard Terms and Conditions associated with your organization's specific grant

# Pitfalls

# Stay on Track

- Sign awards and amendments in 30 days or less
- Read or know your terms and conditions
- Minimize award action requests
- Don't operate with the intent of asking for a no-cost extension to the award period
- Project progress should mirror spending patterns
- Submit reports on time
- Update contacts

# Updates

# Research vs. Non-Research

- Future IOOS awards will be classified non-research, therefore, expanded authorities do not apply to:
  - No-cost extensions
  - Change in key personnel
  - Incurring pre-award costs
  - Carryover of unobligated balances

# Catalog of Federal Domestic Assistance

IOOS CFDA number is 11.012

# Grant Contacts

Name	Title	Phone	Email
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# Questions?