



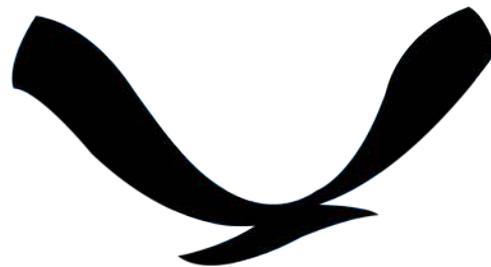
2016



NOAA's Acquisition and Grants Office
presents

CONNECTING the CHANNELS

Partnership in
Grants
Management



Seattle, WA

Silver Spring, MD



2016



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Grants Management



Post Award

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Post Award Actions

- Congratulations! Your award has been approved.
- Next steps:
 - Complete the milestones in your application
 - Abide by the Terms and Conditions of your award
- As work progresses and changes occur, modifications may be needed during the life of your Financial Assistance Award

2 CFR Part 200.308 Revision of budget and program plans

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Post Award Actions

- No Cost Extensions – Prior Approval Required
- No Cost Extensions – Prior Approval Waived
- Change In Scope
- Change In Key Personnel
- Absence of Principal Investigator
- Foreign Travel
- Reprogram/Rebudget
- Equipment Purchase
- Pre-Award Costs
- Subawarding and Transfer of work Not in Original Application
- Transfer of Award
- Satisfied Special Award Conditions (SAC)
- Termination for Convenience
- Extension to Closeout

No Cost Extensions –Prior Approval Required

- No Cost Extension –Prior approval required
 - The request to extend the award period should be submitted in Grants Online at least 30 days prior to the expiration of the award.
 - The request should clearly justify why the extension is needed
 - Explain what activities are remaining to be accomplished under the award and what funds are still available to support the activity.
 - Requires the attachment of a budget of remaining funds
- Generates an amendment to the award

No-Cost Extensions – Prior Approval Waived

- No Cost Extension – Prior approval waived for Federal Awards that support research
 - All non-federal entities under 2 CFR Part 200.308 are granted authority to initiate a one-time no-cost extension to the award period of up to one year without prior approval.
 - Grants Office must be notified in writing at least 10 days prior to expiration of the award with an explanation of the reason for the extension.
 - No-cost extension prior approval waived must be used before the no-cost extension prior approval required
- Generates an amendment to the award

Change In Scope

- Requires Federal Agency prior approval
- Actions to be considered for a change of scope include
 - Change in the specific goals and objectives approved at the time of award.
 - Shift of the research emphasis.
 - Change in the approved project areas or species.
 - Change in the amount of work from the approved project description.
- Speak to your Federal Program Officer early in the decision making stages
- Considered for legal review
- Generates an amendment to the award

Change In Key Personnel

- Principal Investigator or key personnel that needs to be replaced on the project.
- A resume or CV is required for the new person.
- Submission is required in grants online
- Requires Federal Agency prior approval

Absence of Principal Investigator

- The PI has reduced the effort towards the project by 25% or absence of more than 3 months,
- Requires Federal Agency prior approval
- Justification stating reason for absence, any adverse effect on the project (if applicable) and plan for the absence.



Foreign Travel

- Foreign travel is identified as travel outside the United States and Territories.
 - Prior approval is required if the foreign travel was not identified in the original award .
- Fly America Act - 41 CFR § 301-10.131 through 301-10.143
 - If all legs of travel are not completely American owned the following is required:
 - Fly America Act Waiver Checklist
 - Bilateral agreement documentation (if applicable)
 - Full name; dates of travel; origin and destination of travel; detailed itinerary of travel, name of the air carrier and flight number for each leg of the trip
- Prior approval waived for research awards

Reprogram/Rebudget

- Prior approval required for non-research awards:
 - The Federal share of award exceeds the Simple Acquisition Threshold (\$150,000)* and the cumulative amount of transferred funds exceed 10% of the total budget as last approved by the Federal awarding agency.
 - Transfer of funds into a budget category that have yet to be funded
- Recipient must submit same budget forms as provided in the application with clear picture of how the funds were moved around. Justification should explain why the rebudget/reprogram is needed

Equipment Purchases

- Recipient must submit an Award Action Request (AAR) for approval before purchasing equipment
- Recipient must include
 - Lease vs Purchase analysis- if a lease vs purchases is not provided, a justification for not doing the analysis is required
 - Reprogram or Rebudget AAR must also be submitted if Equipment is not listed on the approved SF-424A
 - The equipment description should include a narrative description including the equipment's function and the purpose of the use of the equipment
- Requires Federal Agency prior approval for non-research awards

Pre-Award Costs

- Research awards have prior approval waived for costs incurred 90 days before the start date.
 - More than 90 days requires prior approval.
- Non-research awards need prior approval for any costs incurred before the start date.
- All pre-award costs are incurred at the recipient's risk.



Subawarding and Transfer of work Not in Original Application

- If not described in the approved application, the recipient may not grant a sub-award, transfer, or contract out any work under the award without prior approval
- You must choose the method of selection (competitive or non-competitive),
- Provide a description of the work
- Provide a justification if the sub-award was chosen non-competitively.
- Generates an amendment to the award

Transfer of Award

- The transfer of award is the release of a project from one primary grantee to another.
 - The transfer should be discussed with the Grants Officer and Program Officer early in the planning stages.
 - The Organization that is transferring the Award initiates the Transfer by submitting the request through the Transfer Award Action Request.
 - A justification for the transfer is required.
 - The approval of Transfer of Award request will result in the termination of the existing award by way of amendment and the issuance of a new award to the new recipient.

Satisfied Special Award Conditions (SAC)

- Some awards contain Special Award Conditions (SAC) that require evidence of completion.
 - Purchase Requirements
 - Property deeds
 - Indirect Requirements
 - Negotiated Indirect Cost Rate Agreement (NICRA)

Termination for Convenience

- For reasons outside of the non-Federal entity's control, the work cannot be completed.
- Non-Federal entity finishes the project tasks significantly prior to the award project period end date.
 - Completes or anticipates completion of the award's financial transactions within 90 days of the requested early termination date.

Extension to Closeout

- Allows for an extension to closeout beyond the standard 90 days.
 - Up to 60 days beyond original closeout period
 - All activities during the extension must be consistent with closeout.
 - Finalize financial, progress, tangible property reports
 - Liquidate obligations incurred.



Award Action Requests in Grants Online

- The non-Federal entities must adhere to the following when submitting a post award request in Grants Online:
 - Submit appropriate documentation for designated request in accordance with established timelines.
 - Ensure that all reports submissions are up to date (financial and progress).
 - Adhere to all administrative terms and conditions when related to post award activity such as:
 - When a request should be submitted; and
 - Who should submit the request
 - Make sure that all previously issued amendments have been accepted by the recipient's authorized representative.
 - Actions will go to the Program Office and will be recommended for approval to the Grants Office (except prior approval waived no-cost extensions)

Common Errors

- Poor justification
- Missing required documentations
 - Remaining budget (for no-cost extensions)
 - Required revised budget (SF-424a) for Reprogram/Rebudget request
 - Resume or Curriculum Vitae for change in personnel
- Not submitting actions on time
- Not satisfying existing Special Award Conditions, when submitting an award action request
- Delinquent Financial and Performance reports submissions)
- Submitting the wrong Award Action Request (AAR)



Question 1

The Principal Investigator on the current award has taken a position at a new university. If the original university wants to replace the Principle Investigator what should the university do?



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Question 2

No cost extension prior approval requests are required for research awards.

- a. True
- b. False
- c. Both a & b



Any Questions?



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