



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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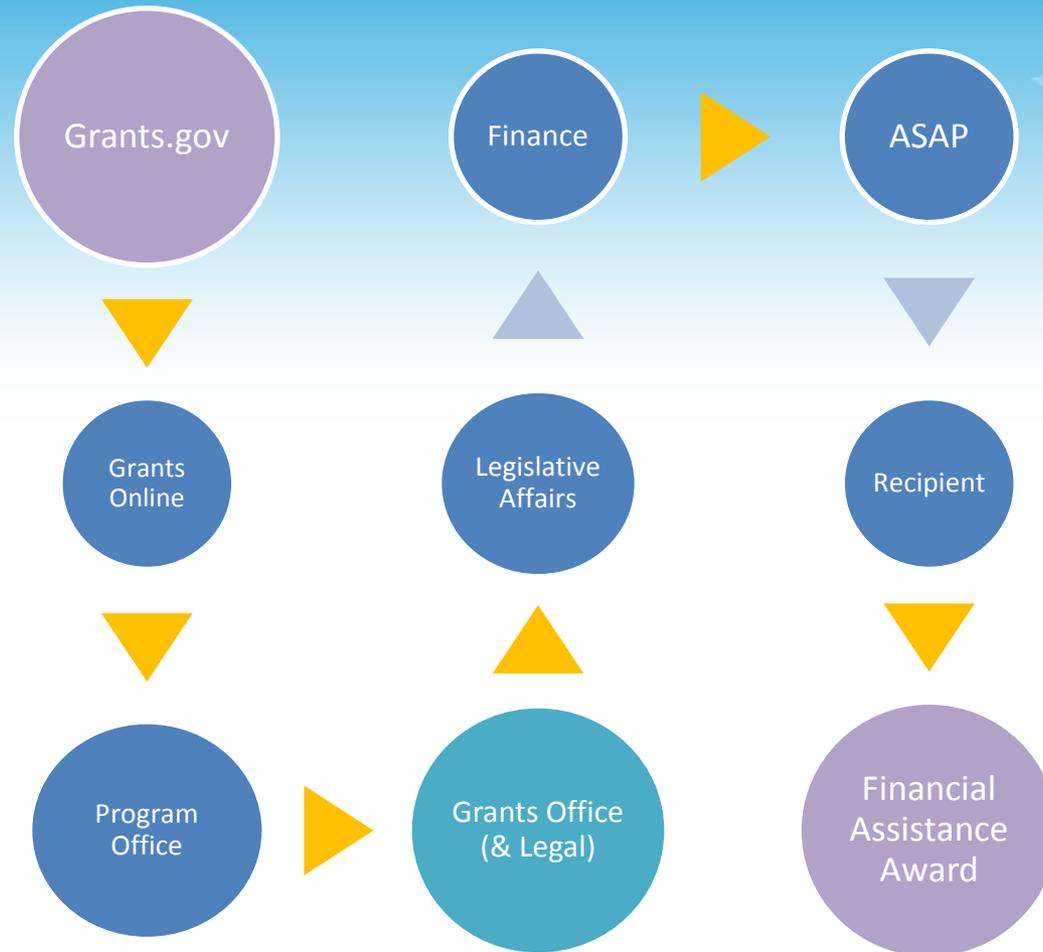
Partnership in
Grants Management



Award Review Process

Presented By: Nadia Musa

Award Review Process Cycle



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Recipient Responsibilities: Submit Application

- SF-424, SF-424A, SF-424B, CD-511, and SF-LLL
- Project description
- Budget narrative
- Negotiated indirect cost rate agreement, if applicable

Program Office Responsibilities

- Request for Application (RFA)
- Manage competition and make recommendations
 - PO Checklist (financial assistance type, selection basis, etc.)
 - Federal Assistance Information Sheet
 - Procurement Request
 - NEPA documentation

Grants Office Responsibilities

- Review application package submitted by the recipient via Grants.gov
- Due diligence
 - Review procurement request
 - Review NEPA
 - Review the Federal Assistance Information Sheet

Grants Office Responsibilities (cont.)

Review PO Checklist to determine:

- Type of financial assistance award
 - Grant
 - Cooperative agreement
- Selection basis
 - Competitive
 - Non-competitive
 - Institutional
 - Formula/Allotment
- Match requirement

Grants Office Responsibilities (cont.)

Complete the GMD Checklist

- Cost analysis
- Delinquent Federal debt
- Single audit
- Parties excluded
- Specific conditions
- Reporting frequency
- Project dates

Grants Office Responsibilities: Due Diligence

- Cost analysis ensures that the recipient's proposed costs comply with 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements)
- System for Award Management (SAM) ensures that the entity and key personnel have not been excluded from receiving Federal funds
- Do Not Pay allows us to check for pre-payment eligibility and to help prevent, reduce, and stop improper payments
- Federal Audit Clearinghouse allows us to search for Single Audits and corrective action plans in place to address any issues to safeguard Federal funds

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Budget Documents for Review

- SF-424 (Box #18)

18. Estimated Funding (\$):	
* a. Federal	578,474.00
* b. Applicant	420,676.00
* c. State	0.00
* d. Local	0.00
* e. Other	0.00
* f. Program Income	0.00
* g. TOTAL	999,150.00

- SF-424A

- Budget narrative

- Other OMB-approved budget forms based on your programs, if applicable

- Negotiated Indirect Cost Rate Agreement (NICRA), if applicable

Budget Review Process: SF-424A

The cost analysis is based on the object class categories outlined on the SF-424A

- Personnel
- Fringe Benefits
- Travel
- Equipment
- Supplies
- Contractual
- Other
- Indirect Charges

BUDGET INFORMATION - Non-Construction Programs							OMB Approval No. 0348-0044
SECTION A - BUDGET SUMMARY							
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget			
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)	
1.		\$	\$	\$	\$	\$ 0.00	
2.						0.00	
3.						0.00	
4.						0.00	
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
SECTION B - BUDGET CATEGORIES							
8. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)		
	(1)	(2)	(3)	(4)			
a. Personnel	\$	\$	\$	\$	\$ 0.00		
b. Fringe Benefits					0.00		
c. Travel					0.00		
d. Equipment					0.00		
e. Supplies					0.00		
f. Contractual					0.00		
g. Construction					0.00		
h. Other					0.00		
i. Total Direct Charges (sum of 6a-6h)		0.00	0.00	0.00	0.00		
j. Indirect Charges					0.00		
k. TOTALS (sum of 6i and 6j)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00		
7. Program Income	\$		\$	\$	\$ 0.00		

Previous Edition Usable

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Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006
Expiration Date: 06/30/2014

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. [Redacted] 2014 - Year 1	[Redacted]	\$ []	\$ []	\$ 1,336,000.00	\$ 709,598.00	\$ 2,045,598.00
2. [Redacted] 2015 - Year 2	[Redacted]	[]	[]	1,336,000.00	734,269.00	2,070,269.00
3. [Redacted] 2016 - Year 3	[Redacted]	[]	[]	1,336,000.00	729,338.00	2,065,338.00
4. [Redacted] 2017 - Year 4	[Redacted]	[]	[]	1,336,000.00	732,289.00	[]
5. Totals		\$ []	\$ []	\$ 5,344,000.00	\$ 2,905,494.00	\$ 6,181,205.00

Sample SF-424A – Page 1A

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1) 2014 - Year 1	(2) 2015 - Year 2	(3) 2016 - Year 3	(4) 2017 - Year 4	
a. Personnel	\$ 270,466.00	\$ 277,875.00	\$ 254,777.00	\$ 261,529.00	\$ 1,064,647.00
b. Fringe Benefits	81,252.00	82,520.00	80,989.00	83,248.00	328,009.00
c. Travel	14,300.00	14,300.00	12,300.00	12,300.00	53,200.00
d. Equipment					
e. Supplies	11,733.00	6,100.00	2,500.00	2,500.00	22,833.00
f. Contractual	803,253.00	806,632.00	862,369.00	857,604.00	3,329,858.00
g. Construction					
h. Other	36,190.00	30,855.00	22,101.00	16,358.00	105,504.00
i. Total Direct Charges (sum of 6a-6h)	1,217,194.00	1,218,282.00	1,235,036.00	1,233,539.00	\$ 4,904,051.00
j. Indirect Charges	118,806.00	117,718.00	100,964.00	102,461.00	\$ 439,949.00
k. TOTALS (sum of 6i and 6j)	\$ 1,336,000.00	\$ 1,336,000.00	\$ 1,336,000.00	\$ 1,336,000.00	\$ 5,344,000.00
7. Program Income	\$	\$	\$	\$	\$

Sample SF-424A – Page 2

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8.	<input type="text"/> 2014 - Year 1	\$ <input type="text" value="709,598.00"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="709,598.00"/>
9.	<input type="text"/> 2015 - Year 2	<input type="text" value="734,269.00"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="734,269.00"/>
10.	<input type="text"/> 2016 - Year 3	<input type="text" value="729,338.00"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="729,338.00"/>
11.	<input type="text"/> 2017 - Year 4	<input type="text" value="732,289.00"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="732,289.00"/>
12. TOTAL (sum of lines 8-11)		\$ <input type="text" value="2,905,494.00"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="2,905,494.00"/>

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ <input type="text" value="1,336,000.00"/>	\$ <input type="text" value="334,000.00"/>	\$ <input type="text" value="334,000.00"/>	\$ <input type="text" value="334,000.00"/>	\$ <input type="text" value="334,000.00"/>
14. Non-Federal	\$ <input type="text" value="709,598.00"/>	<input type="text" value="177,400.00"/>	<input type="text" value="177,400.00"/>	<input type="text" value="177,400.00"/>	<input type="text" value="177,398.00"/>
15. TOTAL (sum of lines 13 and 14)		\$ <input type="text" value="2,045,598.00"/>	\$ <input type="text" value="511,400.00"/>	\$ <input type="text" value="511,400.00"/>	\$ <input type="text" value="511,398.00"/>

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	(b)First	(c) Second	(d) Third	(e) Fourth	
16. <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	
17. <input type="text"/> 2015 - Year 2	<input type="text" value="1,336,000.00"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
18. <input type="text"/> 2016 - Year 3	<input type="text"/>	<input type="text" value="1,336,000.00"/>	<input type="text"/>	<input type="text"/>	
19. <input type="text"/> 2017 - Year 4	<input type="text"/>	<input type="text"/>	<input type="text" value="1,336,000.00"/>	<input type="text"/>	
20. TOTAL (sum of lines 16 - 19)		\$ <input type="text" value="1,336,000.00"/>	\$ <input type="text" value="1,336,000.00"/>	\$ <input type="text" value="1,336,000.00"/>	\$ <input type="text"/>

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges: <input type="text" value="\$4,904,051"/>	22. Indirect Charges: <input type="text" value="\$439,949"/>
23. Remarks: <input type="text"/>	

Budget Narrative

- Provide sufficient level of detail for GMD to determine whether costs are **reasonable, allowable, and allocable**
 - Explain/justify Federal – BREAK DOWN BY YEAR!!!
 - Explain/justify non-Federal share, if applicable, with same level of detail – break down by year
 - Parallel the SF-424A object class categories
 - Dollar amounts must match those stated on SF-424 & SF-424A
 - Identify indirect charges, if applicable



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Personnel

- Names, titles, salary, level of effort, amount charged to Federal and non-Federal share
- Personnel – your staff vs. contractual
- For vacant positions, include anticipated hire date
- Provide justification and description of positions
- Relate position to program objectives
- Cannot exceed 100% on all active projects
- Build in cost of living increases into the budget and justify reasonableness
- Direct vs indirect costs (i.e., administrative staff) – don't double dip!

Personnel – Narrative Example

The total cost for personnel for the project is \$70,000 for year one: Federal \$51,000; non-Federal match \$19,000. Salaries are inflated at an annual rate of 2% per published xyz guidelines.

Name	Position	Salary	% on Project	No. of Months	Federal	Non-Federal	Role
Jane Xoe	PI	\$80,000	10%	1.2	\$4,000	\$4,000	Overall management of the project...
John Yoe	Project Coordinator	\$60,000	50%	6	\$15,000	\$15,000	Developing, coordinating, and implementing all tasks...
Jack Zoe	Education Specialist (graduate student)	\$40,000	80%	9.6	\$32,000	\$0	Developing, coordinating, and improving education programs, policies, and standards...

Fringe Benefits

- What is the fringe rate for each position?
- If the rate exceeds 35%, provide a breakdown of what's included in the rate (unless stated in the NICRA).

Fringe – Narrative Example

The total cost for fringe is \$14,780 for year one: Federal \$8,510; Non-Federal share \$6,270. Fringe rate for full time employees is 33% (5% retirement; 7.65% FICA; 1.65% worker compensation insurance; 18.7% health and dental insurance). Fringe rate for temporary personnel is 7% (1.65% worker compensation insurance; 5.35% health and dental insurance). Fringe benefits for the salaries of personnel on this project are listed below

Name	Position	Salary	% on Project	Fringe Rate	Fringe: Federal	Fringe: Non-Federal
Jane Xoe	PI (full-time employee)	\$80,000	10%	33%	\$1,320	\$1,320
John Yoe	Project Coordinator (full-time employee)	\$60,000	50%	33%	\$4,950	\$4,950
Jack Zoe	Education Specialist (graduate student)	\$40,000	80%	7%	\$2,240	\$0

Travel

- Who, what, when, where, why, how? Oh, and how long?!
 - Who's going?
 - When are they going? And how long?
 - Where are they going? Provide both origin and destination.
 - Why are they going? Are they presenting research, etc.? Explain how it directly relates to the project.
 - How are they traveling? By vehicle/aircraft?
- Not sure? Base on historical information!
- Domestic vs. Foreign - Fly America Act
- Travel for consultants/subawardees – which line item?

Travel – Narrative Example

The total cost for travel is \$1,206 for year one: Federal \$1,206; Non- Federal Match \$0. Travel is requested for the Project Coordinator to present preliminary findings on Project X/X-2 at the National Marine Foundation Conference in Key West, FL, August 1-3, 2016. Travel costs are requested for:

- \$500 RT airfare: Between Sunshine, CA, and Key West, FL – July 31, 2016 through August 3, 2016.
- \$405 Lodging - three nights at the per diem rate of \$119/night plus 13% applicable taxes.
- \$60: Ground transportation for public transportation between airport and lodging; and lodging and conference center.
- \$241 M&IE - two days at the rate of \$66 per day/two days at the rate of \$49.50 for first/last day of travel.

Equipment

- Equipment vs. supplies: Equipment – useful life of 1+ year and a per-unit acquisition cost of \$5,000+
- Lease vs. purchase analysis
- Equipment maintenance fees – which line item? Equipment? Other?

Equipment – Narrative Example

The total cost for equipment is \$15,000 for year one: Federal \$15,000; Non-Federal \$0. The request is for purchase of a 4-wheel drive vehicle. The vehicle is used daily to access field monitoring sites, conduct surveys, maintain and download data from multiple PIT tag antennas, and deploy and monitor downstream migrant smolt traps. Many of these sites are remotely located and a 4-wheel drive vehicle is necessary, especially during the winter rainy season.

The vehicle is not available for lease from XX YY Services

Supplies

- Provide a breakdown of cost for supplies totaling \$5,000+ or 5% of the total project (Federal and non-Federal funds)
 - List by supply item
 - Provide quantity per unit
 - Provide purpose/explanation for supply

Supplies – Narrative Example

The total costs for supplies is \$7,260 for year one: Federal \$7,260; Non-Federal \$0.

- General office supplies (\$300) includes pens, pencils, paper, etc.
- Expendable survey supplies (\$6,960) to *[purpose of the supplies]* include:
 - Waders (\$100 per unit; quantity=2)
 - Boots (\$100 per unit; quantity=2)
 - Rain gear (jacket at \$100 per unit; quantity=2)
 - Dry suits (\$400 per unit; quantity=1)
 - Survey batteries (\$80 per unit; quantity=1)
 - Survey cameras (\$400 per unit; quantity=1)
 - GPS units (\$2,000 per unit; quantity=1)
 - SQL server access (\$3,000; quantity=1)
 - Misc. snorkeling (\$60 per unit; quantity=3)
 - Spawner survey supplies (\$300; quantity=1)

Contractual

- Provide separate budgets for each contract or vendor
 - Name of contractor/vendor
 - Method of selection (provide justification is non-competitive)
 - Period of performance
 - Scope of work
 - Criteria for measuring accountability
- System for Award Management (SAM) www.sam.gov

Other

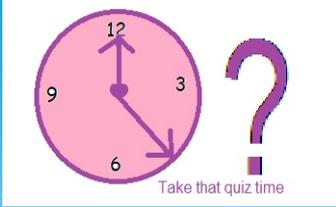
- Subawards – provide subaward budgets
 - System for Award Management (SAM)
www.sam.gov
- Items not included in previous direct categories
 - Examples: training costs (except if contractual); telephone; postage; rent; etc.
 - List by type with breakdown of cost, quantity, and necessity for project

Indirect Costs

- Costs incurred for common/joint objectives which cannot be readily identified with an individual project or program but are necessary to the operations of the organization
- Provide recent Negotiated Indirect Cost Rate (NICRA)
- 2 CFR 200.414 Indirect Costs - 10% *de minimis* rate of modified total direct costs (MTDC)
- MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000.
- 200.331 Requirements for Pass-through Entities – recipients must honor the subrecipients indirect cost rate (can't restrict)
- Only mandatory (not voluntary) cost share can be computed in the indirect cost rate

Non-Federal Share

- Provide sources with adequate documentation
- Provide the same level of detail for non-federal share – broken down by object class category
- Non-Federal share subject to same Federal regulations
- Non-Federal share in approved award is a requirement, regardless of whether it was required or voluntary

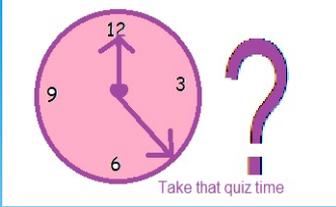


TRUE OR FALSE

1. There are three types of financial assistance awards.
2. Application packages must be submitted through NOAA.gov.
3. Do Not Pay allows Federal agencies to check for pre-payment eligibility and to help prevent, reduce, and stop improper payments.

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TRUE OR FALSE

1. System for Award Management (SAM) allows agencies to ensure that the entity and key personnel have not been excluded from receiving Federal funds.
2. The budget narrative includes a detailed description of the line items on the SF-424A.
3. Cost analysis helps to ensure the recipient's proposed costs are in accordance with 2 CFR 200.



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