



# “FPO 101”

Basics for New NOAA Federal  
Program Officers





# Overview

- Background
  - Grants vs. Contracts vs. Cooperative Agreements
- Day to Day FPO/Grantee Activities- Picking up where your colleague left off
  - Progress reports and Post Award Actions
- Awarding a new grant- FPO Responsibilities
  - Request proposals, review, negotiate, submit to GMD
- Awarding a new grant- GMD Responsibilities
  - Pre-award screening, cost analysis, etc.
- General information and references





# Funding Mechanism

- **Grant:** principal purpose is the transfer of anything of value to a recipient for a public purpose of support or stimulation
- **Cooperative Agreement:** principle purpose is the transfer of anything of value to a recipient for a public purpose of support or stimulation; *and substantial involvement is anticipated between the Federal Government and the recipient*
- **Contract:** principal purpose is the acquisition of property or services *for the direct benefit or use of the Federal Government.*



# Day to Day Responsibilities- Progress Reports

- Progress Reports
  - Recommended submission through Grants Online
  - Due dates
    - Interim: Covers every 6 months starting from award start date and due 30 days after reporting period ends
      - Can also be annual
    - Final: Generally comprehensive/covers the entire award and due 90 days after end date
    - Enter into Grants Online if necessary- see “Performance Progress Reports Reference Guide for Federal Program Officers and Project Technical Monitors (Optional Reviewers)”
  - FPO/Technical Monitor Review
    - See Performance Progress Report Quick Reference Guide page 8
  - FPO Approval
    - ~30 days after submission
- Delegating and moving awards between FPOs





# Day to Day Responsibilities- Financial Reports

- Financial Reports
  - Due April 30 and October 30
    - Fax (301) 713-0947
    - [Federal.financialreport@noaa.gov](mailto:Federal.financialreport@noaa.gov)
  - GMD collects, but FPOs can remind grantees of due dates
  - ASAP accounts are shut off for delinquency





# Day to Day Responsibilities- Award Action Requests

- Post Award Actions (extensions, rebudgets, etc.)
  - Requested by Grantee through Grants Online
  - FPO Role
    - Remind Grantee to request action 30-45 days prior
    - Forward to GMD- see FPO User Manual “Post Award Processing” page 85
    - NOTE: FPOs are no longer able to enter/request extensions for Grantees (limited exceptions apply)
  - Expanded Authorities- For universities, non- and for-profits doing research activities
    - FPO Notified by Grants Online
    - Incur pre-award costs up to 90 days prior to the start of the award;
    - Extend the award period once up to 12 months;
    - Carry forward unobligated balances to the next budget period; and others...



# Day to Day Responsibilities cont.

Grants Online -- Award - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address <https://grantsonlinetest.rdc.noaa.gov/flows/document/launchPage/actionItemAction.do>

| Officer:   | Phone:   | Email:                    |
|--|--|---------------------------|
| <b>Total Federal Funding:</b> \$6,000,000.00   | <b>Total Non Federal Funding:</b> \$6,000,000.00 | <b>Multi-Year:</b> Yes    |
| <b>Organization Name:</b> South Pacific Commission   | <b>Electronic Recipient:</b> Yes                 | <b>ASAP Recipient:</b> No |
| <b>Progress Report Frequency:</b> Semi-Annually  | <b>Financial Report Frequency:</b> N/A           |                           |
| <b>Final Reports Due On:</b> 05/29/2011  | <b>Closeout Date:</b> N/A                        |                           |
| <b>Project Title:</b> Develop, Install, and Operate the Western Pacific Tsunami Warning System |  |                           |

### Award Action Request Index - NA07SEC4690004

|   |   |
|---|---|
| <a href="#">No Cost Extension - Without Invocation of Expanded Authority</a>            | <a href="#">No Cost Extension - Invocation of Expanded Authority</a>  |
| <a href="#">Extension to Close Out</a>  | <a href="#">Reprogram or Rebudget</a>   |
| <a href="#">Change in Scope</a>   | <a href="#">Equipment Purchase</a>  |
| <a href="#">Transfer of Award</a>   | <a href="#">Foreign Travel</a>  |
| <a href="#">Change in Principal Investigator</a>  | <a href="#">Sole Source Contract</a>  |
| <a href="#">Change in Institution Name</a>  | <a href="#">Other</a>   |
| <a href="#">Change in Key Person Specified in the Application</a>                       | <a href="#">Absence of more than 3 months or 25% by project director or PI</a>  |
| <a href="#">Satisfied Special Award Conditions</a>                                      | <a href="#">Inclusion of cost that require prior approval based on cost principles</a>  |
| <a href="#">Transfer of funds allotted for training to other categories of expenses</a> | <a href="#">Sub award, transfer or contracting out of any work under the award if not described in the approved application</a> |
| <a href="#">Pre-Award Cost</a>  |   |

**Grantees:**  
Please note that the above listing contains all the possible Award Action Requests that can be created on this Award. While the ability to create these Award Action Requests is given to all grantee users, they can only be forwarded to the agency by the Authorized Representative.

[Return to Main](#)

Done

Start | Internet | 5:46 PM





# New Grants- FPO Responsibilities

- Solicit/Receive an Application
  - Competitive or Non-competitive
- Merit Review and Selection
  - Discretionary and non-discretionary funds
- FPO Negotiation, Review and Recommendation for Funding





# Solicit Projects

- Non-competitive: Create a non-competitive RFA in Grants Online and ask the applicant to apply (see Grants Online FPO User Manuals)
- Competitive: Create a competitive RFA and describe the competition in the Omnibus Federal Register Notice (FRN) and Full Funding Opportunity (FFO) (see Grants Online manual)
  - Format and guidance in Grants Online
  - NOAA has standard review criteria (see June '06 Omnibus, pg 33902)
- All opportunities are made available in Grants.gov; published by Steve Drescher
- Stand-alone funding notices





# Merit Review and Selection

- Merit Review dependant upon the type of funding
  - Non-federal reviewers need a Conflict of Interest form
- Non-discretionary Funding
  - Hard Earmarks, Limited by Statute- 1 review
    - Very few hard earmarks (number and how listed in approp)
  - Statute: Coastal Zone, NERRs, NMFS section 404
- Discretionary Funding- 3 reviews required (see table in reference materials)
  - Competitive
    - Chosen by “Selecting Official”
  - Non-competitive (including soft earmarks)
    - 6 potential non-comp justifications (no congressional intent for '07)
    - Justification memo (see reference materials for signatory authorities)
  - Broad Agency Announcement
    - Reduces number of non-comp agreements for unsolicited proposal and conference/meeting sponsorships
    - Transmittal memo justifying selection





# FPO Negotiation, Review and Recommendation for Funding

- Required Forms (non-construction)
  - SF-424 (signature important)
  - SF-424A (SF-424C for construction)
  - SF-424B (SF-424D for construction)
  - CD-511/CD-512
  - CD-346 (for- and non-profits only)
  - Project and Budget Narratives
  - SF-LLL (if lobbying)
- Negotiations
  - Content and budget (see cost analysis document)
  - Receive via email/mail and enter into Grants Online





# FPO Negotiation...FPO Checklist

- PO Checklist (see reference docs/Grants Online)
- SACs
  - Generally at the program's discretion
  - Some requirements for real property acquisition
  - Expanded Authorities
  - Substantial Involvement Statement for Cooperative Agreements
  - Pre-award spending
- Attach non-comp justifications or reviews or final revisions
- Match
  - Voluntary vs Statutory/Required
    - All match is required once on the award
    - Matching funds require the same level of budget detail and reporting as federal funds





# FPO Negotiation...FPO Checklist

- Matching Requirements and Analysis
  - No match required example

| a. Federal Share Amount | b. Required Non-Federal Share Amount | c. Required Cost Share % of Total (Federal + Non Fed) | d. Funding Source / Required Cost Share Explanation                 | Action                                      |
|-------------------------|--------------------------------------|---|---|---|
| \$60,000.00             | \$0.00                               | 0.0   | Source or Explanation of 0% Required Cost Share: program guidelines | <a href="#">Edit</a> <a href="#">Delete</a> |

[Add New](#)

## Analysis of Matching Requirements

Negotiated Federal Share:

Total Federal Share (from Matching Requirements):

Negotiated Non-Federal Share:

Total Required Non-Federal Share:

Voluntary Non-Federal Share:

\$60,000.00

\$60,000.00

\$15,000.00

\$0.00

\$15,000.00

From Application/  
Negotiation

If not required, then voluntary





# FPO Negotiation...FPO Checklist

- Matching Requirements Analysis
  - Required 1:1 match example

| a. Federal Share Amount | b. Required Non-Federal Share Amount | c. Required Cost Share % of Total (Federal + Non Fed) | d. Funding Source / Required Cost Share Explanation | Action                                      |
|-------------------------|--------------------------------------|---|---|---|
| \$11,831,335.00         | \$11,831,335.00                      | 50.0  | Statutory:  | <a href="#">Edit</a> <a href="#">Delete</a> |

[Add New](#)

You enter required cost share % and federal share

### Analysis of Matching Requirements

|   |                 |
|---|-----------------|
| Negotiated Federal Share:                         | \$11,831,335.00 |
| Total Federal Share (from Matching Requirements): | \$11,831,335.00 |
| Negotiated Non-Federal Share:                     | \$11,831,335.00 |
| Total Required Non-Federal Share:                 | \$11,831,335.00 |
| Voluntary Non-Federal Share:                      | \$0.00          |





# Substantial Involvement Statement Example

- The substantial involvement by the Federal Government will be as follows:
  - NOAA Fisheries participation will be crucial to ensuring the development, selection and implementation of the most beneficial habitat restoration projects possible.
  - NOAA Fisheries will:
    - provide technical review of project proposals, including a site visit, to improve decision making on the expenditure of restoration funds;
    - assist in the selection of projects to be funded;
    - provide hands-on assistance on technical and permitting issues for each habitat restoration project;
    - monitor the progression of the restoration from planning to implementation and post-construction follow-up, including one or more site visits toward the achievement of program objectives during the cooperative agreement;
    - participate in public events to highlight the restoration activities and to ensure that they foster the concept of citizen-based habitat restoration.





# FPO Negotiation...Procurement Requests

- Previously known as CD-435
- Register Requestor and Budget Officer with Grants Online
- Remember to “Validate”



# FPO Negotiation...Procurement Requests cont.

Grants Online -- Procurement Request and Commitment of Funds ACCS - Microsoft Internet Explorer

Address: https://grantsonline.rdc.noaa.gov/goWeb/flows/document/preAwardSelection/CD435/goToAccs.do?cd435AccsId=2000003&isUpdating=true

**NOAA Grants Online**

Inbox RFA Pre-Award Award Account Management System Administration Manage Certifications Reports Help

Welcome to Grants Online Melanie Gange [Log Off](#)

Advisories  
Notifications  
Archive  
Tasks  
Send Message

### Application Header Information

|                        |  |                            |  |
|------------------------|--|----------------------------|--|
| <b>CFDA Number:</b>    | 11.463   | <b>RFA Document ID:</b>    | 1012198                                  |
| <b>Program Office:</b> | Fisheries Habitat Conservation Program Office (HCPO) | <b>RFA Document Title:</b> | FY 2004 Conservation Grants              |
| <b>Application ID:</b> | 1026163  | <b>Project Title:</b>      | Partners for Restoring Coastal Louisiana |
| <b>Applicant:</b>      | Louisiana Department of Natural Resources            | <b>Fiscal Year:</b>        | 2004                                     |
| <b>Award Number:</b>   | NA04NMF4630230                                       |                            |  |

Bureau (xx): \*

Fund (xx): \*

Fiscal Year (yyyy): \*

Project Task:

Program Code:

Organization:

Object Class:

Amount: \*

[Save](#) [Validate](#) [Cancel](#)





## FPO Negotiation... NEPA

- National Environmental Policy Act
- <http://www.nepa.noaa.gov/> has links related to financial assistance and optional NEPA questionnaire
- Grants are a Major Federal Action and NEPA almost always applies to discretionary awards
- Contact NOAA NEPA Coordination Office if you have questions



# New Grants- GMD Responsibilities

- GMD Staff and Responsibilities
  - Assignments based on CFDA #/Line Office
- GMD Checklist

| Item  | Requirement  |
|---|--------------|
| <input type="checkbox"/> Budget/Cost Analysis Memo  | Not Required |
| <input checked="" type="checkbox"/> Intergovernmental Review of Federal Program   | As Needed    |
| <input type="checkbox"/> Applicants Management and Financial Capabilities   | Not Required |
| <input checked="" type="checkbox"/> Credit Check  |              |
| <input checked="" type="checkbox"/> Delinquent Federal Debt   | Required     |
| <input checked="" type="checkbox"/> List of Parties excluded from Procurement/Non-Procurement Activities                          | Required     |
| <input checked="" type="checkbox"/> Past Performance  | Required     |
| <input type="checkbox"/> Pre-Award Accounting System Survey   | Not Required |
| <input type="checkbox"/> High Risk Recipient  | As Needed    |
| <input type="checkbox"/> Awards to Insular Area <input type="radio"/> Yes <input checked="" type="radio"/> No                     | Not Required |
| <input checked="" type="checkbox"/> Grant Type <input checked="" type="radio"/> Cooperative Agreement <input type="radio"/> Grant | Required     |
| <input checked="" type="checkbox"/> Confirm Financial and Progress Report Requirements  | Required     |
| <input checked="" type="checkbox"/> Review Special Award Conditions   | Required     |
| <input checked="" type="checkbox"/> Project Details   | Required     |
| <input checked="" type="checkbox"/> Project Dates   | Required     |





# New Grants- General Info

- Awards are approved and announced by GMD, not the program!
- All start dates are the 1<sup>st</sup> of the month; end dates are the last of the month
- NOAA and DOC standard conditions
- ASAP-electronic payments
- Cooperative Institutes (John Cortinas)  
<http://www.nrc.noaa.gov/ci/locations/index.html>
- FPO Certification
  - NOAA Grants Conference, Management Concepts Inc. Course, Grants Online training





# References

- FPO Checklist
- Grants Online Competitive and Non-Competitive FPO User Manuals; Performance Progress Reports Quick Reference Guide  
[http://www.ofa.noaa.gov/~grantsonline/gol\\_training.html](http://www.ofa.noaa.gov/~grantsonline/gol_training.html)
- Budget Guidelines  
<http://www.ago.noaa.gov/grants/appkit.shtml>
- DOC Standard Terms and Conditions, NOAA Standard Award Conditions <http://www.ago.noaa.gov/grants/>
- GMD Flow Chart and GMD Org Chart
- FALD Assignments [http://www.ogc.doc.gov/fald\\_client.html](http://www.ogc.doc.gov/fald_client.html)
- GMD Website-Grantee page  
<http://www.ago.noaa.gov/grants/grantees.shtml>
- Department of Commerce Grants and Cooperative Agreement Interim Manual  
[http://oamweb.osec.doc.gov/GMD\\_interimManual.html](http://oamweb.osec.doc.gov/GMD_interimManual.html)
- Non-competitive Justifications
- Glossary/Acronyms

