

## Glossary of NOAA Grants Terms and Acronyms

**Allocation Plan:** Funding breakdown within a particular program. Usually a table dividing funding within a program between the different recipients. The funding breakdown is decided by a program committee or formula, e.g., an apportionment to state recipients for the Interjurisdictional program is based on average value and volume of raw fish landed by domestic commercial fishermen.

**Amendment:** A formal change to the award agreement (i.e., involves time, money, recipient organization) made by NOAA/GMD. A CD-451 form reflects the amendment information.

**Application:** A request submitted for financial support of a project or activity. May also be referred to as a proposal. At a minimum, it should include a statement of work and a line item budget, plus other Federally required forms (e.g. SF-424 cover sheet, SF-424A, SF-424B, CD-511, etc.).

**ASAP:** Automated Standard Application for Payment, is the system grantees use to draw down funds electronically. It is operated by the Department of the Treasury. <http://fms.treas.gov/asap>

**Availability of Funds:** Monies specifically allotted to an award program and accessible from the funding agency. For an award to be made, Authorizing Official must certify that funds are available. The Budget Officer's signature on the CD-435 certifies that funds are available.

**Award:** The awarding of funds for an approved grant application and budget. A NOAA award is implemented through a CD-450 form.

**Blackout Period:** The 48-hour period immediately following final approval of a funded award, designed to give Congressional offices the opportunity to announce funding of the award to their constituents.

**Budget Narrative:** A detailed line item budget in addition to and which expands upon the general budgetary information contained in the SF-424A or SF-424C. It explains who will perform what work, their time commitment and salary rates, fringe benefit rates and calculations, detailed explanations concerning travel (i.e., number of travelers, days of travel, per diem rate, hotel/flight cost, and purpose of travel), supplies, equipment, contractual, and indirect cost items.

**Budget Period:** The interval of time, usually one year, into which the project period is divided for budgetary and funding purposes. Also called a Funding Period.

**CFDA:** The *Catalogue of Federal Domestic Assistance*, a comprehensive list of all Federal funding authorities and programs that provide assistance. For each authority or program there is a description and a list of Points of Contact. To access the CFDA go to [www.cfda.gov](http://www.cfda.gov) on the Web.

**Closeout:** The process by which an Agency determines that all financial assistance award requirements and applicable administrative actions have been completed by the recipient.

**Consultant:** An individual hired by the recipient to provide professional advice or expertise required to complete authorized project activity.

**Contract:** A legal instrument reflecting a relationship between a recipient and subrecipient, or between such contractor and subcontractor whenever the principal purpose of the relationship is the acquisition by purchase, lease, or barter, of property or services.

**Cooperative Agreement:** A legal instrument reflecting a relationship between the funding agency and the recipient where the purpose is to provide Federal funds to the recipient and the funding agency has “substantial involvement” in carrying out the project activities.

**Cost Share:** Contributions toward the non-Federal portion of the total award costs; may include in-kind or cash.

**Countersigned Award:** A Financial Assistance Award which has been signed by both the NOAA Grants Officer and subsequently, by the recipient.

**Debarment:** A long-term exclusion of an organization or individual from participation in government programs. In most instances, the organization or individual is ineligible to apply for or receive financial assistance awards.

**Direct Cost:** Costs that can be specifically associated with an activity or item under an award (e.g. travel, salary, equipment).

**Discretionary Grant:** An award made at the discretion of a Federal agency, subject to conditions specified by the authorizing legislation. Typically, a discretionary grant involves the funding agency establishing program requirements through a Federal Register Notice (e.g. Saltonstall-Kennedy, MARFIN). Also see Nondiscretionary Grants.

**EO12372:** Item 16 in the Application for Federal Assistance refers to this Executive Order. It was issued with a desire to foster intergovernmental partnerships and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows for each State to designate a Single Point of Contact (see Chapter 18 for Web site).

**Equipment:** An article of nonexpendable, tangible, personal property having a useful life of more than one year and an acquisition cost which exceeds the capitalization level established by the organization for financial purposes or \$5,000.

**Financial Assistance Award or FAA:** The official document (CD-450), which, when properly signed, countersigned, and dated, authorizes the obligation of funds in accordance with an approved Application for Financial Assistance (SF-424). The Grants Officer’s signature signifies the award is obligated. The recipient’s signature imposes responsibilities upon the Recipient. Legally, the Recipient has accepted obligation of the award once he/she withdraws funds, even without his/her signature. Electronic signatures in Grants Online are NOAA’s business standard with paper used only for applicants who have specific reasons why they can not access the web.

**FPO:** Federal Program Officer, the individual in the awarding agency responsible for the technical, scientific, or substantive program requirements of the award program.

**FFO:** Federal Funding Opportunity, the document explaining how a competitive applicant should apply for financial assistance. The FPO creates the FFO in Grants Online, and it is posted on Grants.gov.

**Funding Authority:** The statutory legislation that specifically authorizes the funding agency to make financial assistance awards for specified purposes. All awards must have an appropriate funding authority. (See the Catalog of Federal Domestic Assistance for a list of funding authorities for NOAA.)

**Grant:** An award of financial assistance where the Federal agency has no “substantial involvement” in the project.

**Grants Officer:** The Chief of NOAA’s Grants Management Division who signs Financial Assistance Awards as well as other official documents emanating from NOAA/GMD.

**Grants Online:** NOAA’s web-based system to award and track grants, but NOT to draw down funds (see ASAP). <https://grantsonline.rdc.noaa.gov>

**Grants Management Advisory Council (GMAC):** Members of this group set policy for NOAA grants across line offices. Each line office has a representative.

Office	GMAC Representative	Phone Number
NMFS	JoAnna Grable	301-713-1364
NOS	Jane Piercy	301-713-3050
OAR	Sharon Schroeder	301-713-2474
NWS	Youngnan Cohan	301-713-0420
NESDIS	Ingrid Guch	301-763-8282
Office of Education	Carrie McDougall	202-482-0875

**Grants Management Specialist (GMS):** The individual who works in support of the Grants Officer. The GMS is the NOAA/GMD staff responsible for working with the Federal Program Officer and applicant to process an award and ensure that the administrative requirements of the award are met and that the official file is up-to-date.

**Grants.gov:** A government-wide system to find and apply for grants. <http://www.grants.gov>

**High Risk Recipient:** A recipient found to be out of compliance with award terms and conditions. Funding agencies designate a recipient as such until such time as the recipient demonstrates it has overcome problems that precluded it from complying with award terms and conditions.

**Indirect Costs:** Costs that are incurred for common or joint objectives which, therefore, cannot be identified specifically with a particular project. Commonly known as overhead, or the costs for basic operational functions (e.g., lights, rent, water, insurance).

**In-Kind Cost Share:** A recipient fulfilling its cost share obligations by a contribution of resources *other than cash*. Examples of in-kind cost-share include the use of the recipient's equipment or, alternatively, staff time paid for by private sources.

**Match:** The contribution of cash or other resources that a recipient is required to contribute to an award. Many award programs have either legislatively or programmatically mandated matching requirements (e.g., Saltonstall-Kennedy can require up to 50% of the total cost of the award).

**Multi-year Awards:** Multi-year awards are made for periods that exceed one year. Frequently, an award is made for three years, but funding is provided on annual basis, or a continuation of funding is made available in subsequent years. Multi-year awards may not exceed five years. Out-year amendments for multi-year awards require only a Procurement Request be sent to GMD.

**Noncompetitive Award:** This term refers to a selection of a grantee or subcontractor without full and open competition. The DOC advocates full and open competition for Federal financial assistance, and only under certain, select circumstances are noncompetitive awards permitted. Selection processes that do not solicit competition require the Federal funding agency (if a grant) to justify why the award was made on a noncompetitive basis. Similarly, if a recipient awards a subcontract on a noncompetitive basis the recipient is responsible for following the administrative requirements set out under 15 CFR 14.44 and 24.36.

**Nondiscretionary:** A financial assistance award, authorized by a statute that specifically names the intended recipient or that specifically limits the eligibility to a particular class of organizations.

**Obligations:** Transactions that will require payment sometime in the future. For award purposes, some agencies consider funds to be obligated when an award is signed, while others require posting to agency accounts.

**Omnibus Federal Register Notice (FRN):** NOAA publishes all funding opportunities in the Federal Register. Most opportunities are published in one of the semiannual Omnibus FRNs.

**Preaward Costs:** Costs which are incurred by the applicant before the financial assistance award is signed. Such costs are incurred **totally at the risk of the recipient** and may not be reimbursable if the Federal agency does not make an award. Typically, if an applicant must incur costs prior to the award start date, the applicant will request preaward costs in writing and detail the reasons it requires preaward costs and the amount of costs by line item.

**Principal Investigator:** The lead person and technical contact, responsible for all technical oversight and implementation of the approved work plan as defined in the Statement of Work.

**Prior Approval:** This term refers to the requirement that recipients request in writing from the funding agency authorization to make certain changes to the award agreement. Such changes include extending the length of the award, changes to the budget and the statement of work.

**Procurement Contract:** A legal instrument reflecting a relationship where the principal purpose is to acquire a thing of value (property or service) for the direct benefit of or use of the government. This is a funding mechanism that is distinct from a grant or cooperative agreement.

**Program Income:** Money that is generated by an award funded activity or product. For example, if a manual is produced with award funding and is sold to the public during the project period, all monies derived from the sale of the manual must be declared to the funding agency as program income.

**Project Period:** The official, approved time period of the award, from start date through end date (not including 90-day closeout period, which follows the end of the project period).

**Proposal/Application:** A request for financial assistance for a project or activity. Usually, such requests are prepared in response to a public notice or letter requesting applications (e.g., a request for proposals).

**Recipient:** This term refers either to (1) the individual who signs the Financial Assistance Award on behalf of the receiving institution or (2) the institution which will receive the Federal assistance and on whose behalf the individual or administrative agent (variously, the Federal Aid Coordinator, Director of Sponsored Programs, etc.) signs the Financial Assistance Award. This individual is the primary contact from the recipient institution, just as the NOAA Grants Officer is the primary contact and signatory from the Federal agency.

**RFA:** Request for Applications, a generic term, or specifically applied to the steps in Grants Online where the FPO creates an electronic umbrella for applications to be housed. A competitive RFA also contains other information pertaining to the competition and review process, like the FFO.

**Sole Source Award:** See Noncompetitive Award.

**Standard Terms and Conditions:** Provisions that are attached to every award which provide specific requirements with which the recipient is expected to comply.

**Substantial Involvement:** Not formally defined but associated with a major commitment of staff and/or resources by the funding agency collaborating with the recipient to carry out the project activities.

**Suspension:** An action which temporarily suspends Federal sponsorship of an award, pending corrective action by the recipient or a decision to terminate the grant. All activities under the award must cease, and no costs may be incurred by the recipient during the suspension period.

**Technical Monitor:** NMFS scientists or experts on a particular subject. The Technical Monitor advises the Federal Program Officer with respect to performance reports, project problems and accomplishments.

**Technical Review:** The process whereby the merit of an application is examined against established evaluation criteria, which define elements key to the successful implementation of the project.

**Termination:** Cancellation of Federal sponsorship, in whole or in part, of an award at any time prior to the award end date.

**Unsolicited Proposal:** A written proposal submitted to an agency by the applicant, but not in response to a specific notice requesting grant proposals.

## ACRONYMS

ACCSP	Atlantic Coastal Cooperative Statistics Program
ACFCMA	Atlantic Coastal Fisheries Cooperative Management Act/Atlantic Coastal Act
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
DAO	Department Administrative Order
DOC	Department of Commerce
EA	Expanded Authorities
EO	Executive Orders
ESA	Endangered Species Act
F/OM1	NMFS Budget Execution Division, Office of Operations, Management and Information
FAA	Financial Assistance Award
FALD	Federal Assistance Law Division
FGMD	Fisheries Grants Management Database
FM	Federal Manager
FOIA	Freedom of Information Act
FPO	Federal Program Officer
FRN	<i>Federal Register</i> Notice
GAO	Government Accounting Office
GMD	Grants Management Division, NOAA
GMS	Grants Management Specialist
GPO	Government Printing Office
GSA	Government Services Agency
HBCU	Historically Black Colleges and Universities
HSI	Hispanic Serving Institutions
IFA	Interjurisdictional Fisheries Act
MARFIN	Marine Fisheries Initiative

MSI	Minority Serving Institutions
NARA	National Archives and Records Administration
NEPA	National Environmental Policy Act
NGC	NMFS Grants Council
NICRA	Negotiated Indirect Cost Rate Agreement
NMFS	National Marine Fisheries Service
NOAA	National Oceanic and Atmospheric Administration
OEAM	Office of Executive Assistance and Management
OEBAM	Office of Executive Budgeting and Assistance Management
OGC	Office of General Counsel
OLIA	Office of Legislative and Intergovernmental Affairs
OMB	Office of Management and Budget
PI	Principal Investigator
RFP	Request for Proposals
SAC	Special Award Condition
SEAMAP	Southeast Area Monitoring and Assessment Program
SF	Standard Form
SK	Saltonstall-Kennedy Program
SPOC	Single Point of Contact
TCU	Tribal Colleges and Universities
TM	Technical Monitor
USC	U.S. Code
WWW	World Wide Web