

July 15, 2016

NTHMP Grant Reprogramming Actions

This informal guidance is provided by the Tsunami Program office at National Weather Service Headquarters.

When is a formal grant reprogramming request required?

A formal grant reprogramming request is required if either of these two conditions occur:

1. A grantee wants to move funds from one object class to another in excess of 10% of what was originally awarded. Example: \$30,000 was originally awarded in the Travel object class. You spent \$25,200. You have \$4,800 remaining. You want to spend that remaining \$4,800 on reproduction of educational materials. Reproduction of materials falls under the "other direct costs" object class. Since you want to move \$4,800, that is 16% of what was originally awarded, thus it triggers the requirement for a formal reprogramming request.
2. You want to move funds among multiple object classes. Example: the grantee supports a "Tsunami Coordinator" position. The incumbent of that position was given a routine pay increase which was not accounted for in the original grant application. Funds of \$2,000 for salary, \$300 for fringe benefits, and \$200 for indirect costs – a total of \$2,500 – are required to be moved into these object classes respectively. The grant must "give up" the equivalent amount of funds from other object classes at the grantee's discretion. Moving funds between object class(es) "giving up" funds to add funds to under-funded object classes is a trigger for a formal grant reprogramming request.

If a formal reprogramming request is not required for submission to the NOAA Grants Management Division, then develop an informal request that is to be reviewed and approved by the NWS Tsunami Program Office. All that is necessary is an explanation of what you want to do and send it via email to Rocky Lopes and Lewis Kozlosky (Rocky.Lopes@noaa.gov and Lewis.Kozlosky@noaa.gov).

What if I want to add a new task previously not approved?

You do not have to develop a formal grant reprogramming request to accomplish a new task if the amount of funds to move between all object classes is less than 10% of what was originally awarded by object class, or if

you will be retaining the funds within the same object class. To spend out funds remaining in a grant that does not require reprogramming, send an email to Rocky Lopes and Lewis Kozlosky to explain the situation and request permission for spending residual funds on the new task and explaining how the new task's costs were estimated. When you have that approval, you may proceed.

How to develop an informal or formal reprogramming request

- Ask the grants specialist(s) in your agency or university to determine exactly the amount of funds that remain in the grant by object class after clearing expenses and obligations for as yet unpaid bills.
- Prepare a statement via email that describes the amount of funds to move from what object class(es) to other object class(es).
- Provide a cost estimate for what you want to do to justify the funds you want to spend from these funds transfers.

➔ If informal reprogramming (approval only required by Tsunami Program Office) [stop here](#). Send the request to Rocky Lopes and Lewis Kozlosky.

If this is a formal grant reprogramming, continue:

- Complete (or have completed for you) a new SF424A form. [A fillable SF424A form is here](#). Note these instructions for that form:
 - a) On page 1, enter in the upper left box (1a) the words "as awarded" and in box 2a, the words "Reprogrammed". Leave the rest of page 1 blank. (It won't let you fill anything else on that page, anyway.)
 - b) On page 2, you will see the column titles 1 and 2 populated from what you entered on page 1. In the boxes under the titles, enter the amount of funds by object class as originally awarded for each object class in Column 1. In Column two with the title "Reprogrammed," enter the fund amounts by object class to show the proposed revisions. The totals on row K should be equal in both column 1 and column 2.
 - c) IGNORE that this form totals columns 1 and 2 in column 5. Just ignore it -- that is a known glitch with this form.
 - d) When you enter amounts in boxes on page 2, it auto-populates the sums in boxes on page 1.

e) Complete page 3 by entering zeros (0.00) in the boxes 8b, 8c, and 8d as well as 9b, 9c, and 9d.

f) Enter the total amount of the award (as shown on page 2, box 1k and 2k) respectively in the boxes on Page 3, boxes 16b and 17b. (Once again, ignore the totals on the bottom of page 1.)

g) Remember to save the file with its own unique name, such as FY1xNTHMPStateReprogramSF424A. (change the year and the name of the state/territory in the file name.)

Send the narrative explaining the reprogramming as well as the completed SF424A form to Lewis Kozlosky and Rocky Lopes at least six weeks before the grant expires for review.

Once Lewis or Rocky reviews the request, one of them will advise next steps -- either revision of the request for technical corrections, or the approval to submit the request in your NOAA GrantsOnLine account as an Award Action Request.

Remember, an Award Action Request must be submitted at least 30 calendar days before grant expiration. You should not submit an Award Action Request until Lewis Kozlosky or Rocky Lopes reviews and clears it via email.

Questions? Contact Rocky Lopes (301-427-9380), email Rocky.Lopes@noaa.gov AND Lewis Kozlosky (301-427-9730), email Lewis.Kozlosky@noaa.gov