

## **NOAA/NWS Tsunami Activities Grant Reprogramming Actions**

(Reviewed/concurred by NOAA Grants Management 04/19/2018)

(Updated by NWS Tsunami Program Office 06/18/19, pending NOAA GMD review)

This informal guidance is provided by the Tsunami Program office at National Weather Service Headquarters. This Guidance is not meant to replace official Government Policy found in the [Department of Commerce Grants Policy](#) or provided by NOAA's Grants Management Division.

### **Definition**

Budget Reprogramming consists of two things: adjustments to tasks (activities of authorized work) and moving funds (reprogramming the budget) from one Federal Funds Object Class to another. ([Object Classes defined here](#)).

If you are not reallocating funds between object classes but only changing tasks, this is a program change that is not budget-related. Therefore, it can be handled by email with the NWS Tsunami Program staff for review and approval as a program or task change.

Email: [nws.tsunamigrants@noaa.gov](mailto:nws.tsunamigrants@noaa.gov) to request task changes.

### **Grant Budget Reprogramming is a Two-Step Process**

Two approvals are required:

1. **Approval by NWS Tsunami Program Office** – as reprogramming often requires adjustments to tasks, or may involve new tasks, the NWS Tsunami Program Office reviews the request to ensure overall NTHMP goals and objectives are consistent with the [2018-2023 NTHMP Strategic Plan](#) and applicable NWS Tsunami Program Grant Guidance. Also, the Program Office considers past performance, and may have questions about a grantee's ability to complete a revised task within the grant performance period.
2. **Approval by NOAA Grants Management Division** – Federal Grants Compliance requires review by the NOAA Grants Management Division Grant Specialist who ensures compliance with Federal Grants Policy, legal requirements, and Program Office approval. Depending on workload and the time of year, it may take up to 30 days to perform the official review and notify the requester about approval, more information required, or disapproval.

All requests start via regular email to the NWS Tsunami Program Office representatives using [nws@tsunamigrants.gov](mailto:nws@tsunamigrants.gov). Start with email *before* submitting an Award Action Request (AAR) via NOAA GrantsOnLine.

Because of the time required to review and approve a formal AAR, please begin the reprogramming process with an email to the Tsunami Program Office ([nws.tsunamigrants@noaa.gov](mailto:nws.tsunamigrants@noaa.gov)) as soon as the grantee is aware of issues that may require an informal or formal reprogramming approval.

## **What is an informal budget reprogramming request?**

An informal budget reprogramming request is below the threshold to require a formal review (see below.) This informal review is conducted by the NWS Tsunami Program Office.

An informal request is 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 The Tsunami Program Office ([nws.tsunamigrants@noaa.gov](mailto:nws.tsunamigrants@noaa.gov)) and get a written confirmation/approval in reply.

## **When is a formal budget reprogramming request required?**

A formal budget reprogramming request is required if any of these conditions occur:

1. A grantee wants to move funds into or out of the Personnel and/or Fringe Benefits Object Classes. The Tsunami Program Office looks carefully at FTE funding and requires formal grant reprogramming request for personnel-related actions.
2. 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. \$25,200 was spent, leaving \$4,800 remaining. The grantee wants to spend that remaining \$4,800 on reproduction of educational materials. Reproduction of materials falls under the "other direct costs" object class. Since \$4,800 is 16% of what was originally awarded, it triggers the requirement for a formal reprogramming request.
3. A grantee wants to move funds among multiple object classes. Example: the grantee was awarded \$50,000 for "other direct costs" to reproduce educational materials. When the final bill was settled, the educational materials cost \$43,500. The grantee wants to distribute the \$6,500 overage to three other object classes, such as Travel (to provide for one person to attend an NTHMP meeting), and Personnel & Fringe Benefits (to account for a pay increase that was not previously planned.) Moving funds from an underspent object class to add funds to under-funded object classes is a trigger for a formal grant reprogramming request.

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

You do not have to develop a formal budget 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.

For example, your grant was awarded \$32,000 in funds in the “contractual” object class for the purpose of contracting to purchase services of a company that provides tsunami safety ads at airports. The contract when competed and awarded cost \$30,000. You want to add an additional task to purchase tsunami signage with the remaining \$2,000. That additional task requires approval by the Tsunami Program Office, but not a formal reprogramming.

To spend out funds remaining in a grant that does not require reprogramming, send an email to [nws.tsunamigrants@noaa.gov](mailto:nws.tsunamigrants@noaa.gov) 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 and how the new task fits within NTHMP objectives. When you have that approval, you may proceed.

### **How to develop an informal or formal reprogramming request**

- Determine exactly the amount of funds that remain in the grant by object class after clearing expenses and obligations for as-yet unpaid bills. Finance, Grants Management, or administration personnel may assist.
- [Use this Rebudget spreadsheet tool](#) to assist with showing the amount of funds that remain by Object Class and calculations to move funds between Object Classes while not exceeding the original amount of the grant award.
- Prepare a statement that provides the rationale describing why these funds need to be rebudgeted.

➔ If informal reprogramming (approval only required by Tsunami Program Office) [stop here](#). Send the request (statement of rationale and Rebudget spreadsheet) to [nws.tsunamigrants@noaa.gov](mailto:nws.tsunamigrants@noaa.gov).

If this is a formal grant reprogramming, continue:

- Find the previously submitted and approved budget spreadsheet. (Note, you should be able to find that file in the NOAA GrantsOnLine account)
  - If you can’t find it, send an email to [nws.tsunamigrants@noaa.gov](mailto:nws.tsunamigrants@noaa.gov) with your grant award number and we’ll send it back to you.
  - SAVE THIS FILE with a new file name, such as by adding “\_rebudget”
  - Note the total amount on the summary tab for the original grant.
  - Go to the “Info” tab and make sure the indirect cost rate shown is consistent with the current indirect cost rate agreement you have; if not, change it on the “Info” tab.
  - Change entries in cells on object class tabs consistent with where you want to increase or decrease funding.

- When finished revising the budget spreadsheet object class tabs, look at the summary page. If the total shown is greater than the amount originally awarded, then revise your spreadsheet entries to make the total match what was originally awarded. If the total shown is equal or less than the amount originally awarded, no further changes are required.
- Complete (or have completed for you) a new SF424A form using figures derived from the revised spreadsheet (above). [A fillable SF424A form is here.](#) Instructions and [demonstration for using this form are here.](#) <http://nws.weather.gov/nthmp/grants/Fillable424ademo.pdf>
- Send the narrative explaining the reprogramming as well as the revised budget spreadsheet and completed SF424A form to the NWS Tsunami Program Office ([nws.tsunamigrants@noaa.gov](mailto:nws.tsunamigrants@noaa.gov)) at least six weeks before the grant expires for review.

Once the NWS Tsunami Program Office reviews the request, you will be advised of 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 the NWS Tsunami Program Office reviews and clears it via email.

Questions? Email [nws.tsunamigrants@noaa.gov](mailto:nws.tsunamigrants@noaa.gov)