



UNITED STATES DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration
Silver Spring, MD 20910

OFFICE OF OCEANIC AND ATMOSPHERIC RESEARCH

MEMORANDUM FOR: National Oceanic and Atmospheric Administration
Organizations Funding Science through Cooperative Institutes

FROM: Shannon Louie, Director
Cooperative Institute Administration Office

SUBJECT: NOAA CI Operating Guidance for Supplemental Funds
Appropriated in Fiscal Years 2022 and 2023

DATE: May 25, 2022

This memo serves as operating guidance to organizations funding science through National Oceanic and Atmospheric Administration's (NOAA) Cooperative Institutes (CI). All Line Office (LO) units funding CI science with supplemental funds appropriated in FYs 2022 and 2023 must follow this guidance. Please read this guidance document in its entirety.

For further information about a particular CI, reference 405 Fast Facts linked [here](#). This document is updated as needed. Be sure to review the latest information before you review and approve a CI proposal.

Background

Financial Assistance Listings are detailed public descriptions of federal programs that provide financial assistance awards. The Financial Assistance Listing for the CI program is 11.432. Because of a 100 ACCS Line limitation with control detail accounts, 11.432 received a waiver from the Treasury requirement for control detail accounting. In 2021, the CI program filed for an additional Financial Assistance Listing, 11.405. This new Financial Assistance Listing was placed on controlled detail accounting and allows grantees to draw funds from specific agreements in alignment with their work.

Projects funded with supplemental funds appropriated in FYs 22 and 23 must include control detailed accounting and utilize existing Financial Assistance Listing numbers¹. A CI project

¹ Grants Management Division Guidance for Infrastructure Investment and Jobs Act (IIJA) and Disaster Relief Supplemental Act (DRSA)

funded with supplemental funds appropriated in FYs 2022 and 2023 will utilize Financial Assistance Listing 11.405 and follow the guidance detailed throughout this document.

Timelines

To avoid late actions, CI funding for CI awards must adhere to the following dates. Written justifications will be required to consider funding awards that miss the deadlines. A project that doesn't adhere to the below deadlines can submit a request via google form [here](#). The requestor will receive a response or request for more information within three business days.

The table below identifies key dates, actions, and required documentation.

<i>Date/ Deadline</i>	<i>Key Action</i>	<i>Notes</i>
No later than 01 July 2022	CI proposals submitted via Grants.gov for FY22 funding	CI proposals received are forwarded to the NOAA sponsor identified on the proposal for review, approval, and completion of necessary paperwork
01 July 2022	NOAA funding offices: (1) enter projects into the NOAA Research and Development Database (NRDD), (2) submit signed funding memo, (3) submit National Environmental Policy Act (NEPA) memo, and (4) identify accounting codes for new proposals, and (5) select supplemental information category drop down field in Grants Online	Federal Program Officer (FPO) completes processing on all actions and submits to the Grants Management Division (GMD)
01 July to 22 July 2022	CI proposals requested by a funding office, but delayed beyond 01 July 2022	Proposals sent to GMD after July 01 with approval from the Deputy Assistant Administrator (DAA) for Science or CIAO Director Requests for approval must detail the reason for the delay Processed proposals must still be sent to GMD by the July 22 deadline

22 July 2022	FY22 NOAA's federal financial assistance award cut-off date	All actions sent to GMD after the 22 July deadline require approval from the Line Office managing the CI per its late action memo procedures
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Funding CI Projects with Supplemental Appropriations in FY 2022 and 2023

Notify the Recipient

The Financial Assistance Listing 11.405 is relatively new, and many CIs aren't aware of its existence. The TPM (or designee) will notify CI management of NOAA's intent to fund projects using Financial Assistance Listing 11.405, and communicate:

- NOAAs process for supplemental funds appropriated in FYs 2022 and 2023 projects;
- A new award will be established and the CI must adhere to the terms and conditions of Public Law 117-43, Disaster Relief Supplemental Act and Pursuant to Public Law 117-58 Infrastructure Investment and Jobs Act;
- In addition to the steps required for control detail accounting, the CI submits additional research performance progress reports and federal financial reports for a new 11.405 award; and
- An approximate award ceiling will be communicated to the CI, with the stipulation that the ceiling is not a commitment of funds.

405 Fast Facts for TPM's only are [here](#).

Create 11.405 Award File

A new award must be created to comply with the requirements of the supplemental funds appropriated in FYs 22 and 23. Each authority (DRSA and IJA) must have its own award number. Only the TPM authorizes the creation of an 11.405 award file for each supplemental appropriation authority. Each award will have its own award ceiling. The total of all CI awards (11.432 and 11.405) may not exceed the CIs total ceiling. The TPM is responsible for the CI award ceiling.

Each TPM will designate a Federal Program Officer (FPO), or designee², to create the award file using Grants Online (GOL). See [Establishing Cooperative Institute Reimbursable Award \(AKA 405\) for FY22 and FY23 Supplemental Funding](#) for a standard operating procedure for assistance, if needed.

² Only a federal employee can be a certified FPO. A certified FPO role in GOL is needed to create an award file. A definition of certified FPO is found [here](#).

Process CI Applications

The 11.405 award file is an administrative “shell” that is a replica of the 11.432 award file. Future applications for subsequent new projects under a CI 11.405 institutional award are evaluated by a NOAA federal sponsor for funding. Applications from a CI are submitted through Grants.gov using the RFA number CIAO provided to each CI. Once created, you can find the RFA number [here](#).

The FPO listed [here](#) will receive the applications for funding using supplemental funds appropriated in FY22 and FY23. This FPO, or their designee, will process applications in GOL. The NOAA sponsor office providing funds must submit to the FPO:

1. Funding Memo ([located here](#)) signed by a NOAA employee with technical expertise and authority to be responsible for the project;
2. Valid accounting for the full funding amount released to the CI (whole dollars, no cents);
3. Signed NEPA compliance documents; and
4. Confirmation project entered into the NOAA R&D Database.

See, [Processing New Cooperative Institute Proposals](#) for a standard operating procedure for assistance, if needed. See also, [Sponsor Letter Template](#) for assistance, if needed.

Important things to remember:

- In order to properly identify the Infrastructure Investment and Jobs Act (IIJA) and Disaster Relief Supplemental Act (DRSA) awards, the Supplemental Information Category drop down fields in Grants Online must be utilized; and
- Control detail accounts can only accommodate 100 lines of accounting. The number of accounting lines on Procurement Requests Commitment of Funds (PRCF) must be reduced to the extent possible.

Task I

Task I supports administrative functions *and* education and outreach. Task I is calculated from expected project funding under supplemental funds appropriated in FY22 and FY23 for each CI 11.405 award.

- For new proposals, ensure the CI included the appropriate percentage of Task I (see 405 Fast Facts linked [here](#).) in the proposal. Task I should be broken out separately and completely in the budget. There should also be a statement in both the budget and project Narratives that generally indicates the use for Task I.
- Do not separate Task I by the object class code 41-40 to minimize the number of accounting lines.

Roles and Responsibilities in the Process

[Here](#), you will find more information on the roles and responsibilities in the process to fund CI projects using supplemental funds appropriated in FY22 and 23.