

*Appendix H*  
*Project Inventory and Approval Form*  
*Grant Agreement*

# PROJECT INVENTORY AND APPROVAL FORM

## GRANT AGREEMENT

PROJECT TITLE: .....

GLNPO ID# \_\_\_\_\_

### COMMITMENT PHASE

GRANT # \_\_\_\_\_

#### Routing List (Date and initial each step before proceeding)

#### Folder Contents (Left-Incoming    Outgoing-Right) (Check items you enclose)

- \_\_\_ Decision Memo (R)
- \_\_\_ Commitment Notice (R)
  
- \_\_\_ Mark-up of Award Doc. (L)
- \_\_\_ Signed Checklist (L)
- \_\_\_ Application (L)

#### Project Type (check 1)

- Survey, Study, or Investigation
  
- Research or Demonstration

- \_\_\_ **1. Project Officer:** \_\_\_\_\_ Prepare blue folder.
  - **Commitment Notice (CN).** Prepare and sign. Choose applicable form in: ...SHARE\GRANTS\FORMS\COMMITMENT NOTICES\
  - **Decision Memo.** Prepare original and 2 copies. Initial yellow. [[...SHARE\GRANTS\FORMS\DECISION.wpd](#)]
  - **Award Document Markup.** Mark changes for final.
  - **Checklist.** Address all issues and sign.
- \_\_\_ **2. Team Leader:** \_\_\_\_\_
  - Initial Decision Memo and sign Commitment Notice. If Proposal amount exceeds approved budgeted amount, you are requesting that the excess come from: \_\_\_\_\_
- \_\_\_ **3. QA Officer/Peer Review Coordinator (L. Blume)**
  - Enter into QA Track: Y or N (circle one)
  - Does Project need Agency Peer Review? Y or N (circle one). If questionable, use ...[SHARE\GRANTS\FORMS\PeerCheckList1.wpd](#)
- \_\_\_ **4. GLNPO Program Analyst (E. Marie Phillips - Elias Avalos as backup)**
  - Sign Commitment Notice/Fix Budget issues
- \_\_\_ **5. Management Advisor (for Subject Area)** \_\_\_\_\_
  - Sign Commitment Notice / Initial Decision Memo (**see next item**)
- \_\_\_ **6. GLNPO Director**
  - Sign Decision Memo. Management Advisor signs when Director is not available. (Date stamp, log, and file per front office procedures.)
- \_\_\_ **7. Elias Avalos**
  - Deliver CN and Decision Memo to Budget. "Yellow" of Decision Memo goes to Doreatha Oliver. CN copy to E. Marie and PO.
- \_\_\_ **8. Budget and Finance Division (MF-10J) Deborah Harper**
- \_\_\_ **9. Grants Specialist (MCG-10J)** (See reverse)

### AWARDS PHASE

- \_\_\_ To NPM
- \_\_\_ Award Letter (R)
  - \_\_\_ Award Documents (R) original (clipped) + 4 (stapled) copies
  - \_\_\_ Decision Memo (R)
  - \_\_\_ Addressed envelope (R)
  - \_\_\_ Commitment Notice (L)

#### Reference Material

- \_\_\_ Application (L)
- \_\_\_ Final Scope of Work and Budget (L)
- \_\_\_ Administrative Checklist (L)
- \_\_\_ LAN Project Summary (L)

- \_\_\_ **1. Grants Specialist** \_\_\_\_\_
  - Prepare Award Document and deliver, w/copy of final Commitment Notice (DCN filled in and signed by budget), to Elias Avalos
- \_\_\_ **2. Elias Avalos**-Track; deliver to PO; CN copy to Doreatha & EMarie.
- \_\_\_ **3. Project Officer**
  - Prepare and initial **Award Letter** [[...SHARE\GRANTS\FORMS\AWARDLTR.WPD](#)]
  - Paragraph **project summary** is in subdirectory (habitat sediment p2 monitor exotic emerging other) of g:\user\share\grants\summary01\ (Filename: \_\_\_\_\_)
- \_\_\_ **4. Team Leader for Applicable Category**
  - Initial Award Letter
- \_\_\_ **5. Management Advisor**
  - Initial Award Letter
- \_\_\_ **6. Director**
  - Sign "Stop Sign" and initial Award Letter.
  - Decision Memo and Commitment Notice stay in package. Reference Material goes to Doreatha.
  - Hand-carry Award Package to National Program Manager

**RETAIN THIS SLIP AS PART OF OFFICIAL PROJECT FILE**

## Additional Instructions

**Applications.** Applications are generally delivered to the Assistance Section (AS). AS will enter into GICs, then deliver 2 copies of the application, the Administrative Review Checklist, the Draft Award Document and the Project File to Elias. Elias will give the File Folder and application to Doreatha Oliver. **If the Application comes to the PO, deliver it immediately to the Grants Specialist. Do not wait to develop a Commitment Notice or Decision Memo.**

**Checklist.** The PO should mark changes/corrections to the draft Award Document (title, locational information, NPM title, etc.). **If this is or supports a “Survey, Investigation, or Study,” do not allow 40CFR Part 40 to appear in the “Regulatory Authority” box on page 2 of the Assistance Agreement.** Address all issues raised in the Checklist. The Assistance Section generally does not know whether costs are necessary, reasonable, and allocable, so they automatically check “N,” **meaning that they do not know and it is the project officer’s responsibility to make that determination.** Note also the Assistance Section has taken on responsibility for the items marked “Grant Specialist” and “Administrative Terms and Conditions.” The Assistance Section will be contacting the applicant directly to address their concerns about these items. If there are any questions about the checklist, call the applicable grants specialist immediately to resolve them.

**Draft Award Document.** The PO should verify that the workplan incorporates the requirements specified in the Application Request Letter. If it does not, after the PO has discussed the issues with the Applicant, the PO can use the Decision Memo to request that those items be included as special conditions in the Award Document.

**Decision Memo.** Now signed and delivered during Commitment Phase, instead of a startup memo. See `g:\user\share\grants\forms\decision.wpd`

**Management signoff.** Pages to be signed or initialed should be flagged. Write appropriate initials on the flags. **Director or Acting Director also need to follow front office procedures (date-stamping, logging, and filing).**

During Awards Phase, the Director’s office will hand-carry grants packages to the 19<sup>th</sup> floor. PO can walk through, if desired, but the PO needs to let the Director’s Office and Evelyn Cabrera do appropriate tracking after the Director (or the Acting Director) signs.

The applicable Management Advisor may not be a PO’s supervisor. Vicki Thomas is the Management Advisor for P2 and Education/Outreach. Dave Cowgill is the Management Advisor for Habitat, Sediments, and Information Management. Paul Horvatin is the Management Advisor for Monitoring, QA, Health and Safety, Exotics, and Emerging Issues. However, except for Management Advisor sign-off, staff work follows “home rule” - use your own staff secretary for clerical support.

### **Grants Specialists.**

Grants Specialist	States	Phone
Darlene Lewis	IN, MI, MN, WI	3-2199
Francisca Ramos	non-R5, including PA, NY, and international	6-5945
George Stone (Team Leader)	IL, OH	6-7517

**Procedures after NPM signature.** After award documents are signed by NPM:

- they go to the Assistance Section where they wait for the blackout period and are dated.
- a copy is delivered to Finance and funds are obligated.
- a copy is delivered to Elias Avalos, who re-delivers to Doreatha Oliver (for File copies) and the Project Officer.