

PURPOSE: To utilize Grants and Agreements to accomplish a public purpose.

SCOPE: State-wide.

Step	Responsibility	Inputs	Control	Output
Stage 1 – Determining the need and the instrument				
<p>1. Identify need, authority (Program Manager), and determine funds needed.</p> <p>Assign Agreement number.</p>	<ul style="list-style-type: none"> • Program Manager (PM) • State Conservationist (STC) • State Administrative Officer (SAO) • Contracting Officer (CO) • Budget Officer (BO) 	<ul style="list-style-type: none"> • Priorities, timeframes, budget-approved allocation of money for Request for Proposal (RFP) 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual • Program Manuals • Catalog of Federal Domestic Assistance (CFDA) • Office of Management and Budget (OMB) Circulars 	<ul style="list-style-type: none"> • All pre-approval documents are filed in one folder with agreement number • If competed: Written correspondence from STC or PM to Contracting stating funds are available to complete the work <ul style="list-style-type: none"> - Go to Step 2 • If not competed: Complete Determination & Findings for STC signature: <ul style="list-style-type: none"> - If less than \$100,000 get STC signature. - If greater than \$100,000 get STC signature and send to National Headquarters (NHQ) for approval. - Then go to Step 2.
<p>2. Determine type of instrument:</p> <ul style="list-style-type: none"> • Grant, • Cooperative, or • Contribution 	<ul style="list-style-type: none"> • PM • CO 	<ul style="list-style-type: none"> • Grant agreement, no substantial NRCS involvement • Cooperative agreement, substantial NRCS involvement • Contribution agreement, at least 50/50 (<i>Note: <50% match by the Sponsor requires a decision template be submitted for OSEC/ASA approval</i>) 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual • Program Manuals • CFDA • OMB Circulars 	<ul style="list-style-type: none"> • Type of agreement or contract to be stated in the RFP is identified

Step	Responsibility	Inputs	Control	Output
3. Complete Agreement Decision Template	• PM	• Applicable information and Decision Template	• National Instruction Title 120 Part 322	• Completed Decision Template for the Agreement Quality Control Process
4. Assemble 6-Part Folder for all documentation and establish electronic file folder on State Office shared drive, 120_ADS	• CO	• All documents to date	• Federal Grants and Agreements Manual • Iowa Intraoffice Instruction 120-189	• Official 6-Part Folder • Electronic folder • “Contracting Notes” filled out (Cover 2) • All folders filed in numerical order
5. Enter all current information on Agreement Tracking Spreadsheet (ATS) on Shared Drive.	• CO	• All information to date	• IA Intraoffice Instruction 120-190	• Up to date information on ATS <i>If not completed, go to Step 13.</i> <i>If completed, go to Step 6.</i>
6. Develop Plan of Work (POW), Quality Assurance Plan (QASP), and ranking criteria.	• PM • STC	• Defined description of what NRCS is requesting as a subject area for the items of work	• Federal Grants and Agreements Manual	• Draft RFP
Stage 2 - Solicitation				
7. Submit entire RFP package to National Headquarters (NHQ) for approval to post on Grants.gov.	• CO	• Application package and forms required • Completed draft RFP	• Federal Grants and Agreements Manual	• Approval received via email or phone from NHQ to post the RFP and application package on Grants.gov website
8. Advertise – post on Grants.gov website for a minimum of 30 days.	• CO • PM	• Posting instructions available on Grants.gov website • Public Affairs Staff to post notice on the Iowa NRCS website.	• Federal Grants and Agreements Manual	• RFP posted on Grants.gov and link on the Iowa NRCS website to application Grants.gov package information

Step	Responsibility	Inputs	Control	Output
Stage 3 – Selection and Award				
9. Appoint Technical Review Board and review for conflict of interest.	<ul style="list-style-type: none"> • CO • PM 	<ul style="list-style-type: none"> • List of potential members and potential conflict of interest 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Letters or email sent to Technical Review Board
10. Receive and enter on State Office (SO) spreadsheet proposals by time and date specified in the RFP.	<ul style="list-style-type: none"> • CO • PM 	<ul style="list-style-type: none"> • Spreadsheet for proposals • Applicant proposals received by deadline 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • List of competitive complete applications
11. Evaluate proposals based on criteria set up in RFP.	<ul style="list-style-type: none"> • Technical Review Board with assistance from: <ul style="list-style-type: none"> • PM • CO 	<ul style="list-style-type: none"> • Award factors and ranking criteria from RFP applications/proposals 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • List of proposals and funding level documented • Selection recommendation is documented
12. Select awardees and decide final funding levels.	<ul style="list-style-type: none"> • PM • STC 	<ul style="list-style-type: none"> • Recommendations of Technical Review Board, list of ranked proposals 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Approved proposals and funding level documented
13. Identify agency Liaison to assist awardees with implementation and monitoring of their new agreements.	<ul style="list-style-type: none"> • CO • PM 	<ul style="list-style-type: none"> • Scope of items of work in the awardees proposal • Area of the state work is to be conducted 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Liaison chosen • For Project Agreements Government Rep is chosen
14. Notify selected awardee(s) including funding level via letter.	<ul style="list-style-type: none"> • CO • PM 	<ul style="list-style-type: none"> • STC funding decision • Award letter • Draft agreement instrument • Sample Attachment B • Required forms (SF-424A and SF-424C budget information) 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Assign agreement number on draft agreement and send to awardee(s) with award letter
15. Assist new awardees with Attachment B and completion of required forms.	<ul style="list-style-type: none"> • CO • Liaison 	<ul style="list-style-type: none"> • Proposal, draft agreement, rough draft of Attachment B and required forms to review 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Final draft of agreement with supporting documents (Attachment B and required forms) is completed. <p><i>If greater than \$100,000, go to Step 18.</i></p> <p><i>If less than \$100,000, go to Step 19.</i></p>

Step	Responsibility	Inputs	Control	Output
16. Notify non-selected awardees via official letter with information on requesting post award conference	<ul style="list-style-type: none"> • PM • CO 	<ul style="list-style-type: none"> • STC funding decision • “Thank you for your interest” letter with instruction on how to request a post award conference 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Copy of notification of non-funded letter with RFP
17. Non-selected proposer may request a post award conference to debrief them in regards to their proposals to tell them their strengths and weaknesses.	<ul style="list-style-type: none"> • PM • CO 	<ul style="list-style-type: none"> • Written request from individual • Technical Review Committee criteria review forms 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Document post award completion • Meet with non-selected proposer
Stage 4 – Administration (Note: Awardee/Application is now the Sponsor)				
18. Send to NHQ for approval	<ul style="list-style-type: none"> • CO 	<ul style="list-style-type: none"> • Agreement 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • NHQ approved agreement. • Agreement sent to Sponsor.
19. Send agreement and SF-1199 to Sponsor.	<ul style="list-style-type: none"> • CO • Liaison 	<ul style="list-style-type: none"> • Agreement • SF-1199 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Received signed agreement and SF-1199 from Sponsor.
20. Get sufficient funds from Financial Management (FNM).	<ul style="list-style-type: none"> • CO 	<ul style="list-style-type: none"> • Signed Agreement • SF-1199 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Sufficient funds approved on Agreement.
21. STC signs.	<ul style="list-style-type: none"> • CO 	<ul style="list-style-type: none"> • Sufficient funds noted on Agreement 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • STC signs agreement and sends to FNM
22. Funds obligated by Financial Management (FNM)	<ul style="list-style-type: none"> • FNM Staff 	<ul style="list-style-type: none"> • Signed and approved agreement with supporting documents 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Fund code documented on agreement and agreement returned to CO with funding codes and FNM initials. • FFIS: obligation established
23. Appoint/notify agency Liaison. (For Project Agreements, Gov Rep.)	<ul style="list-style-type: none"> • STC • CO 	<ul style="list-style-type: none"> • Letter of appointment, Liaison responsibilities, and duties list, sample agreement 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Signed letter of appointment and acceptance sent to Liaison/Gov Rep

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24. Distribute approved copies of the agreement to Sponsor and Liaison and file official copy.	• CO	<ul style="list-style-type: none"> • Approved agreement • Supporting documentation • Copy of original proposal • Copies of all correspondence 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual • Iowa Intraoffice Instruction 120-189 	<ul style="list-style-type: none"> • Official agreement folder complete • Liaison/gov Rep and Sponsor have copies
25. Update official, electronic file, ATS and “Contract Notes”	• CO	• All current information	<ul style="list-style-type: none"> • IA Intraoffice Instructions 120-190 • Iowa Intraoffice Instruction 120-189 	• All files updated
Stage 5 Processing Payments (SF 270)				
26. Sponsor fills out SF-270 and forwards to Liaison	• Sponsor	• Liaison provided SF-270 in fillable PDF format	• Federal Grants and Agreements Manual	Liaison receives completed SF-270 with Sponsor’s signature.
27. Liaison reviews SF-270 (Request for Payment for Work) or an advance for work to be completed. <ul style="list-style-type: none"> - Check math - Make sure supporting documentation matches SF-270 and agreement provisions - Ensure “partial” or “final” payment is documented - Verify SF-1199 is in the file - Make sure all required signatures 	• Liaison	<ul style="list-style-type: none"> • SF-270 with supporting documentation (Attachment B from agreement showing items of work, progress report from Sponsor) • Approved agreement 	• Federal Grants and Agreements Manual	• SF-270 approved and signed by Liaison, including all required documents, is sent to Contracting

ADMINISTERING GRANTS AND AGREEMENTS

Step	Responsibility	Inputs	Control	Output
are on documents				
28. CO audits SF-270 (Request for Advance or Reimbursement)	<ul style="list-style-type: none"> • CO 	<ul style="list-style-type: none"> • SF-270 with Liaison signature • Official agreement folder • Any previous payments 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Audited/approved SF-270 completed <p><i>If no errors are found, go to Step 29.</i></p> <p><i>If minor errors are found, CO makes pen/ink change. Go to Step 29.</i></p> <p><i>If major errors are found, return to Liaison for correction. Go to Step 27.</i></p>
29. Make a copy of completed SF-270 and supporting documentation for FNM and a copy for the Sponsor. If the Liaison is not in the State Office, make a copy for the Liaison. Forward original and all copies with agreement folder to FNM for payment.	<ul style="list-style-type: none"> • CO 	<ul style="list-style-type: none"> • Completed SF-270 • Copy Machine • Agreement folder 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • SF-270s received by FNM and payment is made. • FFIS: payment entered.
30. FNM keeps one copy and sends original and all other copies of SF-270's and agreement folder back to Contracting.	<ul style="list-style-type: none"> • FNM 	<ul style="list-style-type: none"> • Paid SF-270's • Agreement Folder 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • MSD receives SF-270 • FNM keeps copy
31. File original paid and dated SF-270 in official file. Send copy to Sponsor.	<ul style="list-style-type: none"> • CO 	<ul style="list-style-type: none"> • Paid SF-270's • Agreement Folder 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual • Iowa Intraoffice Instruction 	<ul style="list-style-type: none"> • Sponsor and Liaison notified payment has been made via mailed copies of paid SF-270

Step	Responsibility	Inputs	Control	Output
If Liaison is not in State Office, send copy to Liaison.			120-189	• Original copy filed in SO official file
Stage 6 – Amendments				
32. Written or electronic request for amendments from Sponsor or Liaison.	<ul style="list-style-type: none"> • Liaison • Sponsor 	<ul style="list-style-type: none"> • Sponsor’s written correspondence to add dollars, change the completion time, or request other changes to the agreement • Fund Code and fiscal year • Official agreement folder • Agreement Amendment form 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<p><i>If the Sponsor makes request, Liaison receives request. Go to Step 33.</i></p> <p><i>If the Liaison makes request, the Program Manager receives request. Go to Step 34.</i></p>
33. Liaison reviews request and sends to Program Manager.	<ul style="list-style-type: none"> • Liaison 	<ul style="list-style-type: none"> • Same as Step 32 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	Program Manager receives request.
34. Program Manager reviews request and sends to CO.	<ul style="list-style-type: none"> • PM 	<ul style="list-style-type: none"> • Same as Step 32 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	CO receives request.
35. CO reviews request	<ul style="list-style-type: none"> • CO 	<ul style="list-style-type: none"> • Same as Step 32 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	CO approves request.
36. Amendment is prepared	<ul style="list-style-type: none"> • CO 	<ul style="list-style-type: none"> • Same as Step 32 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<p>Completed amendment</p> <p><i>If the amendment increases the dollar value of the agreement to > \$100,000 and it was not previously approved by NHQ</i></p> <p><i>~or~</i></p> <p><i>If the amendment increases the dollar</i></p>

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				<i>value > Dep Chief for Mgt. authority, go to Step 37</i> <i>If not, go to Step 38</i>
37. Send amendment to NHQ for their approval	• CO	• Amendment	• Federal Grants and Agreements Manual	Approved amendment is returned to CO.
38. Amendment is sent to Sponsor for approval with cc to Liaison	• CO	• Amendment	• Federal Grants and Agreements Manual	Amendment approved and signed by Sponsor is returned to State Office Contracting
39. Approved amendment is sent to FNM for Sufficient Funds review	• CO	• Approved amendment	• Federal Grants and Agreements Manual	Sufficient funds are documented and amendment is sent to Contracting
40. Approved amendment is given to STC for approval.	• CO	• Approved Amendment • Official agreement folder • Attachment B	• Federal Grants and Agreements Manual	STC signs/approves amendment and sends to Contracting
41. STC approved amendment is sent to FNM for obligating, deobligating, time updates or other changes.	• STC	• Approved Amendment • Official agreement folder • Attachment B	• Federal Grants and Agreements Manual	FNM obligates or deobligates and returns to CO
42. CO files S.O. copy and distributes copy to Sponsor.	• CO • Liaison	• Approved Amendment • Official agreement folder • Attachment B	• Federal Grants and Agreements Manual • Iowa Intraoffice Instruction 120-189	Original is State Office file and Sponsor receives copy
Stage 7—Close-out				
43. Closeout and de-obligate remaining funds.	• CO • PM • Liaison • FNM	• Review final payment, final progress report, and SF-425. If unused funds are still in the agreement mark folder with the amount to be de-obligated and forward to	• Federal Grants and Agreements Manual • Iowa Intraoffice Instruction 120-189	Final and complete agreement folder with all documents is in official file

ADMINISTERING GRANTS AND AGREEMENTS

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		FNM.		
44. Colored dot indicating year in which agreement is finalized is put on 6-Part Folder.	• CO	<ul style="list-style-type: none"> • All documentation • Colored dots 	<ul style="list-style-type: none"> • Federal Grants and Agreements Manual 	<ul style="list-style-type: none"> • Closed agreement 6-Part Folder is filed in numerical order in Lektriever. • After three years, file is sent to the Records Center