

MEMORANDUM FOR: Sea Grant Directors

FROM: Leon M. Cammen,
Director

SUBJECT: Guidance for 90-4 for "Future Competitive Applications" and FY
2012 Omnibus Submission

DUE DATE For All: November 1, 2011

This guidance memorandum applies to you, if:

(1) Your Program is conducting a technical review panel this year to select projects to be funded in 2012. Regardless of whether you are submitting a full omnibus proposal this year or merely satisfying a Special Award Condition regarding these competitive projects, section (I) tells what you must do to get your project selections approved, before you can submit an omnibus proposal or satisfy your Special Award Condition.

(2) Your Program submitted an Omnibus proposal in 2010 that included a 90-4 for "Future competitive applications to be submitted in 2012". Such Omnibus proposals have a Special Award Condition concerning these future competitive applications, see Section II.

(3) Your program needs to submit a 2012 Omnibus proposal. Section III and Appendices tells how and when to submit it.

This memo does not provide actual funding amounts. Funding guidance will be provided when it is available.

If you have any questions, please ask your Program officer.

I. COMPETITIVE PROJECT SELECTION APPROVAL (PRIOR TO SUBMITTING AN OMNIBUS PROPOSAL OR SATISFYING THE SPECIAL AWARD CONDITION).

Letter of Intent. All programs conducting technical review panels in 2011 are required to submit a letter of intent to your Program Officer prior to the notification of investigators. Your Program Officer will review the letter within five working days and either concur with it or discuss modifications. The letter of intent should list all proposals submitted to your program (title, PI, PI affiliation, request amount) with technical panel scores or recommendations. Indicate which projects you have selected for inclusion in the omnibus proposal and include the rationale for inclusion (or exclusion) if any included projects deviate from the technical review panel's scores or recommendations.

II. SATISFYING THE SPECIAL AWARD CONDITION (SAC) FOR FUTURE COMPETITIVE APPLICATIONS .

For programs that had a 90-4 for FY 12 stating "Future competitive applications to be submitted", please satisfy the SAC through Grants Online.

A. On the award action request page, click Satisfied SAC, and select the appropriate SAC to satisfy.

B. In the SAC comment box, enter text like the following: "A letter of intent to fund the attached competitively selected projects was submitted on [date] and concurrence received from the Program Officer on [date]. Project proposals, budgets and budget justifications are attached."

C. Upload the following attachments to the SAC page:

A single project narrative file, which includes:

- Table of Contents, listing for each selected project: your ID number for that project, title, PI, and federal and match funding amounts by year,
- For each selected project, a 90-2 Sea Grant Project Summary Form, and the proposal itself

A single budget narrative file, which includes:

- For each project, an overall 90-4 (Sea Grant Budget Form) with start and end dates (*i.e.* 02/01/2012-01/31/2013 or 01/31/2014)
- For each year, a 90-4 budget form
- For each selected project, a budget justification following the guidance in Appendix C

D. Submit this Satisfied SAC award action request.

Note: No funds can be spent until your program officer reviews and the Grants Management Division approves the information submitted to satisfy the "Future competitive application" SAC (even if the funds have already been released by NOAA).

III. OMNIBUS PROPOSAL GUIDANCE FOR FY12 STARTS.

A. OMNIBUS PROPOSAL GUIDANCE

For more guidance regarding structure and format, please view "Omnibus Submission Information" (Appendix A) and "Omnibus Proposal Checklist" (Appendix B) <http://www.seagrants.noaa.gov/other/admininfo.html>.

Note: Some programs receive additional funds either through Sea Grant or other parts of NOAA or the Federal government. These funds should not be included in your Omnibus Proposal unless your FPO directs you to include them.

a. SUBMISSION DEADLINES

The due date for submission of omnibus proposals is **November 1, 2011**.

b. Electronic Submissions of Grants

Go to grants.gov using the portal for the Sea Grant Omnibus program: NOAA-OAR-SG-2012-2002946.

c. Multi-Year Omnibus Awards

Programs should submit a two year omnibus proposal.

1. Start and End Dates

The time duration of the omnibus proposal shown on the SF-424 should be for from February 1, 2012 to January 31, 2014.

2. Project Narrative

The 90-2s (Sea Grant Project Summary Form) and the text of the proposals should be submitted as the project narrative file (see appendix B).

3. Budget Narrative

For the entire award, please submit a cumulative SF424A. For each project, please include an overall 90-4 (Sea Grant Budget Form) with start and end dates (*i.e.* 02/01/2012-01/31/2013 or 01/31/2014) and a 90-4 for each year of the individual project followed by a budget justification for that year. GMD has requested the information be placed here rather than submitted as part of the project narrative. The budget justifications for Supplies, Travel, Equipment, etc. are subject to more intense scrutiny, thus please provide more information rather than less (Appendices C and D).

Note: We have received many questions from GMD in the past about the reasonableness and necessity of certain costs. For example, if you propose to purchase computer equipment, simply allocating \$2,000 for a laptop is not sufficient. You need to provide more specific details, such as the need in relation to the project, the type of processor, the amount of memory required, etc., all of which impact the cost. GMD cannot determine whether the costs are reasonable without knowing exactly what will be purchased.

4. Videos Produced by Sea Grant Programs

If you plan to produce a video or DVD as part of your omnibus, please include a very brief work plan for the video. The work plan should address each of the following questions: Why are you producing the video? Who is the audience? What is the video communicating? What is the work schedule? How will it be distributed? If available, please include a draft script. After review of the work plan, NOAA Public Affairs will clear the video. If you have any questions about what is required for video clearance, please contact Amy Painter at 301-734-1076 or via email at amy.painter@noaa.gov.

APPENDICES:

Appendix A: Omnibus Submission Information

Appendix B: Omnibus Proposal Checklist

Appendix C: Instructions for Completing Budget (90-4) and Budget Justification

Appendix D: Sample Budget Justifications

Appendix A: Omnibus Submission Information

The Sea Grant omnibus proposal will continue to form the legal basis for the award of federal grant funds to the Sea Grant programs. The intent of the NSGO is to only request material required to process an award or to fulfill grant oversight responsibilities. Basic guidelines for omnibus proposals follow. Reminder – as we have shifted to a four-year planning cycle, you are no longer required to submit an implementation plan with each omnibus proposal.

Format

The omnibus submission should have two attachments that describe the projects: the "Project Narrative" and the "Budget Narrative". New projects should include copies of the project proposal, including the Sea Grant Project Summary Form 90-2 in the Project Narrative. The Budget Narrative should include all projects overall Sea Grant Budget form 90-4 (for the entire 24 month period), the 90-4 for each separate year followed by the budget justification for that year. NOTE: Not all programs have submitted man-months (Full Time Employees = 12 man months) on the 90-4s; please make sure this section is filled out for each year. Please include a copy of your current indirect cost rate agreement in your final submission in the budget narrative section.

- ✓ Start and End Dates - The time duration of the omnibus proposal shown on the SF-424 should be from February 1, 2012 – January 31, 2014.
- ✓ Note: No extension, education, or communication project can run more than four years without submitting the proposal for peer review. For example, a four year extension project was submitted as Feb. 1, 2009 – Jan. 31, 2013. If the program chooses to submit a 2 year omnibus proposal for Feb. 1, 2012 – Jan. 31, 2014, then the portion of the proposal not yet reviewed (Feb. 1, 2013 – Jan. 31, 2014) will need to be peer reviewed.

(1) MANAGEMENT AND PROGRAM ADMINISTRATION

The management and program administration project should contain the project summary, budget, and new or revised material not covered in the programs strategic/implementation plans (including program organization chart, oversight and reporting arrangements, management team information, advisory and oversight structure, management objectives and the short resume/CV for the PI).

(2) EXTENSION AND COMMUNICATION PROJECTS

Each omnibus proposal includes an outreach component. Outreach includes Sea Grant extension, communications, and when it is part of extension, education. The outreach proposals should reflect a four-year cycle of funding and should be submitted with the omnibus proposal. The outreach proposal should reflect the goals of NOAA's Strategic Plan, Sea Grant's Network Plan, and individual program plans. Outreach proposals should undergo a review process designed and carried out by the state or local Sea Grant program. The proposals should be reviewed by peer professionals in extension, communications and education, and by representatives of the user communities.

The proposal is the document of record to the outside world with regard to each program's outreach efforts in marine resources use, development and conservation; goals and plans for the next four years or to finish this omnibus; and, the manner of carrying out the objectives. The proposals should be able to stand on their own if an outside person were to ask what Sea Grant outreach efforts do and hope to accomplish, and how they are managed and staffed.

The proposals are primarily forward-looking documents and should concentrate on program plans and outcomes for the next four years or to finish this omnibus. The proposal guidelines below build substantially on the work done by the Sea Grant network and the NSGO under the Joint Committee on Modified Procedures and its two subcommittees, including one for Extension and the other for Communications.

A project summary, full project write-up including work plan, and multi-year budgets will be required for extension and communication proposals. No extension or communication project should run more than four years without submitting the proposal for peer review.

(3) EDUCATION PROJECTS

A project summary, full project write-up including work plan, and multi-year budgets will be required for all education projects. No education project should run more than four years without submitting the proposal for peer review.

Appendix B: Omnibus Proposal Checklist

The following should be uploaded as separate files to Grants.gov:

1) SF 424. *This is the primary legal budgetary summary document for award, and must be signed by an authorized representative of your host institution. Submission of the proposal to grants.gov by the authorized representative constitutes a valid electronic signature.*

2) SF 424a

3) CD 511

4) Negotiated Indirect Cost Rate Agreement (NICRA) – prime recipient. *Please make sure that the NICRA you attach is current.*

5) Recipient's Fringe Rate:

Including what is included in the fringe benefit rate (if not specified in the NICRA)

6) Project Narrative (to include the following as one file):

- Table of Contents - listing each project title (optional year and federal/match funding amounts).

Program Management

- 90-2 (Sea Grant Project Summary Form)
- Proposal
 - Introduction
 - Accomplishments
- Organization, Staffing, and Management
 - Program Organization Chart
 - Oversight and Reporting Arrangements
 - Management Team
 - Advisory and Oversight Structure (Members of Advisory Boards/Councils)
- Management Objectives and Plans
- CV for PI

Program Development

- 90-2 (Sea Grant Project Summary Form)
- Proposal

Extension

- 90-2 (Sea Grant Project Summary Form)
- Proposal

Education

- 90-2 (Sea Grant Project Summary Form)
- Proposal

Communications

- 90-2 (Sea Grant Project Summary Form)
- Proposal

Research

- 90-2 (Sea Grant Project Summary Form)
- Copy of full project proposal

Future Competitive Applications

- See budget justification below

7) Budget Justification/Narrative (to include the following as one file):

- Table of Contents - listing each project number, project title, PI name, followed by each year and the federal/match funding amounts for each year
For example:

M/PM-14	Program Management	Garber, Kola	
	Federal	Match	
Year 1	\$257,412		131,254
Year 2	\$265,129		135,193
Year 3	\$257,412		131,254
Total	\$779,953		397,701

- Fringe Benefits Calculation
- For each project the following is needed:
 - Overall 90-4 (begin/end dates)
 - 90-4 for each year with start/end date
 - Followed by the corresponding budget justification for that year (Appendix D)

Program Management

- Overall 90-4 (Sea Grant Budget Form for the entire project with start/end date)
- 90-4 (Sea Grant Budget Form for each year with start/end date)
- Budget Justification (for each year)

Program Development

- Overall 90-4 (Sea Grant Budget Form for the entire project with start/end date)
- 90-4 (Sea Grant Budget Form for each year with start/end date)
- Budget Justification (for each year)

Extension

- Overall 90-4 (Sea Grant Budget Form for the entire project with start/end date)
- 90-4 (Sea Grant Budget Form for each year with start/end date)
- Budget Justification (for each year)

Education

- Overall 90-4 (Sea Grant Budget Form for the entire project with start/end date)
- 90-4 (Sea Grant Budget Form for each year with start/end date)
- Budget Justification (for each year)

Communications

- Overall 90-4 (Sea Grant Budget Form for the entire project with start/end date)
- 90-4 (Sea Grant Budget Form for each year with start/end date)
- Budget Justification (for each year)

Research

- Overall 90-4 (Sea Grant Budget Form for the entire project with start/end date)
- 90-4 (Sea Grant Budget Form for each year with start/end date)
- Budget Justification (for each year)

Future Competitive Applications

- Placeholder 90-4 for year funding year (Appendix E)

Appendix C: Instructions for Completing Budget (90-4) and Budget Justification

MATCHING FUNDS

A 50 percent match of the federal funds (i.e., one dollar of match for every two dollars of federal money received) is required on all Sea Grant proposals unless otherwise specified.

Note that it is important to specify match contributions carefully to be able to demonstrate sources and amounts. Any match contributions identified by investigators are subject to federal audit that may result in additional costs to the institution.

- Match may be in the form of selected "in-kind" services or additional funds from a specified institution, agency, industry, or nonfederal program. No funds from federal entities can be used as match.

For Matching Funds, NOAA Grants Management Division (GMD) expects you to consider the following questions:

- Is a match (non-federal share) required for this program?
- If yes, does the application meet the matching requirements?
- Are the sources of match clearly identified? (i.e. cash or in-kind)
- Does the application provide adequate documentation to support in-kind contributions?
- Does the application exclude matching contributions, cash or in-kind, used for other programs?
- Does the application exclude federal funds used as match?
- Are all matching contributions necessary for accomplishing the project?
- Are all matching contributions in compliance with federal cost principles?

A. SALARIES AND WAGES

Budget

Assign personnel to the various categories according to the explanations provided which conform to NOAA/Sea Grant usage (these definitions do not necessarily conform to usage in your institution). Identify project personnel by position title as indicated on the form. Use accurate current salaries as the basis for calculating salaries and wages for each individual (do not use percentages). If funds are being requested to support a vacant position, so indicate (vac. pos.) and use a salary rate appropriate to the position. Enter months of effort as full-time equivalents, regardless of how many calendar months the individual will work on the project for both Sea Grant and matching funds. Entries must be done in separate columns as indicated on the form. Note: The number 1 audit finding is failure to keep good time and attendance records.

Budget Justification

For Salaries and Wages, NOAA Grants Management Division expects the budget justification to address the following questions:

- Is each individual identified by position?

- Are time commitments such as hours/weeks/months per year for each position?
- Are the total charges for each person listed along with an explanation of how the costs were calculated?
- Do the combined charges for all activities of any individual exceed 100% of their time including match?
- Do the time commitments and charges appear reasonable?
- Are all individuals employees of the applicant organization? (If not, explain)
- Is a cost of living increase built into the budget?
- Are salary increases justified for the grant period?
- Are any salary/personnel costs unallowable (i.e., Federal Employees or legislative personnel)

B. FRINGE BENEFITS

Budget

Fringe benefits are those customarily paid by the grantee institution, following its usual practices in the payment of such benefits.

Budget Justification

For Fringe Benefits, NOAA Grants Management Division expects the budget justification to address the following questions:

- Are fringe benefits identified as a separate item?
- Are all the elements that comprise fringe benefits indicated?
- Do the fringe benefits and charges appear reasonable?
- Are the total charges for each person listed along with an explanation of how the charges were calculated?
- Are fringe benefits charged to federal and matching categories in the same proportion as salaries?
- Statement to the effect "Approved institutional rates"

C. PERMANENT EQUIPMENT

Budget Justification

For any item(s) of equipment that has a useful life of more than one year and costing \$5,000 per unit or more, a description of the item and associated costs is required.

For Permanent Equipment, NOAA Grants Management Division expects the budget justification to address the following questions:

- Is each item of equipment listed?
- If over \$5,000 is there a description of how it will be used in the project?
- If over \$5,000 has a lease vs. purchase analysis been completed? Note: Often a lease versus buy analysis cannot be completed because no one leases it. In this case, the recipient should submit a statement of non-availability stating at least three sources that were contacted about leasing.
- For each item of equipment, is the number of units, cost per unit and total cost specified?

- Is each item of equipment necessary for the successful completion of the project?
- Are the charges for each item reasonable and realistic?
- Are disallowed costs excluded?
- Contingencies charges must be excluded!
- Reasonable miscellaneous can be allowed, but must be justified.

D. EXPENDABLE SUPPLIES AND EQUIPMENT

Budget Justification

Expendable supplies and equipment must be described according to major categories, e.g., chemical reagents, computer paper and supplies, glassware, lumber, etc. Fuel for boats should be budgeted here rather than under travel. Fuel for vehicles should be budgeted under E. Travel. The justification may be based on historical costs (note as such). For Expendable Supplies and Equipment, NOAA Grants Management Division expects the budget justification to address the following questions:

- Are supplies itemized by type of material or nature of expense?
- For general office or business supplies, is the total charge listed along with the basis for the charge (i.e. historical use rates)?
- For other specific supply categories, is the number of units, cost per unit and total cost specified?
- Are the charges necessary for the successful completion of the project?
- Are the charges reasonable and realistic?
- Are disallowed costs (e.g. liquor, entertainment) excluded?
- Contingencies or miscellaneous charges must be excluded!

E. TRAVEL

Budget Justification

The budget narrative is required for all travel.

For Travel, NOAA Grants Management Division expects the budget justification to address the following questions:

- For foreign and domestic travel, is each trip listed along with the destination, estimated mileage, method of travel, cost per mile and duration, number of travelers, per diem rate for meals and lodging?
- If actual trip details are unknown, what is the basis for the proposed travel charges?
- Is the requested travel directly relevant to the successful completion of the project?
- Are the travel charges reasonable and realistic?
- Note: Funding for unknown foreign travel may be approved but the travel itself is not authorized until an award action request is submitted and approved. **If the grantee states they will submit an AAR in the justification GMD does not have to add a special award condition.**

G. OTHER COSTS

Budget Justification

For Other Costs, NOAA Grants Management Division expects the budget justification to address the following questions:

- Are items listed by type of material or nature of expense?
- For each charge, is the number of units, cost per unit and total cost specified?
- Are the charges necessary for the successful completion of the project?
- Are the same charges listed elsewhere?
- Are the charges reasonable?
- Are disallowed costs (e.g. liquor, entertainment) excluded?
- Are charges which duplicate indirect cost items excluded?

For G.6., Sub award, NOAA Grants Management Division expects the budget justification to address the following questions:

- Is each sub award listed as a separate item? (Separate budgets are required for sub awards regardless of the dollar value.)
- Are the products/services to be acquired described along with the applicability of each to the project?
- Do the costs appear reasonable and realistic?
- Are any sole source contracts contemplated?
- If yes, is a sole source justification included with the application which describes why the proposed sole source entity is the only source capable of meeting the applicant's project needs?
- Are disallowed costs excluded?
- Contingencies or miscellaneous charges must be excluded!
- Are there contracts with non-US organizations?
- Do you have a CD-512 on file for each of your sub grants or subcontracts?

H. INDIRECT COSTS

Budget

- Indirect Cost is the institution's negotiated Facilities and Administrative (Indirect) cost rate and its relation to those elements of the proposed grant budget to which that rate is to be applied.
- An institution will identify the direct costs to which indirect costs can be applied. An explanation of for all indirect costs must be included in the budget justification.
- Unrecovered indirect cost may be included as part of cost sharing and matching.

Note: The recipient must use the indirect rate submitted with the application or upon award for the entire award period unless approved by the Grants Officer. Thus, if the grantee receives a new NICRA, the grantee must submit an AAR requesting to use it and be approved to use this, before it can be used.

Budget Justification

For Indirect Costs, NOAA Grants Management Division expects the budget justification to address the following questions:

- Are indirect costs requested?
- Is the correct rate being used? (If a lower rate than is authorized in the indirect cost rate agreement is being proposed you must explain why your organization is deviating from the approved rate.)
- Is the rate applied to the correct base?
- Are charges which duplicate direct costs excluded? (If no, explain/revise.)

Appendix D: Sample Budget Justifications

Year 1

A. Salaries and Wages.

1. Senior Personnel. a. (Co) Principal Investigator(s). \$20,500.

Two months salary coverage is budgeted for the Principle Investigator, who will be responsible for the project coordination and oversight , training field crews, data analysis, and report and manuscript preparation, as well as outreach activities

Note: If only one PI, then the man-months of effort and dollar amount are self-explanatory. If there are multiple senior personnel, please list. For example, PI Kola Garber (2 man-months Federal/1 man-month match; \$12,000/\$6000) and Co-PI Sami Grimes (1 man-month Federal / 1 man-month match; \$5000/\$5000) to do "x".

2. Other Personnel. b. Research Associates. \$8,000

A total of 5 months of research associates time [2.3 Federal (\$10,000) +2.7 match (\$12,000)] is required to complete Year 1 of the proposed study. Sampling including comp time, preparation and Tucker trawl sampling. Create electronic data base, preparation of education and outreach graphics

Note: Technicians and Other personnel need to be well justified.

B. Fringe Benefits.

\$8,550 - Fringe benefits are calculated at 30%

C. Permanent Equipment

\$6,500 to purchase a Sony high definition digital camera to photograph the location of spat

Note: include buy vs. lease justification

D. Expendable Supplies and Equipment. \$3,700

\$3,700 is requested to cover: costs of a YSI model 85 Dissolved oxygen, temperature, conductivity meter and case (\$1,600), nets - 1X1m neuston net (\$500), 0.5 X 0.5m neuston net(\$300), Replacement tucker trawl (\$500), Calibration of flow meters (\$500), miscellaneous supplies(\$300)

E. Travel

1. Domestic. \$2000.

\$2000 is requested for hotel, registration fee, per diem, and flight for the PI and student to travel to the World Aquaculture Society Meeting in New Orleans, LA from October 13-18, 2011 to present results of this study. (Note: if the exact meeting is unknown, you can explain that, too, i.e. To Be Determined).

G. Other.

2. Statistical Consultation/Data Analyses. \$1,000.

Statistical consulting (Dr. Smith or person with similar expertise) to discuss alternative approaches for dealing with non-linear data and incorporating environmental variables in the predictions of organisms density from sampling.

6. Sub award.

-\$3,500 to ECO Lab for analytical services for nutrient analyses: for transect studies (7 transects) x (5 samples per cycle) x (2 seasons) x \$10 per sample =\$3,500

Year 2 Same format as year 1