

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. Please note that since we are shifting to a four-year planning cycle, you are no longer required to submit an implementation plan with each omnibus proposal.

Format

New projects should include copies of the entire 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 or 48 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 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, 2010 – January 31, 2012 or 2014 (the latest date of any project for which you are providing federal funds in this grant action).

- ✓ If you are submitting a two year omnibus, please use the dates February 1, 2010-January 31, 2012.
- ✓ If you are submitting a four year omnibus, please use the dates February 1, 2010 – January 31, 2014.

Note: No extension, education, or communication project should run more than four years without submitting the proposal for peer review. Thus, if submitting a four year proposal, please make sure all years have been reviewed once.

- ✓ If your current omnibus began in 2006 (NA06OAR...) then you will need to have all four years reviewed.
- ✓ If your current omnibus began in 2007, 2008, or 2009, you will need to have those years not yet reviewed, reviewed.
 - For example, a four year extension project was submitted as Feb. 1, 2008 – Jan. 31, 2012. If the program chooses to submit a 4 year omnibus proposal for Feb. 1, 2010 – Jan. 31, 2014, then the portion of the proposal not yet reviewed (Feb. 1, 2012 – Jan. 31, 2014) will need to be peer reviewed.

(1) LETTER OF INTENT

Before notifying proposers of the outcome of the peer review proposal selection process, the director must inform the NSGO program officer via a letter of intent, of the institution's intended decisions to fund specific proposals and document the corresponding rationale for the record. The Program Officer will reply via letter. These documents must be part of the omnibus proposal submitted to the NSGO for funding.

(2) MANAGEMENT AND PROGRAM ADMINISTRATION

As the four-year strategic and implementation plans are being reviewed via the alignment process, this material should not be repeated in the proposal. The management and program administration project should contain the project summary, budget, and new or revised material not covered in the program's 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).

(3) 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 four-year 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; 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 four-year proposals are primarily forward-looking documents and should concentrate on program plans and outcomes for the next four years. 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.

Extension Proposal Guidelines:

The extension proposal should include the following:

A. Situation statement: This background statement documents the significance of the program areas and provides a rationale for the sub-programs you have chosen. Things to include:

- Data on the size of the audience
- Economic value of the topical area
- Promising research developments
- Significance of the area to users can suggest the importance of the program area.

B. Program goals, objectives and plans: This section documents the overall goals you plan to achieve in the four-year period, lays out the specific objectives that will help you

meet those goals, and describes the plans or methodology that will be used to meet the objectives. Each extension proposal provides general information about the program, the logic for being organized into sub-programs, and then outlines the sub-program in detail. Please identify any regional and/or multi-program activities.

1. *Goals*—in identifying goals, this section should describe the broad impact you hope to have through the Sea Grant extension program. This is a statement about where you see the program going and the effects it will have in the long run. In discussing goals, you may want to identify the impact you hope to have in a number of different areas:

- Establishing or enabling organizations or businesses
- Affecting the health of a resource
- Catalyzing activity on a regional level
- Improving public health and safety
- Affecting standards or policy

2. *Sub-Program objectives*—for each sub-program area, describe the specific objectives and plans to reach the overall goals. The objectives should be stated clearly with measurable terms appropriate for eventual evaluation and review.

- What are the specific outreach methods you plan to use to reach the objectives, such as workshops, conferences, etc. and how do you plan to reach the objectives?
- Who will be responsible for attaining them?
- What change in the situation do you foresee?
- Given the situation, what can the Sea Grant program do to help resolve the situation?

C. Anticipated outcomes: Identify how things will be different in four years because of Sea Grant Extension efforts. Identify the most significant anticipated outcomes in the proposal. These could include: Evidence that people are behaving or thinking differently; evidence the groups, institutions or people have used the information you have provided; impacts on policy, law or institutional development; evidence that Advisory activities have contributed to health of a resource, or the viability of an industry; economic and social impacts.

D. Organization, staffing and management: Describe staff and level of effort (time commitment), area of expertise, and source(s) of salary support. Identify staff vacancies and/or what new staff positions are needed. Describe how the outreach effort is managed and reviewed. Explain the planning and evaluation processes used, and identify how the needs of users are incorporated into program management. This section should identify how Sea Grant extension works with other components of the Sea Grant program and with related extension efforts within the university. Provide an organizational chart showing relationship within the university and with the Sea Grant program. If outside funding

sources will be used to augment program activity, please identify the sources and activities.

Communication Proposal Guidelines:

The communication proposal should include the following:

A. Situation statement: Write the proposal as though it were being reviewed by someone not acquainted with Sea Grant. Set the stage by describing the communications project within the context of your individual Sea Grant program, the region, and the national network.

- Where does communications fit into the overall program structure?
- What are the local, statewide, regional and national issues that mold communication efforts?

B. Program Goals, Objectives, and Plans: This section documents the overall goals you plan to achieve in the four year period, lays out the specific objectives that will help you meet those goals, and describes the plans or methodology the tools, tactics, and talent that will be used to meet the objectives.

1. *Goals*— Identify the broad impact you hope to have through your communications project.

- What are your long-term communications goals?
- Is it greater coverage of Sea Grant in the mass media, more visibility for the program via the electronic superhighway, wider use of Sea Grant information by targeted audiences, greater scientific literacy among citizens, etc?

2. *Objectives*--Your objectives should be stated succinctly in well-defined and measurable terms.

- What are your specific objectives for the next three years?
- How are these objectives related to the goals of your program?
- What priority areas are to be addressed? What are the key information gaps and how do you plan to cover them?
- What are your primary audiences and what is the main message you hope to convey to each audience?
- What kind(s) of information and/or marketing research will you use to focus your efforts?

3. *Plans and Methods*--In this section, describe the “tools, tactics and talent” you plan

to use to meet objectives.

- What specific strategy or strategies do you plan to use and why?
- What specific communications techniques and technology will you develop and/or employ to achieve your objectives?
- What medium or media will you use to accomplish your objectives?
- How/why did you select a particular medium?
- What are the ultimate communication products and services you will provide?
- What is the time-line and schedule for carrying out your work plans?

C. Anticipated Outcomes: Identify how things will be different in four years because of communications efforts. Identify the most significant anticipated outcomes in the proposal, by discussing topics such as:

- What are the anticipated results and benefits of your efforts? What do you expect to happen through your communications products and services?
- How do you propose to evaluate and/or document the success of your efforts? How will you measure the results (demographics, audience surveys, review of product distribution, etc.)?
- What formal and/or informal feedback mechanisms will you use for ensuring two-way communication with your target audiences?

D. Organization, staffing, and management: Explain how communications works with and provides support to the different components of your program research, extension, education, and management. Describe your communications staff by name, title, time commitment (FTE), area of expertise, and source (s) of salary support. Explain communications planning and how the overall communications effort is reviewed and managed.

- What is the relationship with related communications entities within the university/institution?
- What is your degree of involvement in regional and/or multi-program activities and in communications activities of the larger Sea Grant network?
- Are there any staff vacancies and/or what new staff positions are needed or planned?
- What other sources of funding are available for conducting your communications work?
- How are the needs of the users and audiences identified and incorporated into the planning process?

- E. **Budgets and Justifications:** Provide detailed budget forms with justifications for requested travel, permanent equipment, etc. Changes from the initial communication and/or extension proposals in program direction, staffing, or level of effort should be clearly identified in subsequent yearly omnibus submissions.

(4) EDUCATION PROJECTS

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

(5) NEW RESEARCH PROJECTS

A project summary, full project write-up including work plan, and multi-year budgets will be required for all research proposals the first year of funding.

Please review the “Program Core Funding: Procedures for the solicitation, review and approval of proposals” for more information:

http://www.seagrant.noaa.gov/other/Password_files/programcorefunding_proposalreview.pdf

(6) CONTINUING RESEARCH PROJECTS

For continuing competitive projects that were funded for the first year in FY2009, please ‘resubmit’ the full proposal with the project summary, but only the budgets beginning February 1, 2010.

Note: No research should run more than four years without submitting the proposal for peer review. Most research projects will be required to resubmit at shorter intervals (2-3 years). Projects approved initially for four years require close oversight of the Sea Grant institution to ensure that they warrant continuation in the out-years.

(7) FUTURE COMPETITIVE APPLICATIONS

For future competitive projects to be funded in year 2, 3, or 4, please complete a placeholder 90-4 for each year (appendix E)