

Omnibus Pre and Post Award

2014-2017 Omnibus due: November 1, 2013

General Reference Information

- [Grants Online Recipient Assistance for Award Action Requests](#)
- [Grants Online Quick Reference Guide for Grantees](#)
- Department of Commerce Grants Policy:
http://www.osec.doc.gov/oam/grants_management/policy/default.htm
- Grants Management Division Financial Assistance Brown Bag Series:
http://www.ago.noaa.gov/grants/gmd_financial_assistance_brown_bag_series.html
(Award Closeout; Award Monitoring; Grantee Budgets: Direct and Indirect Costs; and Post Award Actions: No Cost Extensions, Extension to Closeout, Equipment Purchase, Award Transfers, and Rebudgeting)

Competitive Project Selection

This is done prior to submitting an omnibus proposal for FY2014-2017 and again before satisfying the special award condition for “future competed projects”

- a) Your Program Officer is to participate in the technical review panel of all competitive projects.
- b) Following the technical review, 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.

Peer-Reviewed Projects

These proposals should reflect a four-year cycle of funding and should be submitted with the omnibus proposal. The proposals should reflect the goals of NOAA’s Strategic Plan, Sea Grant’s Network Plan, and individual program plans. Proposals should undergo a review process designed and carried out by the state or local Sea Grant program. The proposals should be reviewed by three or more peer professionals in appropriate fields, and/or by appropriate representatives of the user communities. Peer-reviewed projects include non-competitive communication, education, extension, outreach or other projects, Coastal Communities and Climate Extension.

You do not need to include the peer reviews in the omnibus application, but you do need to keep them on file if future review is needed.

Funding Guidance

Funding guidance will be provided when it is available. If you have specific questions, please ask your Program officer. Some programs receive additional funds either through Sea Grant or

other parts of NOAA and/or the Federal government. These funds should not be included in your Omnibus Proposal unless your FPO directs you to include them.

Omnibus

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.

To obtain the application package, and to *submit* your omnibus proposal through Grants.gov, find the hidden portal through the “apply for grants” button. Click “Download application package.” Then use the “Funding Opportunity Number”: NOAA-OAR-SG-2014-2003622.

Download the instructions and application by selecting the download links (below 1. download application instructions; 2. download application package). While the instructions or application files may open directly, you may save the files to your computer for future reference and use. You do not need Internet access to read the instructions or the application once you save them to your computer.

Format

The omnibus submission should have three attachments that describe the projects: (1) the "Project Narrative", (2) the "Budget Narrative", and (3) the new 90-2 Bulk Upload Template. The Project Narrative should include copies of the proposals of each project in the omnibus. The Budget Narrative should include all projects overall Sea Grant Budget form 90-4 (for the entire period of that project), 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.

“Bulk Upload Template”

The "90-2 Bulk Upload Template" is an Excel spreadsheet template being introduced to make data entry into PIER easier and includes a large number of 90-2 forms within it. Once logged into PIER, you can access this spreadsheet on the home page. On a single 90-2 Bulk Upload Template, fill out one 90-2 form for each project in your omnibus, and fill out the Table of Contents with by-year funding data for each project. Attach the completed 90-2 Bulk Upload Template, or an approved (by NSGO) equivalent information spreadsheet generated by your Program's software, to the omnibus using the "Other Attachments Form" within the omnibus application package.

By attaching this Template to the omnibus application, you will not need to include any additional 90-2 forms or "Table of Contents" in your Project Narrative as you have done in the past, and you also will not need to manually enter the project or funding data for any project in the omnibus into PIER as you have done in the past. *Use of this bulk upload template or an approved equivalent generated by your Program's software in your omnibus application is mandatory.* Contact Dorn Carlson at dorn.carlson@noaa.gov or [301-734-1080](tel:301-734-1080) with questions.

Additional Suggestions for Some Projects

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).

Outreach, Extension, Communication, and/or Education Projects: Each omnibus proposal includes an outreach component. Outreach includes Sea Grant extension, communications, and when it is part of extension, education.

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; 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 should be primarily forward-looking documents and should concentrate on program plans and outcomes for the next four years.

NEPA Questionnaire (<http://seagrants.noaa.gov/funding/forms/questionnaire.pdf>)

There is no requirement that each project in the omnibus has a separate NEPA form--we ask for one NEPA form for the entire omnibus. You will need to know certain things about every project in order to fill the questionnaire out, though.

With the diversity of projects that might be coming in, we couldn't say in advance which sections of the questionnaire would be applicable to your omnibus. If any sections do not apply to any of the work proposed in your omnibus, type N/A in the first box of that section and leave the rest of that section blank.

You should be considering these NEPA questions during your project competition and technical review, and consulting with your Program Officer if any projects appear to raise NEPA issues, so that they can be resolved before the omnibus is submitted.

The NEPA questionnaire should be answered based on the overall omnibus, and answers should be as brief as possible.

The sections on the form are:

A. Project Information - here you should provide general information about the overall omnibus grant. If the answer to any of questions A.4-A.12 is yes, indicate in your response which projects in your omnibus trigger this yes answer, and explain.

B. Funding Information - you can leave blank

C. Federal Involvement - you can leave blank

D. Project Location - provide general information about the overall omnibus grant, eg, "The coastal regions and state waters of the state of ____" (if that's true for your

omnibus). If some projects go farther afield than that, identify the projects and briefly describe the locations. If the answer to any of questions D.2-D.4 is yes, indicate in your response which projects in your omnibus trigger this yes answer, and explain.

E. Permits - If the answer to any of these questions is yes, indicate in your response which projects in your omnibus trigger this yes answer, and explain. Otherwise put "n/a" in answer to E.1. and leave the rest blank.

F. Potential Impacts of the Proposed Activity

G. Potential Impacts of the Proposed Activity related to damage assessment and restoration

H. Potential Impacts of the Proposed Activity related to fisheries sampling and research

If the answer to any questions in sections F-H is yes, you should indicate in your response which projects in your omnibus trigger this yes answer, and explain. Otherwise put "n/a" in answer to the first question of each section, and leave the rest blank.

You may be planning research, outreach, or education that is intended to support another activity covered in these sections of the questionnaire; for example, research that might support a new zoning regulation or restoration project, or outreach or education that might support a local economic development program. If your only role in these covered activities is to provide research, outreach, education or similar support, this does not need to be claimed in these sections, unless the research, outreach, or education activity itself is covered. For example, if you wanted to do an education or research project that involved introducing pathogens into the environment, you would need to answer question F.2.

If you have other questions about the NEPA questionnaire, please contact Dorn Carlson at dorn.carlson@noaa.gov or 301-734-1080.

Post Award

- Accept Awards/Amendments immediately. Slow acceptance may hold up the NOAA Grants Office from making any additional awards on that same grant number.
- Before sending back an award/amendment for any issues you see, please contact Freddie Isaac at 202-441-3604 (fredrick.l.isaac@noaa.gov) and your program officer. Many times the questions/issues can be fixed without declining an award/amendment (and preventing the process from having to start over).

Suggestions 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 track match contributions carefully to be able to demonstrate sources and amounts if audited. 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 position 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 for the project?
- 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 is as simple as noting that it must be bought 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.

- **If one has not been completed prior to submitting the omnibus, it will need to be prepared and submitted through grants online prior to purchase/lease** through an “equipment purchase” award action request.
- Does this equipment purchase change the budget? If so, then a rebudget request would need to be submitted.
- 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.

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 for all indirect costs must be included in the budget justification.
- If indirect costs are allowed on federal funds, then it is allowed on the matching funds.
- 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.)

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