

**May 2003**

**The following instructions for submitting a proposal to the Office of Global Programs has been prepared to assist you in your application package preparation. The necessary forms are included in this presentation, as well as some suggested formats and samples to be followed.**

**Read the Program Announcement carefully (found on the OGP website). This outlines requirements, and criteria for the current funding year. A similar program announcement is prepared and published annually in the Federal Register.**

**In preparing the proposal, please remember that the guidelines for proposal submission request a maximum of 30 numbered pages, in a one column format, 8 x 11 1/2 pages, and that all appended information/figures must be within the page count. The forms are not included in the page count. Please do not use a smaller font size than 12.**

**ANY QUESTIONS, PLEASE CONTACT:**

**Diane Brown  
OGP Grants Manager  
301/427-2089 X107**

**GRANT APPLICATION PACKAGE  
OFFICE OF GLOBAL PROGRAMS**

**Must have at least one signed ORIGINAL of all Government forms (FACSIMILE NOT ACCEPTABLE FOR ANY FORM)**

**(A) NEW STARTS:**

**(1)** SF 424 “Application for Federal Assistance” (original & 2 signed copies please). All areas **MUST BE FILLED IN** please!

ITEM 1 - Type of Submission Application is Non-Construction, please check box.

ITEM 2 - Date Submitted **MUST BE FILLED IN**

ITEM 3 - Date Received by State - State review is **UNNECESSARY**

ITEM 4 - Date Received by Federal Agency - **OGP fills this in**

ITEM 5 - Applicant Information: **Legal Name is the name of the University**, Organizational Unit, I.e., Marine Sciences, Department of Oceanography, etc. Address of University, - Name and telephone number of person to be contacted... Should be the SPO for administrative matters. The PI can be listed for technical matters if necessary.

ITEM 6 - Employer Identification Number (EIN) **MUST BE FILLED IN**

ITEM 7 - Type of Applicant: (enter appropriate letter in box) **MUST BE FILLED IN**

ITEM 8 - Type of Application: **MUST BE FILLED IN**

ITEM 9 - Name of Federal Agency: National Oceanic and Atmospheric Administration

**ITEM 10 MUST BE FILLED IN - both CFDA # and title**

**ITEM 10 - Catalog of Federal Domestic Assistance Number: 11.431**

**Title: Climate and Atmospheric Research**

ITEM 11 - Descriptive Title of applicant’s Project: Title of Proposal

ITEM 12 - Areas Affected by Project: (cities, counties, states, global) **Please fill this in**

**ITEM 13 - Proposed Project - Please fill in start date and ending date as follows: MONTH/DAY/YEAR for example: 09/01/99**

ITEM 14 - Congressional Districts of: Applicant, and Project -**MUST BE FILLED IN THIS IS THE CONGRESSIONAL DISTRICT THE APPLICANT RESIDES IN AND THE CONGRESSIONAL DISTRICT THE PROJECT WILL BE COMPLETED IN.**

NOTE: Item 15 - **Differs in type of application** -- Estimated Funding - should include the entire period of funding for both Federal Share and Applicant Share. **MULTIPLE YEAR PROJECTS** -Multiple-year projects, and Non-multi year projects should be filled the same as for Multi-year projects. OGP has been designated a multi-year program, so amounts should be filled in accordingly. For multi-year, cumulative funding for period, 1, 2 or 3 years should be entered here for both federal and non-federal.

(2) SF424a - Page 1 and 2 “Budget Information Non-Construction Programs”  
(PLEASE FILL IN BOTH OF THESE PAGES AS INSTRUCTED)

Column 1 on 424a “Grant Function or Activity should show climate and Global Change Program”, CFDA number should show 11.431.

Page 1 - Section A - Multi-Year - If more than one year of funding is requested, entire amount of funding for all years requested is entered in section “New or Revised Budget” column ‘e’ line 1 and 5 and column ‘g’ line 1 and 5

Section B Budget categories should be filled in - column 1 for year 1, column 2 for year 2, and column 3 for year 3 (if you have a 3rd year of funding), and if applicant is contributing, please enter applicant amount separately, either a split line, or if there is room, separate columns for fed and applicant. If necessary use a separate 424a page for each year.

PLEASE FILL IN THE TOTAL COLUMN IN EACH SECTION OF THIS FORM.

FOR MULTIPLE YEAR, PLEASE FILL IN EXACTLY AS SHOWN ABOVE, BUT THE AWARD DOCUMENT WILL ONLY SPECIFY ONE YEAR OF FUNDING.

Page 2 - Section D “Forecasted Cash Needs” must be filled in for ALL TYPES OF FUNDING, one year, multi-year, and multiple year. Please fill in by quarter how the funding is to be spent. Unless you have a 3 month award, all the money cannot be collected in the first quarter.

Section E should be filled in one year at a time. Remember it asks for cash needed for “balance of the project”. Do not put current amount in this section.

Section F - Should be filled in.

## **BUDGET**

***Never use the word miscellaneous to describe any category on the budget or in the budget narrative.***

(3.) Budget outline - *see sample provided* in this booklet.

#### **(4.) Budget narrative**

**Details must accompany the budget - The same level of detail should be provided for contributions, cost sharing, or matching funds as is provided for the federal-share.**

**ANY FUNDING BEING CONTRIBUTED, EQUIPMENT, SALARY, FRINGE BENEFITS, ETC., IS CONSIDERED COST SHARING OR MATCHING, EVEN THOUGH OUR PROGRAM DOES NOT REQUIRE A MATCHING SHARE. IF ANYTHING IS BEING CONTRIBUTED, IT MUST BE SHOWN IN THE BUDGET, AND EXPLAINED IN THE BUDGET NARRATIVE.**

**SALARY - salaries must show how much individual is paid per hour or per year, also the amount of time the individual is to work on the proposed project.**

If a Principal Investigator is to work on the project, free of charge, then the notation nc (no charge) should be on the budget under salary request.

**Fringe benefits** - Should show makeup of the fringe (annual leave, sick leave, unemployment insurance, medical insurance, etc.), and rate, unless it is provided in the Indirect Cost Rate Agreement

**EQUIPMENT:** Two categories, both permanent and expendable must be described.

SHOULD INCLUDE "LEASE VS BUY" ANALYSIS ON ALL PERMANENT EQUIPMENT TO BE PURCHASED

#### **TRAVEL**

**BREAKDOWN - must show costs for AIR FARE, PER DIEM, GROUND TRAVEL AND REGISTRATION FEES IF ANY. REMEMBER IF FOREIGN TRAVEL IS NOT A PART OF THE ORIGINAL APPLICATION, THEN AFTER A PROJECT IS FUNDED, APPROVAL BY THE PROGRAM OFFICE WITH CONCURRENCE BY THE GRANTS MANAGEMENT DIVISION IS NECESSARY BEFORE FOREIGN TRAVEL CAN BE UNDERTAKEN. SEE FORM ATTACHED TO BE USED WHEN APPLYING FOR FOREIGN TRAVEL NOT ITEMIZED IN INITIAL APPLICATION. ITINERARY MUST ACCOMPANY REQUEST.**

**Indirect Cost Rate Agreement - current copy must accompany the application**

#### **PUBLICATION AND DOCUMENTATION**

(itemize page charges, zerox, color prints, etc.)

#### **OTHER (category)**

**SUB-CONTRACTS SHOULD BE LISTED UNDER HERE, AND DESCRIBED.**

Everything in this category must be itemized - computer costs, supplies or maintenance, or usage???

**REMEMBER, DO NOT USE THE WORD MISCELLANEOUS.**

**Sub-contract budgets must be itemized and explained in detail.**

SUB-CONTRACT - Must show salary detail, equipment to be purchased, travel breakdown, and statement of work to be performed, as well as any other information needed on the budget. Must show if indirect cost rate is charged from sub-contracting party - this should show in budget outline and budget narrative.

IF SUB-CONTRACT OR CONSULTANT SERVICES ARE BEING UTILIZED PLEASE EXPLAIN HOW THEY WERE SELECTED - IF NOT COMPETITIVE, PLEASE INCLUDE SOLE SOURCE JUSTIFICATION FOR SELECTION, INCLUDE BUDGET FOR THEIR SERVICES and *Statement of Work*. *NOAA has a proposed policy of a cap for consultant funds. The suggested amount is \$433 per day.*

**SUB-CONTRACTING-** Sub-Contractors must submit to the UNIVERSITY, **for their RECORDS** -CD512- “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier covered Transactions and Lobbying”

*PLEASE DO NOT SUBMIT THE CD512 to the Office of Global Programs.*

**This form is to be retained at the University for their files - should be signed by the sub-contractor.**

**REMEMBER -**

**GRANT/COOPERATIVE AGREEMENT FUNDS CANNOT BE USED TO PAY FOR GOVERNMENT EMPLOYEE TRAVEL, PER DIEM, SALARY, ETC. (can only be used for non-governmental personnel - principal investigators and support staff)**

SAMPLE

BUDGET

		Man- TOTAL
A. SALARIES AND WAGES		
Months		
1. Senior Personnel		
a. Principal Investigator		
b. Associates		
Sub-total	0.00	0
2. Other Personnel		
a. Professionals		
b. Research Associates		
c. Research asst. grad students		
d. Post Docs/Accounting		
e. Secretarial-clerical		
f. Technical		
TOTAL Salaries and Wages		
B. FRINGE BENEFITS		
TOTAL Sal, Wage, Benefits (A-B)	0.00	0
C. PERMANENT EQUIPMENT		
D. EXPENDABLE EQUIPMENT		
E. TRAVEL		
1. Domestic		
2. International		
TOTAL TRAVEL		0.000
F. PUBLICATION AND DOCUMENTATION		
G. OTHER COSTS		
1. Computer Costs		
2. Telephone - communication		
3. Sub-contract		
4.		
TOTAL OTHER COSTS		
TOTAL DIRECT COSTS (A THROUGH G)	0.00	0
INDIRECT COSTS (on-campus)		0.000
INDIRECT COSTS (off-campus)		0.000
TOTAL INDIRECT COSTS		0
TOTAL COSTS		0

(5.) SF424b - "Assurances - Non Construction Programs" must be signed, AND NAME AND TITLE OF RESPONSIBLE PARTY TYPED ON FORM.

(6.) CD 511 - "Certification Regarding Debarment, Suspension and other Responsibility Matters; Drug-Free Workplace Requirements and Lobbying" **Please remember to fill in place of performance on page 2 of this form.**

(7.) **Current and Pending Support Listing** - for all principal investigators involved in the project, showing support from all government agencies. (See form attached)

(8.) Copy of current approved negotiated Indirect Cost Rate Agreement, IF YOU DO NOT HAVE A CURRENT RATE, YOU MUST SEND AN EXPLANATION.

(9.) **The CD512 that is attached is for the University files. Do not sent it in to OGP. This form is to be signed by your sub-contractor, and kept on file in your records. SFLLL - fill out lobbying form where necessary.**

**GRANT PROGRAM CODE - PLEASE FILL IN SECTION 10 OF THE 424**

**LINE Office: Office of Global Programs (GP**

**Program Code: 11.431**

**Program title: Climate and Atmospheric Research**

**(B.) CONTINUATION**

For Continuation of a project- **A PROGRESS REPORT -AND A CALL TO YOUR PROGRAM MANAGER** is sufficient if the amount of funding for the 2nd or 3rd year has not been increased or decreased. If your funding amount has changed due to budgetary constraints, or circumstances beyond your control, you will need, a "Statement of Work" (One or two page narrative description of proposed activity, objectives and milestones) plus all the forms listed above, SF424, 424a, 424b, CD511, budget and budget narrative, Last indirect cost rate agreement for the University (agency), and current and pending. This information should be received by the Office of Global Programs at least 90 days before the continuation start date.

**CONTINUATION OF A MULTI-YEAR PROJECT REQUIRES ONLY THAT SATISFACTORY PROGRESS REPORTS HAVE BEEN SUBMITTED IN A TIMELY MANNER and the FILE IS CURRENT(TO BE CURRENT, PROGRESS REPORT MUST BE UP TO AT LEAST 90 DAYS BEFORE START DATE OF SUCCEEDING YEAR AND ALL FINANCIAL REPORTS ARE CURRENT (THESE ARE SUBMITTED TO GMD BY THE UNIVERSITY/CORPORATION BUDGET OFFICE).**

**REMEMBER - THE PRINCIPAL INVESTIGATOR (NOT THE SPONSORED PROGRAM OFFICE) SHOULD BE IN TOUCH WITH THE PROGRAM MANAGER BEFORE START OF SECOND OR THIRD YEAR OF PROJECT. IT HELPS SOMETIMES TO TOUCH BASE, BRING THEM UP TO DATE PERSONALLY ON ACCOMPLISHMENTS, OR TO TALK OF UNANTICIPATED PROBLEMS IN THE CURRENT OR PAST YEAR OF THE PROJECT. THIS CALL IS ALSO HELPFUL IF HE/SHE HAS ANY QUESTIONS ABOUT FUNDING FOR THE UPCOMING YEAR.**

**REMEMBER: PROGRESS/PERFORMANCE REPORTS ARE THE KEY TO A GOOD RELATIONSHIP WITH THE FEDERAL GOVERNMENT/PROGRAM OFFICE. IF THE AMOUNT OF FUNDING or SCOPE OF WORK CHANGES IN SUBSEQUENT YEARS, THEN ALL ITEMS LISTED UNDER (B.) ARE REQUIRED FOR MULTI-YEAR AND MULTIPLE YEAR APPLICATIONS. A JUSTIFICATION IS REQUIRED FROM THE PROGRAM OFFICER, AND AN EXPLANATION OF WHAT WILL BE CHANGED IN THE SCOPE OF WORK IS REQUIRED FROM THE PRINCIPAL INVESTIGATOR. THIS IS NECESSARY WHETHER THE AWARD IS REDUCED OR INCREASED.**

**WARNING - The Financial Reports which are submitted to the Grants Management Office must also be current before an award can be signed.**

INDIVIDUAL YEAR PLAN IN STATEMENT OF WORK

For all scientific research projects, statements of work to be accomplished must be submitted for each year separately, along with the statement of work for the entire project. These brief descriptions of what they will do each year, should only be about a paragraph in length, thus 3 years could easily fit on 1 or 2 pages. Each year's work must be severable, able to provide a definable product in-and-of-itself, since future fiscal year funding can not be guaranteed by the Federal Government.

TIME IS OF THE ESSENCE WHEN AN APPLICATION IS BEING PROCESSED. PLEASE USE FEDERAL EXPRESS TO SUBMIT REVISED

APPLICATIONS. MAIL/COMMUNICATION SHOULD BE A PART OF THE BUDGET, SO THE SUBMISSION IS COVERED BY THE AWARD.

THE NECESSITY OF REPEATED CALLS TO THE SPONSORED PROGRAM OFFICE TO TRY TO OBTAIN THE CORRECT FORMS CAN ALSO HOLD UP A PROPOSAL SUBMISSION.

FAILURE TO COMPLY WITH THESE INSTRUCTIONS CAN SERIOUSLY DELAY THE PROCESSING OF YOUR APPLICATION, which can change/delay your start date.

FOR YOUR CONVENIENCE, A COPY OF THE CURRENT PROGRAM ANNOUNCEMENT AS WELL AS CIRCULAR A-21 AND A-110 ARE INCLUDED IN THIS APPLICATION BOOKLET. THESE CIRCULARS ONLY APPLY TO NON-PROFIT AND UNIVERSITIES.

**OGP  
FOREIGN TRAVEL REQUEST**

I would like to request approval of foreign travel not requested in my original proposal. I certify that this trip was necessary for:

\_\_\_\_\_

(Name of traveler)

to use: \_\_\_\_\_

(Name of foreign carrier)

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\_\_\_\_\_

(flight identification number)

between: \_\_\_\_\_

and: \_\_\_\_\_

enroute to: \_\_\_\_\_

enroute from: \_\_\_\_\_

on: \_\_\_\_\_

(date of travel)

for the following reasons: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## **PERFORMANCE/PROGRESS REPORT REMINDER**

As previously noted, Annual Progress Reports will be expected 9 months after the start date of the project, because continuation submissions are due in the Program Office 90 days before start date required. Remember, if you experience delays, problems during the research period, please include it in your progress report, so the Program Manager can be aware that an extension may be required.

Project end date + 90 days - **Final Report due**

**FAILURE TO SUBMIT PERFORMANCE/PROGRESS REPORTS IN A TIMELY MANNER CAN RESULT IN AN AWARD TERMINATION.**

**PROGRESS REPORT  
FOR  
THE OFFICE OF GLOBAL PROGRAMS**

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**(AWARD NUMBER)**

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**(PERIOD COVERED BY THIS REPORT)**

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**NAME OF PRINCIPAL INVESTIGATOR**

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**UNIVERSITY/CORPORATION**

## **EXPANDED AUTHORITY**

*Expanded authority may differ from time to time.*

**PLEASE READ THE TERMS AND CONDITIONS RECEIVED WITH THE AWARD CAREFULLY - YOU MAY UNDER EXPANDED AUTHORITY BE ABLE TO:**

Extend the final budget period of a project for a period of one year beyond the original expiration date shown on the Award if one of the following applies:

- additional time beyond the established expiration date is required to assure completion of the original approved project scope or objectives; or
- continuity of NOAA financial assistance support is required while a competing application is under review; or
- the extension is necessary to permit an orderly phaseout of a project that will not receive continued support.

Carryover unobligated funds remaining at the end of a budget period if there are approved activities that remain uncompleted

Remember any action taken under expanded authority should be reported in writing to the GMD or the Program Office, so that an authorizing document can be sent to you from the Grants Management Division. Until the authorization is received from the Grants Management Division, you should not/or cannot draw down money remaining. At the end of the period of performance, a stoppage of your account can/will occur if nothing is in place to allow you to continue to work.

**CURRENT AND PENDING SUPPORT**  
**Office of Global Programs**

\_\_\_\_\_  
(Name of Investigator)

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Supporting Agency	Project Title	Award Amount	Period of Project	Man-Months Acad.Sum.Cal.
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