OMB Number: 4040-0020
Expiration Date: 02/28/2026

APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY

1.a. Type of Submission:

- [x] Application
- [ ] Plan
- [ ] Funding Request
- [ ] Other

Other (specify):

1.b. Frequency:

- [x] Annual
- [ ] Quarterly
- [ ] Other

Other (specify):

1.c. Consolidated Application/Plan/Funding Request?

Yes [ ] No [x] Explanation

1.d. Version:

[x] Initial [ ] Resubmission [ ] Revision [ ] Update

2. Date Received:

STATE USE ONLY:

3. Applicant Identifier:

5. Date Received by State:

4a. Federal Entity Identifier:

6. State Application Identifier:

4b. Federal Award Identifier:

7. APPLICANT INFORMATION:

a. Legal Name:

b. Employer/Taxpayer Identification Number (EIN/TIN):

c. UEI:

d. Address:

Street1:

Street2:

City:

County / Parish:

State:

Province:

Country: USA: UNITED STATES

Zip / Postal Code:

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this submission:

Prefix:

First Name:

Middle Name:

Last Name:

Suffix:

Title:

Organizational Affiliation:

Telephone Number:

Fax Number:

Email:

APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY

8a. TYPE OF APPLICANT:

Other (specify):

b. Additional Description:

9. Name of Federal Agency:

10. Assistance Listing Number:

Assistance Listing Title:

11. Descriptive Title of Applicant's Project:

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:

a. Applicant:

b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment | Delete Attachment | View Attachment

14. FUNDING PERIOD:

a. Start Date:

b. End Date:

15. ESTIMATED FUNDING:

a. Federal ($):

b. Match ($):

16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?

- [ ] a. This submission was made available to the State under the Executive Order 12372 Process for review on:
- [ ] b. Program is subject to E.O. 12372 but has not been selected by State for review.
- [ ] c. Program is not covered by E.O. 12372.

APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY

17. Is The Applicant Delinquent On Any Federal Debt?

Yes ☐ No ☐ Explanation

18. By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)**

** I Agree ☐

** This list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:

First Name:

Middle Name:

Last Name:

Suffix:

Title:

Organizational Affiliation:

Telephone Number:

Fax Number:

Email:

Signature of Authorized Representative:

Date Signed:

Attach supporting documents as specified in agency instructions.

Add Attachments | Delete Attachments | View Attachments

Summary Title Page

The Summary Title Page identifies the project's title, starting with the acronym, which is specified in the Notice of Funding Opportunity (NOFO) and the Principal Investigator's (PI) name and affiliation, complete address, phone and E-mail information. The requested funding amounts for each fiscal year with and without ship funding should be included. If this proposal is a resubmission from a previous National Centers for Coastal Ocean Science (NCCOS) competition, indicate that information on this page. See NOFO for details and page limitation if applicable.

Project Summary

An electronic copy of the current form can be found here on NCCOS' Funding Opportunities Website. See NOFO for details on what should be included in this required element.

Usage of this form is not approved for other program offices.

OMB Approval: 0648-0384
Expiration Date: 11/30/2021

PROJECT SUMMARY

The Project Summary (abstract) should include a statement of objectives, methods to be employed, and the significance of the proposed activity to the advancement of knowledge or education. Avoid use of the first person to complete this summary.

DO NOT EXCEED ONE PAGE.

COP Project Summary Form

NOTICE

The Project Summary (Abstract) Form, provided at time of application, shall include a statement of objectives, methods to be employed, and the significance of the proposed activity to the advancement of knowledge or education. This information collection shall not be more than one page in length and shall be written in the third person. The summary is used to help compare proposals quickly and allows the respondents to summarize these key points in their own words.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed and completing and reviewing the collection of information.

Send comments regarding this burden estimate or any other aspects of the collection of information, including suggestions for reducing this burden to the National Ocean Service, CSCOR/COP Office, 1305 East-West Highway, Silver Spring, MD 20910. Grant files are subject to the Freedom of Information Act (FOIA). Confidentiality will not be maintained-the information will be made available to the public. However, unpublished research results shall not be published without prior permission from the recipient.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall, any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

Project Description

See NOFO for details on what should be included in this required element.

Data Management Plan

See NOFO for details on what should be included in this required element.

Milestone Chart

Provide timelines of major tasks covering the duration of the proposed project. See NOFO for details on what should be included in this required element.

References

Reference information is required. Each reference must include the names of all authors in the same sequence they appear in the publications, the article title, the journal or book title, volume number, page numbers, and year of publications. While there is no established page limitation, this section should include bibliographic citation only and should not be used to provide parenthetical information outside of the Project Description. See NOFO for details on what should be included in this required element.

Biographical Sketch

All principal and co-investigators, including unfunded collaborators making a substantial contribution to the research, must provide summaries of up to 2 pages that include the following:

(a) A listing of professional and academic credentials and mailing address;
(b) A list of up to five publications most closely related to the proposed project and five other significant publications.
(c) See NOFO for details on what should be included in this required element

Additional lists of publications, lectures, and the rest should not be included.

Permits

A list of ALL applicable permits that will be required to perform the proposed work. You MUST respond to this required element whether or not permits are required.

SF424-A

An electronic copy of the form can be found on Grants.gov.

View Burden Statement

BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006
Expiration Date: 01/31/2019

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. NOAA CRP or NOAA Restore	11.478/11.45	$	$	$ 613,400.00	$	$ 613,400.00
2. NOAA CRP or NOAA Restore	11.478/11.45			684,900.00		684,900.00
3. NOAA CRP or NOAA Restore	11.478/11.45			680,350.00		680,350.00
4. NOAA CRP or NOAA Restore	11.478/11.45			669,950.00		669,950.00
5. Totals		$	$	$ 2,648,600.00	$	$ 2,648,600.00

Standard Form 424A (Rev. 7- 97)
Prescribed by OMB (Circular A -102) Page 1

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total
	(1)	(2)	(3)	(4)	(5)
	NOAA CRP or NOAA Restore	NOAA CRP or NOAA Restore	NOAA CRP or NOAA Restore	NOAA CRP or NOAA Restore	
a. Personnel	$ 100,000.00	$ 100,000.00	$ 150,000.00	$ 150,000.00	$ 500,000.00
b. Fringe Benefits	33,000.00	33,000.00	49,500.00	49,500.00	165,000.00
c. Travel	10,000.00	15,000.00	10,000.00	12,000.00	47,000.00
d. Equipment	0.00	50,000.00	0.00		50,000.00
e. Supplies	75,000.00	75,000.00	60,000.00	50,000.00	260,000.00
f. Contractual	250,000.00	250,000.00	250,000.00	250,000.00	1,000,000.00
g. Construction	0.00	0.00	0.00	0.00	0.00
h. Other	50,000.00	50,000.00	50,000.00	50,000.00	200,000.00
i. Total Direct Charges (sum of 6a-6h)	518,000.00	573,000.00	569,500.00	561,500.00	$ 2,222,000.00
j. Indirect Charges	95,400.00	111,900.00	110,850.00	108,450.00	$ 426,600.00
k. TOTALS (sum of 6i and 6j)	$ 613,400.00	$ 684,900.00	$ 680,350.00	$ 669,950.00	$ 2,648,600.00
7. Program Income	$	$	$	$	$

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SECTION C - NON-FEDERAL RESOURCES

	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8.	NOAA CRP or NOAA Restore	$	$	$	$
9.	NOAA CRP or NOAA Restore				
10.	NOAA CRP or NOAA Restore				
11.	NOAA CRP or NOAA Restore				
12. TOTAL (sum of lines 8-11)		$	$	$	$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$ 613,400.00	$ 13,400.00	$ 200,000.00	$ 200,000.00	$ 200,000.00
14. Non-Federal	$				
15. TOTAL (sum of lines 13 and 14)	$ 613,400.00	$ 13,400.00	$ 200,000.00	$ 200,000.00	$ 200,000.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

	(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
		(b)First	(c) Second	(d) Third	(e) Fourth
16.	NOAA CRP or NOAA Restore	$ 684,900.00	$	$	$
17.	NOAA CRP or NOAA Restore		680,350.00		
18.	NOAA CRP or NOAA Restore			669,950.00	
19.	NOAA CRP or NOAA Restore				669,950.00
20. TOTAL (sum of lines 16 - 19)		$ 684,900.00	$ 680,350.00	$ 669,950.00	$ 669,950.00

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges:

22. Indirect Charges: 30% of modified direct charges

23. Remarks:

Budget Narrative Guidance

In order to allow reviewers to fully evaluate the appropriateness of costs, all applications must include a detailed budget narrative to justify all proposed budget categories for each fiscal year. All applications must have a detailed budget narrative explaining and justifying the Federal and the non- Federal expenditures by object class category as listed on SF-424A - Section B (Budget Category) for non-construction awards (and the SF-424C for construction awards). For clarification and simplicity, it is best to discuss each expense by object class in the order that they appear on the SF424A. Include detailed descriptions of all requested costs (see below for more detail). Additionally, provide any cost sharing and matching funds in the same level of detail as the Federal funds. The budget narrative submitted with the application must match the dollar amounts on all required forms. Please explain each calculation and provide a narrative that supports each budget category (the SF-424 must equal total costs identified on the SF-424A form which must match the budget narrative).

Any ship time needs must be clearly identified in the proposed budget. The applicant is responsible for requesting ship time through appropriate channels and for meeting all requirements to ensure the availability of requested ship time. Copies of relevant ship time request forms (e.g. UNOLS ship request forms at http://www.gso.uri.edu./unols/ship/mainmenu.html. should be included with the proposal.

If any NOAA personnel will be present during ship operations, vessel safety clearances must be obtained through the NOAA Office of Marine and Aviation Operations (OMAO) in advance of the cruise. Required information and procedures are detailed in a Charter Vessel Acquisition and Safety NOAA Administrative Order which can be accessed via the OMAO website at http://www.omao.noaa.gov/charterreq.html.

Costs proposed to NOAA awards must be reasonable, allowable, allocable, and necessary to the supported activity. Refer to 2 CFR §200 for applicable administrative requirements and cost principles. The SF424 family forms can be accessed at http://www.grants.gov/web/grants/forms/sf-424- family.html#sortby=1. If your award is for multi-year or multiple year funding, you must provide a budget and budget justification for each year. Show each year in a separate column on the SF-424A and use a separate column for listing any match funds. NOAA expects that applicants will ensure that no Federal or non-Federal grant funds will be expended for in-kind goods or services, for purposes of providing transportation, travel, and other expenses for any Federal employee.

Personnel

Provide the name of the person in each position (if known), and provide both the annual (for multiyear awards) and total: salary/amount each position is paid; the percent of time position contributes to this award; and the number of months the employee is paid. Personnel wages can be found on the Bureau of Labor Statistics Occupational Employment Statistics (OES) website at http://www.bls.gov/ncs/ocs/. State if any positions are vacant at the time, and if so, anticipated hire date. Also, provide a justification and description of each position (including vacant positions). Relate each position specifically to program objectives. Personnel cannot exceed 100% of their time on all active projects. Recipient should ensure the cost of living increase is built into the budget and justified.

The salaries of administrative and clerical staff should normally be treated as indirect (F&A) costs (2 CFR §200.413c). Direct charging of these costs may be appropriate only if all of the following conditions are met: (1) Administrative or clerical services are integral to a project or activity; (2) Individuals involved can be specifically identified with the project or activity; (3) Such costs are explicitly included in the approved budget or have the prior written approval of the Grants Officer; and (4) The costs are not also recovered as indirect costs.

Sample Budget

PERSONNEL Total $ ___________

Position Title & Name	**Yearly Salary**	**% of Time**	**No. of Months**	**$Amount**
PI, Jane Doe	[amount]	[percent]	[amount]	[amount]
Project Coordinator, John Doe	[amount]	[percent]	[months]	[amount]
Education Specialist, Janet Doe	[amount]	[percent]	[months]	[amount]
Administrative Assistant, Jane Doe	[amount]	[percent]	[months]	[amount]

Sample Justification

<u>Project Coordinator - [Name]:</u> This position directs the overall operation of the project; responsible for overseeing the implementation of project activities, coordination with other agencies, development of materials, provision of in-service and training, conducting meetings and coordinating with agencies, designs and directs the gathering, tabulating and interpreting of required data, responsible for overall program evaluation and for staff performance evaluation; and is the responsible authority for ensuring necessary reports/documentation are submitted to NOAA. This position relates to all program objectives. John Doe will provide 10 months effort for a total of $xx each year for three years (total $xx).

Fringe Benefits

Fringe benefits are usually applicable to direct salaries and wages. Provide the fringe benefit rate used. Provide both the annual (for multiyear awards) and total. If a fringe benefit rate is not used, show how the fringe benefits were computed for each position. The budget justification should be reflected in the budget description. Elements that comprise fringe benefits should be indicated. The fringe rate should be proportional among the Federal and non-Federal share categories. If a fringe rate is greater than 35%, a description and breakdown of the benefits must be provided unless a negotiated indirect cost rate agreement (NICRA) has been provided with that information. If fringe benefits are not computed by using a percent of salaries, provide a breakdown of how the computation is done. The applicant should not combine the fringe benefit costs with direct salaries and wages in the personnel category.

Sample Budget

FRINGE BENEFITS Total $ ___________

Project Coordinator - Salary [amount]
Retirement 5% of $35,000 = [amount]
FICA 7.65% of $35,000 = [amount]
Insurance = [amount]
Workman's Compensation, etc. = [amount]
Total [amount]

Position Title & Name	Yearly Salary	% Rate	$ Amount
Project Coordinator, John Doe	[amount]	[percent]	[amount]
Education Specialist, Janet Doe	[amount]	[percent]	[amount]
Project Assistant, Grad student	[amount]	[percent]	[amount]
Administrative Assistant, Jane Doe	[amount]	[percent]	[amount]

Sample Justification

The fringe benefit rate for full-time employees for years one and two is calculated at 33%. The fringe rate for the student is calculated at 7%. For years three and four, the fringe rate is anticipated to increase to 34% for employees and remain at 7% for graduate students.

Travel

Provide both the annual (for multiyear awards) and total for domestic and foreign travel.

- **Domestic Travel:** Domestic travel includes travel within and between the U.S., the commonwealths of Puerto Rico and the Northern Mariana Islands, Guam, the U.S. Virgin Island, and the territories and possessions of the United States. Provide a narrative justification describing the travel staff will perform. List origin and destination, number of trips planned, who will be making the trip, purpose of travel and how it relates to the scope of work, and approximate dates. If mileage is to be paid, provide number of miles and the cost per mile. If travel is by air, show cost of airfare and proposed airline (if known). If per diem/lodging is to be paid, indicate number of days and the amount for each day's per diem and the number of nights and the amount for each night's lodging. Include any ground transportation when applicable. Total each trip planned.

- **Foreign Travel:** Travel outside the areas specified above is considered foreign travel. Provide a narrative justification describing the same information as above. Follow above format. Certify compliance with the Fly America Act. The Fly America Act limits the use of foreign flag carriers to foreign travel. A waiver is only allowed for specific instances and will require prior approval. See http://www.gsa.gov/portal/content/103191 for more information.
  Dollars requested in the travel category should be for staff travel only. Travel for consultants should be shown in the consultant category along with the consultant's fee. Travel for training participants, advisory committees, review panels and etc., should be itemized the same way as indicated above and placed in the "other" category. Travel should include: origin and destination, estimated costs and type of transportation, number of travelers, related lodging and per diem costs, brief description of the travel involved, its purpose, and explanation of how the proposed travel is necessary for successful completion of the project.

If travel details are unknown, then the basis for proposed costs should be explained (i.e., historical information). Travel costs can be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs incurred, or a combination of the two if applied consistently and results in reasonable charges. Travel support for dependents of key project personnel may be requested only when the travel is for a duration of six months or more either by inclusion in the approved budget or with the prior written approval of the Grants Officer (2 CFR §200.474(c)(2)), and consistent with the non-

Federal entity's written travel reimbursement policies.

Sample Budget

TRAVEL - DOMESTIC Total $ ___________

Domestic Travel:

1 trip x 1 person @ $800 airfare = [amount] 2 days per diem x $37/day x 2 people = [amount] 1 night's lodging x $67/night x 2 people = [amount] Ground transportation 1 person = [amount]

Total [amount]

Sample Justification

The Project Coordinator and the Education Specialist will travel to [event location] to provide training at the "Train the Trainers" workshop being held [date]. They will both travel from [origin] to [destination], and take ground transportation from the airport to the event/hotel.

Sample Budget

TRAVEL - FOREIGN Total $ ___________

Foreign Travel:

1 trip x 1 person @ $800 airfare = [amount] 3 days per diem x $45/day x 1 person = [amount] 2 nights lodging x $88/night x 1 person = [amount] Ground transportation 1 person = [amount]

Total [amount]

Sample Justification

Project Coordinator will travel from [origin] to [destination] on [travel dates] to present research at the Sea Grant Annual Meeting. The event will be held on [meeting date]. Traveler is requesting lodging for two nights and is requesting per diem for travel days. Ground transportation is requested. Traveler will comply with the Fly America Act.

Equipment

Provide justification for the use of each item and relate them to specific program objectives. Provide both the annual (for multiyear awards) and total for equipment. Equipment is defined as an article of tangible personal property that has a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or $5,000. A recipient organization may classify equipment at a lower dollar value but cannot classify it higher than $5,000. For example, a state may classify their equipment at $1,000 with a useful life of a year.

It is recommended that applicant's internal policies for equipment are provided in this section in order to avoid requests by NOAA for closeout documents and delays during the closeout period.

General use of equipment (i.e., computers, faxes, etc.) must be used 100% for the proposed project if charged directly to the grant. Maintenance fees for equipment should be shown in the "other" category.

Non-Federal entities should conduct a lease versus purchase analysis to determine best value. General purpose equipment such as office equipment and furnishings, and information technology equipment and systems are typically not eligible for direct cost support (2 CFR §200.439).

Provide objective-related justification for all equipment items after the detailed budget. The source for determining the budget price for each unit of equipment should be included in the justification.

Sample Budget

EQUIPMENT Total $ ___________

[Item] =	[amount]
[Item] =	[amount]
[Item] =	[amount]
Total	**[amount]**

Sample Justification

Equipment costs of [$ amount] is requested for modified gill nets (1x$20,000), anchors (2x$6,000), floating and acoustic transmitters and receivers (4x$10,000). The gill nets will be used for [description]. The anchors are needed for [description]. The transmitters and receivers will be used for [description].

Supplies

List by supply item. An explanation is necessary for supplies costing more than $5,000, or five percent of the award, whichever is greater. Show unit cost of each item, number needed, and total amount. Provide both the annual (for multiyear awards) and total for supplies. Provide justification of the supply items and relate them to specific program objectives. It is recommended that when training materials are kept on hand as a supply item, that it be included in the "supplies" category. When training materials (pamphlets, notebooks, videos, and other various handouts) are ordered for specific training activities, these items should be itemized and shown in the "other" category. If appropriate, general office supplies may be shown by an estimated amount per month multiplied by the number of months in the budget period.

Requirements for supplies which exceed the thresholds: explain the type of supplies to be purchased, or nature of the expense in the budget narrative; provide a breakdown of supplies by quantity and cost per unit if known; and indicate basis for estimate of supplies, i.e., historical use on similar projects.

Sample Budget

SUPPLIES Total $ ___________

General office supplies (pens, pencils, paper, etc.) Lab supplies (developing chemicals, petri dishes, etc.)

12 months x $100/month = =	[amount] 2,000 pamphlets entitled [name] x $.58 ea. [amount]

Sample Justification

General office supplies will be used by staff to carry out daily activities of the program. Pamphlets will be kept in stock and distributed to schools as needed upon request. Supplies relate to (describe how pamphlets relate to objectives).

Contractual

It is encouraged that applicants provide separate budgets for each contract, but necessary for each substantial contract, to determine whether proposed costs are reasonable, necessary, allowable, and allocable. Describe products or services to be obtained and indicate the applicability or necessity of each to the project. Provide both the annual (for multiyear awards) and total for contractual. Do not incorporate contractual indirect costs under the indirect costs line item for the applicant/grantee on the SF-424A or budget narrative. A contract means a legal instrument by which a non-Federal entity purchases goods or services needed to carry out the project or program under a Federal award, per §200.22.

Procurement standards are identified in §200.317-200.326. Procurement transactions must be conducted in a manner providing full and open competition consistent with the standards identified in §200.319.

Sample Budget

CONTRACTUAL Total $ ___________
Name of Organization Performance Period Description of Activities

If requested, the non-Federal entity must provide technical specifications on proposed procurements per §200.324.

Sample Justification

Contractual costs of [$ amount] is requested for the university to execute a contract with TBD, competed competitively, for [$ amount] to develop and deploy satellite tags on North Atlantic right whales for 2016 (one year). Expenses will include: (1) personnel and fringe for a technician to implement tag development and testing during Year 1, (2) expenses TBD to travel to Seattle, WA to meet with XX computers engineers to develop a GPS-linked satellite tag, (3) travel for TBD to the Southeast U.S. to lead tag deployments in 2015 and 2016, and (4) tagging supplies (satellite tags, tag darts, measurement electronics for tag testing, other tag testing supplies). TBD will report to the university quarterly to ensure progress. [Attach itemized budget.]

Construction

Construction activity is allowable only when program legislation includes specific authority for construction and/or when the DOC operating unit specifically authorizes such activity. Activities under an award are considered construction when the major purpose of the award is construction as defined in this chapter. In contrast, alteration of facilities incidental to a non-construction purpose is not considered construction under this chapter.

Most Federal programs do not allow construction costs, and those that do typically have detailed instructions describing how to figure construction costs. Estimated construction costs must be supported by documentation including drawings and estimates, formal bids, etc. As with all other costs, follow the specific requirements of the program, the terms and conditions of the award, and applicable regulations.

Whereas non-construction awards use the SF-424A form; construction awards must use the SF-424C form. Detail provided should include: administrative and legal expenses; land, structures, rights-of-way, appraisals, etc.; relocation expenses and payments;

architectural and engineering fees, project inspection fees; site work; demolition and removal; equipment; contingencies; and program income.

Other

This category contains both subawards and other items not included in the previous categories.

- **Subawards.** It is encouraged that applicants provide separate budgets for each subaward, but necessary for each substantial subaward, to determine whether proposed costs are reasonable, necessary, allowable, and allocable. Indicate the applicability or necessity of each subaward to the project. A subaward is an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award, including a portion of the scope of work or objectives. A pass-through entity is a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program. Do not incorporate indirect costs incurred by subawards under the indirect costs line item for the applicant/grantee on the SF-424A or budget narrative. (It is recommended that subawards fall under the *other* section; however, the applicant may opt to categorize subawards under the *contractual.* The applicant should be clear in the different regulations/requirements between contracts and subawards.)

- **Other.** List items by type of material or nature of expense, break down costs by quantity and cost per unit if applicable, state the necessity of other costs for successful completion of the project and exclude unallowable costs (i.e., alcohol, fundraising, meals and coffee breaks). Provide both the annual (for multiyear awards) and total for other. Give justification for all the items in the "other" category (e.g., separate justification for printing, telephone, postage, rent, etc.). All costs associated with training activities should be placed in the "other" category except costs for consultant and/or contractual. List all expenses anticipated for the training activity in the format above. Include rental space for training (if required), training materials, speaker fees, substitute teacher fees, and any other applicable expenses related to the training. Allowable conference costs paid by the non-Federal entity as a sponsor or host of the conference may include rental of facilities, speakers' fees, costs of meals and refreshments, local transportation, and other items incidental to such conferences unless further restricted by the terms and conditions of the Federal award. As needed, the costs of identifying, but not providing, locally available dependent-care resources are allowable. Conference hosts/sponsors must exercise discretion and judgment in ensuring that conference costs are appropriate, necessary and managed in a manner that minimizes costs to the Federal award (2 CFR Part 200.432). Furthermore, if such costs are unallowable by the recipient, they cannot be charged solely to the Federal award.

Total Direct Charges

Show total direct costs by listing totals of each category.

Sample Budget Total $ ___________

A.	Personnel	[amount]
B.	Fringe	[amount]
C.	Travel	[amount]
D.	Equipment	[amount]
E.	Supplies	[amount]
F.	Contractual	[amount]
G.	Construction	[amount]
H.	<u>Other</u>	<u>[amount]</u>
	Total Direct Costs	[amount]

Indirect Charges

Indirect costs are those costs incurred for common or joint objectives which cannot be readily identified with an individual project or program but are necessary to the operations of the organization. The following types of indirect cost rates apply:

- **Fixed**. Established for a future period based on estimates of costs for that period. They are subject to adjustments using a "carry forward" method. Although there is no adjustment of the rate for the current year, the difference between the estimated rate and the actual rate is carried forward in establishing the rate for a subsequent period.

- **Provisional**. Temporarily established for an award to permit funding and reporting of indirect costs pending the establishment of a final rate. Billings and charges to contracts and grants must be adjusted if the final rate varies from the provisional rate.

- **Pre-determined**. Established for a future period on an estimate of costs for that period. This type of rate is not subject to subsequent adjustments. It is used only where cost experience is such that the actual indirect cost can be accurately predicted.

Recipients can receive a one-time extension of up to four years on their existing rate. Please refer to the DOC Financial Assistance Standard Terms and Conditions and the 2 CFR 200 for more information about indirect costs and facilities and administrative costs, including more information regarding pre-determined, provisional, and fixed rates.

Provide the most recent negotiated indirect cost rate agreement (NICRA) with the itemized budget. The applicable indirect cost rate(s) negotiated by the organization with the cognizant negotiating agency must be used in computing indirect costs (F&A) for a proposal (2 CFR §200.414). The amount for indirect costs should be calculated by applying the current negotiated indirect cost rate(s) to the approved base(s). If a recent NICRA is not in the application package, and is not filed in the organization profile, the grants specialist should first search the HHS Rate Agreement Distribution System (RADS) at https://rates.psc.gov/dcaweb/ prior to reaching out to the recipient. If the Grants Specialist is unable to obtain a recent NICRA from RADS and the applicant, the Grants Specialist, as a last resort, can include a special award condition on the award for the applicant to submit a Federally Approved Indirect Cost Rate schedule within 90 days.

Any non-Federal entity that has never received a negotiated indirect cost rate, except for those non- Federal entities described in Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposals, paragraph (d)(1)(B) may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. Foreign grantees that do not have a negotiated indirect cost rate may also elect to charge the de minimis rate limited to an indirect cost rate recovery of 10% of modified total direct costs, and foreign grantees that have a negotiated rate agreement with a U.S. Federal agency may recover indirect costs at the current negotiated rate.

(Only mandatory cost sharing or cost sharing specifically committed in the project budget must be included in the organized research base for computing the indirect (F&A) cost rate or reflected in any allocation of indirect costs.)

Sample Budget

INDIRECT COSTS Total $ ____________

The rate is____% and is computed on the following direct cost base $_________________________.

Personnel Fringe Travel Supplies Other **Total**

Multiplied by Indirect Cost Rate ____%

Total Indirect Costs [amount]

Totals - Direct and Indirect Charges

Provide the total combined direct and indirect costs budgeted.

Cost Share or Match

If a non-Federal cost share or match is required for this award, demonstrate it meets the matching requirements. Provide sources of the match and provide adequate documentation for in-kind match. The match should provide the same level of detail as the Federal share outlined in this guidance; therefore, it should be broken down by object class category (personnel, fringe, travel, equipment, supplies, contractual, other, indirect costs, etc.) The non-Federal share is subject to the same regulations as the Federal share. If the recipient cannot meet the cost share/match stated in its application, the Federal award should be reduced by the same percentage. (See reference under "Indirect Charges" regarding cost sharing and indirect (F&A) cost rate computation.)

Current and Pending Support Form

An electronic copy of the current form can be found here on NCCOS' Funding Opportunities Website. See NOFO for details on what should be included in this required element. Use additional sheets as necessary. It is allowable to change the fiscal years on the form(s) if needed.

CURRENT AND PENDING SUPPORT FORM

OMB Approval: 0648-0384
Expiration Date: 11/30/2021

The following information must be provided for each investigator and other senior personnel. Failure to provide this information may delay consideration of this proposal.

Investigator:

Other agencies to which this proposal has been/will be submitted:
None

Support: Current ☐ Pending ☐ Submission Planned in Near Future *Transfer of Support
Project/Proposal Title:

Source of Support:
Total Award Amount: $ Total Award Period Covered:
Location of Project:
Months of Your Time Committed to the Project: FY 16 FY 17 FY 18 Total:

Support: ☐ Current ☐ Pending ☐ Submission Planned in Near Future *Transfer of Support
Project/Proposal Title:

Source of Support:
Total Award Amount: $ Total Award Period Covered:
Location of Project:
Months of Your Time Committed to the Project: FY 16 FY 17 FY 18 Total:

Support: ☐ Current ☐ Pending ☐ Submission Planned in Near Future *Transfer of Support
Project/Proposal Title:

Source of Support:
Total Award Amount: $ Total Award Period Covered:
Location of Project:
Months of Your Time Committed to the Project: FY 16 FY 17 FY 18 Total:

Support: ☐ Current ☐ Pending ☐ Submission Planned in Near Future *Transfer of Support
Project/Proposal Title:

Source of Support:
Total Award Amount: $ Total Award Period Covered:
Location of Project:
Months of Your Time Committed to the Project: FY 16 FY 17 FY 18 Total:

*If this project has previously been funded by another entity, please list and furnish information for immediately preceding funding period.

(USE ADDITIONAL SHEETS AS NECESSARY)

NOTICE

All NOAA COP applicants be asked to submit a COP Current and Pending form in the specified format upon application submission. The use of the Current and Pending format provides the current funding status for each applicant allowing for a complete merit review. This form is compatible with the format in use by other agencies.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed and completing and reviewing the collection of information.

Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the National Ocean Service, CSCOR/COP Office, 1305 East-West Highway, Silver Spring, MD 20910. Grant files are subject to the Freedom of Information Act (FOIA). Confidentiality will not be maintained--the information will be made available to the public. However, unpublished research results shall not be published without prior permission from the recipient.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

List of Collaborators

Provide one EXCEL spreadsheet that includes all (US and Foreign) collaborators, advisors, and advisees for each investigator (principal and co-principal investigators, post-docs, and subawardees), complete with corresponding institutions. Submit only one, combined and alphabetized spreadsheet per proposal. Collaborators are individuals who have participated in a project or publication within the last 48 months with any investigator, including co-authors on publications in the resumes. Collaborators also include those persons with which the investigators may have ongoing collaboration negotiations. Advisees and Advisors do not have a time limit. Advisees are persons with whom the individual investigator has had an association as thesis advisor or postdoctoral sponsor. Advisors include an individual's own graduate and postgraduate advisors. Unfunded participants in the proposed study should also be listed (but not their collaborators). This information is critical for identifying potential conflicts of interests and avoiding bias in the selection of reviewers. See NOFO for additional details on what should be included in this required element.

Indirect Rate Agreement

If indirect rate charges are applied to the budget, please provide the indirect rate agreement between the institution and the cognizant Federal agency.

CD-511

An electronic copy of the form can be found on Grants.gov.

FORM **CD-511**
(REV 1-05)

U.S. DEPARTMENT OF COMMERCE

CERTIFICATION REGARDING LOBBYING

Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 15 CFR Part 28, 'New Restrictions on Lobbying.' The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant, or cooperative agreement.

LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 15 CFR Part 28, for persons entering into a grant, cooperative agreement or contract over $100,000 or a loan or loan guarantee over $150,000 as defined at 15 CFR Part 28, Sections 28.105 and 28.110, the applicant certifies that to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, 'Disclosure Form to Report Lobbying.' in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure occurring on or before October 23, 1996, and of not less than $11,000 and not more than $110,000 for each such failure occurring after October 23, 1996.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

In any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, 'Disclosure Form to Report Lobbying,' in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure occurring on or before October 23, 1996, and of not less than $11,000 and not more than $110,000 for each such failure occurring after October 23, 1996.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification.

* NAME OF APPLICANT

* AWARD NUMBER

* PROJECT NAME

Prefix:

* First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* SIGNATURE:

* DATE:

SF-424B Assurances for Non-Construction Programs

An electronic copy of the form can be found on Grants.gov.

View Burden Statement

OMB Number: 4040-0007
Expiration Date: 01/31/2019

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C.§§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

SF-LLL Disclosure of Lobbying Activities

An electronic copy of the form can be found on Grants.gov.

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB
4040-0013

Review Public Burden Disclosure Statement

1. * Type of Federal Action:
- [ ] a. contract
- [x] b. grant
- [ ] c. cooperative agreement
- [ ] d. loan
- [ ] e. loan guarantee
- [ ] f. loan insurance

2. * Status of Federal Action:
- [ ] a. bid/offer/application
- [x] b. initial award
- [ ] c. post-award

3. * Report Type:
- [x] a. initial filing
- [ ] b. material change

4. Name and Address of Reporting Entity:

- [x] Prime
- [ ] SubAwardee

* Name

* Street 1 Street 2

* City State Zip

Congressional District, if known:

5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:

6. * Federal Department/Agency:

7. * Federal Program Name/Description:

CFDA Number, *if applicable:*

8. Federal Action Number, *if known:*

9. Award Amount, *if known:*

$

10. a. Name and Address of Lobbying Registrant:

Prefix * First Name Middle Name

* Last Name Suffix

* Street 1 Street 2

* City State Zip

b. Individual Performing Services (including address if different from No. 10a)

Prefix * First Name Middle Name

* Last Name Suffix

* Street 1 Street 2

* City State Zip

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

*** Signature:**

***Name:** Prefix * First Name Middle Name

* Last Name Suffix

Title: **Telephone No.:** **Date:**

Federal Use Only:

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Standard Form - LLL (Rev. 7-97)