

CENTER FOR SPONSORED COASTAL OCEAN RESEARCH

INTRODUCTION

This document provides a single detailed checklist of the various requirements for completing a grant application to CSCOR/COP. This duplicates content in the grants portion of the CSCOR/COP website.

The website contains the necessary instructions and forms for preparation of an application package for a CSCOR/COP proposal submission. The information package provided here is taken from the current standard NOAA Grants & Cooperative Agreement Application Package released by the NOAA Grants Management Division.

Please note that it is unlawful to use Federal financial assistance awards for any activities or contacts to influence legislation pending before Congress or the negotiation, award or administration of a pending award. In particular, such awards may not be used for activities which involve direct contact with legislators or indirect contact with legislators through “grassroots” (advising constituents to contact their legislators) lobbying. The application package has information regarding standard conditions which prohibit lobbying, including certification by applicants that the awards will not be used for lobbying.

Also included in the web site is a copy of the most current general *Federal Register* Notice for CSCOR/COP and links to Funding Announcements prepared by CSCOR/COP that outline specific requirements and criteria. Please read the *Notice and Announcements* carefully. We have also provided links to relevant pages in the *NOAA Grants Management Division (GMD)* and the *White House Office of Management and Budget* websites.

If you have any questions, please contact:

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A. General Announcement (Click here to view COP's Current General Announcement Updated Annually)

The COP General Announcement viewed from this page is provided as a courtesy to our research community. In no way is this page meant to replace official information provided through the Federal Register. You can search for and view official announcements in the Federal Register online at the GPO Access Federal Register web site:

http://www.access.gpo.gov/su_docs/aces/aces140.html.

(Suggested search terms: 2000 Federal Register, 10/19/2000, and Coastal Ocean Program)

The CFDA number referenced in this Federal Register notice is authorized for use by the Coastal Ocean Program (COP). The COP Grants Application Package has been approved by OMB under control number 0648-0384 **for COP use only**; and includes the following information collections: a Summary Proposal Budget Form, a Project Summary Form, standardized formats for the Annual Performance Report and the Final Report, and the submission of up to 20 copies of proposals. Copies of these forms and formats can be found below.

B. Specific Funding Announcements (Click to Link to Current Specific Funding Announcements)

C. Instructions and Guidelines

- Applicant Eligibility
- Coastal Ocean Program Data Policy

D. Application

Forms for Initial
Proposal
Submission

For application instructions, see *Required Elements* section in Current Funding Announcement in the Federal Register. Work with your Business office representative to ensure a complete application package.

Required COP Forms (Use Acrobat Reader to View, Fill, & Print COP Forms)

- Summary Proposal Budget
- Project Summary Abstract

Required Standard NOAA Forms (Use Acrobat Reader to View, Fill, & Print Standard Forms)

- SF-424: Application for Federal Assistance
(In Block 10, put CFDA number 11.478 - Coastal Ocean Program)

(The following Standard NOAA forms may be submitted at the time of proposal submission OR at a later date if the applicant is subsequently notified of selection for funding by NOAA.)

- *SF-424A: Budget Information for Non-Construction Programs*
- *SF-424B: Assurances - Non-Construction Programs*
- *CD-511: Certifications Regarding Debarment, Suspension, and Other Responsibility Matters, Drug-Free Workplace Requirements, and Lobbying*
- *CD-512: Certifications Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower-Tier Covered Transactions (**Remains with Recipient**)*
- *SF-LLL: Disclosure of Lobbying Activities (**If Applicable**)*

E. Application Forms for
Continuation of Funding

*Guidance Document: Continuation Application
Checklist*

Required Standard NOAA Forms (Use Acrobat Reader to View, Fill, & Print Standard Forms)

- *SF-424: Application for Federal Assistance
(In Block 10, put CFDA number 11.478 - Coastal Ocean Program)*
- *SF-424A: Budget Information for Non-Construction Programs*
- *SF-424B: Assurances - Non-Construction Programs*
- *CD-511: Certifications Regarding Debarment, Suspension, and Other Responsibility Matters,
Drug-Free Workplace Requirements, and Lobbying*
- *CD-512: Certifications Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion -
Lower-Tier Covered Transactions (**Remains with Recipient**)*
- *SF-LLL: Disclosure of Lobbying Activities (**If Applicable**)*

F. Reporting Requirements

Progress Reports and Final Report Forms

- Annual Progress Report

COP requires annual progress reports using the iFORMAT for Annual Progress Report (OMB Approval No. 0648-0384). Annual progress reports are due to COP three (3) months prior to the end of the award period. As a result, initial year progress reports cover a period of nine months, while later year progress reports will cover a twelve (12) month period (see EXAMPLE below).

- Final Report

A final performance report using the iFormat for Project Final Report (OMB Approval No. 0648-0384) is required upon expiration or termination of a financial assistance award and is due no later than 90 days following the end of the final award. This report covers the cumulative award periods of entire project (see EXAMPLE below).

Example: Annual and Final Progress Reporting Periods for a Four Year COP Grant

	Year 1	Year 2	Year 3	Year 4
Award Period	01-01-99 to 12-31-99	01-01-00 to 12-31-00	01-01-01 to 12-31-01	01-01-02 to 12-31-02
Annual Progress Report Period	01-01-99 to 09-30-99	10-01-99 to 09-30-00	10-01-00 to 09-30-01	10-01-01 to 09-30-02
	9 months	12 months	12 months	12 months
Final Progress Report Period	01-01-99 to 12-31-02			

Financial Reports

- Financial Status Reports (SF 269-Long Form and SF 269A-Short Form)
- Federal Cash Transactions Report (SF 272)
- Request for Advance or Reimbursement (High Risk, No Access to FADS)

Recipients are responsible for managing, monitoring, and reporting on their expenditures on their financial reports. It is imperative recipients draw down funds on a regular interval and not wait until the award has expired.

NOTE: You may now file financial reports electronically and can draw down funds through the GRANTS/FADS Payment System on the GMD Website. **Provide an internet email address for your financial reports point of contact.** Access the GMDs Website here.

G. Reviewer Information

- Conflict of Interest/Confidentiality Forms

H. Related OMB Circulars and DOC Codifications

OMB Circulars can be accessed on the OMB website at <http://www.whitehouse.gov/OMB/circulars/index.html>. Suggested circulars of interest are listed below:

- A-21: Cost Principles for Educational Institutions
- A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of

Higher Education, Hospitals, and Other Non-Profit Organizations

- A-122: Cost Principles for Non-Profit Organizations

Also suggested are the Department of Commerce Codification of Government wide Grant Requirements as follows:

- CFR part 14: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, Other Non-Profit, and Commercial Organizations, which replace OMB A-110 as the administrative rules applicable to these awards.
- CFR part 24, Amendment 1: Uniform Administrative Requirements for Grants and Agreements for Grants and Cooperative Agreements to State and Local Governments, which replace OMB A-102 as the administrative rules applicable to these awards.

I. Unfunded (No-Cost) Extensions

Recipients of NOAA Financial Assistance (Grants or Cooperative Agreement Awards) may receive an unfunded ("no-cost") extension of their award beyond the original expiration date if they need more time to finish the sponsored project. Recipients without Expanded Authorities need to request prior approval in accordance with the following Unfunded Extension Checklist:

UNFUNDED EXTENSION CHECKLIST

Requests for Unfunded Extensions to NOAA grant and cooperative agreement awards to recipients without Expanded Authorities require the following information in a letter to the Program Officer signed by the authorized official:

What work in the approved proposal remains to be completed?

What is the requested new expiration date?

Explain why the work was not completed during the original award period.

How much unobligated funds remain?

Provide a budget for work to be completed during the extended period, including federal and nonfederal share.

The Program Officer must assure that performance progress reports are up to date and include a memo to the Grants Officer recommending approval of the extension.

Grants may not be extended merely to allow recipients to spend unobligated funds.

Unfunded Extensions For Recipients With Expanded Authorities

Recipients with Expanded Authorities are requested to notify the Grants Management Division and the COP Grants Specialist when they choose to use their authority to give themselves a **one-time unfunded extension of up to one year at the end of the project period**. Unfunded extension requests must be received **minimally 10 days before the end of the project period**.

Grants may not be extended merely to allow recipients to spend unobligated funds.

Following is a sample letter which provides the NOAA Grants Management Division and the COP Grants Specialist with the grant number, new expiration date, and reason for extension. Submit by e-mail to Rimas Liogys and Leslie McDonald (click for automatic e-mail address).

Sample e-mail:

"Dear Mr. Liogys and Mrs. McDonald:

This letter is to inform you that we are electing a one-year unfunded extension for NOAA Grant NA66RG0070, which is covered by the Expanded Authorities of OMB Circular A-110, Subpart C, Section 25. The new expiration date is August 31, 1998.

Listed below are reasons for the extension:

Additional time is required beyond the original expiration date of August 31, 1997, to assure completion of the original approved project scope and objectives. Project R/C-E-39 needs to conduct additional sampling to validate unexpected research findings related to the effect of propeller scars on seagrass habitat. Estimated time for completion of the work is August 31, 1998.

We will provide final financial and progress reports at that time.

Sincerely

Authorized Signer"

Last updated: May 20, 2003