

## FY18 Bluefin Tuna Research Program

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## ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY

## EXECUTIVE SUMMARY

Federal Agency Name(s): National Marine Fisheries Service (NMFS), National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

Funding Opportunity Title: FY18 Bluefin Tuna Research Program

Announcement Type: Initial

Funding Opportunity Number: NOAA-NMFS-SE-2018-2005292

Catalog of Federal Domestic Assistance (CFDA) Number: 11.472, Unallied Science Program

Dates: Applications must be received on [grant.gov](http://grant.gov) by 5:00 p.m. Eastern Time on September 1, 2017 to be considered for funding. Please note: Validation or rejection of your application by [Grants.gov](http://Grants.gov) may take up to 2 business days after submission. Please consider this process in developing your submission timeline.

Funding Opportunity Description: The BTRP program provides opportunity to compete for financial assistance for projects which seek to increase and improve the working relationship between fisheries researchers from the NMFS, state fishery agencies, universities, other research institutions and U.S. fishery interests (recreational and commercial) focusing on northern bluefin tuna in the Atlantic Ocean. The program is a means of advancing research objectives to address the information needs to improve the science-based fisheries management for Atlantic bluefin tuna. This program addresses NOAA's mission goal to "Protect, Restore, and Manage the Use of Coastal and Ocean Resources through an Ecosystem Approach to Management."

## FULL ANNOUNCEMENT TEXT

## I. Funding Opportunity Description

## A. Program Objective

The objective of the program is to provide a basis for advancing science-based fisheries management for Atlantic bluefin tuna. Such advancement will depend upon improvements in understanding of the fisheries harvesting and the biology of bluefin tuna, especially regarding the effects of mixing and movement between the eastern and western Atlantic stocks on monitoring stock abundance. Contracting Parties to the International Convention for the Conservation of Atlantic Tunas (ICCAT), of which the US is one, and other partners have embarked upon a \$25 million research program on bluefin tuna, expected to span 6 years as a step toward improving ICCAT's science based management approach for fisheries affecting bluefin. Research sponsored under this funding opportunity represents a contribution to this partnership. Proposals that demonstrate collaborations with the ICCAT Atlantic Bluefin Tuna Research Program and other ICCAT partners are strongly encouraged.

## B. Program Priorities

Proposals must address one of the priority areas listed below as they pertain to Atlantic bluefin tuna Federal fisheries management plans. The priorities are not listed in any particular order of importance. If you select more than one priority, you should list first on your application the priority that most closely reflects the objectives of your proposal. Projects should focus on the greatest probability of collecting data that aids in recovering, maintaining, or improving the status of the bluefin stocks upon which fisheries depend; improving the understanding of factors affecting recruitment success and long-term sustainability of fisheries; and/or generating increased values and opportunities for fisheries.

The main premise for a Bluefin Tuna Research Program (BTRP) project is to provide usable and relevant information to aid fishery researchers, scientists, and managers to make informed management decisions. The Standing Committee for Research and Statistics (SCRS), which develops scientific advice for the International Commission for the Conservation of Atlantic Tunas (ICCAT), has developed a list of priorities for research needed to improve bluefin tuna stock assessments. These priorities are summarized below, in no particular order of importance. Proposals must address one of these priority areas as they pertain to Atlantic bluefin tuna Federal fisheries management plans. If you select more than one priority, you should list first on your application the priority that most closely reflects the objectives of your proposal.

Research priorities for this funding opportunity include:

1. Representative sampling of hard and soft tissues and associated analytical techniques for studies of population genetics, stock composition, age composition, growth and fecundity.
2. Large-scale conventional, electronic and genetic tagging experiments to estimate movement, abundance and mortality of the eastern or western stocks.
3. Data mining to sharpen estimates of catch, catch composition, fishing effort, and spatial aspects of catch.
4. Simulation modeling to evaluate the performance of assessment models and management strategies in light of uncertainties related to stock mixing, reproductive potential and other life history traits.
5. Improving the quality of fishery data for stock assessments (e.g., using advanced technology to obtain representative data on catch per unit effort, size composition, etc...).
6. Developing novel fishery-independent techniques to estimate abundance or mortality (e.g., using advanced technology or enhancing coverage through effective multi-institution partnerships).
7. Integration of satellite remote sensing, oceanographic modeling and other multidisciplinary scientific products to consider environmental effects upon biology (recruitment, mortality, movement, etc), fishery operations or to resolve the uncertainties in historical recruitment patterns.

#### C. Program Authority

Authority for the BTRP is provided by the following: 16 U.S.C. 661.

## II. Award Information

### A. Funding Availability

Approximately \$600,000 may be available in fiscal year (FY) 2018 for projects. Actual funding availability for this program is contingent upon FY 2017 Congressional appropriations. The NMFS Southeast Fisheries Science Center estimates awarding approximately 5 projects that will range from \$25,000 to \$300,000. The expected average award is \$125,000. Publication of this notice does not obligate NMFS to award any specific

grant or cooperative agreement or any of the available funds.

#### B. Project/Award Period

The period of awards can be for a maximum period of up to 12 months. Applicants will need to compete for additional years of funding and must include a statement identifying concrete deliverables and accomplishments from the previous year's effort as well as satisfactory performance of previous funding.

#### C. Type of Funding Instrument

Proposals selected for funding will be funded through a cooperative agreement. NMFS is substantially involved as a partner in the BTRP activities with the recipient. Substantial involvement includes planning, scheduling, conducting, and analyzing proposed project activities and frequent contact with the grantee to help solve technical problems/situations as they arise during performance of the award.

### III. Eligibility Information

#### A. Eligible Applicants

Eligible applicants may be institutions of higher education, nonprofits, commercial organizations, individuals, and state, local, and Indian tribal governments. Federal agencies or institutions are not eligible. Foreign governments, organizations under the jurisdiction of foreign governments, and international organizations are excluded for purposes of this solicitation since the objective of the BTRP is to optimize research and development benefits from U.S. marine fishery resources.

#### B. Cost Sharing or Matching Requirement

Cost-sharing is not required for this program.

#### C. Other Criteria that Affect Eligibility

All applicants must include a written agreement with a person employed by the National Marine Fisheries Service (NMFS), who will act as a partner in the proposed research project. This written agreement must be signed by the Southeast Fisheries Science Center (SEFSC) Director or Lab Director.

### IV. Application and Submission Information

#### A. Address to Request Application Package

The standard application package is available at <http://www.grants.gov>. If you do not have internet access, an application package may be received by contacting Dax Ruiz, Federal Grants Program Manager, NOAA/NMFS/SERO; 263 13th Avenue, South, St. Petersburg, FL, 33701, Phone: (727) 824-5324, e-mail: [Dax.Ruiz@noaa.gov](mailto:Dax.Ruiz@noaa.gov).

## B. Content and Form of Application

### 1. Format Requirements:

All pages must be single-spaced and should be composed in at least a 12-point font with one inch margins on 8 1/2 x 11 paper. The project description may not exceed 10 pages, exclusive of title page, project synopsis, literature cited, budget information, resumes of investigator, and letters of support (if any). Failure to follow the requirements will result in the rejection of the application and subsequent return.

Any PDF or other attachments that are included in an electronic application must meet the above format requirement when printed out.

### 2. Content Requirements:

The following information must be included. Failure to submit it will result in an application not being reviewed.

a. Signed Title Page: The Application for Federal Assistance (SF-424) must be signed by the authorized representative. Electronic signatures submitted through [grants.gov](http://grants.gov) satisfy this requirement.

b. Project Synopsis (1-page limit): It is critical that the project synopsis accurately describes the project being proposed and conveys all essential elements of the activities. It is imperative that potential applicants tie their proposals to one of the program priorities described in Section I.B. The Project Synopsis must identify the principal investigator(s) and a brief statement of qualifications.

c. Project Description (10-page limit): The applicant should describe and justify the project being proposed and address each of the evaluation criteria as described below in Section V. Project descriptions should include clear objectives and specific approaches to achieving those objectives, including methods, timelines, and expected outcomes.

d. Proposals submitted in response to this Announcement must include a Data Management Plan (up to 2 pages). See Section VI.B., Administrative and National Policy Requirements,

below for additional information on what the plan should contain.

e. Literature Cited: If applicable.

f. Budget and Budget Justification: There should be a detailed budget justification accompanying the SF-424 budget forms. Provide justifications for all budget items in sufficient detail to enable the reviewers to evaluate the appropriateness of the funding requested.

g. Resumes (2 pages maximum for each major participant).

h. Standard Application Forms: Please refer to the appropriate application package available through [www.grants.gov](http://www.grants.gov). If you do not have internet access, an application package may be received by contacting Dax Ruiz, Federal Grants Program Manager, NOAA/NMFS/SERO; 263 13th Avenue, South, St. Petersburg, FL, 33701, Phone: (727) 824-5324, e-mail: [Dax.Ruiz@noaa.gov](mailto:Dax.Ruiz@noaa.gov).

i. NOAA must analyze the potential environmental impacts, as required by the National Environmental Policy Act (NEPA). Consequently, as part of an applicant's package, applicants are required to answer the following questions:

1. Has any National Environmental Policy Act (NEPA) or other environmental compliance documentation (e.g., Endangered Species Act Biological Opinion; Letter of Concurrence or Biological Assessment/Evaluation; Clean Water Act permit; State Historic Preservation Officer consultation; state environmental compliance documentation (mini-NEPA); etc.) been completed? If yes, list the environmental compliance documentation that has been completed and provide copies of the documentation as appropriate.

2. Would the proposed activity or environmental impacts of the activity be subject to public controversy? If yes, describe the potential controversy.

3. Would the proposed activity have potential environmental impacts that are highly uncertain or involve unique or unknown risks? If yes, describe the impacts that are uncertain or involve unique or unknown risks.

4. Is the proposed activity related to other activities (both NOAA and non-NOAA that together may cumulatively adversely impact the environment? For example, the proposed activity is one of a series of projects that together may cause a change in the pattern of pollutant discharge, traffic generation, economic change, flood plain change, or land use. If

yes, briefly describe the other activities and discuss how the related projects would have cumulative impacts on the environment.

5. Would the proposed activity involve a non-native species? If yes, describe how the nonnative species is involved.

6. Would the proposed activity occur within a unique geographic area of notable recreational, ecological, scientific, cultural, historical, scenic or aesthetic importance. If yes, describe the area, including the name or designation if known.

7. Would the proposed activity affect districts, sites, highways, structures, or objects listed in or eligible for listing in the National Register of Historic Places or cause loss or destruction of significant scientific, cultural, or historical resources? If yes, describe the impact.

8. Would the proposed activity affect public health or safety? The effects may be adverse or beneficial and temporary, long-term, or permanent. If yes, describe the effects and the circumstances that would cause these impacts.

9. Would the proposed activity affect directly or indirectly, in an adverse or beneficial manner, any listed endangered, threatened, or otherwise protected species or their critical habitat under federal and state laws including the Endangered Species Act and the Marine Mammal Protection Act? If yes, name the species and/or habitat that will be impacted and describe the circumstances that would impact the species and/or habitat.

j. Applications must identify the principal participants, and include copies of any agreements describing the specific tasks to be performed by participants. Project applications should give a clear presentation of the proposed work, the methods for carrying out the project, its relevance to managing and enhancing the use of Atlantic Bluefin Tuna fishery resources, and cost estimates as they relate to specific aspects of the project. Budgets must include a detailed breakdown, by category of expenditures, with appropriate justification for both the Federal and non-Federal shares.

k. Applications should exhibit familiarity with related work that is completed or ongoing. Successful applicants are required to collect and manage data in accordance with standardized procedures and format approved or specified by NMFS and to participate with NMFS in specific cooperative activities that are determined by consultations between NMFS and successful applicants before project grants are awarded. All data collected as part of an awarded grant must be provided to the National Marine Fisheries Service.



### C. Unique Entity Identifier and System for Award Management (SAM)

Applicants must have a Dun and Bradstreet Data Universal Numbering System (DUNS) number ([www.dnb.com](http://www.dnb.com)) and be registered in the Systems for Award Management (SAM) ([www.sam.gov](http://www.sam.gov)). Allow a minimum of thirty days to receive a DUNS number and to be registered in SAM. Applicants are strongly encouraged not to wait until the application deadline date to begin the application process through <http://www.grants.gov>.

### D. Submission Dates and Times

Applications must be received by [www.grants.gov](http://www.grants.gov), postmarked, or provided to a delivery service by 5:00 PM Eastern Standard Time (EST) on September 1, 2017. Note: It may take [www.grants.gov](http://www.grants.gov) up to two (2) business days to validate or reject an application. Please keep this in mind when developing your submission timeline. Use of U.S. mail or another delivery service must be documented with a receipt. Applications received later than 5 calendar days following the closing date will not be accepted. No facsimile or electronic mail applications will be accepted. See Section IV F. Other Submission Requirements for complete mailing information.

### E. Intergovernmental Review

Applications submitted by state and local governments are subject to the provisions of Executive Order (E.O.) 12372, Intergovernmental Review of Federal Programs. Any applicant submitting an application for funding is required to complete item 16 on SF-424 regarding clearance by the State Single Point of Contact (SPOC) established as a result of E.O. 12372. To find out about and comply with a State's process under EO 12372, the names, addresses and phone numbers of participating SPOCs are listed in the Office of Management and Budget's home page at: <http://www.whitehouse.gov/omb/grants/spoc.html>.

### F. Funding Restrictions

Construction is not an allowable activity under this program. Therefore, applications will not be accepted for construction projects.

### G. Other Submission Requirements

Applicants should submit applications electronically through <http://www.Grants.gov>. Applicants should note that it can take between 3-5 business days or as long as 3 weeks to register with Grants.Gov if all steps are not completed in a timely manner and registration is required only once. Users of Grants.gov will be able to download a copy of the application package, complete it offline, and then upload and submit the application via the Grants.gov

site. If an applicant has problems downloading the application forms from Grants.gov, contact Grants.gov Customer Support at 1-800-518-4726 or support@Grants.gov.

If an applicant does not have Internet access or if Grants.gov is inaccessible, paper applications will be accepted. Paper applications must be submitted with completed, signed, original forms in hard copy and an electronic copy of the entire application on CD, including scanned signed forms. If the applicant has completed the entire application in Grants.gov but is unable to submit it via Grants.gov, then this application package should be provided via CD along with printed and signed versions of forms SF-424, SF-424B, and CD-511. The authorized representative **MUST** sign and date these forms over the printed signature that will appear in the signature box. Paper applications should be printed on one side only, on 8.5" x 11" paper, and should not be bound in any manner.

Paper applications must be postmarked or provided to a delivery service and documented with a receipt and sent to: Dax Ruiz, Federal Grants Program Manager, NOAA/NMFS/SERO; 263 13th Avenue, South, St. Petersburg, FL, 33701, Phone: (727) 824-5324, e-mail: Dax.Ruiz@noaa.gov.

Applications postmarked or provided to a delivery service after 5:00 pm September 1, 2017 will not be considered for funding. Applications submitted via the U.S. Postal Service must have an official postmark; private metered postmarks are not acceptable. In any event, applications received later than 5 calendar days following the closing date will not be accepted. No facsimile or electronic mail applications will be accepted.

## V. Application Review Information

### A. Evaluation Criteria

Applications responsive to this solicitation will be evaluated by three or more appropriate private and/or public sector experts to determine their technical merit. These reviewers will provide individual evaluations of the proposals. No consensus advice will be given. These reviewers provide comments and assign scores to the applications based on the following criteria, with the points shown in parentheses:

#### 1. Importance/relevance and applicability of proposed projects to the program goals (30 points):

This criterion ascertains whether there is intrinsic value in the proposed work and/or relevance to NOAA, Federal, regional, state, or local activities.

Does the proposal describe its relevance to a Bluefin Tuna Research Program Priority, and how information gathered will contribute to NOAA's mission to enhance the understanding of the fishery resource and contribute to the body of information on which management decisions are made (20 pts)? Does this study address an important problem, providing a clear definition of the problem, need, issue, or research need (10 pts)?

## 2. Technical/scientific merit (30 points):

This criterion assesses whether the approach is technically sound and/or innovative, if the methods are appropriate, and whether there are clear project goals and objectives. Proposals should provide a clear definition of the approach to be used, including descriptions of field work, theoretical studies, and laboratory analysis to support the proposed research.

Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, and appropriate to the aims of the project (15 pts)? Is sufficient detail provided about the methods proposed for monitoring and evaluating the success of the project, and are they appropriate (5 pts)? Are the objectives in the proposal clearly defined and focused, realistic and attainable within the proposed project period (5 pts)? Does the project demonstrate support, cooperation, and/or collaboration with the fishing industry and members of the international science community (5 pts)?

## 3. Overall qualifications of applicants (20 points):

This criterion ascertains whether the applicant possesses the necessary education, experience, training, facilities, and administrative resources to accomplish the project.

Does the applicant have the expertise to conduct the proposed work(15 pts)? Does the applicant describe the facilities, equipment and/or administrative resources available to support and successfully manage the work and award responsibilities (3 pts)? Does the proposal include resumes of the Principal Investigator(s)? (2 pts)

## 4. Project costs (20 points):

This criterion evaluates the budget to determine if it is realistic and commensurate with the project needs and time frame.

Is the proposed budget sufficiently detailed, with appropriate breakdown and justification of costs by object class (10 pts)? Is the proposed budget cost-effective and realistic based on the applicant's stated objectives and time frame (10 pts)?

5. Outreach and education (no points):

This criterion assesses whether the project provides a focused and effective education and outreach strategy regarding NOAA's mission to protect the Nation's natural resources. This criterion is not used by the BTRP program.

B. Review and Selection Process

When we receive applications we will screen them to ensure that they were received by the deadline date (see Submission Dates and Times); include an SF 424 authenticated by an authorized representative; were submitted by an eligible applicant; address one of the funding priorities for federally managed species; and include a budget, statement of work, and milestones, and identify the principal investigator. We do not have to screen applications before the submission deadline in order to identify deficiencies that would cause your application to be rejected so that you would have an opportunity to correct them. However, should we do so and provide you information about deficiencies, or should you independently decide it is desirable to do so, you may correct any deficiencies in your application before the deadline. After the deadline, the application must remain as submitted; no changes can be made to it.

If your application does not conform to these requirements and the deadline for submission has passed, the application will be returned without further consideration.

Following the technical review, we will determine the score for each individual review and average the individual technical review scores to determine the final technical score for each application. Then, we will rank applications in descending order by their average technical scores. The top twenty applications will be forwarded to a panel for further review. Those applications that are not in the top twenty category will be eliminated from further consideration.

Those applications that meet the top twenty ranking will be presented to a panel of bluefin fishery experts known as the BTRP panel. Each member of the BTRP panel individually considers: if needs of the Agency are addressed in each proposal and if the project addresses issues that are important to Atlantic Bluefin Tuna fishery management. Needs of the Agency

follow the information identified in the Magnuson- Stevens Act, Title III, Sections 301 and 404. The individuals on the Panel provide comments and rate each of these proposals as either "Recommended for Funding" or "Not Recommended for Funding".

The Panel will give no consensus advice. The Program Manager ranks the proposals in the order of preferred funding based on the number of Panel members recommending the proposal for funding. In the event that there are two or more projects tied in the panel's percent selected category that are competing for the final available funds, all tied projects will be given equal consideration by the selecting official regardless of their peer review score. The selecting official will resolve any ties by selecting the projects that are most pertinent to the research needs as listed under the program priorities in Section I.B., at the time of selection. Program priorities are not listed in order of importance because the importance can change over time.

### C. Selection Factors

The BTRP panel ratings will be provided in rank order to the Selecting Official for final funding recommendations. The Selecting Official shall award in the rank order unless the proposal is justified to be selected out of rank order based on the following factors:

1. Availability of funding
2. Balance/distribution of funds:
  - a. geographically
  - b. by type of institutions
  - c. by type of partners
  - d. by research areas
  - e. by project types
3. Duplication of other projects funded or considered for funding by NOAA/federal agencies;
4. Program priorities and policy factors;
5. Applicant's prior award performance;
6. Partnerships with/Participation of targeted groups;
7. Adequacy of information necessary for NOAA staff to make a NEPA determination and draft necessary documentation before recommendations for funding are made to the Grants

Officer.

The Selecting Official may negotiate the funding level of the proposal. The Selecting Official makes final recommendations for award to the Grants Officer who is authorized to obligate funds.

#### D. Anticipated Announcement and Award Dates

Subject to the availability of funds, successful applications are usually recommended for funding within 365 days from the date of publication of this notice. The earliest start date of awards (1st of a month) is approximately 425 days after the date of publication of this notice. Applicants should consider this selection and processing time in developing requested start dates for their applications. It is suggested that a September 1, 2018, start date be requested on the application.

The exact amount of funds awarded, the final scope of activities, the project duration, and specific NMFS cooperative involvement with the activities of each project are determined in pre-award negotiations between the applicant, the NOAA Grants Office and the NMFS Program Office. Recipients must not initiate projects until an approved award is received from the NOAA Grants Office.

## VI. Award Administration Information

### A. Award Notices

Successful applicants will receive notification that the application has been approved for funding by the NOAA Grants Office with the issuance of an award signed by a NOAA grants officer. This is the authorizing document that allows the project to begin. The award will be issued electronically to the authorizing official of the project. Unsuccessful applicants will be notified by the NMFS program office that their proposals were not selected for recommendation.

### B. Administrative and National Policy Requirements

DEPARTMENT OF COMMERCE PRE-AWARD NOTIFICATION REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS. The Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements contained in the Federal Register notice of December 30, 2014 (79 FR 78390) are applicable to this solicitation and may be accessed online at <http://www.gpo.gov/fdsys/pkg/FR-2014-12-30/pdf/2014-30297.pdf>.

UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS. Through 2 C.F.R. § 1327.101, the Department of Commerce adopted Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 C.F.R. Part 200, which apply to awards in this program. Refer to <http://go.usa.gov/SBYh> and <http://go.usa.gov/SBg4>.

DOC TERMS AND CONDITIONS. Successful applicants who accept a NOAA award under this solicitation will be bound by Department of Commerce Financial Assistance Standard Terms and Conditions. This document will be provided in the award package in NOAA's Grants Online system at <http://www.ago.noaa.gov> and at <http://go.usa.gov/hKbj>.

LIMITATION OF LIABILITY. Funding for programs listed in this notice is contingent upon the availability of appropriations. Applicants are hereby given notice that funds may not have been appropriated yet for the programs listed in this notice. In no event will NOAA or the Department of Commerce be responsible for proposal preparation costs. Publication of this announcement does not obligate NOAA to award any specific project or to obligate any available funds.

UNPAID TAX LIABILITY. In accordance with Section 523 of Division B and Sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) or a future public law, an authorized representative of the selected applicant(s) will be required to provide certain pre-award representations regarding federal felony and federal criminal tax convictions, unpaid federal tax assessments, and delinquent federal tax returns. The form must be completed and submitted with grant applications for: (a) all for-profit and non-profit organization applicants (Part I, and if required, Part II); and (b) all non-Federal entity applicants anticipating receipt of \$5 million or more in the current Federal Fiscal Year appropriated funding (Part II only). The form can be found at <http://www.ago.noaa.gov/grants/forms.html>.

NEPA. NOAA must analyze the potential environmental impacts, as required by the National Environmental Policy Act (NEPA), for applicant projects or proposals which are seeking NOAA federal funding opportunities. Detailed information on NOAA compliance with NEPA can be found at the following NOAA NEPA website: <http://www.nepa.noaa.gov/>, including our NOAA Administrative Order 216-6 for NEPA, [http://www.nepa.noaa.gov/NAO216\\_6.pdf](http://www.nepa.noaa.gov/NAO216_6.pdf), and the Council on Environmental Quality implementation regulations, [http://energy.gov/sites/prod/files/NEPA-40CFR1500\\_1508.pdf](http://energy.gov/sites/prod/files/NEPA-40CFR1500_1508.pdf). Consequently, as part of an applicant's package, and under their description of their program activities, applicants are required to provide detailed information on the activities to be conducted, locations, sites, species and habitat to be affected, possible construction activities,

and any environmental concerns that may exist (e.g., the use and disposal of hazardous or toxic chemicals, introduction of non-indigenous species, impacts to endangered and threatened species, aquaculture projects, and impacts to coral reef systems). In addition to providing specific information that will serve as the basis for any required impact analyses, applicants may also be requested to assist NOAA in drafting an environmental assessment, if NOAA determines an assessment is required. Applicants will also be required to cooperate with NOAA in identifying feasible measures to reduce or avoid any identified adverse environmental impacts of their proposal. Failure to do so shall be grounds for not selecting an application. In some cases if additional information is required after an application is selected, funds can be withheld by the Grants Officer under a special award condition requiring the recipient to submit additional environmental compliance information sufficient to enable NOAA to make an assessment on any impacts that a project may have on the environment.

**REVIEW OF RISK.** After applications are proposed for funding by the Selecting Official, the Grants Office will perform administrative reviews, including an assessment of risk posed by the applicant under 2 C.F.R. 200.205. These may include assessments of the financial stability of an applicant and the quality of the applicant's management systems, history of performance, and the applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities. Special conditions that address any risks determined to exist may be applied. Applicants may submit comments to the Federal Awardee Performance and Integrity Information System (FAPIIS) about any information included in the system about their organization for consideration by the awarding agency.

**DATA SHARING.** 1. Environmental data and information collected or created under NOAA grants or cooperative agreements must be made discoverable by and accessible to the general public, in a timely fashion (typically within two years), free of charge or at no more than the cost of reproduction, unless an exemption is granted by the NOAA Program. Data should be available in at least one machine-readable format, preferably a widely-used or open-standard format, and should also be accompanied by machine-readable documentation (metadata), preferably based on widely used or international standards. 2. Proposals submitted in response to this Announcement must include a Data Management Plan of up to two pages describing how these requirements will be satisfied. The Data Management Plan should be aligned with the Data Management Guidance provided by NOAA in the Announcement. The contents of the Data Management Plan (or absence thereof), and past performance regarding such plans, will be considered as part of proposal review. A typical plan should include descriptions of the types of environmental data and information expected to be created during the course of the project; the tentative date by which data will be shared; the standards to be used for data/metadata format and content; methods for providing data



access; approximate total volume of data to be collected; and prior experience in making such data accessible. The costs of data preparation, accessibility, or archiving may be included in the proposal budget unless otherwise stated in the Guidance. Accepted submission of data to the NOAA National Centers for Environmental Information (NCEI) is one way to satisfy data sharing requirements; however, NCEI is not obligated to accept all submissions and may charge a fee, particularly for large or unusual datasets. 3. NOAA may, at its own discretion, make publicly visible the Data Management Plan from funded proposals, or use information from the Data Management Plan to produce a formal metadata record and include that metadata in a Catalog to indicate the pending availability of new data. 4. Proposal submitters are hereby advised that the final pre-publication manuscripts of scholarly articles produced entirely or primarily with NOAA funding will be required to be submitted to NOAA Institutional Repository after acceptance, and no later than upon publication. Such manuscripts shall be made publicly available by NOAA one year after publication by the journal.

**INDIRECT COST RATE.** An applicant with a current Federally-approved indirect cost rate that is proposing indirect costs in its budget should include a copy of the approved rate with its application. If an applicant has not previously established an indirect cost rate with a Federal agency they may choose to negotiate a rate with the Department of Commerce or use the de minimis indirect cost rate of 10% of Modified Total Direct Costs (as allowable under 2 C.F.R. §200.414). The negotiation and approval of a rate is subject to the procedures required by NOAA and the Department of Commerce Standard Terms and Conditions. The NOAA contact for indirect or facilities and administrative costs is: Lamar Revis, Grants Officer, NOAA Grants Management Division, 1325 East West Highway, 9th Floor, Silver Spring, MD 20910, or [lamar.revis@noaa.gov](mailto:lamar.revis@noaa.gov).

**MINORITY SERVING INSTITUTIONS** - The Department of Commerce/National Oceanic and Atmospheric Administration (DOC/NOAA) is strongly committed to increasing the participation of Minority Serving Institutions (MSIs), i.e., Historically Black Colleges and Universities, Hispanic-serving institutions, Tribal colleges and universities, Alaskan Native and Native Hawaiian institutions, and institutions that work in underserved communities.

**FOIA.** In the event that an application contains information or data that you do not want disclosed prior to award for purposes other than the evaluation of the application, mark each page containing such information or data with the words "Privileged, Confidential, Commercial, or Financial Information - Limited Use" at the top of the page to assist NOAA in making disclosure determinations. DOC regulations implementing the Freedom of Information Act (FOIA), 5 U.S.C 552, are found at 15 C.F.R. Part 4, which sets forth rules for DOC to make requested materials, information, and records publicly available under

FOIA. The contents of funded applications may be subject to requests for release under the FOIA. Based on the information provided by the applicant, the confidentiality of the content of funded applications will be maintained to the maximum extent permitted by law.

### C. Reporting

Unless otherwise specified by terms of the award, performance and financial reports are to be submitted semi-annually. Performance reports should include progress on identified milestones. Electronic submission of reports is required and conducted through the use of NOAA's Grants Online system. All reports will be submitted on a semi-annual schedule and must be submitted no later than 30 days following the end of each 6-month period from the start date of the award. In addition to the financial and performance reports, grant recipients will be required to submit a comprehensive final performance report 90 days after the project end date.

The Federal Funding Accountability and Transparency Act of 2006 includes a requirement for awardees of applicable Federal grants to report information about first-tier subawards and executive compensation under Federal assistance awards issued in FY 2011 or later. All awardees of applicable grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at [www.FSRS.gov](http://www.FSRS.gov) on all subawards over \$25,000.

## VII. Agency Contacts

For questions regarding the application process, you may contact: Dax Ruiz, State/Federal Liaison Branch, (727) 824-5324, or [Dax.Ruiz@noaa.gov](mailto:Dax.Ruiz@noaa.gov).

## VIII. Other Information

Applicants must have a Dun and Bradstreet Data Universal Numbering System (DUNS) number ([www.dnb.com](http://www.dnb.com)) and be registered in the Systems for Award Management (SAM) ([www.sam.gov](http://www.sam.gov)). Allow a minimum of thirty days to receive a DUNS number and to be registered in SAM. Applicants are strongly encouraged not to wait until the application deadline date to begin the application process through <http://www.grants.gov>.