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## ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY

## EXECUTIVE SUMMARY

Federal Agency Name(s): National Ocean Service (NOS), National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

Funding Opportunity Title: Regional Ecosystem Prediction Program (REPP) From Science to Management: Improving Management of Mesophotic Coral Ecosystems in the U.S. Caribbean FY12

Announcement Type: Initial

Funding Opportunity Number: NOAA-NOS-NCCOS-2012-2003025

Catalog of Federal Domestic Assistance (CFDA) Number: 11.478, Center for Sponsored Coastal Ocean Research - Coastal Ocean Program

Dates: Full proposals must be received and validated by Grants.gov on or before 3 p.m. ET on September 28, 2011. Please note: Validation or rejection of your application by Grants.gov may take up to 2 business days after submission. Please consider this process in developing your submission timeline.

Note that late-arriving hard copy applications will be accepted for review only if the applicant can document that:

1)the application was provided to a delivery service with delivery to NOAA Center for Sponsored Coastal Ocean Research, 1305 East-West Highway, SSMC4, Mail Station 8240 8th Floor, Silver Spring, Maryland 20910-3281;

2)delivery was guaranteed by 3 pm, Eastern Time on the specified closing date; AND,

3)the proposal was received in the NCCOS/CSCOR office by 3 p.m., Eastern Time no later than 2 business days following the closing date.

Investigators submitting proposals electronically are advised to submit well in advance of the deadline.

Important: All applicants, both electronic and paper, should be aware that adequate time must be factored into applicant schedules for delivery of the application. Electronic applicants are advised that volume on Grants.gov is currently extremely heavy, and if Grants.gov is unable to

accept applications electronically in a timely fashion, applicants are encouraged to exercise their option to submit applications in paper format. Paper applicants should allow adequate time to ensure a paper application will be received on time, taking into account that guaranteed overnight carriers are not always able to fulfill their guarantees.

**Funding Opportunity Description:** The purpose of this document is to advise the public that NOAA/NOS/NCCOS/CSCOR is soliciting proposals under the Regional Ecosystem Prediction Program: From Science to Management for a project to synthesize existing information on mesophotic coral ecosystems within the U.S. Caribbean, describe linkages to resource management responsibilities, analyze both known and potential threats to MCEs, and develop viable options for managing them, as well as identify gaps in information for future research. This information will be used to improve the ability of resource managers to proactively develop strategies to protect poorly understood mesophotic coral ecosystems, including coastal and marine spatial planning and the siting of marine protected areas and marine protected area networks for shallow and mesophotic coral ecosystems. Funding is contingent upon the availability of Fiscal Year 2012 Federal appropriations. It is anticipated that final recommendations for funding under this announcement will be made by early Calendar Year 2012, and that any project funded under this announcement will have a September 1, 2012 start date. One to two projects are expected to be supported for up to 3 years in duration with a budget of approximately \$500,000 for projects focused solely on Puerto Rico or the U.S. Virgin Islands; or one project of up to 3 years in duration with a budget of approximately \$750,000 for a U.S. Caribbean-wide project (excluding Navassa Island).

"Electronic Access: Background information about the NCCOS/CSCOR efforts can be found at [www.cop.noaa.gov](http://www.cop.noaa.gov). Proposals should be submitted through Grants.gov (<http://www.grants.gov>.)

## FULL ANNOUNCEMENT TEXT

## I. Funding Opportunity Description

## A. Program Objective

The Center for Sponsored Coastal Ocean Research (CSCOR), part of the National Oceanic and Atmospheric Administration (NOAA) National Centers for Coastal Ocean Science (NCCOS), develops and improves predictive capabilities for managing the Nation's use of its coastal resources through competitive research programs. NCCOS/CSCOR also supports efforts to translate the results of its research investments, and those of others, into accessible and useful information for coastal managers, planners, lawmakers, and the public to help balance the needs of economic growth with those of conserving the resources of our Nation's oceans, coasts, and Great Lakes.

NCCOS/CSCOR provides a focal point for regional ecosystem-scale, multidisciplinary coastal ocean research within the NOAA National Ocean Service. Together with partners in NOAA and other organizations responsible for coastal resources, NCCOS/CSCOR advances the scientific understanding needed to protect coastal resources and ensure their viability for future generations. This increased understanding of the ocean, coasts, and Great Lakes directly benefits the management of U.S. coastal and ocean resources, and helps NOAA, other Federal agencies, and state, tribal, and local governments achieve their stewardship responsibilities.

A key objective of NCCOS/CSCOR research is the production of user-driven predictive tools that will enable resource managers to assess alternative management strategies to reverse degraded ecosystems and protect healthy ones. Research supported is outcome-oriented towards predictions, as well as increased scientific understanding that will provide managers and the public with sound scientific information for making decisions in support of societal objectives. Articulation of outcome-based management goals is required in proposals (see Section IV.B.), and recipients will be expected to report progress toward achieving outcome-based goals annually.

NCCOS/CSCOR uses a mix of issue- (ecosystem stressors) and place-based (regional ecosystem research) approaches. The aim of the ecosystem stressor approach is to advance understanding of high impact natural and human-induced stressors on ecosystem structure and function including hypoxia, harmful algal blooms, and climate change. The aim of the regional ecosystem research approach is to develop multidisciplinary regional ecosystem forecasting capabilities with an emphasis on transition to operation and/or application. Research priorities are currently determined through a multi-tiered process which includes

Congressional direction, NOAA mandates and strategic plans, engagement of resource managers and stakeholders, and identification of strategic opportunities by the scientific community.

NCCOS/CSCOR regional ecosystem research is implemented on a geographic basis, in the following regions: Great Lakes, Northeast Shelf, Southeast Shelf, Caribbean Sea, Gulf of Mexico, California Current, Alaska Ecosystem Complex, and the Pacific Islands Ecosystem Complex. Although there are different coastal management concerns in each of these areas, there are also many fundamental similarities in the types of problems between regions and the science needed to address them. Therefore, it is important in a national program such as the Regional Ecosystem Prediction Program (REPP) that relevant science constructs (e.g. modeling frameworks) developed nationally and internationally are fully utilized and adapted to the particular issue and region of interest so as to gain efficiencies from past research investments.

A critical complement to the predictive science developed under REPP is a clear understanding and engagement of the management end users and stakeholders to ensure that research products are targeted to the critical knowledge gaps preventing action on societal priorities. These research products must also be delivered in a manner that can directly support decisionmaking and policy formulation. Therefore, NCCOS/CSCOR requires applicants to include explicit plans to work closely with user groups and stakeholders during the course of the research project to ensure that resultant products will have direct application to regional management needs.

NCCOS/CSCOR provides the capability to leverage both internal and external scientific expertise through long-term, integrated, multidisciplinary efforts directed toward issues of importance to NOAA and the Nation. Specifically, the topics solicited in this competitive request for proposals address the NOAA Next Generation Strategic Plan Goals for Healthy Oceans (Marine fisheries, habitats, and biodiversity are sustained within healthy and productive ecosystems) and Resilient Coastal Communities and Economies (Coastal and Great Lakes communities are environmentally and economically sustainable). This announcement also addresses the National Priority Objectives detailed in the Final Recommendations of the Interagency Ocean Policy Task Force, which include adopting ecosystem-based management, implementing coastal and marine spatial planning, informing decisions and improving understanding, and establishing regional ecosystem protection and restoration.

All NCCOS/CSCOR research programs adhere to the transfer of research results to the management community (see the NOAA Policy on Transition of Research to Application for

more information at

[http://www.corporateservices.noaa.gov/~ames/NAOs/Chap\\_216/naos\\_216\\_105.html](http://www.corporateservices.noaa.gov/~ames/NAOs/Chap_216/naos_216_105.html). During the implementation phase of projects funded under this announcement, regardless of the funding mechanism used, NCCOS/CSCOR Program Managers will analyze financial statements and progress reports for each continuing multi-year project, and will have dialogue with the Principal Investigators and Authorized Representatives of the recipient institutions to discuss progress and expected time lines for the remaining award period. NCCOS/CSCOR Program Managers will consider the length of time remaining for each project, the amount of funds available, the tasks to be completed in the upcoming fiscal year, the pace of research, and any delayed progress relative to that originally proposed, before determining the amount of funds to allocate to continuing projects in any given fiscal year.

As identified in all NCCOS/CSCOR competitive announcements, funding for ongoing multi-year research awards is contingent upon the availability of funds from Congress, satisfactory performance relative to proposal metrics, and is at the sole discretion of the agency.

## B. Program Priorities

Regional Ecosystem Prediction Program - From Science to Management: Improving Management of Mesophotic Coral Ecosystems in the U.S. Caribbean

The NCCOS/CSCOR Regional Ecosystem Prediction Program (REPP) - From Science to Management (FSM) was established to facilitate the use of existing science within a socioeconomic context to develop effective resource management strategies. In Fiscal Year 2012, NCCOS/CSCOR is soliciting proposals for a project under REPP/FSM that synthesizes existing information on mesophotic coral ecosystems (MCEs) within the U.S. Caribbean, identifies information gaps, and develops viable options for managing these ecosystems. This information will be used to improve the ability of resource managers to proactively develop strategies to conserve poorly understood MCEs, including coastal and marine spatial planning and the siting of marine protected areas and networks for shallow and mesophotic coral ecosystems.

MCEs are characterized by the presence of light-dependent corals and associated communities typically found at depths from 30-40 m and extending to over 150 m in tropical and subtropical regions. MCEs cover extensive areas and support an abundant community of reef fauna, some of which are connected with shallow coral ecosystems. MCEs may serve as refugia for shallow-water populations and serve as a potential source to reseed or replenish shallow reefs, many of which have been impacted by natural and anthropogenic disturbances. MCEs may be an extension of shallow coral reef communities, a unique

assemblage, or a combination of shallow and deep biota. For resource managers, it is important to understand what types of ecological roles MCEs play, as well as the potential connectivity of these ecosystems with shallow coral ecosystems and other MCEs. (More information on mesophotic coral ecosystems can be found at: [http://www.cop.noaa.gov/ecosystems/coralreefs/current/def\\_mce.aspx](http://www.cop.noaa.gov/ecosystems/coralreefs/current/def_mce.aspx)).

This announcement is the next phase of the Deep Coral Reef Ecosystem Studies (Deep-CRES) Program. In response to the continued decline in U.S. coral reef ecosystems and the need to understand the underlying processes that regulate the condition of coral reefs on a regional scale, NCCOS/CSCOR implemented the CRES Program in Fiscal Year 2002. Two CRES studies were initiated under this program, one in the U.S. Caribbean and the other in the Micronesia region. In Fiscal Year 2006, NCCOS/CSCOR broadened the CRES Program to include research on deeper light-dependent coral ecosystems referred to as MCEs. The key objectives of the Deep-CRES Program were to improve the understanding of the underlying processes that regulate these ecosystems and to assess their vulnerability to exploitation and human disturbance. Two projects were funded under Deep-CRES, one focused on the MCEs of Puerto Rico and another focused on MCEs off Maui, Hawaii. In addition, this announcement directly addresses the research priorities identified in the "MCE Research Strategy"

([http://www.cop.noaa.gov/ecosystems/coralreefs/current/PDF/Mesophotic\\_Strategy\\_medres.pdf](http://www.cop.noaa.gov/ecosystems/coralreefs/current/PDF/Mesophotic_Strategy_medres.pdf)) and the fishing impacts goals and objectives of the NOAA Coral Reef Conservation Program ([http://coralreef.noaa.gov/aboutrcrp/strategy/currentgoals/resources/3threats\\_go.pdf](http://coralreef.noaa.gov/aboutrcrp/strategy/currentgoals/resources/3threats_go.pdf)).

This announcement seeks proposals that will synthesize existing scientific information on MCEs within the U.S. Caribbean to help identify MCE locations, describe linkages to resource management responsibilities, analyze both known and potential threats to MCEs, and develop viable options for managing them, as well as identify gaps in information needed by managers for future research. Proposals may be focused on one or more jurisdictions within the U.S. Caribbean (excluding Navassa Island). We are deliberately not specifying a jurisdiction(s), and are open to proposals that focus solely on Puerto Rico or the U.S. Virgin Islands and the Federal waters off those jurisdictions, or are U.S. Caribbean-wide (i.e., covering both Puerto Rico and the U.S. Virgin Islands, including the surrounding Federal waters). To ensure that the management strategies developed are viable, the proposals must have at least two individuals in leadership positions at relevant management agencies as either a lead or co-Principal Investigator. One of these individuals must be from a commonwealth or territorial management agency. The management agencies involved must have a demonstrated interest to utilize this information for management of MCEs with a letter of intent from the agency. Depending on the jurisdiction(s) selected, the potential

management agencies may be the Caribbean Fishery Management Council, the U.S. Virgin Islands Department of Planning and Natural Resources, the U.S. Virgin Islands Division of Environmental Protection, the Puerto Rico Department of Natural Resources, NOAA Southeast Regional Office, the U.S. Fish and Wildlife Service, and the National Park Service.

#### Expected Products and Outcomes

The intended outcome of this research is to provide U.S. Caribbean resource managers with the scientific information and management strategies to effectively manage MCEs. Transition of research results to use by managers and policymakers is a central objective of NCCOS/CSCOR. Clear articulation of outcome-based management goals is mandatory in the proposal (more information can be found at: <http://www.cop.noaa.gov/opportunities/grants/outcomes.aspx>).

Expected outputs from this research must include:

- (1) A synthesis document of known scientific information for MCEs in the chosen U.S. Caribbean jurisdiction(s) including known and potential threats to these ecosystems. This document must be of peer-review publication quality.
- (2) A document that identifies known MCEs, describes linkages to resource management responsibilities, and details viable options for managing them (e.g., such as those used in fishery management plans). This document is intended for direct use by managers and policymakers and should include a summary of known information on MCEs and an analysis of their known and potential threats.
- (3) A summary of scientific information needed (i.e., information gaps) and identified by the management community in that region to better conserve MCEs.

The applicant must provide a timeline with milestones to complete the three outputs listed above within the lifecycle of the project. In addition to the above outputs and outcomes, the applicant will be expected to work with the NCCOS/CSCOR Program Manager to develop outreach and education materials, such as, materials for websites and handouts. The Principal Investigators must describe a process to engage the scientific and management community, as well as other stakeholders (e.g., nongovernmental organizations and fishers), as appropriate, in developing viable management strategies for MCEs, a comprehensive synthesis document of known scientific information, and a summary of scientific information needed by the management community (i.e., information gaps). It is expected

that the synthesis document of known scientific information will be published in a high-impact journal (i.e., wide-distribution and nationally/internationally recognized by the scientific community).

It is expected that information developed under this project will be transitioned to local, regional, and national management agencies during the lifecycle of the project. Under the provisions and intent of the funding mechanism, a Cooperative Agreement, the NCCOS/CSCOR Program Manager will work closely with the Lead Principal Investigator to ensure that the appropriate management representatives, as end users of the program outputs, and a clear mechanism is established to involve these representatives so that the program outputs are on track throughout the life cycle of the program to be delivered to resource agencies to achieve program outcomes.

Contact Information:

For overall information regarding the REPP/FSM announcement contact: Kimberly Puglise, NCCOS/CSCOR Program Manager, 301-713-3338/ext 140, internet: Kimberly.Puglise@noaa.gov.

C. Program Authority

33 U.S.C. 1442

II. Award Information

A. Funding Availability

Funding is contingent upon availability of Federal appropriations. NOAA is committed to continual improvement of the grants process and accelerating the award of financial assistance to qualified recipients in accordance with the recommendations of the Business Process Reengineering Team. In order to fulfill these responsibilities, this solicitation announces that for REPP/FSM, the award amount will be approximately \$500,000 for proposals focused solely on Puerto Rico or the U.S. Virgin Islands and the Federal waters off those jurisdictions, or approximately \$750,000 for proposals that are U.S. Caribbean-wide (i.e., covering both the U.S. Virgin Islands and Puerto Rico and the Federal waters off those jurisdictions, but excluding Navassa Island). It is anticipated that one to two projects will be awarded for proposals focused solely on Puerto Rico or the U.S. Virgin Islands, or one project will be awarded for proposals that are U.S. Caribbean-wide.

Applicants are hereby given notice that funds have not yet been appropriated for this program. In no event will NOAA or the Department of Commerce be responsible for

proposal preparation costs if this program fails to receive funding or is cancelled because of other agency priorities. There is no guarantee that sufficient funds will be available to make awards for all qualified projects. Publication of this notice does not obligate NOAA to award any specific project or to obligate any available funds. If one incurs any costs prior to receiving an award agreement signed by an authorized NOAA official, one would do so solely at one's own risk of these costs not being included under the award.

Publication of this notice does not obligate any agency to any specific award or to obligate any part of the entire amount of funds available. Recipients and subrecipients are subject to all Federal laws and agency policies, regulations and procedures applicable to Federal financial assistance awards.

#### B. Project/Award Period

Full proposals may cover a award/project period of 3 years in duration. Multi-year awards may be funded incrementally on an annual basis, but once awarded those awards will not compete for funding in subsequent years. Each award requires a project description that can be easily divided into annual increments of meaningful work representing solid accomplishments.

The following is a description of multi-year awards for those applicants subsequently recommended for award. Multi-year awards are awards that have an award/project period of more than 12 months of activity. Multi-year awards are partially funded when the awards are approved, and are subsequently funded in increments. One of the purposes of multi-year awards is to reduce the administrative burden on both the applicant and the operating unit. For example, with proper planning, one application can suffice for the entire multi-year award period. Funding for each year's activity is contingent upon the availability of funds from Congress, satisfactory performance, and is at the sole discretion of the agency. Multi-year funding is appropriate for projects to be funded for 2 to 5 years. Once approved, full applications are not required for the continuation out years.

During the implementation phase of research projects funded under this announcement, regardless of the funding mechanism used, CSCOR Program Managers will analyze financial statements and progress reports for each continuing multi-year project, and will have dialogue with the Principal Investigators and Authorized Representatives of the recipient institutions to discuss research progress and expected time lines for the remaining award period. Program Managers will consider the length of time remaining for each project, the amount of funds available, the tasks to be completed in the upcoming fiscal year, the pace of research, and any delayed progress relative to that originally proposed, before

determining the amount of funds to allocate to continuing research projects in any given fiscal year.

### C. Type of Funding Instrument

Funding instruments available are project grants and cooperative agreements.

(1) Research Project Grants: A research project grant is one in which substantial programmatic involvement by the Federal government is not anticipated by the recipient during the project period. Applicants for grants must demonstrate an ability to conduct the proposed research with minimal assistance, other than financial support, from the Federal government.

(2) Cooperative Agreements: A cooperative agreement implies that the Federal government will assist recipients in conducting the proposed research. The application should be presented in a manner that demonstrates the applicant's ability to address the research problem in a collaborative manner with the Federal government. A cooperative agreement is appropriate when substantial Federal government involvement is anticipated. This means that the recipient can expect substantial agency collaboration, participation, or intervention in project performance. Substantial involvement exists when: responsibility for the management, control, direction, or performance of the project is shared by the assisting agency and the recipient; or the assisting agency has the right to intervene (including interruption or modification) in the conduct or performance of project activities.

NOAA will review the applications in accordance with the evaluation criteria. Before issuing awards, NOAA will determine whether a grant or cooperative agreement is the appropriate instrument based upon the need for substantial NOAA involvement in the project. If a cooperative agreement is determined to be the appropriate instrument, the CSCOR Program Manager will participate in important activities which may include evaluation and selection of applicants for funding, education about and discussion of research activities, participation in meetings, guidance on NOAA philosophy, directions, and priorities, and research strategy discussions.

In an effort to maximize the use of limited resources, applications from non-Federal, non-NOAA Federal and NOAA Federal applicants will be competed against each other. Research proposals selected for funding from non-Federal researchers will be funded through a project grant or cooperative agreement. Research proposals selected for funding from non-NOAA Federal applicants will be funded through an interagency transfer, provided legal authority exists for the Federal applicant to receive funds from another agency.

PLEASE NOTE: Before non-NOAA Federal applicants may be funded, they must

demonstrate that they have legal authority to receive funds from another Federal agency in excess of their appropriation. Because this announcement is not proposing to procure goods or services from the applicants, the Economy Act (31 U.S.C. section 1535) is not an appropriate basis. Support may be solely through NCCOS/CSCOR or partnered with other Federal offices and agencies.

### III. Eligibility Information

#### A. Eligible Applicants

Eligible applicants are institutions of higher education, other non-profits, state, local, Indian Tribal Governments, commercial organizations, US Territories and Federal agencies that possess the statutory authority to receive financial assistance. DOC/NOAA supports cultural and gender diversity and encourages women and minority individuals and groups to submit applications to the CSCOR programs. In addition, DOC/NOAA is strongly committed to broadening the participation of historically black colleges and universities, Hispanic serving institutions, tribal colleges and universities, and institutions that work in underserved areas. DOC/NOAA encourages proposals involving any of the above institutions to apply.

Please note that:

- 1) Researchers must be employees of an eligible entity listed above; and proposals must be submitted through that entity. Non-Federal researchers should comply with their institutional requirements for proposal submission.
- 2) NCCOS/CSCOR will not normally fund any Federal Full Time Employee (FTE) salaries, but will fund travel, equipment, supplies, and contractual personnel costs associated with the proposed work.
- 3) All federal applicants, including subcontractors, MUST discuss the budget structure of their proposals with Laurie Golden, NCCOS/CSCOR Grants Administrator (301-713-3338/ext 151, Internet: Laurie.Golden@noaa.gov), as the requirements for individual agencies differ.
- 4) Non-NOAA Federal applicants will be required to submit certifications or documentation showing that they have specific legal authority to receive funds from the Department of Commerce (DOC) for this research.
- 5) Foreign researchers may apply as subawards through an eligible US entity.

6) Non-Federal researchers affiliated with NOAA-University Cooperative/Joint Institutes should comply with cooperative/joint institutional requirements; they will be funded through grants either to their institutions or to cooperative/joint institutes.

#### B. Cost Sharing or Matching Requirement

None

#### C. Other Criteria that Affect Eligibility

Each proposal must substantially comply with the fifteen elements listed under Section IV.B. Application and Submission Information/Required Elements (1)-(15) or it will be returned to sender without further consideration. A checklist with the required and requested proposal elements can be found in the Section VIII. CSCOR adheres to the principals of scientific integrity and supports NOAA efforts to finalize a written agency-wide policy.

#### Permits and Approvals

It is the applicant's responsibility to obtain all necessary Federal, state and local government permits and approvals where necessary for the proposed work to be conducted. Applicants are expected to design their proposals so that they minimize the potential adverse impact on the environment. If applicable, documentation of requests or approvals of environmental permits must be received by the Program Manager prior to funding. Applications will be reviewed to ensure that they have sufficient environmental documentation to allow program staff to determine whether the proposal is categorically excluded from further National Environmental Policy Act (NEPA) analysis, or whether an Environmental Assessment is necessary in conformance with requirements of the NEPA. For those applications needing an Environmental Assessment, affected applicants will be informed after the peer review stage; and will be requested to assist in the preparation of a draft of the assessment (prior to award). Failure to apply for and/or obtain Federal, state, and local permits, approvals, letters of agreement, or failure to provide environmental analysis where necessary (e.g. NEPA environmental assessment) will also delay the award of funds if a project is otherwise selected for funding.

### IV. Application and Submission Information

#### A. Address to Request Application Package

NOAA/NOS/NCCOS

SSMC4 Room #8240  
1305 East West Hwy  
Silver Spring, MD 20910

## B. Content and Form of Application

### 1. Proposals

The provisions for full proposal preparation provided here are mandatory. Proposals received after the published deadline (refer to Section IV.C. DATES) or proposals that do not substantially follow the prescribed format will be returned to the sender without further consideration. Information regarding this announcement and additional background information are available on the NCCOS/CSCOR home page: <http://www.cop.noaa.gov/>

An example proposal can be found:

[http://www.cop.noaa.gov/opportunities/grants/pdf/sample\\_application.pdf](http://www.cop.noaa.gov/opportunities/grants/pdf/sample_application.pdf) and FAQs are also available. Applicants should follow the specific submission requirements below under Required Elements.

### Required Elements

Each proposal must substantially comply with the following fifteen elements or it will be returned to sender without further consideration. The Summary, Title page, Abstract, Project Description, References, Biographical Sketch, Budget Narrative and Collaborators List must be single spaced in 12-point font with 1-inch margins. The fifteen elements are as follows:

(1) Standard Form 424. At the time of proposal submission, all applicants requesting direct funding must submit the Standard Form, SF-424, "Application for Federal Assistance," to indicate the total amount of funding proposed for their institution for the whole project period. This form is to be the cover page for the original proposal and is the first required form in the grants.gov application package. Multi-institutional proposals must include signed SF-424 forms from all institutions requesting direct funding. Original signatures are required on SF-424 forms provided to a lead institution by a collaborating institution for grants.gov submission.

(2) Summary title page. One page maximum. The Summary title page identifies the project's title, starting with the acronym: REPP/FSM and the Principal Investigator's (PI) name and affiliation, complete address, phone, FAX and E-mail information. The requested funding amounts for each fiscal year with and without ship funding should be included on the Summary title page. Multi-institution proposals must also identify the lead investigator for each institution and the requested funding with and without ship funding for each fiscal year for each institution on the title page. Lead investigator and separate budget information is

not requested on the title page for institutions that are proposed to receive funds through a subaward to the lead institution. For further details on budget information, please see Section (14) Standard Form SF-424A of this part.

(3) One-page abstract/project summary. The summary (abstract) should appear on a separate single page, headed with the proposal title, institution(s), investigator(s), total proposed cost (with and without ship funds), and budget period. It should 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. Project summaries of applications that receive funding may be posted on program related websites.

The project summary shall include an introduction of the problem, rationale, scientific objectives and/or hypotheses to be tested, and a brief summary of work to be completed.

(4) Project description. The description of the proposed project must include two sections: (1) the Proposed Research Narrative and (2) the Applications to Management Narrative.

(a) The Proposed Research Narrative must be thorough and explicitly indicate its relevance to the program goals and scientific priorities by:

(i) Identifying the topic that is being addressed by the proposal;

(ii) Describing the proposed scientific objectives and research activities in relation to the present state of knowledge in the field and in relation to previous and current work by the proposing principal investigator(s);

(iii) Discussing how the proposed project lends value to the program goals;

(iv) Identifying the function of each PI and the facilities available for the research. The Lead PI (s) will be responsible for communicating with the Federal Program Manager on all pertinent verbal or written information.

(v) Providing a detailed information dissemination plan which describes how information collected as part of the project will be disseminated to the broader scientific and management community, as well as to other relevant stakeholders. Costs associated with disseminating information should be included in the proposal budget. See the section on the NOAA Data Reporting requirements below (Section VI.B.).

The Proposed Research Narrative should provide a full scientific justification for the research, rather than simply reiterating justifications presented in this document. Specific research activities must be divided into annual increments of work that include specific objectives and methodology.

(b) The Applications to Management Narrative should establish the connection to relevant resource management needs by explicitly identifying the end user group(s) including evidence of the linkage between the scientific questions and management needs. If applicable, the format and role of management and technical advisory committees should be

included in this section. Proposals must specifically identify direct participation of resource manager(s) as lead PI or co-PIs. This narrative should provide the management justification for the research by:

- (i) Articulating the coordination with one or more management entities;
- (ii) Discussing the expected significance of the project to resource management priorities and needs. Specific management targets, with proposed outputs and outcomes, should describe how this project will improve management capabilities. Outputs are defined as products (e.g. publications, models) or activities that lead to outcomes (changes in management knowledge or action). Definitions and examples of outputs and outcomes can be accessed at <http://www.cop.noaa.gov/opportunities/grants/outcomes.html>. The timeline for achieving outcomes should be included in the Milestone Chart (below).
- (iii) Describing specific activities, such as workshops or development of outreach materials, that will enhance information transfer from project scientists to relevant management entities, other end-users, or the public.

The project description must not exceed 15 pages in 12-point, easily legible font with 1 to 2 pages for the Applications to Management Narrative and the balance used for the Proposed Research Narrative, inclusive of figures and other visual materials, but exclusive of references, a milestone chart, letters of intent from unfunded collaborators, and letters of endorsement.

(5) References cited. 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, volume number, page numbers, and year of publications. While there is no established page limitation, this section should include bibliographic citations only and should not be used to provide parenthetical information outside of the 15 page proposal descriptions.

(6) Milestone chart. Provide time lines of major tasks covering the duration of the proposed project.

(7) Biographical sketch. All principal and co-investigators 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. Additional lists of publications, lectures, and the rest should not be included.

(8) Current and pending support. Describe all current and pending federal financial/funding support for all principal and co-investigators, including unfunded collaborators making a substantial contribution to the research. Continuing grants must also be included. The

capability of the investigator and collaborators to complete the proposed work in light of present commitments to other projects should be addressed. Therefore, please discuss the percentage of time investigators and collaborators have devoted to other Federal or non-Federal projects, as compared to the time that will be devoted to the project solicited under this notice. A current and pending support form is not required but is available on the CSCOR web site for your use: <http://www.cop.noaa.gov/>. You must respond to the requirement whether or not you have any current and/or pending support.

(9) A list of all applicable permits that will be required to perform the proposed work. You must respond to this requirement element whether or not permits are required. This element should also include information relevant to potential implications of the proposed work under the National Environmental Policy Act (see Sections III.C. and VI.B.)

(10) Accomplishments from Prior Federal Support. If any PI or co-PI identified on the project has received federal funding in the past five years for research, information on the award(s) is required. Each PI and co-PI who has received more than one award (excluding amendments) must report on the award most closely related to the proposal and funded by NOAA CSCOR.

The following information must be provided:

- a) the award number, amount and period of support;
  - b) the title of the project;
  - c) a summary of the results of the completed work;
  - d) publications resulting from the award;
  - e) a brief description of outputs and outcomes; and
  - f) as appropriate, a description of the relation of the completed work to the proposed work.
- Reviewers will be asked to comment on the quality of the prior work described in this section of the proposal. You must respond to the requirement whether or not you have accomplishments from prior CSCOR support

(11) Budget narrative and justification. In order to allow reviewers to fully evaluate the appropriateness of costs, all applications must include a detailed budget narrative and a justification to support all proposed budget categories for each fiscal year. Personnel costs should be broken out by named PI and number of months requested per year per PI. Support for each PI should be commensurate with their stated involvement each year in the milestones chart (see Required Elements (6) Milestone chart).

Any unnamed personnel (graduate students, post-doctoral researchers, technicians) should be identified by their job title, and their personnel costs explained similar to PI personnel costs

above. The contribution of any personnel to the project goals should be explained. Travel costs should be broken out by number of people traveling, destination and purpose of travel, and projected costs per person. Equipment costs should describe the equipment to be purchased, and its contribution to the achievement of the project goals. For additional information concerning each of the required categories and appropriate level of disclosure please see [http://www.cop.noaa.gov/opportunities/grants/other\\_instructions.html](http://www.cop.noaa.gov/opportunities/grants/other_instructions.html).

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.oma.noaa.gov/charterreq.html>.

A separate budget justification is required for each institution in a multi-institutional project and for each subcontract. Signed approval from each subaward and contractor's institution is also required.

(12) CD 511. Certification Regarding Lobbying. Lead institutions can submit these forms through the grants.gov CD511 document placeholder without a hard signature because electronic signatures are allowed on documents from the submitting institution. However, these forms submitted through grant.gov as "Optional Documents" must have hard signatures i.e. collaborating institutions sending this form to the lead.

(13) SF 424B. Assurances - Non-Construction Programs. Lead institutions can submit these forms through the grants.gov SF 424B document placeholder without a hard signature because electronic signatures are allowed on document from the submitting institutions. However, these forms submitted through grants.gov as "Optional Documents" must have hard signatures i.e. collaborating institutions sending this form to the lead.

(14) Standard Form 424A. At the time of proposal submission, all applicants are required to submit a SF-424A Budget Form which identifies the budget for each fiscal year of the proposal. Place each fiscal year in separate columns in Section B of page 1 on the SF424A. (Note that this revised 424A Section B format is a NOAA requirement that is not reflected in

the Instructions for the SF 424A). For 5 year projects, use two SF424As. Place the first four years on one form in Section B columns one through four. The first four years will total in column five. Place the total from the first form onto the second form in Section B column one and use column two for the fifth year budget figures. The budget figures must correspond with the descriptions contained in the proposal. Multi-institution proposals must include a SF-424A for each institution, and multi-investigator proposals using a lead investigator with a subaward approach must submit a SF-424A for each subaward. Each subaward should be listed as a separate item.

Provide separate budgets for each subaward and contractor regardless of the dollar value and indicate the basis for the cost estimates. Describe products/services to be obtained and indicate the applicability or necessity of each to the project. List all subaward and contractor costs under line item 6.f. contractual on the SF-424A. Signed approval from the institution of each subaward and contractor must be provided. Indirect cost may not be applied to ship costs.

For clarity in the submission of proposals, the following definitions are provided for applicant use: Funding and/or Budget Period - The period of time when Federal funding is available for obligation by the recipient. The funding period must always be specified in multi-year awards, using fixed year funds. This term may also be used to mean "budget period". A budget period is typically 12 months. Award and/or Project Period - The period established in the award document during which Federal sponsorship begins and ends. The term "award period" is also referred to as project period in 15 CFR 14.2(cc).

(15) Provide one list 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 list 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.

In addition to the fifteen required elements, applicants are strongly encouraged to submit both the Key Contact form located at <http://www.cop.noaa.gov/opportunities/grants/pdf/keycontactform.pdf>, and indirect rate

agreement. These provide information necessary for negotiations prior to an award.

2. Proposal format and assembly. Proposals submitted via Grants.gov APPLY should follow the format guidelines below:

Attachments must be submitted in Adobe Acrobat PDF format to maintain format integrity. Please submit the required documents as described below.

Follow the instructions found on the Grants.gov web site for application submission into the Grants.gov system. The following elements for the lead institution should be included in the order listed below:

"SF424 - the first document under "Mandatory Documents"

"Project Narrative - the following documents should be combined as one pdf file and uploaded as the Project Narrative, the second document required under "Mandatory Documents"

Summary Title Page

Abstract/project summary

Project description

References cited

Milestone Chart

Biographical sketch(es)

Current and Pending Support

Applicable permits

Accomplishments from Prior Federal Support

"Budget Narrative - the third document required under "Mandatory Documents"

"CD511 form - the fourth document required under "Mandatory Documents"

"SF424B form - the fifth document required under "Mandatory Documents"

"SF424A form - the sixth document required under "Mandatory Documents" for grants.gov.

Five year projects should submit the first SF424A form here and the second SF424A form in the "Optional Documents" box as "Other Attachments"

"Optional Document box - the following documents should be uploaded as "Other Attachments"

List of collaborators

UNOLS Ship requests form, if applicable

Signed Approval from subaward/contractor institutes

For a multi institutional proposal: Combine all of the required documents for each collaborating institution into one PDF file and submit the file labeled with the name of the institution in the "Optional Form" box as "Other Attachments." Repeat this procedure for

each collaborating institution.

Lead applicants of multi-institutional proposals should include in their submission complete application packages for each institution requesting direct funding. PLEASE NOTE: Signed SF424s from each applicant requesting direct funding is a submission requirement.

All documents for each institution, whether the proposal is multi-institutional or contains subawards, should have the institution name clearly indicated.

Lead applicants using the Co-PI subaward approach should include SF424A, budget justification, project description of proposed activities, current and pending support, evidence of accomplishments from prior CSCOR support and CVs, for each subaward. Save your completed application package with two different names before submission to avoid having to re-create the package should you experience submission problems. If you experience submission problems that may result in your application being late, send an e-mail to support@grants.gov and call the Grants.gov help desk. Their phone number is posted on the Grants.gov web site. The Program Manager associated with this announcement will use programmatic discretion in accepting late proposals due to documented electronic submission problems. Please note: If more than one submission of an application is performed, the last application submitted before the due date and time will be the "official" version.

In addition to the fifteen required elements, it is requested the Key Contact form located at: <http://www.cop.noaa.gov/opportunities/grants/pdf/keycontactform.pdf> and indirect rate agreement be provided upon application submission. These forms can be uploaded in to the "Optional Form" box under "Other Attachments" in Grants.gov. Signed approval from each subaward and contractor's institution is also requested.

#### C. Unique entity identifier and System for Award Management (SAM)

#### D. Submission Dates and Times

deadline for receipt of full proposals at the NCCOS/CSCOR office is 3 p.m., Eastern Time September 28, 2011. Note that late-arriving hard copy applications will be accepted for review only if the applicant can document that:

1) the application was provided to a delivery service with delivery to NOAA Center for Sponsored Coastal Ocean Research, 1305 East-West Highway, SSMC4, Mail Station 8240 8th Floor, Silver Spring, Maryland 20910-3281;

- 2) delivery was guaranteed by 3 pm, Eastern Time on the specified closing date; AND,
- 3) the proposal was received in the NCCOS/CSCOR office by 3 p.m., Eastern Time no later than 2 business days following the closing date.

Investigators submitting proposals electronically are advised to submit well in advance of the deadline.

Important: All applicants, both electronic and paper, should be aware that adequate time must be factored into applicant schedules for delivery of the application. Electronic applicants are advised that volume on Grants.gov is currently extremely heavy, and if Grants.gov is unable to accept applications electronically in a timely fashion, applicants are encouraged to exercise their option to submit applications in paper format. Paper applicants should allow adequate time to ensure a paper application will be received on time, taking into account that guaranteed overnight carriers are not always able to fulfill their guarantees.

#### E. Intergovernmental Review

Applications under this program are not subject to Executive Order 12372, "Intergovernmental Review of Federal Programs." It has been determined that this notice is not significant for purposes of Executive Order 12866. Pursuant to 5 U.S.C. 553(a) (2), an opportunity for public notice and comment is not required for this notice relating to grants, benefits and contracts. Because this notice is exempt from the notice and comment provisions of the Administrative Procedure Act, a Regulatory Flexibility Analysis is not required, and none has been prepared. It has been determined that this notice does not contain policies with Federalism implications as that term is defined in Executive Order 13132.

#### F. Funding Restrictions

Indirect Costs: Regardless of any approved indirect cost rate applicable to the award, the maximum dollar amount of allocable indirect costs for which DOC will reimburse the recipient shall be the lesser of (a) the line item amount for the Federal share of indirect costs contained in the approved budget of the award or (b) the Federal share of the total allocable indirect costs of the award based on the indirect cost rate approved by a cognizant or oversight Federal agency and current at the time the cost was incurred, provided the rate is approved on or before the award end date. NCCOS/CSCOR will not fund start up or operational costs for private business ventures and neither fees nor profits will be considered as allowable costs. Ship costs may not be included in indirect cost calculations. NCCOS/CSCOR will not pay for ship overhead expenses.

## G. Other Submission Requirements

Hard copies should be sent to NOAA Center for Sponsored Coastal Ocean Research, 1305 East-West Highway, SSMC4, Mail Station 8240, 8th floor, Silver Spring, MD 20910 or faxed to 301-713-4044.

Full proposals must include evidence of linkages between the scientific questions and management needs, such as the participation of co-investigators from both scientific and management entities. Proposals previously submitted to NCCOS/CSCOR FFOs and not recommended for funding must be revised and reviewer or panel concerns addressed before resubmission. Resubmitted proposals that have not been revised will be returned without review.

Please refer to important information in submission dates and times above to help ensure your application is received on time.

Applications submitted in response to this announcement are strongly encouraged to be submitted through the Grants.gov web site. The full funding announcement for this program is available via the Grants.gov web site: <http://www.grants.gov>. This announcement will also be available by contacting the program official identified below. You will be able to access, download and submit electronic grant applications for NOAA Programs in this announcement at <http://www.grants.gov>. The closing dates will be the same as for the paper submissions noted in this announcement. NOAA strongly recommends that you do not wait until the application deadline date to begin the application process through Grants.gov.

Please refer to important information in Submission Dates and Times (Section IV.C.) to help ensure your application is received on time.

Applicants should contact the Program Manager for non-electronic submission instructions.

Facsimile transmissions and electronic mail submission of full proposals will not be accepted.

## V. Application Review Information

### A. Evaluation Criteria

1. Importance and/or relevance and applicability of proposed project to the program goals: This ascertains whether there is intrinsic value in the proposed work and/or relevance to NOAA, Federal, regional, state, or local activities. The applicant must demonstrate clear

connections to relevant management entities that will use the results of the proposed work and define the specific products, outcomes, and timing of the proposed work that will be used in achieving this goal. (30 percent)

2. Technical/scientific merit: This assesses whether the approach is technically sound and/or innovative, if the methods are appropriate, and whether there are clear project goals and objectives. The proposed work should have focused objectives and a complete and technically sounds strategy for project design, methodologies, data management, data analysis, and development of products and outcomes in support of the objectives. (20 percent)

3. Overall qualifications of applicants: This ascertains whether the applicant possesses the necessary education, experience, training, facilities, and administrative resources to accomplish the project. This includes the capability of the investigator and collaborators to complete the proposed work as evidenced by past research accomplishments, previous cooperative work, timely communication, and the sharing of findings, data, and other research products. (15 percent)

4. Project costs: The Budget is evaluated to determine if it is realistic and commensurate with the project needs and time-frame. (10 percent)

5. Outreach and education: NOAA assesses whether this project provides a focused and effective education and outreach strategy regarding NOAA's mission to protect the Nation's natural resources. For this announcement, the applicant's strategy for handling the interface between science and managers is the key component in this set of evaluation criteria. (25 percent)

## B. Review and Selection Process

Once a full application has been received by NOAA, an initial administrative review is conducted to determine compliance with requirements and completeness of the application. All proposals will be evaluated and scored individually in accordance with the assigned weights of the above evaluation criteria by independent peer mail review and/or by independent peer panel review. Both Federal and non-Federal experts may be used in this process. The peer mail reviewers will be several individuals with expertise in the subjects addressed by particular proposals. Each mail reviewer will see only certain individual proposals within his or her area of expertise, and score them individually on a scale of one to five, where scores represent respectively: Excellent (5), Very Good (4), Good (3), Fair (2), Poor (1).

The peer panel will comprise 3 to 6 individuals, with each individual having expertise in a separate area, so that the panel, as a whole, covers a range of scientific expertise. The panel will have access to all mail reviews of proposals, and will use the mail reviews in discussion and evaluation of the entire slate of proposals. All proposals will be evaluated and scored individually. The peer panel shall rate the proposals using the evaluation criteria and scores provided above and used by the mail reviewers. The individual peer panelist scores shall be averaged for each application and presented to the Program Manager. No consensus advice will be given by the independent peer mail review or the review panel.

The Program Manager will neither vote or score proposals as part of the independent peer panel, nor participate in discussion of the merits of the proposal. Those proposals receiving an average panel score of "Fair" or "Poor" will not be given further consideration, and applicants will be notified of non-selection.

For the proposals scored by the panel as either "Excellent," "Very Good," or "Good", the Program Manager will (a) create a ranking of the proposals to be recommended for funding using the average panel scores (b) determine the total duration of funding for each proposal; and (c) determine the amount of funds available for each proposal subject to the availability of fiscal year funds. Awards may not necessarily be made in rank order. In addition, proposals rated by the panel as either "Excellent," "Very Good," or "Good" that are not funded in the current fiscal period, may be considered for funding in another fiscal period without having to repeat the competitive review process.

Recommendations for funding are then forwarded to the selecting official, the Director of NCCOS, for the final funding decision. In making the final selections, the Director will award in rank order unless the proposal is justified to be selected out of rank order based on the selection factors listed below in C.

Investigators may be asked to modify objectives, work plans or budgets, and provide supplemental information required by the agency prior to the award. When a decision has been made (whether an award or declination), verbatim anonymous copies of reviews and summaries of review panel deliberations, if any, will be made available to the applicant. Declined applications will be held by the NCCOS/CSCOR for the required 3 years in accordance with the current retention requirements, and then destroyed.

### C. Selection Factors

Based on the panel review scores, the Program Manager will provide a listing of

proposals in rank order to the Selecting Official for final funding recommendations. A Program Manager may first make recommendations to the Selecting Official applying the selection factors below. The Selecting Official shall award in the rank order unless the proposal is justified to be selected out of rank order based upon one or more of 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. Whether this project duplicates other projects funded or considered for funding by NOAA or other federal agencies.
4. Program priorities and policy factors. Refer to Section I.B.
5. Applicant's prior award performance.
6. Partnerships and/or participation of targeted groups.
7. Adequacy of information necessary for NOAA to make a NEPA determination and draft necessary documentation before recommendations for funding are made to the grants officer.

Awards may also be modified for selected projects depending on budget availability or according to the selection factors listed above.

#### D. Anticipated Announcement and Award Dates

Subject to the availability of funds, review of proposals will begin in June 2011. Applicants should use a start date of September 1, 2012.

## VI. Award Administration Information

### A. Award Notices

The notice of award is signed by the NOAA Grants Officer and is the authorizing document. It is provided by postal mail or electronically through the Grants Online system to the appropriate business office of the recipient organization.

To enable the use of a universal identifier and to enhance the quality of information available to the public as required by the Federal Funding Accountability and Transparency Act of

2006, to the extent applicable, any proposal awarded in response to this announcement will be required to use the Central Contractor Registration and Dun and Bradstreet Universal Numbering System and be subject to reporting requirements, as identified in OMB guidance published at 2 CFR Parts 25, 170 (2010),

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr25\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr25_main_02.tpl),

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

## B. Administrative and National Policy Requirements

The 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 February 11, 2008 (73 FR 7696) are applicable to this solicitation.

### Limitation of Liability

In no event will NOAA or DOC be responsible for proposal preparation costs if these programs fail to receive funding or are cancelled because of other agency priorities.

Publication of this announcement does not oblige NOAA to award any specific project or to obligate any available funds.

### National Environmental Policy Act (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\\_TOC.pdf](http://www.nepa.noaa.gov/NAO216_6_TOC.pdf), and the Council on Environmental Quality implementation regulations, [http://ceq.eh.doe.gov/nepa/regs/ceq/toc\\_ceq.htm](http://ceq.eh.doe.gov/nepa/regs/ceq/toc_ceq.htm)).

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 of an

environmental assessment, if NOAA determines an assessment is required. Applicants will also be required to cooperate with NOAA in identifying and implementing feasible measures to reduce or avoid any identified adverse environmental impacts of their proposal. The failure to do so shall be grounds for the denial of an application.

#### Data Reporting Requirement

In conformance with the Uniform Administrative Requirements for Grants and Cooperative Agreements section 15 CFR 14.36, any data collected in projects supported by NCCOS/CSCOR should be delivered to a National Data Center (NDC), such as the National Oceanographic Data Center (NODC), in a format to be determined by the institution, the NDC, and the Program Manager. Information on NOAA NDCs can be found at <http://www.nesdis.noaa.gov/datainfo.html>. It is the responsibility of the institution for the delivery of these data; the DOC will not provide additional support for delivery beyond the award. Additionally, all biological cultures established, molecular probes developed, genetic sequences identified, mathematical models constructed, or other resulting information products established through support provided by NCCOS/CSCOR are encouraged to be made available to the general research community at no or modest handling charge (to be determined by the institution, Program Manager, and DOC).

#### C. Reporting

All performance (i.e. technical progress) reports shall be submitted electronically through the Grants Online system unless the recipient does not have internet access. In that case, performance (technical) reports are to be submitted to the NOAA Program Manager. All financial reports shall be submitted in the same manner. All ship time use must be reported by the PI or Chief Scientist on each cruise within the performance reports.

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

Technical Information: Kimberly Puglise, NCCOS/CSCOR Program Manager, 301-713-3338/ext 140, Internet: [Kimberly.Puglise@noaa.gov](mailto:Kimberly.Puglise@noaa.gov).  
Business Management Information: Laurie Golden, NCCOS/CSCOR Grants Administrator,

301-713-3338/ext 151, Internet: Laurie.Golden@noaa.gov.

## VIII. Other Information

### Collection of information requirements

Notwithstanding any other provision of 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 displays a currently valid OMB control number.

This notification involves collection-of-information requirements subject to the Paperwork Reduction Act. The use of Standard Forms 424, 424A, 424B, and SF-LLL has been approved by the Office of Management and Budget (OMB) under control numbers 0348-0043, 0348-0044, 0348-0040 and 0348-0046.

### Check List for Required and Requested Documents

SF-424 (one for each institution requesting direct funding)

Title Page

Abstract

Project Description

References

Milestone Chart

Bio Sketch (one from each PI and co-PI)

Current and Pending Support (one from each PI, co-PI and unfunded collaborators making a substantial contribution to the research)

Permits (if none, say so)

Accomplishments from prior NCCOS/CSCOR support (from each PI and co-PI; if none, say so)

Budget Narrative and Justification (One for the lead institution and each collaborating institution in a multi-institutional project and/or each subcontract).

CD-511 (one from each institution requesting direct funding)

SF-424B (one from each institution requesting direct funding)

SF-424A (One for the lead institution and each institution in a multi-institutional project and/or each subcontract)

Alphabetized Collaborator List (ONE list for all)

Signed Approval from subaward/contractor institutes

Ship Request forms, if applicable

Indirect Rate Agreement (requested for each institution requesting direct funding)

Key Contact form (request for each institution)