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ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY

EXECUTIVE SUMMARY

Federal Agency Name(s): Office of Finance and Administration (NFA), National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

Funding Opportunity Title: FY2016 to FY2017 NOAA Broad Agency Announcement (BAA)

Announcement Type: Initial

Funding Opportunity Number: NOAA-NFA-NFAPO-2016-2004791

Catalog of Federal Domestic Assistance (CFDA) Number: 11.015, Broad Agency Announcement

Dates: Full applications must be submitted to Grants.gov up to 11:59 p.m. Eastern Daylight Time September 30, 2017. Applications received after this time will not be reviewed or considered for funding.

Funding Opportunity Description: This notice is not a mechanism to fund existing NOAA awards. The purpose of this notice is to request applications for special projects and programs associated with NOAA's strategic plan and mission goals, as well as to provide the general public with information and guidelines on how NOAA will select proposals and administer discretionary Federal assistance under this Broad Agency Announcement (BAA).

FULL ANNOUNCEMENT TEXT

I. Funding Opportunity Description

A. Program Objective

This BAA is a mechanism to encourage research, education and outreach, innovative projects, or sponsorships that are not addressed through our competitive discretionary programs. Funding for activities described in this notice is contingent upon the availability of Fiscal Year 2016 and Fiscal Year 2017 appropriations. Applicants are hereby given notice that funds have not yet been appropriated for any activities described in this notice. Publication of this announcement does not oblige NOAA to review an application beyond an initial administrative review, or to award any specific project, or to obligate any available funds.

B. Program Priorities

As an agency with responsibilities for maintaining and improving the viability of marine and coastal ecosystems, for delivering valuable weather, climate, and water information and services, for understanding the science and consequences of climate change, and for supporting the global commerce and transportation upon which we all depend, NOAA must remain current and responsive in an ever-changing world. We do this in concert with our partners and stakeholders in federal, state, and local governments and private organizations, applying a systematic approach that links our strategic goals through multi-year plans to the daily activities of our employees. Every year we are committed to re-evaluate our progress and priorities, look for efficiencies, and take advantage of new opportunities to improve our information, products, and services. In furtherance of this objective, NOAA issues this BAA for extramural research, innovative projects, and sponsorships (e.g., conferences, newsletters, etc.) that address one or more of the following four mission goal descriptions contained in the NOAA Strategic Plan:

1. Long-term mission goal: Climate Adaptation and Mitigation

An informed society anticipating and responding to climate and its impacts.

Projected future climate-related changes include increased global temperatures, melting sea ice and glaciers, rising sea levels, increased frequency of extreme precipitation events, acidification of the oceans, modifications of growing seasons, changes in storm frequency and intensity, air quality, alterations in species' ranges and migration patterns, earlier snowmelt, increased drought, and altered river flow volumes. Impacts from these changes

are regionally diverse, and affect numerous sectors related to water, energy, transportation, forestry, tourism, fisheries, agriculture, and human health. A changing climate will alter the distribution of water resources and exacerbate human impacts on fisheries and marine ecosystems, which will result in such problems as overfishing, habitat destruction, pollution, changes in species distributions, and excess nutrients in coastal waters. Increased sea levels are expected to amplify the effects of other coastal hazards as ecosystem changes increase invasions of non-native species and decrease biodiversity. The direct impact of climate change on commerce, transportation, and the economy is evidenced by retreating sea ice in the Arctic, which allows the northward expansion of commercial fisheries and provides increased access for oil and gas development, commerce, and tourism.

These changes already have profound implications for society, underscoring the need for scientific information to aid decision makers, develop and evaluate options that mitigate the human causes of climate change, and adapt to foreseeable climate impacts. While the Nation has made significant progress in understanding climate change and variability, more work is needed to identify causes and effects of these changes, produce accurate predictions, identify risks and vulnerabilities, and inform decision making. No single organization can accomplish these tasks alone. NOAA will advance this long-term goal of climate adaptation and mitigation as it builds upon a strong scientific foundation and decades of engagement with interagency, academic, and private sector partners to strengthen scientific understanding of climate; monitor changes in the atmosphere, oceans, and land; produce climate assessments; develop and deliver climate services at global and regional scales; and increase public knowledge of climate change and its impacts. Through its stewardship responsibilities and expertise, NOAA will improve its capacity to monitor, understand, and predict the impacts of a changing climate on weather patterns, water resources, and ocean and coastal ecosystems.

2. Long-term mission goal: Weather-Ready Nation

Society is prepared for and responds to weather-related events.

A weather-ready nation is a society that is able to prepare for and respond to environmental events that affect safety, health, the environment, economy, and homeland security. Urbanization and a growing population increasingly put people and businesses at greater risk to the impacts of weather, water, and climate-related hazards. NOAA's capacity to provide relevant information can help create a society that is more adaptive to its environment; experiences fewer disruptions, dislocation, and injuries; and that operates a more efficient economy.

Over the long-term, climate change may increase the intensity and even the frequency of adverse weather events, which range from drought and floods, to wildfires, heat waves, storms, and hurricanes. Changing weather, water, and climate conditions affect the economic vitality of communities and commercial industries, including the energy, transportation, and agriculture sectors. Environmental information aligned with user needs will become ever more critical to the safety and well-being of those exposed to sudden or prolonged hazards and is essential to sustain competitive advantage, expand economic growth, and to secure the Nation. All of the objectives within the Weather-ready Nation goal are highly dependent on progress toward the objectives under the Climate Adaptation and Mitigation goal. Likewise, progress toward this goal will benefit many of the objectives of the Healthy Oceans and Resilient Coastal Communities and Economies goals, and vice versa.

3. Long-term mission goal: Healthy Oceans

Marine fisheries, habitats, and biodiversity sustained within healthy and productive ecosystems.

Ocean ecosystems provide many benefits to humans. They provide food and recreational opportunities, and they support economies. Yet the resources that our marine, coastal, and Great Lakes environments present to us are already stressed by human uses. Habitat changes have depleted fish and shellfish stocks, increased the number of species that are at-risk, and reduced biodiversity. Because humans are an integral part of the ecosystem, declines in ecosystem functioning and quality directly impact human health and well-being. As long-term environmental, climate, and population trends continue, global demands for seafood and energy, recreational use of aquatic environments, and other pressures on habitats and over-exploited species will increase as will concerns about the sustainability of ecosystems and safety of edible fish. Depleted fish stocks and declines in iconic species (such as killer whales, salmon, and sea turtles) result in lost opportunities for employment, economic growth, and recreation along the coasts. In addition, climate change impacts to the ocean, including sea level rise, acidification, and warming, will alter habitats and the relative abundance and distribution of species. Climate change poses serious risks to coastal and marine ecosystems productivity, which, in turn, affects recreational, economic, and conservation activities.

NOAA's goal of healthy ocean ecosystems will ensure that ocean, estuarine, and related ecosystems and the species that inhabit them are vibrant and sustainable in the face of challenges. A strong understanding of these systems supports an ecosystem-based approach to management. The approach accounts for the complex connections among organisms

(including humans); their physical, biotic, cultural, and economic environments; and the wide range of processes that control their dynamics. An ecosystem-based approach will assist policy makers to weigh trade-offs between alternative courses of action. By working toward the long-term sustainability of all species, NOAA will also help ensure for present and future generations that seafood is a safe, reliable, and affordable food source; that seafood harvest and production, recreational fishing opportunities, and non-consumptive uses of living marine resources continue to support vibrant coastal communities and economies; and that species of cultural and economic value can flourish.

4. Long-term mission goal: Resilient Coastal Communities and Economies

Coastal and Great Lakes communities are environmentally and economically sustainable

The complex interdependence of ecosystems and economies will grow with increasing uses of land, marine, and coastal resources, resulting in particularly heavy economic and environmental pressures on the Nation's coastal communities. Continued growth in coastal populations, economic expansion, and global trade will further increase the need for safe and efficient maritime transportation. Similarly, the Nation's profound need for conventional and alternative energy presents many economic opportunities, but will also result in greater competition for ocean space, challenging our ability to make informed decisions that balance conflicting demands as well as economic and environmental considerations. At the same time, the interdependence of ecosystems and economies makes coastal and Great Lakes communities increasingly vulnerable to chronic and potentially catastrophic impacts of natural and human-induced hazards, including climate change, oil spills, harmful algal blooms and pathogen outbreaks, hypoxia, and severe weather hazards.

NOAA's long-term coastal goal will invigorate coastal communities and economies, and lead to increased resiliency and productivity. Comprehensive planning will help protect coastal communities and resources from the impacts of hazards and land-based pollution to vulnerable ecosystems by addressing competing uses, improving water quality, and fostering integrated management for sustainable uses. Geospatial services will support communities, navigation, and economic efficiency with accurate, useful characterizations, charts and maps, assessments, tools, and methods. Coastal decision makers will have the capacity to adaptively manage coastal communities and ecosystems with the best natural and social science available.

C. Program Authority

The specific program authority will vary depending on the nature of the proposed project. A list of the most prevalent assistance authorities are 15 U.S.C. 1540; 15 U.S.C.

2901 et. seq.; 16 U.S.C. 661; 16 U.S.C. 1456c; 33 U.S.C. 883a-d; 33 USC 893a; 33 U.S.C. 1442; 49 U.S.C. 44720(b). Other authorities are available if needed.

II. Award Information

A. Funding Availability

There are no funds specifically appropriated by Congress for this BAA. Funding for potential projects in this notice is contingent upon the availability of Fiscal Year 2016 and Fiscal Year 2017 appropriations. Applicants are hereby given notice that funds have not yet been appropriated for any proposed activities in this notice.

B. Project/Award Period

The anticipated start date of the award generally will be three to six months after receipt of the application by NOAA. Applications should generally be submitted for a one-year award period, but this may be negotiated if the application is recommended for funding.

Note: The award must start on the first day of a month in the year, and end on the last day of a month in the year (i.e. 08/01/2016 – 07/31/2017).

C. Type of Funding Instrument

Selected applicants will either enter into a grant or a cooperative agreement depending upon the amount of NOAA's involvement in the project. Substantial involvement by NOAA in the project would require a cooperative agreement.

III. Eligibility Information

A. Eligible Applicants

Eligible applicants may be institutions of higher education, nonprofits, commercial organizations, international or foreign organizations or governments, individuals, state, local and Indian Tribal governments. Eligibility also depends on the statutory authority that permits NOAA to fund the proposed activity.

If the applicant is a university that has a NOAA Cooperative Institute (CI), the institution is encouraged to submit an application that will be associated with the CI. The application must specify the name of the CI, its most recent award number, and the NOAA-approved research theme applicable to the work to be performed in the project narrative. The application will use the facilities and administrative rate (F&A or Indirect Cost Rate) associated with the most recent CI award.

If the application is selected for funding, NOAA will notify the university that a separate competitive award will be issued with its own award grant number. However, the competitive award will include a Special Award Condition (SAC) that evidences the link between it and the CI award. The SAC will provide: (1) that the university has submitted the proposal to be associated with the CI; (2) that any existing University/NOAA memorandum of agreement (MOA) will be incorporated by reference into the terms of the competitive award; and (3) that any progress report(s) for the competitive award must follow the timetable of and be submitted by the CI directly to the funding program. Copies of these progress reports will be attached to the CI's performance report as an appendix.

B. Cost Sharing or Matching Requirement

Cost sharing is not required unless it is determined that a project can only be funded under an authority that requires matching/cost sharing funds.

C. Other Criteria that Affect Eligibility

None.

IV. Application and Submission Information

A. Address to Request Application Package

Electronic application packages are available through Grants.gov and can be searched for by using Funding Opportunity Number NOAA-NFA-NFAPO-2016-2004791. Grants.gov requires applicants to register prior to submitting an application. Applicants must also register with System for Award Management (SAM). These registration processes can take several weeks and involve multiple steps. In order to allow sufficient time for these processes, applicants should register as soon as they decide to apply even if they are not ready to submit their proposal. Please do not register as a "Private" entity.

B. Content and Form of Application

1. Format Requirements.

All pages should be single-spaced and composed in at least 11-point font with one-inch margins on 8" x 11" paper. The project description may not exceed 15 pages, exclusive of title page, project synopsis, literature cited, budget information, resumes of investigators, and letters of support (if any). Failure to follow the requirements may result in the rejection of the application and its 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:

- a. Signed SF-424: The SF-424 must be signed by the Authorized Representative. Electronic signatures submitted through grants.gov satisfy this requirement.
- b. Title Page (1-page limit): The title page identifies the project's title, total budget, start and end dates; and the Principal Investigator's (PI's) and co-PI's names, affiliations, complete mailing addresses, email addresses, telephone numbers and fax numbers. The title page must also identify the specific NOAA office (e.g., NESDIS, NMFS, NOS, NWS, OAR or Office of Education) and the NOAA program targeted by the proposal.
- c. 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 NOAA mission goals described in Section I.B. of this announcement and state it here in the synopsis.
- d. Project Description (15-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.
- e. Literature Cited: If applicable
- f. Assurances: The SF-424B must be completed and submitted for all non-construction applications, and the SF-424D must be completed and submitted for all construction applications.
- g. Certification regarding debarment, suspension and other responsibility matters; and drug free workplace requirements. Additionally, the applicant must complete the Form CD-511, Certification Regarding Lobbying.
- h. Resumes for each major participant – Key Personnel; Principal Investigator(s).
- i. Standard Application Forms: Please refer to the application package available through Grants.gov. Please review each form to determine which are required with submission. Each applicant may not be required to submit all forms listed, depending on the project type or applicant type.

j. NEPA Questionnaire: Applicants do not need to provide answers to the NOAA NEPA Questionnaire at this time. However, NOAA may require additional information from the applicant regarding potential environmental impacts prior to reviewing the application.

k. Budget and Budget Justification: The SF-424A must be completed, and there should be a detailed budget justification accompanying the SF-424 budget forms (SF-424A non-construction or SF-424C construction, as appropriate). Indicate matching funds if provided in a separate column. Provide justifications for all budget items in sufficient detail to enable the reviewers to evaluate the appropriateness of the funding requested. The budget justification should be broken out and detailed using the same budget categories as the SF-424 budget form (SF-424A or SF-424C). Budget Narrative Guidance can be found at: <http://www.ago.noaa.gov/>.

Applicants requesting an approved Federal indirect cost (IDC) rate agreement are required to submit a copy of their current and signed indirect cost rate agreement with the application package.

If your organization desires to establish a new indirect cost rate agreement and NOAA would be the cognizant agency, the following information must be provided to establish an Approved Indirect Cost Rate Agreement:

Submitted by Non-Profits and Commercial Entities

1. A chart showing the organizational structure during the period for which the proposal applies, along with a functional statement noting the duties and/or responsibilities of all units that comprise the organization. Please make sure this includes a brief narrative background statement outlining the financial operation of the organization.

2. The basic proposal including all other supporting schedules and financial and statistical information supporting the basic proposal. Any supporting schedules should be cross-referenced to the basic proposal (accounting records and related work papers to support the costs contained in the indirect cost proposal).

- a. The total costs shown in the basic proposal should also reconcile to the financial statements in the most recent audit report, which should also be provided.

- b. Reconciliations/Analyses

- i. As stated above, detailed reconciliation between the proposal and the financial statements;
- ii. Adjusted detailed trial balance which agrees to the audited financial statements;
- iii. Trend Analysis Report - It must itemize expense account line items that support the totals of both direct and indirect expenses, for three years (only two years would be required if the entity has only been in business for two years). Comparisons or trends of the indirect cost rates only will cause your indirect cost proposal to be rejected, until the correctly prepared trend analysis report is received; and
- iv. Calculations showing how applicable prior year carry-forward amounts were applied to formulate current year's rate submission.

3. A listing of directly awarded grants and contracts by federal agency, Catalog of Federal Domestic Assistance (CFDA) number, dollar amounts separated by direct-indirect-total costs, period of performance, applicable cost principle, and the identification of any cost limitations and special award terms/conditions applicable to each.

4. Cost Policy Statement (e.g. Disclosure Statement) the purpose of which is to establish an unambiguous understanding between the grantee and the Federal Government as to what costs will be charged directly and what costs will be charged indirectly. If a Cost Policy Statement was submitted with last year's proposal and not proposing any changes to the current year's submission, the following suggested language should be included in their transmittal letter when a proposal is submitted: [ABC Organization] hereby confirms that no changes to its accounting practices as set forth in its Cost Policy Statement dated [date] have been made.

5. Statement of Total Costs contains all line items of cost included in the organization's chart of accounts and applicable columns for direct costs (by cost center/activity, federal grants, non-federal grants, fund raising, etc.), indirect costs (overhead, G&A, etc.), and unallowable costs (if applicable). These columns should show the type (e.g. labor, travel supplies, etc.) and amount of cost incurred by each activity. The total costs should reconcile to the organization's financial statements. If the reconciliation is not clear, the organization should provide a separate schedule supporting the difference.

6. Statement of Indirect Costs contains all line items of cost included in the indirect cost pool(s), the applicable base(s), and the resulting indirect cost rate(s). The allocation base should be traceable to the organization's total costs. If not clearly traceable, an additional schedule should be provided to support the reconciliation.

7. Specific Personnel Costs includes a list of all volunteers by job title, along with a description of the services they provided to the organization, if significant. Also required is a list of all management level employees, their position descriptions and salaries.

8. Certification of Indirect Costs - A completed Certification must be signed on behalf of the organization by an official at a level no lower than executive director or chief financial officer. The Certification must identify the period of coverage for the indirect cost proposal, asserting that it has been prepared in accordance with the applicable cost principles and guidelines [2 CFR Part 200 (non-profits), FAR Part 31 (commercial)].

9. Identification of Other Items to be included within the indirect cost proposal packet. If these items are not provided with the organization's proposal, it may be necessary for them to be provided later during the review process as circumstances dictate.

a. Identify assets purchased with federal sponsored program funds or non-federal sponsored program funds, if any, and specify if ownership remains with sponsoring entity or transfers to recipient upon successful completion of the awards.

b. Identify all related party transactions.

c. Identify idle facilities, if any.

10. Lobbying Certificate – A completed Certification must be signed on behalf of the organization by an official at a level no lower than executive director or chief financial officer. Completion of this form certifies the organization has complied with the requirements and standards on lobbying costs in the development of the indirect cost rate. See Attachment 2 for the required Certificate of Lobbying Costs to be used by Non-Profits and Commercial Entities.

11. DOC's Indirect Cost Proposal Checklist. Please mark the Checklist item number on the corresponding document (or start of section) within the final proposal packet. Follow this link to view a copy of the IDC Proposal Checklist:

<https://rates.psc.gov/fms/dca/icpchecklist.pdf>

Note: If an applicant has not previously established an indirect cost rate with a Federal agency, the applicant may choose to negotiate a rate with its cognizant agency (the agency from which the applicant receives the most grant funding), or use the de minimis indirect cost rate of 10% of MTDC (as allowable under 2 C.F.R. §200.414).

Submitted by State and Local Governments

All entities receiving this Guidance desiring to claim indirect costs under federal awards using an indirect cost rate must prepare and maintain their completed indirect cost rate proposal for review, as set forth in 2 CFR Part 200, Uniform Administrative Requirements for Federal Grants. At a minimum, the following shall be included in each indirect cost proposal:

1. The rates proposed, including subsidiary work sheets and other relevant data, cross referenced and reconciled to the financial data (as noted below). Allocated central service costs will be supported by the summary table included in the approved central service cost allocation plan. This summary table is not required to be submitted with the indirect cost proposal if the central service cost allocation plan for the same fiscal year has been approved by the cognizant agency and is available to the funding agency.
2. A copy of the financial data (financial statements, comprehensive annual financial report, executive budgets, accounting reports, etc.) upon which the rate is based. Calculated rates should be based on audited data and must support an indirect cost rate type of 'fixed rate with carry-forward'.
3. The approximate amount of direct base costs incurred under federal awards. These costs should be broken out between salaries and wages and other direct costs.
4. A chart showing the organizational structure of the agency during the period for which the proposal applies, along with a functional statement(s) noting the duties and/or responsibilities of all units that comprise the agency.
5. Required certification. Indirect cost rate proposals, whether submitted to a federal cognizant agency or maintained on file, must be certified by the entity using the Certificate of Indirect Costs. The certificate must be signed on behalf of the entity by an individual at a level no lower than chief financial officer (or equivalent), and submitted to DOC upon completion. To view a copy of the Certificate of Indirect Costs to be completed by Governmental Entities, please click this link: [\Documents\FFO Documents\FY2014\Certification-of-Indirect-Costs.pdf](#)

For additional information concerning IDC rates, please see DOC Standard (Grant) Terms and Conditions, revised January 2013 (pages 6-9) at:
http://www.osec.doc.gov/oam/grants_management/policy/documents/DOC_Standard_Terms_and_Conditions_01_10_2013.pdf.

Recipients must complete the above steps applicable to their organization, unless the subject organization has an approved agreement already in place with another Federal agency. Applicants must submit their indirect cost rate agreement documentation per the DOC Standard Grant Terms and Conditions within 90 days after award start date or those costs will not be allowed. The approval process may take several weeks.

Recipients shall no longer submit Indirect Cost Rate Proposals to the U.S. Department of Commerce, but will submit the Proposals to NOAA. Please submit Proposals to the following. You may send by regular mail or email:

Lamar Revis, Grants Officer
NOAA Grants Management Division
1325 East West Highway, 9th Floor
Silver Spring, Maryland 20910
Phone: 301.628.1308
Email: lamar.revis@noaa.gov

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

Each applicant is required to:

- (i) Register in SAM before submitting an application;
- (ii) Provide a valid unique entity identifier in the application; and
- (iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by NOAA (or any other Federal agency).

NOAA may not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. If an applicant has not fully complied with the requirements by the time NOAA is ready to make a Federal award, NOAA may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

D. Submission Dates and Times

Full applications can be submitted on a rolling basis starting from the publication date of this Broad Agency Announcement up to 11:59:59 p.m. Eastern Daylight Time on September 30, 2017. Applications received after this time will not be reviewed or considered for funding. Applications shall be evaluated for funding generally within 3 to six months of receipt. An applicant can expect to receive either a rejection notice based on the initial

prescreening review (if found ineligible), a rejection notice based on merit review or program restrictions, a request for additional information, and/or an award within that timeframe.

E. Intergovernmental Review

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

F. Funding Restrictions

None, unless required by the statute under which the award is funded.

G. Other Submission Requirements

Applications are to be submitted via www.grants.gov. For more information about Grants.gov and application submission, read this section in its entirety and also see section VIII, "Other Information".

The Catalog of Federal Domestic Assistance (CFDA) number will vary depending on the nature of the proposed project. The applicant should consult the CFDA series 11.400 - 11.481 as well as 11.008, 11.011, and 11.012 and select the one most appropriate for the proposed project. The CFDA will also provide the reader with the eligibility requirements in order to determine if an applicant can apply under that particular CFDA. Link to the catalog for NOAA programs

<https://www.cfda.gov/index?s=agency&mode=form&tab=program&id=9b783860a3fa35875ee9755a486c438b> :

CFDA Line Office

11.008 OED

11.011 OAR

11.012 NOS

11.400 NOS/NMFS

11.417 OAR

11.419 NOS

11.420 NOS
11.426 NOS
11.427 NMFS
11.429 NOS
11.430 OAR
11.431 OAR
11.432 OAR
11.433 NMFS
11.436 NMFS
11.437 NMFS
11.438 NMFS
11.439 NMFS
11.440 NESDIS
11.441 NMFS
11.443 NWS
11.444 NMFS
11.445 NMFS
11.449 OAR
11.450 NWS
11.452 NMFS
11.454 NMFS
11.455 NMFS
11.457 NMFS
11.459 OAR
11.460 NOS/OAR
11.462 NWS
11.463 NMFS/NOS
11.467 NWS
11.468 NWS/OAR
11.472 NMFS/NOS
11.473 NOS
11.477 NMFS
11.478 NOS
11.480 NOS
11.481 OED

Please refer to Section VII-- Agency Contacts for a list of NOAA Personnel.

V. Application Review Information

A. Evaluation Criteria

NOAA has standardized evaluation criteria for all competitive assistance announcements. The criteria for this BAA are listed below. Applicants are required to adhere to all the noted submission requirements and to provide a demonstrable link and/or to emphasize manner in which study objectives results will serve to support NOAA's mission goals/priorities. Since proposals responding to this BAA may vary significantly in their activities/objectives, assigning a set weight for each evaluation criterion is not feasible, but is based on a total possible score of 100. The Program Office and/or Selection Official will determine which of the following criteria and weights will be applied. Some proposals, for example sponsorships, may not be able to address all the criteria like technical/scientific merit. However, it is in your best interest to prepare a proposal that can be easily evaluated against these five criteria.

1. Importance and/or relevance and applicability of proposed project to the mission goals:

This ascertains whether there is intrinsic value in the proposed work and/or relevance to NOAA, federal, regional, state, or local activities: i.e., How does the proposed activity enhance NOAA's strategic plan and mission goals? Proposals should also address significance/possibilities of securing productive results, i.e., Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge be advanced? What will be the effect of these studies on the concepts or methods that drive this field? What effect will the project have on improving public understanding of the role the ocean, coasts, and atmosphere in the global ecosystem?

Proposals may also be scored for innovation, i.e., Does the project employ novel concepts, approaches or methods? Are the aims original and innovative? Does the project challenge existing paradigms or develop new methodologies or technologies?

2. Technical/scientific merit:

This assesses whether the approach is technically sound and if the methods are appropriate, and whether there are clear project goals and objectives. Proposals should address the approach/soundness of design: i.e., Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, and appropriate to the aims of the audiences to be engaged through the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? This criterion should also address the applicant's proposed methods for monitoring, measuring, and evaluating the success or failure of the project, i.e.,

What are they? Are they appropriate?

3. Overall qualifications of applicants:

This ascertains whether the applicant possesses the necessary education, experience, training, facilities, and administrative resources to accomplish the project. If appropriate, proposals should also address the physical environment and collaboration, if any, i.e., Does the environment in which the work will be done contribute to the probability of success? Do the proposed experiments or activities take advantage of unique features of the intended environment or employ useful collaborative arrangements?

4. Project costs:

The budget is evaluated to determine if the cost is reasonable, allowable, allocable, necessary, realistic, and commensurate with the project needs and time-frame.

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 environmental resources. For example, how will the outcomes of the project be communicated to NOAA and the interested public to ensure it has met the project objectives over the short, medium or long term? Does the project address any of the goals or employ any of the strategies of the NOAA Education Plan

(<http://www.oesd.noaa.gov/leadership/edcouncil/docs/2015-Strategic-Plan-FullText.pdf>)?

B. Review and Selection Process

If NOAA decides to review an application, an initial administrative review will be conducted to determine eligibility for award, compliance with requirements and completeness of the application. This review includes determining whether:

1. Sufficient funds are available in the budget of the program office receiving the application to support the proposed project;
2. Statutory authority exists to provide financial assistance for the project or organization;
3. A complete application package has been submitted;
4. The Project Description/Narrative is consistent with one or more of NOAA's mission

goals;

5. The proposal falls within the scope of an existing NOAA competitive announcement for Federal Funding Opportunities or duplicates an existing nondiscretionary project recently announced or awarded (if it does, it cannot be funded under this announcement);

6. The work in the proposal directly benefits NOAA (if it will, it should be supported by a procurement contract, not a financial assistance award which cannot be funded under this announcement, as provided in 31 U.S.C. 6303).

Applications not passing this initial review will not be considered further for funding through this BAA, and will not receive further review. NOAA will evaluate proposal(s) that pass this initial review and comply with all the requirements under this BAA individually (i.e., proposals will be not compared to each other). A merit review will be conducted by mail reviewers and/or peer panel reviewers. Each reviewer will individually evaluate the proposal(s) using the evaluation criteria provided above; a minimum of three merit reviewers per proposal is required. More than three reviewers may be used based on the complexity of the application. The reviewers may be any combination of Federal and/or non-federal personnel. The proposal(s) will be individually scored (i.e., a consensus is not reached) unless all reviewers are Federal employees. If all of the reviewers are Federal employees, the Program Officer has the discretion to authorize a score based on consensus. NOAA selects evaluators on the basis of their professional qualifications and expertise as related to the unique characteristics of the proposal. The NOAA Program Officer will assess the evaluations and make a fund or do-not-fund recommendation to the Selecting Official with an explanation of the reasons for the recommendation. Any application considered for funding may be required to address the issues raised in the evaluation of the proposal by the reviewers, Program Officer, Selecting Official, and/or Grants Officer before an award is issued.

7. Applications not selected for funding in FY2016 or FY2017 may be considered for funding from FY2018, but may be required to revalidate the terms of the original application or resubmit in the next BAA cycle if one is published for FY2018. The Program Officer, Selecting Official and/or Grants Officer may negotiate the final funding level of the proposal with the intended applicant. The Selecting Official makes the final recommendation for award to the NOAA Grants Officer who is authorized to commit the Federal Government and obligate the funds.

C. Selection Factors

Not Applicable.

D. Anticipated Announcement and Award Dates

Subject to the availability of funds, awards are expected to be made three to six months after receipt by NOAA of the full application. Given this time frame, applicants applying in Fiscal Year 2016 should take into consideration that submissions received after March 31, 2016 may not be able to be awarded in FY2016 (October 1, 2015 through September 30, 2016). Similarly, submissions received after March 31, 2017 may not be able to be awarded in FY2017 (October 1, 2016 through September 30, 2017).

VI. Award Administration Information

A. Award Notices

The notice of award (CD-450) is executed by the National Oceanic and Atmospheric Administration (NOAA) Grants Officer and is the authorizing award document. It is generally provided electronically via NOAA's Grants Online system to the Authorized Representative of the recipient organization. The Authorized Representative for a successful applicant will accept the award via the Grants Online system. NOAA will notify unsuccessful applicants in writing. Those applications that are selected for funding will be retained by NOAA for a period of three (3) years from the date of the awardee's final expenditure after which they will be destroyed.

B. Administrative and National Policy Requirements

Statutory and National Policy Requirements:

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 (2013), http://www.ecfr.gov/cgi-bin/text-idx?SID=1ccffb4c1d4de03add6a041113460f9&mc=true&node=se2.1.200_1300&rgn=div8

Administrative and national policy requirements for all Department of Commerce awards are contained in the Department of Commerce Pre-Award Notification. 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>

Limitation of Liability

In no event will NOAA or the Department of Commerce be responsible for proposal preparation costs. 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 Web site:

<http://www.nepa.noaa.gov/>, including our NOAA Administrative Order 216-6 for NEPA, http://www.nepa.noaa.gov/NAO216_6.pdf, NEPA Questionnaire, <http://www.nepa.noaa.gov/questionnaire.pdf>, and the Council on Environmental Quality implementation regulations, <https://ceq.doe.gov/>. 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 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.

Data Sharing

Environmental data and information, collected and/or created under NOAA grants/cooperative agreements must be made visible, accessible, and independently understandable to general users, free of charge or at minimal cost, in a timely manner (typically no later than two (2) years after the data are collected or created), except where limited by law, regulation, policy or by security requirements.

a. Unless otherwise noted in this federal funding announcement, a Data/Information Sharing Plan of no more than two pages shall be required as an appendix. A typical plan may include the types of environmental data and information 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; policies addressing data stewardship and preservation; procedures for providing access, data, and security; and prior experience in publishing such data. The Data/Information Sharing Plan will be reviewed as part of the NOAA Standard Evaluation Criteria, Item 1 -- Importance and/or Relevance and Applicability of Proposed Project to the Mission Goals.

b. The Data/Information Sharing Plan (and any subsequent revisions or updates) will be made publicly available at time of award and, thereafter, will be posted with the published data.

c. Failing to share environmental data and information in accordance with the submitted Data/Information Sharing Plan may lead to disallowed costs and be considered by NOAA when making future award decisions. Additionally, PIs must indicate how and when they have made their data accessible and usable by the community in the past. Information on NOAA's Data Management Policy is available under:
http://www.corporateservices.noaa.gov/ames/administrative_orders/chapter_212/212-15.pdf

Felony and Tax Certifications for Corporations

In accordance with current Federal appropriations law, NOAA will provide a successful corporate applicant a form to be completed by its Authorized Representatives certifying that the corporation has no Federally-assessed unpaid or delinquent tax liability or recent felony criminal convictions under any Federal law. The certification must be completed and submitted to NOAA before an award may be issued.

Review of Risk

After applications are proposed for funding by the selecting official, the Grants Management Division performs administrative reviews. The reviews will include financial stability of an applicant, 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. Upon review of these factors, if appropriate, special conditions that correspond to the degree of risk may be applied.

C. Reporting

Financial reports are to be submitted to the NOAA Grants Officer identified in the award and Performance (technical) reports are to be submitted to the Program Officer. Unless otherwise specified by terms of the award, program and financial reports are to be submitted semi-annually. Program reports should include progress on identified milestones. Unless otherwise specified by the terms of the award, reports must be submitted electronically through NOAA Grants Online (<https://grantsonline.rdc.noaa.gov>).

The Federal Funding Accountability and Transparency Act of 2006 includes a requirement for awardees of applicable Federal grants to report information about first-tier sub awards and executive compensation under Federal assistance awards issued in FY 2013 or later. All awardees of applicable grants and cooperative agreements are required to report to the Federal Sub award Reporting System (FSRS) available at www.FSRS.gov on all sub awards over \$25,000.

VII. Agency Contacts

National Environmental Satellite Data Information Service (NESDIS)

Ericka Rosier
ericka.rosier@noaa.gov
Phone Number: 301-683-3512
5830 University Research Court
Building: NCWCP
College Park, MD 20740

National Marine Fisheries Service (NMFS)

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Phone Number: 301-713-1364
Bldg: SSMC3 Rm: 14358
1315 East-West Hwy
Silver Spring, MD 20910-3282

National Ocean Service (NOS)

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National Weather Service (NWS)
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Office of Atmospheric Research (OAR)
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1315 East-West Hwy
Silver Spring MD 20910-3282

Office of Education (OED)
Carrie McDougall
carrie.mcdougall@noaa.gov
Phone Number: 202-482-0875
Bldg: HCHB Room: 6863
1401 Constitution Ave., NW
Washington DC 20230-0001

VIII. Other Information

Department of Commerce regulations implementing the Freedom of Information Act (FOIA) are found at 15 C.F.R. Part 4, Public Information. These regulations set forth rules for the Department regarding making requested materials, information, and records publicly available under the FOIA. Applications submitted in response to this Federal Funding Opportunity may be subject to requests for release under the Act. In the event that an application contains information or data that the applicant deems to be confidential

commercial information which is exempt from disclosure under FOIA, that information should be identified, bracketed, and marked as Privileged, Confidential, Commercial or Financial Information. DOC regulations implementing the Freedom of Information Act (FOIA) are found at 5 U.S.C 552, 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 you, the confidentiality of the content of funded applications will be maintained to the maximum extent permitted by law.

Grants.gov Information

Potential funding applicants must register with Grants.gov before any application materials can be submitted. An organization's one time registration process may take up to three weeks to complete. Applicants must allow sufficient registration time to ensure applications are submitted before the proposal submission deadline. To use Grants.gov, applicants must have a Dun and Bradstreet Data Universal Numbering System (DUNS) number and be registered in the Central Contractor Registry (CCR). Allow a minimum of five days to complete the CCR registration. (Note: Your organization's Employer Identification Number (EIN) will be needed on the application form.)

The Grants.gov site contains directions for submitting an application, the application package (forms), and is also where the completed application is submitted. Applicants using Grants.gov must locate the downloadable application package for this solicitation by the Funding Opportunity Number or the CFDA number (11.469). Applicants will be able to download a copy of the application package, complete it off line, and then upload and submit the application via the Grants.gov site.

After electronic submission of the application, the person submitting the application will receive within the next 24 to 48 hours two email messages from Grants.gov updating them on the progress of their application. The first email will confirm receipt of the application by the Grants.gov system, and the second will indicate that the application has either been successfully validated by the system before transmission to the grantor agency or has been rejected because of errors. After the application has been validated, this same person will receive another email when the application has been downloaded by the federal agency.

Past Performance and Non-Compliance with Award Provisions

A consistent pattern of unsatisfactory performance under prior federal awards may result in

an application not being considered for funding. Failure to comply with any or all of the provisions of an award may have a negative impact on future funding by the Department of Commerce (or any of its operating units) and may be considered grounds for any or all of the following actions: establishment of an account receivable, withholding payments under any Department of Commerce awards to the recipient, changing the method of payment from advance to reimbursement only, imposition of other special award conditions, suspension of any active Department of Commerce awards, and termination of any active Department of Commerce awards.

Limitation of Liability

In no event will NOAA or the Department of Commerce be responsible for proposal preparation costs. All funding periods under the award are subject to the availability of funds. Publication of this FFO does not obligate NOAA or the Department of Commerce to award any specific project or to obligate any available funds.

Audit Costs

Audits shall be performed in accordance with audit requirements contained in the Uniform Administrative Requirements, Cost Principles and Audit Requirements found in 2 CFR part 200, Subsection F. Recipients expending \$750,000 or more in federal funds during the recipient's fiscal year must conduct a single audit in accordance with guidelines outlined in 2 CFR §§200.500-.520. For-profit organizations not covered by the audit requirements in 2 CFR §§200.500-.520 are subject to the audit requirements set forth in the terms and conditions of the award. Recipients that expend less than \$750,000 during the recipient's fiscal year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 2 CFR §200.503, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). Applicants are also reminded that other audits may be conducted by the Department of Commerce Office of Inspector General and by other authorized federal agencies.