

A Cooperative Agreement for Climate Adaptation and Mitigation

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## NOTICE OF FUNDING OPPORTUNITY

## EXECUTIVE SUMMARY

Federal Agency Name(s): Oceanic and Atmospheric Research (OAR), National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

Funding Opportunity Title: A Cooperative Agreement for Climate Adaptation and Mitigation

Announcement Type: Initial

Funding Opportunity Number: NOAA-OAR-CPO-2021-2006841

Catalog of Federal Domestic Assistance (CFDA) Number: 11.431, Climate and Atmospheric Research

Dates: Full Applications: Full applications for all competitions must be received by 5:00 p.m. Eastern Time, on May 24, 2021.

Funding Opportunity Description: The NOAA Climate Adaptation and Mitigation Program (CAMP) supports research, programs, projects and other activities related to NOAA's mission, primarily through collaborations among scientists and professionals in areas of mutual interest across the full spectrum of NOAA climate sciences. This cooperative agreement will focus on the following four priority areas: 1) Improved scientific understanding of the changing climate system and its impacts; 2) Scientific assessments of current and future states of the climate system that identify potential impacts and inform science, service, and stewardship decisions; 3) Mitigation and adaptation efforts supported by sustained, reliable, and timely climate services; 4) A climate-literate public that understands its vulnerabilities to a changing climate and makes informed decisions.

Eligible applicants must be academic institutions of higher learning which offer doctoral degrees in NOAA-related sciences; consortia of academic institutions of higher learning which offer doctoral degrees in NOAA-related sciences; or non-profit research institutions. Multi-institution applications will not be accepted.

The total NOAA funding amount available for the CAMP is anticipated to be approximately \$10,000,000 per year or a total of \$50,000,000 for the five-year period. There will be appropriation of some funds at the start of the award. NOAA anticipates making one award for the five-year period and anticipates providing funds one or more times each year for five years. NOAA has no obligation to provide additional funding in connection with that award in subsequent years. Funding for each subsequent year of a multi-year proposal is at the discretion of NOAA and is subject to the availability of funds.

NOAA, OAR, and the Climate Program Office (CPO) encourage applicants and awardees to support the principles of diversity and inclusion when writing their proposals and performing their work. Diversity is defined as a collection of individual attributes that together help organizations achieve objectives. Inclusion is defined as a culture that connects each employee to the organization. Promoting diversity and inclusion improves creativity, productivity, and the vitality of the climate research community in which NOAA engages.

This announcement provides requirements and details for the technical program, evaluation criteria, and competitive selection procedures.

## FULL ANNOUNCEMENT TEXT

## I. Funding Opportunity Description

## A. Program Objective

Climate variability and change present society with significant economic, health, safety, and security challenges. As part of the National Oceanic and Atmospheric Administration (NOAA) climate portfolio within the Office of Oceanic and Atmospheric Research (OAR), the Climate Program Office (CPO) addresses these climate challenges by supporting climate research, observations, monitoring, modeling, assessments, interdisciplinary decision-support research, outreach, education, and partnership development. These investments support NOAA's mission of "Science, Service, and Stewardship" and are designed to advance our understanding of the Earth's climate system and to foster the application and use of this knowledge to improve the resilience of our Nation and its partners. The position of CPO at the intersection of NOAA's science and service missions, the climate research community, and the broader climate enterprise enables it to provide strategic vision, lead a research agenda and forge partnerships that enhance society's ability to make effective decisions. CPO also supports NOAA's mandated responsibilities under the National Climate Program Act, Global Change Research Act and its National Climate Assessment, the National Integrated Drought Information System Act, and similar international endeavors such as the World Climate Research Program.

## B. Program Priorities

The Climate Program Office cannot fulfill this vision alone and the recipient is expected to possess unique capabilities to address the following four priority areas.

1. Improved scientific understanding of the changing climate system and its impacts. The need to advance understanding of the climate system and climate impacts, improve climate predictions and projections, and better inform adaptation and mitigation strategies is urgent. Key scientific uncertainties limit scientists' ability to understand and predict changes in the climate system. This is particularly true for monthly-to-decadal timescales and at the regional and local levels for which scales are highly relevant to planning and decision making. Research on the connections between weather and climate, for instance, is necessary to understand how a changing climate may affect precipitation patterns and severe weather events, including hurricanes. On decadal-to-centennial timescales, research is needed to understand feedback between atmospheric greenhouse gases and the rate of global-to-regional climate impacts, such as changes in sea level, heat waves, droughts, and air and water quality. Adaptation and mitigation strategies must be informed by a solid scientific

understanding of the climate system. Research is required to understand how changes in the global ocean circulation affect the climate system and their subsequent impacts on coastal regions, including sea level rise, ocean acidification, and living marine resources.

2. Scientific assessments of current and future states of the climate system that identify potential impacts and inform science, service, and stewardship decisions. Stakeholders and the general public need a clear understanding of the best available science that describes the state of the climate and the likely impacts of climate change. Scientific assessments at the global, national, regional, and local levels integrate knowledge from many disciplines to provide decision makers with authoritative information on climate impacts, identify gaps in understanding, and help prioritize future research and development efforts to fill those gaps. When pursued on a sustained basis, assessments build relationships between researchers and users that are critical for communities and governments to take action.

3. Mitigation and adaptation efforts supported by sustained, reliable, and timely climate services. Human-induced changes in Earth's climate, as well as natural climate variability, complicate the ability to effectively plan for the future, manage resources, support national and food security, meet international and other intergovernmental agreements, and sustainably develop the economy. Resource managers, Governments, public and private businesses and organizations recognize that a changing climate complicates their ability to achieve their goals. Existing information is not readily available to those who need it or formatted in a way that makes it easy to use. The Nation needs a comprehensive, authoritative, and coordinated source of climate information to support adaptation and mitigation strategies and to incorporate into related decision-making processes.

4. A climate-literate public that understands its vulnerabilities to a changing climate and makes informed decisions. The success or failure of climate adaptation and mitigation in the United States and around the world will depend on the ability of leaders, organizations, institutions, and the public to understand the challenges and opportunities climate change presents. The routine incorporation of climate information into decisions requires an awareness of how a changing climate may affect individuals, families, businesses, and communities. A society educated about climate change and actively engaged in dialogue about its causes and effects will better address today's problems and plan for tomorrow.

### C. Program Authority

NOAA's authority to support the research and associated activities anticipated by this FFO is contained in one or more of the following:

- 15 U.S.C. 2904, National Climate Program Act;
- 15 U.S.C. 2931-2934, Global Change Research Act;

- 15 U.S.C. 111, Weather Research and Forecasting Innovation Act;
- 49 U.S.C. 44720(b), which authorizes NOAA, inter alia, to maintain agreements and support research projects in meteorology through the use of private and Governmental research facilities; and
- 33 U.S.C. 893(a), the provision of the America COMPETES Act which authorizes NOAA to conduct, develop, support, promote, and coordinate formal and informal educational activities at all levels to enhance public awareness and understanding.

## II. Award Information

### A. Funding Availability

The total NOAA funding amount available for the CAMP award is anticipated to be approximately \$10,000,000 per year or a total of \$50,000,000 for the five-year period. There will be appropriation of some funds at the start of the award. NOAA anticipates making one award for the five-year period and anticipates providing funds one or more times each year for five years. NOAA has no obligation to provide additional funding in connection with that award in subsequent years. Funding for each subsequent year of a multi-year proposal is at the discretion of NOAA and is subject to the availability of funds.

### B. Project/Award Period

This program announcement is for support of a program for up to a 5-year period, with an anticipated start date of September 1, 2021, and ending date of August 31, 2026. Funding for each subsequent year of a multi-year proposal is at the discretion of NOAA. It will be contingent upon satisfactory progress in relation to the stated goals of the proposal and the availability of funds. Applications must include a program narrative and a budget for the entire proposed award period broken out in yearly periods.

### C. Type of Funding Instrument

The funding instrument used for this program will be a cooperative agreement since several NOAA organizations and programs will be substantially involved in working with the award recipient. An example of NOAA's substantial involvement includes, but is not limited to, collaboration between a postdoctoral scientist interacting with a NOAA research scientist on a project of joint interest; management of internship and fellowship programs; planning and implementation of meetings or conferences; and review and approval of activities to ensure that the recipient is properly using the cooperative agreement.

## III. Eligibility Information

#### A. Eligible Applicants

Eligible applicants must be academic institutions of higher learning which offer doctoral degrees in NOAA-related sciences; consortia of academic institutions of higher learning which offer doctoral degrees in NOAA-related sciences; (a consortium is a formal network of colleges and universities, usually within close proximity, that have agreements to share academic and extracurricular resources open to all students across all institutions); and non-profit research institutions. Multi-institution applications will not be accepted.

#### B. Cost Sharing or Matching Requirement

No cost sharing is required under this program.

#### C. Other Criteria that Affect Eligibility

None.

### IV. Application and Submission Information

#### A. Address to Request Application Package

Application packages are at [grants.gov](https://grants.gov). For applicants without Internet access, please contact Diane S. Brown by mail at NOAA Climate Program Office (R/CP1), SSMC3, Room 12705, 1315 East-West Highway, Silver Spring, MD 20910 to obtain an Application Package.

#### B. Content and Form of Application

Proposals should total no more than 50 pages in length, single spaced. Additional pages will not be considered during proposal evaluation. It is strongly recommended that Times New Roman 12 point font, or an equivalent, be used. Federally mandated forms, tables of content, principal investigator (PI) and staff vitae, budget tables and any letters of support are not included within the page count.

Multi-year proposals up to a maximum of five years will be considered; however, funding beyond the first year will be dependent upon satisfactory performance and the availability of funds. September 1, 2021 is to be used as the proposed start date on proposals unless otherwise directed by the NOAA Program Officer.

The application elements listed below are required before an award can be made. Failure to submit elements 1, 4, and 5 by the deadline will result in the application not being reviewed if the omissions are not corrected prior to the deadline. The program office will make an

effort to notify the applicant of any omissions, but there is no guarantee this can occur prior to the application deadline. The aforementioned application elements are as follows:

1. Title Page. The title page must be officially authorized by the institutional representative. The PI and institutional representative should be identified by full name, title, organization, telephone number, and address. It is requested that the title page clearly indicates the total amount of requested Federal funds for each budget period.

2 Abstract Page. An abstract should be included and should contain an introduction of the problem, rationale, and a brief summary of work to be completed. The abstract should appear on a separate page, headed with the proposal title, institution's investigators, total proposed cost, and budget period.

3. Results from Prior Training and/or Research. The results of relevant projects should be described, including their relation to the currently proposed work. Reference to each prior award should include the title, agency, award number, PIs, period of award, and total award. The section should be a brief summary and should not exceed five pages total.

4. Project Narrative. The proposed project must be completely described, including identification of the problem; scientific objectives; proposed methodology; relevance to the program priorities; and scientific merit. Benefits of the proposed project to the general public and the broader scientific and educational community must be discussed. A year-by-year summary of proposed work must be included.

5. Data/Information Sharing Plan:

Proposals submitted in response to this announcement must include a data management plan (up to 2 pages). See section VI.B Administrative and National Policy requirements below for additional information of what the plan should contain.

6. Budget, Proposed Budget Justification, and Other Required Forms. Applicants must submit a Standard Form (SF) 424, Application for Federal Assistance, including a detailed budget using the SF 424A, Budget Information--Non-Construction Programs. (The forms are available on grants.gov.) Applicants should pay careful attention to show the yearly budget breakout on the SF 424A for multi-year proposals. In addition, the body of the proposal should include a separate table showing total and annual budgets (if multi-year) corresponding with the project description. Additional text to justify expenses should be included as necessary. Additional budget narrative guidance provided by NOAA Grants Management Division can be found here:



[https://www.noaa.gov/sites/default/files/atoms/files/gmd\\_budget\\_narrative\\_guidance\\_-\\_05-24-2017\\_final.pdf](https://www.noaa.gov/sites/default/files/atoms/files/gmd_budget_narrative_guidance_-_05-24-2017_final.pdf)"

If indirect charges are included in the budget, a copy of the institution's current Indirect Cost Rate Agreement (IDCRA) must be included. The ID(5) Data/Information Sharing Plan: Proposals submitted in response to this announcement must include a data management plan (up to 2 pages). See section VI.B Administrative and National Policy requirements below for additional information of what the plan should contain. CRA does not, however, count as part of the required page limit. To obtain an indirect cost rate if your organization does not already have one, applicant must submit an indirect cost proposal to its cognizant agency and negotiate an indirect cost agreement. If an applicant has not previously (ever) established an indirect cost rate with a Federal agency they may choose to negotiate a rate with the Department of Commerce or use the de minimis indirect cost rate of 10% of MTDC (as allowable under 2C.F.R. 200.414). This document is not a part of the page limit.

The application must also include form SF-424B, Assurances – Non-Construction Programs; form CD-511, Certifications; and (5) SF-LLL, Disclosure of Lobbying Activities.

7. Vitae. Abbreviated curriculum vitae are requested with each proposal. Reference lists should be limited to all publications in the last five years with up to five other relevant papers.

8. Current and Pending Support. For each investigator, submit a list which includes project title, supporting agency with grant number, investigator months, dollar value, and duration. Requested values should be listed for pending support.

9. National Environmental Policy Act (NEPA) Questionnaire: This program does not require any NEPA questions to be answered as part of the application.

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

In order to submit an application through Grants.gov, an applicant must register for a Grants.gov user ID and password. Note that this process can take between three to five business days or as long as four weeks if all steps are not completed correctly. To avoid delays, applicants are strongly encouraged to start early and not wait until the approaching application deadline before registering, logging in, reviewing the application instructions, and applying. Information about the Grants.gov registration process for organizations can be found at [http://grants.gov/applicants/organization\\_registration.jsp](http://grants.gov/applicants/organization_registration.jsp).

Please note that organizations already registered with Grants.gov do not need to re-register;

however, all registered organizations must keep their Grants.gov password and SAM database (which now incorporates CCR) registration up-to-date or their applications will not be accepted by Grants.gov. Note that your CCR username will not work in SAM. You must create a new SAM user account to renew or update your registration. Registration on SAM is a requirement. To obtain additional information and to verify that all required registrations are current, please visit [www.sam.gov/portal/public/SAM](http://www.sam.gov/portal/public/SAM).

If you experience a Grants.gov systems issue (technical problems or glitches with the Grants.gov website) that you believe threatens your ability to complete a submission before the application deadline, please do all of the following:

Print any error message received

Call the Grants.gov Contact Center at 1-800-518-4726 for immediate assistance

Contact NOAA using the contact information in section VIII. of this NOFO prior to the close of the competition

Ensure that you obtain a case number regarding your communications with Grants.gov

In the event of a confirmed systems issue, NOAA reserves the right to accept an application in an alternate format prior to the application deadline. Problems with an applicant organization's computer system or equipment are not considered systems issues. Similarly, an applicant's failure to do the following are not considered systems issues:

Complete the required registration

Ensure that a registered Authorized Organization Representative (AOR) submits the application

Read an email message with guidance from Grants.gov

#### D. Submission Dates and Times

The deadline for receipt of proposals is 5:00 p.m. Eastern Time, on May 24 2021. For proposals submitted through grants.gov, a date and time receipt indication is included and will be the basis of determining timeliness. Grants.gov requires applicants to register with the system prior to submitting an application. This registration process can take several weeks and involves multiple steps. In order to allow sufficient time for this process, you should register as soon as you intend to apply, even if you are not yet ready to submit your application. Proposals received after the deadline will be rejected or returned to the sender without further consideration. For information for submitting hard copy applications, please contact Diane Brown for instructions.

#### E. Intergovernmental Review

Applications under this program are not subject to Executive Order 12372, Intergovernmental Review of Federal Programs.

## F. Funding Restrictions

Funding beyond the first year will be dependent upon satisfactory performance and the continued availability of funds.

## G. Other Submission Requirements

All applications should be submitted through grants.gov. If an applicant does not have Internet access, CPO Program Manager Neil Christerson should be contacted by mail at NOAA Climate Program Office (R/CP1), SSMC3, Room 12705, 1315 East-West Highway, Silver Spring, MD 20910 for hard copy submission instructions.

Faxed or emailed copies of applications will not be accepted.

## V. Application Review Information

### A. Evaluation Criteria

#### Evaluation Criteria

The evaluation criteria and weighting of the criteria are as follows:

1. Importance/Relevance and Applicability of Proposal (25 percent): This criterion ascertains whether there is intrinsic value in the proposed work and/or relevance to NOAA, federal, regional, state, or local activities. For the NOAA Science Collaboration Program competition this includes:

a) What is the likelihood that the proposed scientific collaborations will develop research personnel across the full spectrum of NOAA-related sciences with a stronger understanding of these sciences and NOAA fields of work?

b) Can the proposed research activities lead to improved understanding of NOAA-related science by society?

c) What is the degree and quality of collaboration with multiple NOAA units throughout the project?

2. Technical/Scientific Merit (20 percent): This criterion assesses whether the approach is technically sound and/or innovative, if the methods are appropriate, and whether there are clear project goals and objectives. For the NOAA Science Collaboration Program competition this includes:

a) Was a sound strategy developed to identify, develop, and manage the scientists that will enter the program and work with NOAA professionals across numerous science areas?

b) Were focused scientific objectives and strategies, including data management considerations, project milestones, and timelines used?

3. Overall Qualification of Applicants (30 percent): This criterion ascertains whether the applicant possesses the necessary education, experience, training, facilities, and administrative resources to accomplish the project. For the NOAA Science Collaboration Program competition this includes:

a) Do PIs clearly document past experience with identifying, developing, and managing undergraduate, graduate, and postdoctoral scientists in NOAA-related sciences and have the technical expertise to conduct research in the societal related impacts of environmental and related sciences?

b) Have past experiences been successful?

c) Are the PIs and scientists brought into the program likely to maintain effective and consistent interactions with NOAA professionals throughout the course of the proposed research program?

d) Have PIs demonstrated the ability to conduct successful program management and coordinate research activities?

4. Project Costs (15 percent): This criterion evaluates the budget to determine if it is realistic and commensurate with the project needs and time-frame. For the NOAA Science Collaboration Program competition this includes:

a) Is there an efficient plan in place to identify, develop, and manage collaborating scientists entering the program?

b) Through the proposed project plan, do the PIs demonstrate the ability to manage resources effectively?

5. Outreach and education (10 percent): 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 the NOAA Science Collaboration Program competition

this includes:

- a) Will scientists entering the program develop a richer understanding and knowledge of NOAA-related science?
- b) Will research results be communicated in an effective way to develop an awareness of environmental sciences and the potential impact on society?

#### B. Review and Selection Process

An initial administrative review/screening is conducted to determine compliance with requirements/completeness. All proposals will be evaluated and individually ranked in accordance with the assigned weights of the above evaluation criteria by an independent peer panel review. Four to seven NOAA employees, primarily representing units that will likely be involved with scientific collaborations with the applicant, may be used in this process. The merit reviewers' ratings are used to produce a rank order of the proposals. The Selection Official selects proposals after considering the peer panel reviews and selection factors listed below. In making the final selections, the Selecting Official will award in rank order unless the proposal is justified to be selected out of rank order based upon one or more of the selection factors.

#### C. Selection Factors

The Merit review ratings shall provide a rank order to the Selecting Official for final funding recommendations. The Selecting Official shall award in the rank order unless the proposal is justified to be selected out of rank order based upon one or more of the following factors:

1. Availability of funding
2. Balance and distribution of funds:
  - a. By research area
  - b. By project type
  - c. By type of institution
  - d. By type of partner
  - e. Geographically
3. Duplication of other projects funded or considered for funding by NOAA/federal agencies.

4. Program priorities and policy factors.
5. Applicant's prior award performance.
6. Partnerships with/Participation of targeted groups.
7. Adequacy of information necessary for NOAA staff to make a National Environmental Policy Act (NEPA) determination and draft necessary documentation before recommendations for funding are made to the NOAA Grants Officer.

#### D. Anticipated Announcement and Award Dates

Subject to the availability of funds, review of applications will occur during Spring 2021, and funding decisions will be made in June 2021. Funding is expected to begin during September of 2021. September 1, 2021, should be used as the proposed start date on proposals, unless otherwise directed by the Program Officer.

## VI. Award Administration Information

### A. Award Notices

The Grants Officer will provide notice to the applicant that they have received the award. Successful applicants will receive notification that the application has been recommended for funding by an official of the NOAA Climate Program Office. This notification is not an authorization to begin performance of the project. The official notification of funding, signed by a NOAA Grants Officer, is the authorizing document that allows the project to begin. Notifications will be issued to the Authorizing Official and the Principal Investigator of the project. Unsuccessful applicants will be notified that their application was not selected for recommendation.

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/textidxSID=1ccffb4c1d4de03add6a041113460f9&mc=true&n ode=se2.1.200\\_1300&rgn=div8](http://www.ecfr.gov/cgi-bin/textidxSID=1ccffb4c1d4de03add6a041113460f9&mc=true&n ode=se2.1.200_1300&rgn=div8).

### B. Administrative and National Policy Requirements

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

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

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

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

UNPAID OR DELINQUENT TAX LIABILITY. In accordance with Federal appropriations law, an authorized representative of the selected applicant(s) may be required to provide certain pre-award certifications regarding federal felony and federal criminal tax convictions, unpaid federal tax assessments, and delinquent federal tax returns.

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.pdf](http://www.nepa.noaa.gov/NAO216_6.pdf), and the Council on Environmental Quality implementation regulations, [http://energy.gov/sites/prod/files/NEPA-40CFR1500\\_1508.pdf](http://energy.gov/sites/prod/files/NEPA-40CFR1500_1508.pdf). Consequently, as part of an applicant's package, and under their description of their program

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

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

**DATA SHARING PLAN** - 1. Environmental data and information collected or created under NOAA grants or cooperative agreements must be made discoverable by and accessible to the general public, in a timely fashion (typically within two years), free of charge or at no more than the cost of reproduction, unless an exemption is granted by the NOAA Program. Data should be available in at least one machine-readable format, preferably a widely-used or open-standard format, and should also be accompanied by machine-readable documentation (metadata), preferably based on widely used or international standards. 2. Proposals submitted in response to this Announcement must include a Data Management Plan of up to two pages describing how these requirements will be satisfied. Administrative and National Policy Requirements, below for additional information on what the plan should contain. The Data Management Plan should be aligned with the Data Management Guidance provided by NOAA in the Announcement. The contents of the Data Management Plan (or absence thereof), and past performance regarding such plans, will be considered as part of proposal



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

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

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

**FREEDOM OF INFORMATION ACT (FOIA)** - In the event that an application contains information or data that you do not want disclosed prior to award for purposes other than the evaluation of the application, mark each page containing such information or data with the words "Privileged, Confidential, Commercial, or Financial Information - Limited Use" at the top of the page to assist NOAA in making disclosure determinations. DOC regulations implementing the Freedom of Information Act (FOIA) 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.

**PAPERWORK REDUCTION ACT** – This notification involves collection-of-information requirements subject to the Paperwork Reduction Act. The use of Standard Forms 424, 424A, 424B, and SF-LLL and CD-346 has been approved by the Office of Management and Budget (OMB) under control numbers 0348-0043, 0348-0044, 0348-0040, and 0348-0046 and 0605-0001. 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 PRA unless that collection of information displays a currently valid OMB control number.

**Sexual Harassment, Other Forms of Harassment, or Sexual Assault.**

The Climate Program Office (CPO) will not tolerate sexual harassment, other forms of harassment or sexual assault within the agency, at awardee organizations, or anywhere CPO-funded science and education are conducted. As the primary funding agency of fundamental science and engineering research in the U.S., CPO is committed to promoting safe, productive research and education environments for current and future scientists and engineers. CPO considers the PI/PD and any co-PI/co-PDs(s) identified on a CPO award to be in positions of trust.

The PI/PD and co-PI/co-PD and all award personnel must comport themselves in a responsible and accountable manner during the performance of award activities whether at the grantee organization, on-line, or conducted outside the organization, such as at field sites, or facilities, or during conferences and workshops.

The many U.S. institutions of higher education and other organizations that receive CPO funds are responsible for fully investigating complaints and for compliance with federal non-discrimination laws, regulations and executive orders. In support of this position, CPO has taken steps to bolster our commitment to a safe research environment, including development and implementation of an award term and condition that requires CPO to be notified: 1) of any past or present findings/determinations regarding the PI/PD or co-PI/co-PD that demonstrate a violation of awardee codes of conduct, policies, regulations or statutes relating to sexual harassment, other forms of harassment, or sexual assault; or 2) if the awardee places, or has placed, the PI/PD, or co-PI/co-PD on administrative leave or imposes, or has imposed, an administrative action relating to a finding or investigation of a violation of awardee policies, codes of conduct, statutes or regulations relating to sexual harassment,

other forms of harassment, or sexual assault. New awards funded in FY21 and beyond will have this special award condition (SAC) in the award terms and conditions.

CPO expects all research organizations to establish and maintain clear and unambiguous standards of behavior to ensure harassment-free workplaces wherever science is conducted. A community effort is essential to eliminate sexual and other forms of harassment in science and to build a scientific workspace where people can learn, grow and thrive.

### C. Reporting

Award recipients are required to submit financial and technical progress reports. These reports are to be submitted electronically via <https://grantsonline.rdc.noaa.gov>. The first technical progress report covering the first nine months of a multi-year award is due 10 months after the start date of the award. Each subsequent technical progress report covering a period of 12 months is due 12 months after the previous report. The comprehensive final technical progress report is due 90 days after the expiration date of the award. Technical progress reports should report on adherence to the Data/Information Sharing Plan and all listed publications resulting from the award should adhere to the requirements established in said section.

The Federal Funding Accountability and Transparency Act, 31 U.S.C. 6101 note, includes a requirement for awardees of applicable Federal grants to report information about first-tier subawards and executive compensation under Federal assistance awards. All awardees of applicable grants and cooperative agreements are required to report to the Federal Sub-award Reporting System (FSRS) available at <https://www.fsrs.gov/> on all sub-awards over \$25,000. Refer to 2 CFR Parts 170.

## VII. Agency Contacts

The point of contact is Neil Christerson, Program Manager, NOAA/OAR/Climate Program Office, 1315 East West Highway, Rm. 12705, Silver Spring, Maryland 20910, or by phone at 301-734-1223, or via email at [kendra.hammond](mailto:kendra.hammond).

## VIII. Other Information

To use [grants.gov](https://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.] Applicants are strongly encouraged not to wait until the application deadline date to

begin the application process through [grants.gov](https://www.grants.gov).