

# NOTICE OF FUNDING OPPORTUNITY

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## Executive Summary

### Federal Agency Name

OAR Cooperative Institutes Administration Office (CIAO)

### Funding Opportunity Title

FY 2025 Cooperative Institute for the North Atlantic Region (CINAR) Notice of Funding Opportunity

### Announcement Type

Institutional

### Funding Opportunity Number

NOAA-OAR-CIPO-2025-29476

### Assistance Listing Number(s)

11.432

### Dates

Full proposals must be received no later than **5:00 PM (ET) on Thursday , May 15, 2025**

### Funding Opportunity Description

The Cooperative Institutes Administration Office (CIAO), National Oceanic and Atmospheric Administration (NOAA) Office of Oceanic and Atmospheric Research (OAR), National Oceanic and Atmospheric Administration (NOAA) on behalf of the Global Ocean Monitoring and Observing Program is soliciting proposals from the Cooperative **Institute for the North Atlantic Region (CINAR)** for 1-to-5-year(s) projects. The invited applicant will partner with NOAA in the pursuit of the highest performance level and conduct research that supports NOAA's Mission Goals and Strategic Plan.

Awards will be made for proposals specific to **CINAR research themes**: (1) Sustained Ocean Observations and Climate Research, (2) Ecosystem Research, Observation, and Modeling, (3) Stock Assessment Research, (4) Protected Species Research and Recovery, and (5) Ecosystem Based Fisheries Management.

## Full Text of Announcement

## I. Funding Opportunity Description

### A. Program Objective

The purpose of this announcement is to invite the submission of proposals from the **Cooperative Institute for the North Atlantic Region (CINAR)** applicant and to provide details on the application, review, and selection process.

The CI must conduct research under approved administrative tasks, as described below. These tasks may not be redefined or abbreviated:

- Task I activities are related to the management of the CI, as well as general education and outreach activities. This task also includes support of postdoctoral and visiting scientists conducting activities within the research themes of the CI that are approved by the CI Director, in consultation with NOAA, and are relevant to NOAA and the CI's mission goals.
- Task II research activities usually involve ongoing direct collaboration with NOAA scientists. This collaboration typically is fostered by the co-location of Federal and CI employees.
- Task III research activities require minimal collaboration with NOAA scientists and may include research funded by other NOAA competitive grant programs.

### B. Program Priorities

The invited applicant should submit proposals based on **CINAR** respective Research Themes and provide the necessary flexibility needed to work on multidisciplinary research in collaboration primarily with NOAA scientists.

CINAR Research Themes:

- *Sustained Ocean Observations and Climate Research - will focus on the development and improvement of data sets quantifying Atlantic basin climate forcing, and use of these data sets to examine the projection of climate modes (such as the North Atlantic Oscillation) onto the NES LME.*
- *Ecosystem Research, Observation, and Modeling - will use data collected by CINAR's ocean observing assets and programs to understand and describe ecological and environmental parameters and processes in the NES LME, and will develop tools and techniques to improve regional ecosystem forecasting, ecosystem management, and ecosystem policy decisions.*
- *Stock Assessment Research - will focus on improving stock assessments of species found in the NES LME, including development and refinement of technologies and techniques for data collection, and the development of new modeling and forecasting approaches. These activities will support better management of fisheries and decision-making in the region.*
- *Protected Species Research and Recovery - will focus on developing new technologies, research tools, and approaches for the assessment and recovery of protected species in the NES LME, including the critically endangered North Atlantic right whale, Atlantic salmon, and other species. These efforts will also lead to improvements in defining, protecting, and restoring essential habitat for these species.*
- *Ecosystem Based Fisheries Management - will support NOAA's goals in promoting and establishing effective ecosystem-based approaches to management of fisheries in the NES LME and across the North Atlantic.*

### C. Program Authority

Cooperative Agreements, 15 U.S.C. 1540; 118 Stat. 71 (January 23, 2004).

## II. Award Information

### A. Funding Availability

All funding is contingent upon the availability of Federal appropriations. NOAA anticipates funding up to \$22.9M. The actual annual funding that the CI receives may be less than the anticipated amount and will depend on the actual projects that are approved by NOAA after the main CI award begins, the availability of funding, the quality of the research, the satisfactory progress in achieving the stated goals described in project proposals, and continued relevance to program objectives.

NOAA has a reasonable expectation that proposed funding levels will be executed through the proposed CI; however, the agency will establish flexibility in post-award execution in the event additional NOAA spending becomes available to further support its mission.

## **B. Project/Award Period**

The **project/award period will be 1 to 5 year(s) based** on the outcome of a technical and administrative review.

## **C. Type of Funding Instrument**

The funding instrument for these institutional awards will be a cooperative agreement since several NOAA organizations will be substantially involved in working with the CI. Examples of substantial involvement may include, but are not limited to, proposals for collaboration between NOAA scientists and a CI scientist and/or assistance by NOAA personnel in developing curricula. NOAA will issue award(s) to only the invited CI applicants.

# **III. Eligibility Information**

## **A. Eligible Applicants**

Eligibility is limited to the following invited CI applicant:

1. **Cooperative Institute for the North Atlantic Region (CINAR)**

## **B. Cost Share or Matching Requirement**

Cost sharing or matching is not required. It cannot be used as an evaluation factor during the merit review of applications or proposals but may be considered. Values for non-Federal entity contributions of services and property must be established in accordance with applicable cost principles. Voluntarily committed cost sharing is not considered when determining the level of the CI's funding ceiling.

Acceptable cost sharing proposals could include, but are not limited to: offering a reduced indirect cost rate against activities in one or more Tasks; waiver of any indirect costs assessed by the awardee on subawards; waiver of indirect costs assessed against base funds and/or Task I activities; waiver or reduction of any costs associated with the use of facilities at the CI; and full or partial salary funding for the CI director, administrative staff, graduate students, visiting scientists, or postdoctoral scientists.

## **C. Other Criteria that Affect Eligibility**

Not Applicable.

# **IV. Application and Submission Information**

## **A. Address to Request Application Package**

Application packages are available online as part of the NOFO announcement on Grants.gov and final applications will only be accepted via a two-step validation submission through [www.grants.gov](http://www.grants.gov) and [eRA Commons](http://eracommons.org).

This section provides an overview of the required proposal application documents (and where to locate them). **Applications must adhere to the provisions under "Content and Form Applications" below.** Failure to adhere to these provisions may result in a delay in award processing or rejection of the application, based on the extent of the noncompliance. Attached is a list of common validation errors and instructions to assist you with successfully submitting a proposal through eRA.

The submitting applicant must redact all Personally Identifiable Information (PII) in the application materials prior to final submission to Grants.gov. PII that must be redacted from the application includes, but is not limited to, social security number, date of birth, student identification number (from transcripts) or other information which if lost, compromised, or disclosed without authorization, could result in harm, embarrassment, inconvenience, or unfairness to an individual.

**IMPORTANT NOTE:** This proposal package will be using a different set of forms than CI applicants have completed in the past. Instead of the “SF424 NOAA Standard Non-Construction Application Package” of forms, this application will include the “SF424 NOAA Research & Related (R&R) Forms Package.” While many of the forms may be familiar, please pay special attention to the headings and instructions in this section.

Prior to submission, carefully review the PDF Guidelines for submission found here: <https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm>. Recent applicants have encountered rejected applications for formatting issues, especially:

- Do not use “bundling” or “portfolio” features to combine PDFs into a single document. Everything must be visible in the PDF.
- Descriptive file names may only be 50 characters or less (including spaces).
- Keep attachment file size to 100 MB or less.
- eRA won’t accept any pages larger than the U.S. standard letter paper size (8.5” x 11”).

**We strongly recommend that applicants attempt to submit their full proposal applications packages at least a few days prior to the proposal application 5:00 pm ET, Thursday, May 15, 2025, deadline** in case these or other issues impact your submission, as they are not reasons we can extend the deadline. **If you have issues during the proposal submission process, please contact the eRA Service Desk on Mondays thru Fridays, 7 a.m. to 8 p.m. Eastern Time (Except for federal holidays) at**

- Toll-free: 1-866-504-9552 (Press 1 for eRA Commons)
- Phone: 301-402-7469 (Press 1 for eRA Commons)
- Email: [helpdesk@od.nih.gov](mailto:helpdesk@od.nih.gov)

## **B. Content and Form of Application**

The application must include the following 17 elements:

1. Standard Form (SF) 424 (R&R)
2. Title Page
3. Project Abstract Summary Form
4. Results from Prior Research
5. Description of Work - Research Plan
6. Description of Project Performance Sites.
7. List of Senior and Key Personnel
8. Description of Data Sharing
9. Publication/Reference Review
10. Research & Related Budget (Total Fed & Non-Fed - Budget Form)
11. R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form (if applicable)
12. Detailed Budget Justification
13. Vitae
14. Current and Pending Support
15. CD-511
16. SF-424B
17. SF-LLL (If applicable)

The instructions for preparation of full proposals provided below are mandatory. Required content includes:

**Standard Form 424 (R&R):** All applicants requesting direct funding must submit the Standard Form 424 (R&R), (SF-424 R&R), "Application for Federal Assistance," to indicate the total amount of funding proposed for their institution for the whole project period. This form is to be the cover page for the original proposal and is the first required form in the Grants.gov proposal package. The form can be downloaded at <https://www.grants.gov/forms/forms-repository/sf-424-family> in the Forms Repository section under the R&R Family hyperlink. For a NOAA and non-NOAA Federal partner, applications for Federal assistance (SF-424 (R&R) and the Research & Related Budget (Total Fed + Non-Fed) Budget Form, must show the total amount less what would go to the Federal partner.

- Federal Award Payment Requirement - be sure that the EIN and DUNS numbers are correct.
- Project start and end date - cannot be prior to the amendment's signing unless a justification is provided explaining the reason.
- Add Inflation Reduction Act, Bipartisan Infrastructure Law, or Disaster Relief Act at the end of the project title.

**Title Page:** The title page should clearly indicate the proposed name of the CI, principal investigators, total amount of Federal funds being requested, and award period. In the event that the application is submitted by a consortium, the lead academic institution for the consortium should submit the application on behalf of its supporting research affiliates. Applications submitted by a CI consortium should include the name of each academic institution and supporting research affiliate, along with each associated principal investigator.

- Continuing proposal applications should include the existing CI project number.

**Project Abstract Summary Form:** The Project Abstract Summary succinctly describes the project in plain language that the public can understand and use without the full proposal. If the application is funded, your project abstract information (as submitted) will be made available to public websites and/or databases including USAspending.gov. An abstract must be included and should contain a brief description of the CI, research themes, and proposed activities. The abstract should appear on a separate page, headed with the proposal title, institution's investigators, total proposed cost and budget period. The summary should be prepared to be readable to a broad audience and contain the following sections:

- Project Name/Title
- Primary Contact (name, address, telephone, fax, e-mail)
- Primary Recipient Institution
- Other Investigators (name, affiliated institution or agency)
- Brief Project Summary including objectives and intended benefits
- Partners

**Results from Prior Research:** The results of related projects supported by NOAA and other agencies should be described, including their relation to the currently proposed work. Reference to each prior research award should include the title, agency, award number, Principal Investigators, period of award, and total award. The section should be a brief summary and should not exceed two pages.

**Description of Work - Research Plan:** The project description includes the following sections:

- Introduction/Narrative (information contained in this section of the proposal should provide background information and significance of the proposed research).
- Specific aims/milestones (information in this section of the proposal should provide the proposed goals and expected outcomes. It should also show when the researcher expects to reach the proposed goals and outcomes).
- Timeline for milestones (table showing the timeline for the milestones).
- Relationship to NOAA Goals (information in this section of the proposal should show how the proposed research relates to the current NOAA Research Goals identified by the Cooperative Institute).
- Educational outreach plans.

- **Description of Project Performance Sites.** List facilities that may be used outside of the Cooperative Institute where research will be directly related to the proposed research – this would not include consortium members.

**List of Senior and Key Personnel.** Describe their specific role as it relates to the specific aims/milestones

**Description of Data Sharing.** Information in this section of the proposal shows how the final research data will be shared and with whom or explains why data-sharing is not possible at this time and the plan and timeframe for data sharing.

**Publication/Reference Review:** Each reference should include the names of all authors in the same sequence they appear in the publications, the article title, the journal or book title, volume number, page numbers, and year of publications. While there is no established page limitation, this section should include bibliographic citations only and should not be used to provide parenthetical information outside of the Research Plan.

**Research & Related Budget (Total Fed + Non-Fed) Form:** All applicants are required to submit a Research & Related Budget (Total Fed + Non-Fed) Budget Form, which identifies the budget for each fiscal year of the primary proposal. A new Research & Related Budget (Total Fed + Non-Fed) form is required for each fiscal year in sections A - D for the primary award. The form can be downloaded at <https://www.grants.gov/forms/forms-repository/sf-424-family> in the Forms Repository section under the R&R Family hyperlink.

- Avoid the section title “Statement of Work/deliverables.” This phrase suggests a contractual arrangement.

Each subaward should provide a **R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form** if applicable for each fiscal year of the project. The form can be downloaded at <https://www.grants.gov/forms/forms-repository/sf-424-family> in the Forms Repository section under the R&R Family hyperlink.

**Detailed Budget Justification.** All proposals must include a detailed budget narrative covering the proposed period of performance with a justification to support all proposed budget categories for each fiscal year. A separate budget narrative is required for each subcontract/subaward, if applicable. For additional information concerning each of the required budget categories and appropriate level of disclosure please see [https://coast.noaa.gov/data/coasthome/funding/\\_pdf/forms/budget-narrative-guidance-for-NOAA-grants.pdf](https://coast.noaa.gov/data/coasthome/funding/_pdf/forms/budget-narrative-guidance-for-NOAA-grants.pdf).

- If a partner is requested to perform any work as part of the project, please be advised that the work to be performed must be reflected separately in the project description and partner budget. The budget should clearly identify the recipient and funded activity. A **R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form** should accompany the budget narrative specific for each partner.

If more than one institution is collaborating in a project awarded funds, a separate budget narrative is required for each subaward (including Federal collaborators) and must be provided to the lead institution for submission. The lead institution will be the only institution to directly receive funds from NOAA and is responsible for sending funds to their other subaward institutions, except for funded Federal agency collaborators. Federal agencies may be funded directly by NOAA, and the budget narrative should mention the collaboration and scope of work but should exclude the funding to Federal collaborators from the total. The Budget Narrative must match the same direct cost categories as the Research & Related Budget (Total Fed + Non-Fed) Budget and the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) forms for the primary and each subaward.

**Vitae.** (single-spaced, 12-point font, 1-inch margins, two (2) pages maximum, per person): Provide resumes of the Principal Investigator for the project and other key personnel critical to the success of the project. Ensure that resumes address qualifications relevant to conducting the proposed work. Publication lists should be limited to all publications in the last 3 years with up to five other relevant papers.



**Current and pending support.:** For each principal 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.

**CD-511: Certification Regarding Lobbying:** Required only for the lead institution, which may submit this form through the Grants.gov CD511 document placeholder without a hard signature because electronic signatures are allowed on documents from the submitting institution. The form can be downloaded at: <https://www.grants.gov/forms/forms-repository/sf-424-family> .

**SF-424B: Assurances - Non-Construction Programs:** Required only for the lead institution, which may submit this form through the Grants.gov SF-424B document placeholder without a hard signature because electronic signatures are allowed on documents from the submitting institutions. The form can be downloaded at <https://www.grants.gov/forms/forms-repository/sf-424-family>.

**SF-LLL Disclosure of Lobbying Activities** (if applicable): If lobbying activity is or has been secured to influence the outcome of a covered federal action, complete the SF-LLL standard lobbying disclosure form found at <https://www.grants.gov/forms/forms-repository/sf-424-family> and include it with your proposal package.

Proposals submitted in response to this Announcement must include a Data Management Plan (up to 2 pages). See Section VI.B., Administrative and National Policy Requirements, below for additional information on what the plan should contain.

Refer to the NOFO VI. Award Administration Information, B. Administrative and National Policy Requirements.

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

Any applicant awarded in response to this Announcement will be required to use the System for Award Management (SAM), which may be accessed online at <https://sam.gov/SAM/>. SAM enables the use of a Unique Entity Identifier (UEI) and to build the quality of information available to the public as required by the Federal Funding Accountability and Transparency Act, 31 U.S.C. 6106 Note, to the extent applicable.

Each applicant (unless the applicant is an individual or Federal awarding agency that is expected from those requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to: (i) Be registered in SAM before submitting its application; (ii) Provide a valid unique entity identifier (UEI) in its 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 a Federal awarding agency. NOAA may not make a Federal award to an applicant until the applicant has complied with all applicable UEI and SAM requirements and, 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.

Applicants are advised to complete SAM registration or renewal well in advance of the full proposal deadline. For UEI registration visit this link, [https://sam.directory/UEI?gclid=CjwKCAjw\\_b6WBhAQEiwAp4HyIJaUI9DfZ6GgKVQxxe%20LeLsp72ZneUyTrcA7qQsOB\\_vQdGh9Z8B\\_XIRoCm-0QAvD\\_BwE](https://sam.directory/UEI?gclid=CjwKCAjw_b6WBhAQEiwAp4HyIJaUI9DfZ6GgKVQxxe%20LeLsp72ZneUyTrcA7qQsOB_vQdGh9Z8B_XIRoCm-0QAvD_BwE).

### **D. Submission Dates and Times**

Full proposals must be received in Grants.gov no later than **5:00 PM (ET) on Thursday, May 15, 2025.**

### **E. Intergovernmental Review**

Not Applicable.

### **F. Funding Restrictions**



Since this announcement solicits applications for financial assistance, profit or other increment above cost may not be included on awards issued under this non-competitive NOFO.

## **G. Other Submission Requirements**

Applicant organizations must complete and maintain three registrations to be eligible to apply for or receive an award. These registrations include SAM.gov, Grants.gov, and eRA Commons. All registrations must be completed prior to the application being submitted. The complete registration process for all three systems can take 4 to 6 weeks, so applicants should begin this activity as soon as possible. Please refer to important information in "Submission Dates and Times" above to help ensure your application is received on time. If an eligible applicant does not have access to the internet, please contact the Agency Contacts listed in Section VII for submission instructions.

Grants.gov will provide information about submitting a proposal through the site as well as the hours of operation. After electronic submission of the application, the person submitting the application will receive within 24 to 48 hours two email messages from Grants.gov updating him or her on the progress of the application. The first email will confirm receipt of the application by Grants.gov, and the second will indicate that the application has been either successfully validated by the system prior to transmission to the grantor agency or rejected due to errors. After the application has been validated, this same person will receive another email when the application has been downloaded by the Federal agency. An organization's one-time registration process may take up to three weeks to complete, so please allow sufficient time to ensure applications are submitted before the closing date. Prior to registering with eRA Commons, applicant organizations must first obtain a Unique Entity Identifier (UEI) from SAM.gov, if needed (refer to Section IV. Applications and Submission Information, Section C). Instructions on how to register in eRA Commons can be found here: <https://www.commerce.gov/ocio/programs/gems/register-your-organization-era-commons>. Organizations can register with eRA Commons in tandem with completing their full SAM and Grants.gov registrations; however, all registrations must be in place by time of application submission. eRA Commons requires organizations to identify at least one Signing Official (SO) and at least one Program Director/Principal Investigator (PD/PI) account in order to submit an application.

The first PD/PI listed on the application must include their eRA Commons ID in the "Credential, e.g. agency login" Applicant Identifier field on the SF424 form. Failure to register in the Commons and to include a valid PD/PI Commons ID in the Applicant Identifier field will prevent the successful submission of an electronic application.

## **H. Address for Submitting Proposals**

Full application packages must be submitted through Grants.gov. **Hard copy, faxed or emailed submissions will NOT be accepted.**

## **V. Application Review Information**

### **Evaluation Criteria**

The Department of Commerce Grants and Cooperative Agreements Manual requires a "technical" review for new non-competitive awards which shall consist of an objective review by one professionally and technically qualified reviewer. The technical review must be conducted by an impartial, objective, unbiased individual with the requisite expertise, knowledge, and experience in a technical field who can evaluate or assess the proposal for its value, quality, and likelihood of success.

### **Review and Selection Process**

An initial administrative review/screening is conducted to determine compliance with requirements/completeness. One Federal or non-Federal reviewer will be assigned to each proposal to complete the technical review. The Selecting Official justifies the final award recommendation to the Grants Officer who is authorized to obligate the funds.

The NOAA Grants Officer will review financial and grants administration aspects of a proposed award, including conducting an assessment of the risk posed by the applicant in accordance with 2 C.F.R. 200.206. In addition to reviewing repositories of government-wide eligibility, qualifications or financial integrity information, the risk assessment conducted by NOAA may consider items such as the financial stability of an applicant, quality of the applicant's management systems, an applicant's history of performance, previous audit reports and audit findings concerning the applicant and the applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities. See also "Review of Risk" in Section VI.A.7 of this Announcement.

Applicants should be in compliance with the terms of any existing NOAA grants or cooperative agreements and otherwise eligible to receive Federal awards, or make arrangements satisfactory to the NOAA Grants Officer, to be considered for funding under this competition. All reports due should be received, and any concerns raised by the agency should be timely addressed in order to receive a new award. Upon review of these factors, if appropriate, specific award conditions that respond to the degree of risk may be applied by the NOAA Grants Officer pursuant to 2 C.F.R. 200.208. In addition, NOAA reserves the right to reject an application in its entirety where information is uncovered that raises a significant risk with respect to the responsibility or suitability of an applicant. The final approval of selected applications and issuance of awards will be by the NOAA Grants Officer. The anonymous copy of the technical review will be made available to the applicant upon their request. Applications will be held in CIAO for three years in accordance with current retention policies, and then destroyed.

### **Selection Factors**

Not Applicable.

## **VI. Award Administration Information**

### **A. Award Notices**

**PRE-AWARD COSTS.** Per 2 CFR 200.458, NOAA authorizes award recipients to expend pre-award costs up to 90 days before the period of performance start date at the applicant's own risk without approval from NOAA and in accordance with the applicant's internal policies and procedures. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the Federal award. This does not include direct proposal costs (as defined at 2 CFR 200.460). In no event will NOAA or the Department of Commerce be responsible for direct proposal preparation costs. Pre-award costs will be a portion of, not in addition to, the approved total budget of the award. Pre-award costs expended more than 90 days prior to the period of performance start date require approval from the Grants Officer. This does not change the period of performance start date.

**GRANTS OFFICER SIGNATURE.** Proposals submitted in response to this solicitation are not considered awards until the Grants Officer has signed the grant agreement. Only Grants Officers can bind the Government to the expenditure of funds. The Grants Officer's digital signature constitutes an obligation of funds by the federal government and formal approval of the award.

**LIMITATION OF LIABILITY.** Funding for programs listed in this notice is contingent upon the availability of funds. Applicants are hereby given notice that funds may not have been appropriated yet for the programs listed in this notice. Publication of this announcement does not oblige NOAA to award any specific project or to obligate any available funds.

**RELEASE OF APPLICATION INFORMATION.** Privileged or confidential commercial or financial information, patentable ideas, or trade secrets, disclosure of which may harm the applicant, should be included in the proposal only when such information is necessary to convey an understanding of the proposed work. In the event that a proposal contains information or data that the applicant does not want disclosed prior to award for purposes other than the evaluation of the proposal, 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. A proposal that results in an award will be available to the public on request, except for privileged information or material that is personal, proprietary, or otherwise exempt from disclosure under law. Appropriate labeling in the proposal aids identification of what may be specifically exempt. Such information will be withheld from public disclosure to the extent permitted by law, including the Freedom of Information Act (FOIA), 5 U.S.C. 552, and 15 C.F.R. Part 4, which sets forth rules for the Department of Commerce to make requested materials, information, and records publicly available under FOIA.

Without assuming any liability for inadvertent disclosure, NOAA will seek to limit disclosure of such information to its employees and contractors, and to outside reviewers when necessary for merit review of the proposal or as otherwise authorized by law. Portions of proposals resulting in awards that contain descriptions of inventions in which either the Government or the funding recipient owns a right, title, or interest (including a nonexclusive license) will not normally be made available to the public until a reasonable time has been allowed for filing patent applications. NOAA will notify the recipient of receipt of requests for copies of funded proposals so the recipient may advise NOAA of such inventions described, or other confidential, commercial, or proprietary information contained in the proposal. NOAA may, at its own discretion, make publicly visible the data management plan from funded projects, 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.

The applicant acknowledges and understands that information and data contained in applications for financial assistance, as well as information and data contained in financial, performance and other reports submitted by applicants, may be used by the Department of Commerce in conducting reviews and evaluations of its financial assistance programs. For this purpose, applicant information and data may be accessed, reviewed, and evaluated by Department of Commerce employees, other Federal employees, and also by Federal agents and contractors, and/or by non-Federal personnel, all of whom enter into appropriate conflict of interest and confidentiality agreements covering the use of such information. As may be provided in the terms and conditions of a specific financial assistance award, applicants are expected to support program reviews and evaluations by submitting required financial and performance information and data in an accurate and timely manner, and by cooperating with the Department of Commerce and external program evaluators. Following 2 C.F.R. § 200.303(e), applicants are reminded that they must take reasonable measures to safeguard protected personally identifiable information and other confidential or sensitive personal or business information created or obtained in connection with a Department of Commerce financial assistance award.

**PERMITS.** It is the applicant's responsibility to obtain all permits and approvals from Federal, state, and local governments and private landowners where necessary for the proposed work to be conducted. If applicable, documentation of requests or approvals of environmental permits must be received by the NOAA Program Manager prior to release of funding. Failure to apply for and obtain Federal, state, and local permits, approvals, or letters of agreement may delay the award of funds if a project is otherwise selected for funding. In some cases, if additional permits and approvals are required after an application is selected, funds may be withheld by the NOAA Grants Officer under a specific award condition requiring the recipient to submit required permits and approvals.

**IMPLEMENTATION OF DOMESTIC SOURCING REQUIREMENT.** Prior to initiation of any construction that may arise in this award, the Recipient is required to inform the NOAA Grants Officer and the Federal Program Officer whether it is using iron, steel, manufactured products, or construction materials as described in the Specific Award Condition in this award on Required Use of American Iron, Steel, Manufactured Products, and Construction Materials. In addition, the Recipient is required to inform the NOAA Grants Officer and the Federal Program Officer whether those materials are produced or manufactured in the United States, or alternatively, it is requesting one or more waivers, as described in the award condition. The Recipient is required to coordinate with NOAA regarding its compliance with this Term.

**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 15% 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: Jennifer Jackson, NOAA Grants Management Division, [jennifer.jackson@noaa.gov](mailto:jennifer.jackson@noaa.gov).

## **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 applies to awards in this program. Refer to <http://go.usa.gov/SBYh> and <http://go.usa.gov/SBg4>.

**RESEARCH TERMS AND CONDITIONS.** For awards designated on the CD-450 as Research, the Commerce Terms, and the Federal-wide Research Terms and Conditions (Research Terms) as implemented by the Department of Commerce, currently, at <https://www.nsf.gov/awards/managing/rtc.jsp>, both apply to the award. The Commerce Terms and the Research Terms are generally intended to harmonize with each other; however, where the Commerce Terms and the Research Terms differ in a Research award, the Research Terms prevail, unless otherwise indicated in a specific award condition.

**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>.

**DEPARTMENT OF COMMERCE (DOC) TERMS AND CONDITIONS.** Successful applicants who accept a NOAA award under this solicitation will be bound by the DOC Financial Assistance Standard Terms and Conditions. This document will be provided in the award package in eRA at <http://www.ago.noaa.gov> and at <https://www.commerce.gov/oam/policy/financial-assistance-policy>.

**BUREAU TERMS AND CONDITIONS.** Successful applicants who accept an award under this solicitation will be bound by bureau-specific standard terms and conditions. These terms and conditions will be provided in the award package in NOAA's Grants Online system. For NOAA awards only, the Administrative Standard Award Conditions for National Oceanic and Atmospheric Administration (NOAA) Financial Assistance Awards U.S. Department of Commerce are applicable to this solicitation and may be accessed online at <https://www.noaa.gov/organization/acquisition-grants/financial-assistance>

**HUMAN SUBJECTS RESEARCH.** For research projects involving Human Subjects an Institutional Review Board (IRB) approval or an exemption determination will be required in accordance with DOC Financial Assistance Standard Terms and Conditions Section G.05.i "Research Involving Human Subjects" found at <https://www.commerce.gov/oam/policy/financial-assistance-policy>.

**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.

**FREEDOM OF INFORMATION ACT.** Department of Commerce regulations implementing the Freedom of Information Act (FOIA), 5 U.S.C. Sec. 552, 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 Notice of 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 that should be exempt from disclosure under FOIA, that information should be identified, bracketed, and marked as Privileged, Confidential, Commercial or Financial Information. In accordance with 15 CFR § 4.9, the Department of Commerce will protect from disclosure confidential business information contained in financial assistance applications and other documentation provided by applicants to the extent permitted by law.

**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.

**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. 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.

More information can be found on NOAA's Data Management Procedures at: [https://nosc.noaa.gov/EDMC/documents/Data\\_Sharing\\_Directive\\_v3.0\\_remediated.pdf](https://nosc.noaa.gov/EDMC/documents/Data_Sharing_Directive_v3.0_remediated.pdf) and at NAO 212-15 Management of Environmental Data and Information: <https://www.noaa.gov/organization/administration/nao-212-15-management-of-environmental-data-and-information>

**NOAA SEXUAL ASSAULT AND SEXUAL HARASSMENT PREVENTION AND RESPONSE POLICY.**

NOAA requires organizations receiving federal assistance to report findings of sexual harassment, or any other kind of harassment, regarding a Principal Investigator (PI), co-PI, or any other key personnel in the award.

NOAA expects all financial assistance recipients to establish and maintain clear and unambiguous standards of behavior to ensure harassment free workplaces wherever NOAA grant or cooperative agreement work is conducted, including notification pathways for all personnel, including students, on the awards. This expectation includes activities at all on- and offsite facilities and during conferences and workshops. All such settings should have accessible and evident means for reporting violations and recipients should exercise due diligence with timely investigations of allegations and corrective actions.

For more information, please visit: <https://www.noaa.gov/organization/acquisition-grants/noaa-workplace-harassment-training-for-contractors-and-financial>.



**SCIENCE INTEGRITY.** 1. Maintaining Integrity. The non-Federal entity shall maintain the scientific integrity of research performed pursuant to this grant or financial assistance award including the prevention, detection, and remediation of any allegations regarding the violation of scientific integrity or scientific and research misconduct, and the conduct of inquiries, investigations, and adjudications of allegations of violations of scientific integrity or scientific and research misconduct. All the requirements of this provision flow down to subrecipients. 2. Peer Review. The peer review of the results of scientific activities under a NOAA grant, financial assistance award or cooperative agreement shall be accomplished to ensure consistency with NOAA standards on quality, relevance, scientific integrity, reproducibility, transparency, and performance. NOAA will ensure that peer review of "influential scientific information" or "highly influential scientific assessments" is conducted in accordance with the Office of Management and Budget (OMB) Final Information Quality Bulletin for Peer Review and NOAA policies on peer review, such as the Information Quality Guidelines. 3. In performing or presenting the results of scientific activities under the NOAA grant, financial assistance award, or cooperative agreement and in responding to allegations regarding the violation of scientific integrity or scientific and research misconduct, the non-Federal entity and all subrecipients shall comply with the provisions herein and NOAA Administrative Order (NAO) 202-735D, Scientific Integrity, and its Procedural Handbook, including any amendments thereto. That Order can be found at <http://nrc.noaa.gov/ScientificIntegrityCommons.aspx>. 4. Primary Responsibility. The non-Federal entity shall have the primary responsibility to prevent, detect, and investigate allegations of a violation of scientific integrity or scientific and research misconduct. Unless otherwise instructed by the grants officer, the non-Federal entity shall promptly conduct an initial inquiry into any allegation of such misconduct and may rely on its internal policies and procedures, as appropriate, to do so. 5. By executing this grant, financial assistance award, or cooperative agreement the non-Federal entity provides its assurance that it has established an administrative process for performing an inquiry, investigating, and reporting allegations of a violation of scientific integrity or scientific and research misconduct; and that it will comply with its own administrative process for performing an inquiry, investigation, and reporting of such misconduct. 6. The non-Federal entity shall insert this provision in all subawards at all tiers under this grant, financial assistance award, or cooperative agreement.

**REVIEW OF RISK.** After applications are proposed for funding by the Selecting Official, the Grants Office will perform administrative reviews, including an assessment of risk posed by the applicant under 2 C.F.R. 200.206. 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 about any information concerning organizational performance listed in the Responsibility/Qualification section of SAM.gov for consideration by the awarding agency.



**REVIEWS AND EVALUATION.** The applicant acknowledges and understands that information and data contained in applications for financial assistance, as well as information and data contained in financial, performance and other reports submitted by applicants, may be used by the Department of Commerce in conducting reviews and evaluations of its financial assistance programs. For this purpose, applicant information and data may be accessed, reviewed and evaluated by Department of Commerce employees, other Federal employees, and also by Federal agents and contractors, and/or by non-Federal personnel, all of whom enter into appropriate conflict of interest and confidentiality agreements covering the use of such information. As may be provided in the terms and conditions of a specific financial assistance award, applicants are expected to support program reviews and evaluations by submitting required financial and performance information and data in an accurate and timely manner, and by cooperating with the Department of Commerce and external program evaluators. In accordance with §200.303(e), applicants are reminded that they must take reasonable measures to safeguard protected personally identifiable information and other confidential or sensitive personal or business information created or obtained in connection with a Department of Commerce financial assistance award.

**REQUIRED USE OF AMERICAN IRON, STEEL, MANUFACTURED PRODUCTS, AND CONSTRUCTION MATERIALS *Buy America Preference.*** Recipients of an award of Federal financial assistance from the Department of Commerce (Department) for a program for infrastructure are hereby notified that none of the funds provided under this award may be used for an infrastructure project unless: All iron and steel used in the project are produced in the United States - this means all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States; (1) All manufactured products used in the project are produced in the United States - this means the manufactured product was manufactured in the United States; and the cost of the components of the manufactured product that are mined, produced, or manufactured in the United States is greater than 55 percent of the total cost of all components of the manufactured product, unless another standard that meets or exceeds this standard has been established under applicable law or regulation for determining the minimum amount of domestic content of the manufactured product; and (2) All construction materials are manufactured in the United States - this means that all manufacturing processes for the construction material occurred in the United States. The construction materials standards are listed below.

*Incorporation into an infrastructure project.* The Buy America Preference only applies to articles, materials, and supplies that are consumed in, incorporated into, or affixed to an infrastructure project. As such, it does not apply to tools, equipment, and supplies, such as temporary scaffolding, brought to the construction site and removed at or before the completion of the infrastructure project. Nor does a Buy America Preference apply to equipment and furnishings, such as movable chairs, desks, and portable computer equipment, that are used at or within the finished infrastructure project but are not an integral part of the structure or permanently affixed to the infrastructure project.

*Categorization of articles, materials, and supplies.* An article, material, or supply should only be classified into one of the following categories: (i) Iron or steel products; (ii) Manufactured products; (iii) Construction materials; or (iv) Section 70917(c) materials. An article, material, or supply should not be considered to fall into multiple categories. In some cases, an article, material, or supply may not fall under any of the categories listed in this paragraph. The classification of an article, material, or supply as falling into one of the categories listed in this paragraph must be made based on its status at the time it is brought to the work site for incorporation into an infrastructure project. In general, the work site is the location of the infrastructure project at which the iron, steel, manufactured products, and construction materials will be incorporated.

*Application of the Buy America Preference by category.* An article, material, or supply incorporated into an infrastructure project must meet the Buy America Preference for only the single category in which it is classified.

*Determining the cost of components for manufactured products.* In determining whether the cost of components for manufactured products is greater than 55 percent of the total cost of all components, use the following instructions: (a) For components purchased by the manufacturer, the acquisition cost, including transportation costs to the place of incorporation into the manufactured product (whether or not such costs are paid to a domestic firm), and any applicable duty (whether or not a duty-free entry certificate is issued); or (b) For components manufactured by the manufacturer, all costs associated with the manufacture of the component, including transportation costs as described in paragraph (a), plus allocable overhead costs, but excluding profit. Cost of components does not include any costs associated with the manufacture of the manufactured product.

*Construction material standards.* The Buy America Preference applies to the following construction materials incorporated into infrastructure projects. Each construction material is followed by a standard for the material to be considered “produced in the United States.” Except as specifically provided, only a single standard should be applied to a single construction material.

(1) Non-ferrous metals. All manufacturing processes, from initial smelting or melting through final shaping, coating, and assembly, occurred in the United States. (2) Plastic and polymer-based products. All manufacturing processes, from initial combination of constituent plastic or polymer-based inputs, or, where applicable, constituent composite materials, until the item is in its final form, occurred in the United States. (3) Glass. All manufacturing processes, from initial batching and melting of raw materials through annealing, cooling, and cutting, occurred in the United States. (4) Fiber optic cable (including drop cable). All manufacturing processes, from the initial ribboning (if applicable), through buffering, fiber stranding and jacketing, occurred in the United States. All manufacturing processes also include the standards for glass and optical fiber, but not for non-ferrous metals, plastic and polymer-based products, or any others. (5) Optical fiber. All manufacturing processes, from the initial preform fabrication stage through the completion of the draw, occurred in the United States. (6) Lumber. All manufacturing processes, from initial debarking through treatment and planning, occurred in the United States. (7) Drywall. All manufacturing processes, from initial blending of mined or synthetic gypsum plaster and additives through cutting and drying of sandwiched panels, occurred in the United States. (8) Engineered wood. All manufacturing processes from the initial combination of constituent materials until the wood product is in its final form, occurred in the United States.

*Waivers* - When necessary, recipients may apply for, and the Department may grant, a waiver from these requirements. To help federal agencies and recipients meet BABA requirements, the U.S. Department of Commerce, National Institute for Standards and Technology (NIST), Hollings Manufacturing Extension Partnership (MEP) National Network™ provides a service to connect stakeholders, including recipients, to U.S. manufacturers that have relevant production capabilities and capacities to help fulfill current market and supply chain needs. Recipients considering a BABA non-availability waiver are strongly encouraged to contact the NIST/MEP for assistance with supplier scouting services prior to seeking a BABA non-availability waiver. Further information on the NIST/MEP supplier scouting services is available at: <https://nist.gov/mep/supply-chain/supplier-scouting>.

When the Department has made a determination that one of the following exceptions applies, the awarding official may waive the application of the Buy America Preference in any case in which the Department determines that: (1) applying the Buy America Preference would be inconsistent with the public interest (public interest waiver); (2) the types of iron, steel, manufactured products, or construction materials are not produced in the United States in sufficient and reasonably available quantities or of a satisfactory quality (nonavailability waiver); or (3) the inclusion of iron, steel, manufactured products, or construction materials produced in the United States will increase the cost of the overall project by more than 25 percent (unreasonable cost waiver).

A request to waive the application of the Buy America Preference must be in writing. The Department will provide instructions on the format, contents, and supporting materials required for any waiver request. Waiver requests are subject to public comment periods of no less than 15 days and must be reviewed by the Made in America Office.

There may be instances where an award qualifies, in whole or in part, for an existing waiver described on the Department's Build America, Buy America website found at <https://www.commerce.gov/oam/build-america-buy-america>.

### **C. Reporting**

In accordance with 2 CFR 200.328-9 and the terms and conditions of the award, financial reports are to be submitted semi-annually and performance (technical) reports are to be submitted semi-annually. Reports are submitted electronically through eRA.

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 FFATA Subaward Reporting System (FSRS) available at <https://www.fsr.gov/> on all subawards over \$30,000. Refer to 2 CFR Part 170.

The Federal Funding Accountability and Transparency Act, 31 U.S.C. 6101 requires recipients of applicable Federal grants and cooperative agreements to report information about first-tier subawards and executive compensation under Federal assistance awards. Such recipients must report to the FFATA Subaward Reporting System (FSRS) available at <https://www.fsr.gov/> on all subawards over \$30,000. See 2 CFR Part 170.

#### **Data Reporting Requirement**

1. Environmental data and information collected or created under NOAA grants or cooperative agreements must be made discoverable by and accessible to the general public, in a timely fashion (typically within two years), free of charge or at no more than the cost of reproduction, unless an exemption is granted by the NOAA Program. Data should be available in at least one machine-readable format, preferably a widely-used or open-standard format, and should also be accompanied by machine-readable documentation (metadata), preferably based on widely used or international standards.
2. Proposals submitted in response to this Announcement must include a Data Management Plan of up to two pages describing how these requirements will be satisfied. The 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, and/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 the 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.

## VII. Agency Contacts

For questions regarding this announcement contact the Cooperative Institutes Administrative Office (CIAO), OAR, NOAA at [cipo.oar@noaa.gov](mailto:cipo.oar@noaa.gov).

## VIII. Other Information

Not Applicable