

Climate Program Office (CPO), Climate and Societal Interactions (CSI) Division — Bipartisan Infrastructure Law (BIL)

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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: Climate Program Office (CPO), Climate and Societal Interactions (CSI) Division — Bipartisan Infrastructure Law (BIL)

Announcement Type: Initial

Funding Opportunity Number: NOAA-OAR-CPO-2023-2007771

Federal Assistance Listings Number: 11.431, Climate and Atmospheric Research

Dates: Letters of intent (LOIs) should be received by email by 5:00 p.m. Eastern Time on February 1, 2023

Full applications for ALL competitions must be received by 5:00 p.m. Eastern Time, on March 29th, 2023

Funding Opportunity Description: Threats from flooding and wildfire are some of the most significant risks of climate change facing communities in the U.S. and its territories. Since 2020, flooding and wildfire have caused over \$20 Billion in damages (NOAA National Centers for Environmental Information, U.S. Billion-Dollar Weather and Climate Disasters (2022)). These impacts are most acute in Frontline communities. Frontline communities are defined here as those communities who are the most vulnerable to and will be the most adversely affected by climate change and inequitable actions because of systemic and historical socioeconomic disparities, environmental injustices, or other forms of injustice. However, it is also understood that characterizing identity is inherently complex, changes over time, and is best defined by communities in their own terms. Communities must adapt in order to address the risks of climate change now and in the future. Accomplishing this requires improved understanding of the social conditions that create vulnerabilities, methodologies for including frontline communities in planning processes, inclusion of local knowledge and experiences, and pathways for successful implementation of adaptive actions, including through building community capacity. These types of information are foundational to delivering relevant, responsive, equitable and inclusive climate services, by generating a comprehensive picture of the complexity of community needs and how those needs can be best addressed. The goal of this Notice of Federal Funding Opportunity (NOFO) is to support collaborative research and community engagement projects that improve climate adaptation planning and action. Collaborative research and community engagement are defined here as the process of developing

trusted and sustained partnerships between scientists, decision-makers, and communities that lead to shared understandings of climate adaptation needs and the co-generation of credible and actionable climate knowledge to support community defined plans, including implementable solutions. Outcomes from this work will support and inform the identification of equitable and inclusive infrastructure investments that mitigate flooding and wildfire risks.

This initiative supports National Oceanic and Atmospheric Administration (NOAA) activities within the 2021 Bipartisan Infrastructure Law (BIL). Through BIL, NOAA aims to improve capabilities to better inform decisions to protect life and property, and mitigate flooding and wildfire impacts to the U.S. population and economy. Specifically, outcomes of grants funded through this opportunity will support national adaptive capacity by 1) generating new, locally relevant knowledge and strategies to reduce risks from flooding and wildfire in frontline communities, 2) testing and evaluating the scalability and transferability of existing methods of engagement and/or approaches for integrating social and interdisciplinary knowledge into climate adaptation planning for flooding and wildfire, and 3) piloting new methods of engagement and/or approaches for integrating social and interdisciplinary knowledge into climate adaptation planning for flooding and wildfire.

Through this NOFO, the Climate and Adaptation Partnerships program in the Climate and Societal Interactions (CSI) division of the Climate Program Office is soliciting applications for three competitions totaling approximately \$4.8 Million (approximately \$3.6 Million available in FY 22/23).

1. Improving Engagement Methods for Coastal Resilience Planning (approximately \$800,000 available)
2. Assessing Tradeoffs and Co-Benefits for Complex Decision-Making in Communities Facing Coastal Inundation and/or Inland Flooding (approximately \$1,870,000 available)
3. Identifying Complex Interactions between Social Infrastructure and Wildfire Risks to Improve Community Adaptive Capacity (approximately \$930,000 available)

Competitions 1, 2, & 3 support collaborative activities that leverage the Climate Adaptation Partnerships (CAP) program, formerly the Regional Integrated Sciences and Assessments (RISA) program. Projects will work across existing CAP/RISA teams and expansion activity regions, to test, scale, and transfer knowledge to build national adaptation capacity. The Principal Investigator of the proposal must be a member of a current CAP/RISA team, see section I.B. for additional information on eligibility and team composition requirements. CAP/RISA is a network of regionally focused and applied research and engagement teams with over 25 years of experience building local capacity to adapt to climate impacts. CAP/RISA teams possess extensive knowledge of the key physical, social, cultural, and economic dynamics associated with climate risks and opportunities, and have developed

innovative and transformative solutions to build adaptive capacity within their regions, making them credible sources of knowledge and support for partners. As long term, place-based NOAA investments, CAP/RISA teams have had the time to develop sustained and trusted relationships with decision-makers and community members at the frontline of climate impacts.

FULL ANNOUNCEMENT TEXT

I. Funding Opportunity Description

A. Program Objective

Threats from flooding and wildfire are some of the most significant risks of climate change facing communities in the U.S. and its territories. Since 2020, flooding and wildfire have caused over \$20 Billion in damages (NOAA National Centers for Environmental Information, U.S. Billion-Dollar Weather and Climate Disasters (2022)). These impacts are most acute in Frontline communities. Frontline communities are defined here as those communities who are the most vulnerable to and will be the most adversely affected by climate change and inequitable actions because of systemic and historical socioeconomic disparities, environmental injustices, or other forms of injustice. However, it is also understood that characterizing identity is inherently complex, changes over time, and is best defined by communities in their own terms. Communities must adapt in order to address the risks of climate change now and in the future. Accomplishing this requires improved understanding of the social conditions that create vulnerabilities, methodologies for including frontline communities in planning processes, inclusion of local knowledge and experiences, and pathways for successful implementation of adaptive actions, including through building community capacity. These types of information are foundational to delivering relevant, responsive, equitable and inclusive climate services, by generating a comprehensive picture of the complexity of community needs and how those needs can be best addressed. The goal of this Notice of Federal Funding Opportunity (NOFO) is to support collaborative research and community engagement projects that improve climate adaptation planning and action. Collaborative research and community engagement are defined here as the process of developing trusted and sustained partnerships between scientists, decision-makers, and communities that lead to shared understandings of climate adaptation needs and the co-generation of credible and actionable climate knowledge to support community defined plans, including implementable solutions. Outcomes from this work will support and inform the identification of equitable and inclusive infrastructure investments that mitigate flooding and wildfire risks.

This initiative supports National Oceanic and Atmospheric Administration (NOAA) activities within the 2021 Bipartisan Infrastructure Law (BIL). Through BIL, NOAA aims to improve capabilities to better inform decisions to protect life and property, and mitigate flooding and wildfire impacts to the U.S. population and economy. Specifically, outcomes of grants funded through this opportunity will support national adaptive capacity by 1) generating new, locally relevant knowledge and strategies to reduce risks from flooding and wildfire in frontline communities, 2) testing and evaluating the scalability and transferability

of existing methods of engagement and/or approaches for integrating social and interdisciplinary knowledge into climate adaptation planning for flooding and wildfire, and 3) piloting new methods of engagement and/or approaches for integrating social and interdisciplinary knowledge into climate adaptation planning for flooding and wildfire.

Climate and Societal Interactions Division

The Climate and Societal Interactions Division (CSI) has traditionally been a home for high-impact science, catalyzing some of the earliest U.S. government investments in regionally scaled, societally relevant, interdisciplinary climate research and engagement focused on reducing vulnerability and risk through the use of climate knowledge and information. Today, CSI continues to work with partners to enhance community and national resilience in the face of climatic changes, through human-centered research and engagement activities designed to connect innovative science directly to complex and dynamic preparedness, adaptation, and resilience challenges. Programs managed by CSI are a key component of NOAA's cutting-edge research enterprise, which has evolved over time to include the private sector, NGOs, interdisciplinary teams and the social sciences at large. CSI includes the Adaptation Sciences (AdSci) research program, which helps advance the knowledge, methods, and frameworks needed to move society beyond incremental adaptation toward more widespread, connected, adaptive pathways and resilience strategies with clear economic and societal co-benefits (learn more about AdSci at <https://cpo.noaa.gov/Divisions-Programs/Climate-and-Societal-Interactions/The-Adaptation-Sciences-Program>), and the Climate Adaptation Partnerships Program (CAP) described below.

Applicants and awardees are strongly encouraged to support the principles of justice, equity, diversity, and inclusion (JEDI) when writing their proposals and while performing their work. Ensuring justice and equity means paying particular attention to populations most vulnerable to the impacts of climate change, which are often low-income communities, historically marginalized communities, indigenous and tribal communities, those already overburdened by pollution, those who lack economic or social opportunity, and people facing disenfranchisement. Diversity here is defined as a collection of individual attributes that together help organizations achieve objectives. Inclusion is defined as a culture that connects each person to the larger organizing structure. Promoting JEDI improves the creativity, productivity, and vitality of the communities in which the program engages.

NOAA Climate Adaptation Partnerships (CAP) Program

The Climate Adaptation Partnerships (CAP) Program, formally the Regional Integrated Sciences and Assessments (RISA) Program, is an applied research and engagement program that expands society's regional capacity to adapt to climate impacts in the U.S. The

CAP/RISA program supports sustained, collaborative relationships that help communities build lasting and equitable climate resilience. Funded by 5-year cooperative agreements with NOAA, the work is accomplished by teams of research institutions, nonprofit organizations, and state/local/Tribal governments in multi-state regions. CAP/RISA teams engage in a variety of applied and co-developed research and partnerships with communities. A central tenet of the CAP/RISA program is that learning about climate adaptation and resilience is facilitated by and sustained across a wide range of experts, practitioners, and the public. Learning about and doing adaptation happens within social contexts. As such, the CAP/RISA program supports networks of people working together to plan for and adjust to change using science and local knowledge.

Early decades of the program focused on understanding the use of climate information at regional scales (e.g., through experimental seasonal outlooks), improving predictions and scenarios, building capacity for drought early warning, and advancing the science of climate impact assessments. Much of this work is now the focus of other federal programs. More recently, emphasis has shifted to address the growing urgency to advance approaches that tackle the complex societal issues surrounding adaptation planning, implementation, and building community resilience that incorporate the intersection of multiple natural hazards and social stressors. To do so, CAP/RISA continues to prioritize collaborative approaches that incorporate multiple knowledge sources and integrate social, physical, and natural science, resulting in long-term support of and increased capacity for communities. In addition, CAP/RISA supports cutting-edge social science on the impacts of climate change on communities, challenges and opportunities for adaptation, and inclusive methods of engagement. As the adaptation community in the United States advances and evolves, CAP/RISA seeks to support new creative, solution-oriented approaches that are both responsive to communities and that integrate across silos of scientific knowledge and expertise. Central to achieving the CAP/RISA mission are:

- Regional Relevance, Local Expertise
- Integrated Scientific Approaches
- Knowledge-to-Action Partnerships
- A National Network of Resilience Researchers and Adaptation Science Specialists

Learn more about CAP/RISA here: <https://cpo.noaa.gov/Divisions-Programs/Climate-and-Societal-Interactions/RISA/About-RISA>

B. Program Priorities

Proposals for all competitions in this NOFO should focus on the inclusion and relevance of their work to frontline communities in order to ensure benefits such as data, tools and

other products are equitably produced and received. Applicants should work with community partners to ensure they are involved in and benefit from the project. Projects in all competitions must identify at least one community partner and ensure adequate resources, including financial resources, are available to enable their full participation, including project scoping work. Proposals should identify not only the local impacts of their work, but also the broader anticipated outcomes of their work including their potential to inform climate adaptation planning and infrastructure solutions.

Proposals should incorporate the principles of Justice, Equity, Diversity and Inclusion (JEDI) into their applications. To do so, applicants should consider the following factors when developing their projects:

- *The vulnerabilities and disproportionate impacts of climate change on frontline communities including economically disadvantaged communities, historically marginalized communities, indigenous and tribal communities, and rural communities.

- *Communities, towns, or neighborhoods under-resourced and underserved by technical, financial, and/or human resources (e.g. communities too small to qualify for FEMA grants) to address climate risks and vulnerabilities.

- *The role of researchers and practitioners in carrying out work in ways that acknowledge existing legacies of social and environmental inequities and supporting actions that address them, including but not limited to the inclusion and compensation of frontline community members in setting project priorities.

- *Regional diversity expressed in the team structure, roles and responsibilities, team decision making approaches, institutional roles, and broader networks and partnerships.

- *Team contributions to a diverse, next-generation climate adaptation workforce through training, mentorship, education, and other means and by engaging with students and early career professionals.

Cross-CAP/RISA Priorities

Successful proposals to these competitions must leverage expertise across CAP/RISA team and expansion activity regions to test, scale, and transfer knowledge to build national adaptation capacity. Through this set of projects, applicants will work together across regions with comparable adaptation challenges, climate threats, communities, or governance structures to share and develop knowledge, approaches, and solutions that have potential for scalability across the nation and provide outcomes for local communities.

The Principal Investigator (PI) on a proposal must be a team member in a currently-funded CAP/RISA regional team (see <https://cpo.noaa.gov/Divisions-Programs/Climate-and->

Societal-Interactions/RISA/RISA-Teams#739083-risa-teams for a list of current CAP/RISA teams). Additionally, proposals must include Co-PIs from at least one additional CAP/RISA team and/or from CAP/RISA expansion geographies. Expansion geographies include the Central Midwest (Iowa, Nebraska, Missouri, Kansas), the Upper Northeast (Maine, New Hampshire, Vermont, western Massachusetts, and upstate New York), Appalachia (West Virginia, eastern Kentucky, eastern Tennessee, and mountainous areas of western North Carolina, western Virginia, and southern Ohio) and the Southeast (Florida, Georgia, Mississippi, Alabama and Tennessee). Collaborators from CAP/RISA expansion activity areas need not be current CAP/RISA project PIs. Additional collaborators must include a local community partner from the geographies included in the proposal. For additional information on eligibility see Section C.III.A.

Competition specific guidelines for all three competitions are as follows:

1. Improving Engagement Methods for Coastal Resilience Planning:

The goal of this initiative is to evaluate and improve engagement methods to support comprehensive planning activities related to coastal climate resilience and implementable climate adaptation solutions related to flooding and inundation. CAP/RISA teams will collaborate, across regions, to assess how a variety of engagement approaches can be applied broadly to coastal communities throughout the Nation. This is an essential step to supporting communities with the most effective, relevant, and appropriate engagement approaches. Engagement methods refer to those processes that build partnerships with communities, incorporate local knowledge sources, and integrate social, physical, and natural science information, to co-develop, co-produce, and co-manage research, planning, and other related activities. Past CAP/RISA work has developed and implemented successful engagement activities at the local and regional scale. This work has included collaborative adaptation scenario planning between research teams, local officials, and residents; facilitation of community listening sessions; effective communication of mapping and modeling work; and more. These efforts have led to increased understanding of localized flood and inundation risks by residents and decision makers, and have identified necessary information gaps to fill to address stakeholder concerns in coastal adaptation and resilience planning efforts. There is a need to understand how scaleable these methods are across regions and communities and to evaluate how locally driven interests can be coupled with transferable methods for engagement. Furthermore, as new ideas for engagement emerge it is essential to test their efficacy across different scenarios to assess their potential for transferability. Projects in this initiative might:

*Improve adaptation planning approaches through engagement with coastal communities, and/or;

*Test the transferability and scalability of established engagement methods to communities

in other coastal regions with comparable populations and/or flooding and inundation risks, and/or;

*Develop mechanisms to measure the efficacy of engagement strategies across different communities to identify which aspects of the method are transferable and which aspects need to be adjusted for context, and/or;

*Develop new engagement methods that address complex risks of coastal flooding and inundation with broad applicability across coastal communities, especially for populations that have been excluded by traditional engagement methods.

Successful projects should leverage existing CAP/RISA expertise to:

*Develop trusted relationships among researchers, decision makers, and community members, where coastal flooding and inundation from the complex interactions between sea level rise, storm surge, high tide flooding, Great Lakes water level fluctuations, flooding due to heavy rainfall, and/or other coastal flooding risks across time scales interact with communities.

*Develop pathways and opportunities for facilitating discussions related to complex coastal risks that include multiple forms of relevant data on potential impacts, decisions, and evaluation of planning strategies or adaptive actions.

*Utilize relevant data and tools (from NOAA or other sources) that provide stakeholder/community desired information across timescales (subseasonal to annual to interannual) and, where relevant, are informed by coastal (including the Great Lakes) water and precipitation models, flooding forecasts, maps, and models, as well as localized, social, cultural and economic factors.

*Ensure local communities benefit from projects.

*Leverage existing or provide opportunities for dialogue with relevant operational agencies (for example: United States Army Corps of Engineers, Federal Emergency Management Agency, NOAA's National Ocean Service, NOAA's National Weather Service, and state coastal management agencies), and/or;

*Evaluate and assess the transferability and scalability of methods including the outcomes and outputs of the engagement exercises themselves, and the fit to the community (or types of communities) for potential for further implementation.

Outcomes from these projects will improve national adaptive capacity not only by facilitating locally relevant engagement processes that benefit local communities, but also by generating, through rigorous testing and evaluation, new knowledge and frameworks for researchers, decision-makers, communities and other stakeholders to design and implement engagement processes that are relevant to their region and facilitate usable outcomes.

2. Assessing Tradeoffs and Co-Benefits for Complex Decision-Making in Communities Facing Coastal Inundation and/or Inland Flooding:

The goal of this initiative is to develop new or improved approaches for identifying and assessing tradeoffs and co-benefits of flood mitigation infrastructure options in communities impacted by coastal inundation and/or inland flooding. CAP/RISA teams will collaborate, across regions, to enhance the integration of social, economic, and physical information and knowledge to contribute to climate adaptation and infrastructure planning that is equitable and identifies solutions that are fiscally implementable. Past CAP/RISA work has assessed the compound effects of precipitation and sea level extremes on coastal inundation to advance understanding, support knowledge exchange, and inform the development of local plans and policies. This work has highlighted the multiple and varied sources of flood risks as well as the complexity of bringing together knowledge of flooding impacts over time for communities, natural resources, and critical infrastructures. This demonstrates the challenges decision-makers face when trying to weigh the needs and vulnerabilities of different stakeholders, across multiple time scales, in order to identify solutions that are beneficial in diverse ways and reduce overall risks and burdens over time. Central to these discussions are understanding the tradeoffs of different approaches, the potential for co-benefits to different communities and stakeholders these approaches might offer, and the ways cost and financial pathways impact these discussions and assessments. CAP/RISA has identified the need for more exploration on how to couple these different forms of information and knowledge to identify and successfully implement solutions. Projects in this initiative might:

- *Develop specific support for place-based decision making related to flood mitigation infrastructure, and/or;

- *Generate new or improved approaches for integrating social, economic, and physical data (including engineering and design, and qualitative data sources like oral histories), to support the identification of regional and community vulnerabilities to floods, needs, and assets, over a variety of times scales, that can inform decisions on where and how to make equitable infrastructure investments, and/or;

- *Create transferable frameworks for integrating social, economic, and physical data (including engineering and design and qualitative data sources like oral histories), to evaluate potential solutions and identify tradeoffs and co-benefits of solutions to support equitable and implementable infrastructure investments.

Successful projects should leverage existing CAP/RISA expertise to:

- *Consider a multitude of data sources to understand a variety of flood impacts (including, but not limited to, risks from sea level rise, storm surge, high tide flooding, Great Lakes water level fluctuations, flooding due to heavy rainfall) on community infrastructure and resources, particularly in frontline communities, and/or;

- *Integrate social, economic, and physical knowledge and data with information on how

communities and decision makers consider costs, valuations, benefits, tradeoffs, and co-benefits of a variety of infrastructure solutions (including nature-based solutions /green-gray infrastructure, and hard infrastructure), and/or;

*Identify potential fiscal policy pathways and mechanisms and/or funding sources in order to determine the course for implementing future infrastructure investments, and/or;

*Ensure local communities benefit from projects.

Outcomes of these projects will improve national adaptive capacity by informing flood risk management decisions locally, as well as by developing new and enhancing existing frameworks and/or approaches, to better integrate social and economic data with physical, data related to infrastructure solutions, precipitation data, and flood mapping and modeling. This intersection is central to understanding the complexity of community vulnerability and support implementable decision-making for infrastructure investments over the short- and long-term.

3. Identifying Complex Interactions between Social Infrastructure and Wildfire Risks to Improve Community Adaptive Capacity:

The goal of this initiative is to advance actionable knowledge of the interactions between wildfire risk and social infrastructures in order to develop relevant solutions to improve climate resilience and reduce wildfire risk in frontline communities. CAP/RISA teams will collaborate, across regions, to improve understanding of and communication about the relationships between longterm and complex wildfire risks, social infrastructure and mitigation efforts in order to build local adaptive capacity. Complex wildfire risks include the acute and chronic impacts of fire, smoke, heat, and air quality as both cascading and compounding hazards, which also couple with and exacerbate existing social and economic vulnerabilities. Social infrastructures are defined here as the variety of structures that support social connections. This can include physical infrastructures that connect people and services like roads, utilities, housing, hospitals that support socio-economic well- being; the structures that provide social services, like health care, child care, employment opportunities, insurance, and safety measures; and the structures that provide social relations like language access, families or religion.

Past CAP/RISA work has highlighted the inequitable and continuous risks to frontline communities from wildfires. This work has demonstrated a gap in understanding the continuous social and economic impacts of wildfires, the contexts that lead to increased vulnerability or that facilitate or hinder climate adaptation planning and implementation. Other outcomes include understanding the success of community-led wildfire responses and the impacts of sector specific resilience planning to enhance mitigation measures and reduce negative impacts. Projects in this initiative might:

*Generate methodologies to depict and/or effectively communicate community wildfire risk profiles (such as rural, semi-urban, suburban and urban environments) that integrate social and economic stressors and enhance awareness that wildfire risks need to be managed in the face of a changing climate.

*Improve knowledge and strategies to promote behavior changes that enhance the capacity of communities (including homeowners) to undertake mitigation actions that address wildfire risks.

*Identify opportunities and challenges for financing the implementation of wildfire mitigation actions (technical assistance, tax policies, insurance, etc.).

*Analysis to help understand the decision context, relevant networks, and pathways of influence to support wildfire risk mitigation actions.

Successful projects should leverage existing CAP/RISA expertise to:

*Improve capacity for local to regional planning, including access to information on wildfire risk at relevant scales and capabilities to promote alignment across local and regional plans that impact wildfire mitigation, and/or;

*Develop community-led adaptation and resilience planning and related outreach and education materials, and/or;

*Convene community leaders across different geographies to share experiences and plans, and learn from each other about the intersection of the changing nature of wildfire risk and infrastructure, and/or;

*Provide opportunities for participation with relevant operational agencies (for example the Federal Emergency Management Agency, the Department of Housing and Urban Development, the Economic Development Administration, the Department of Energy, the U.S. Forest Service, and NOAA's National Weather Service), and/or;

*Ensure local communities benefit from projects.

Outcomes of this work will enhance national adaptive capacity through improved understanding and communication of the disproportionate impacts of wildfires in frontline communities and what mitigation actions can reduce the disparities of social and physical infrastructure impacts at both local and cross-regional scales.

C. Program Authority

49 U.S.C. 44720(b), 15 U.S.C. 2904, 15 U.S.C. 2931-2934

II. Award Information

A. Funding Availability

Funding for programs listed in this notice is contingent upon the availability of continuing Congressional appropriations

1. Improving Engagement Methods for Coastal Resilience Planning - Proposals can request up to \$500,000 total, for project performance periods of up to 4 years. It is anticipated that 2-4 awards will be made.

2. Assessing Tradeoffs and Co-Benefits for Complex Decision-Making in Communities Facing Coastal Inundation and/or Inland Flooding - Proposals can request up to \$475,000 total for project performance periods of up to 4 years. It is anticipated that up to 3-5 awards will be made.

3. Identifying Complex Interactions between Social Infrastructure and Wildfire Risks to Improve Community Adaptive Capacity - Proposals can request up to \$475,000 total for project performance periods of up to 4 years. It is anticipated that 2-3 awards will be made.

B. Project/Award Period

Projects for all three competitions are expected to last 4 years.

C. Type of Funding Instrument

The funding instrument for awards in all competitions will be a cooperative agreement. For cooperative agreements, it is anticipated that program managers will be substantially involved in the implementation of these projects. Examples of substantial involvement may include, but are not limited to, collaboration with Federal scientists and the participation of detailed Federal personnel to work on proposed projects, frequent communication on findings and progress between teams, primary investigators, and program managers, participation in communities of practice, and reporting per BIL requirements. Cooperative agreements made as a result of these competitions might also include yearly progress reports per the CAP/RISA template and metrics, submissions to the CAP/RISA project database, and participation of CAP/RISA investigators in CAP/RISA cross-network meetings, workshops, and monthly calls. Funding for contractual arrangements for services and products for delivery to NOAA is not available under this announcement.

III. Eligibility Information

A. Eligible Applicants

Eligible applicants are institutions of higher education, other nonprofits, commercial organizations, international organizations, and state, local and Indian tribal governments.

Federal agencies or institutions are not eligible to receive Federal assistance under this notice.

In addition to the eligibility guidelines listed above, lead PIs must be team members in current CAP/RISA teams. See <https://cpo.noaa.gov/Divisions-Programs/Climate-and-Societal-Interactions/RISA/RISA-Teams#739083-risa-teams> for a list of current CAP/RISA teams.

B. Cost Sharing or Matching Requirement

All CPO programs have no cost sharing or matching requirements.

C. Other Criteria that Affect Eligibility

None.

IV. Application and Submission Information

A. Address to Request Application Package

Application packages are at grants.gov. For applicants without Internet access, please contact the CPO Grants Manager Diane Brown by mail at NOAA Climate Program Office (R/CP1), SSMC3, Room 12734, 1315 East-West Highway, Silver Spring, MD 20910 to obtain an Application Package.

B. Content and Form of Application

1. Letter of Intent (LOI)

The purpose of the LOI process is to provide information to potential applicants on the relevance of their proposed project to the competition in advance of preparing a full application. Full applications will be encouraged only for LOIs deemed relevant. Applicants who have not submitted an LOI or have not been encouraged may still submit a full application. LOIs are strongly encouraged.

LOIs should be submitted by email by the deadline specified in section IV.D below. Please email LOIs to oar.cpo.risa@noaa.gov. Include the competition number (1-3) in the email title. The LOI should provide a concise description of the proposed work and a statement regarding its relevance to the targeted competition. The LOI should be no more than 4 pages in length. LOIs should include the items listed below. If these items are not included or the LOI is submitted late, the LOI may not be considered:

-Competition name

- A tentative project title
- Name(s) and institution(s) of the Lead Principal Investigator(s) and other Principal Investigator(s)
- Email contact for Lead Principal Investigator
- Statement of the projects focus
- Brief summary of work to be completed and methodologies to be used
- Relevance to BIL and the competition that is being targeted
- CAP/RISA teams or expansion regions involved and why
- List of potential community partners and anticipated/possible benefits
- Approximate cost of the project

A response to the LOI from the Competition Manager (e-mail or letter) will be sent to the investigator within four weeks after the LOI's due date either encouraging or discouraging a full application based on its relevance to the targeted competition. It is then entirely up to the investigator whether to submit a full application.

2. Full Application

Failure to comply with these provisions will result in applications being returned without review.

All proposals must be single spaced, using 12-point font type with one-inch margins on standard 8.5 by 11 inch paper. Proposals must include the following components:

- Title Page
- Abstract
- Results from Prior Research
- Project Narrative/Statement of Work
- References
- Statement on Integration of Justice, Equity, Diversity, and Inclusion
- Data/Information Sharing Plan
- Letters of Support (Optional)
- CAP/RISA team participation letter
- Budget Narrative
- Budget Table
- Federal Budget Forms
- Indirect Cost
- Vitae
- Current and Pending Support

The full proposal and Indirect Cost Rate Agreement (IDCRA) should be put into one

electronic file. The budget table/justification should be submitted in a file labeled budget narrative. The Federal Forms (SF424, SF424A, SF424B, CD511) and other mandated forms should be inserted in separate files when submitted to grants.gov and are not included in the page count.

SF-424B, Assurances – Non-Construction Programs. The SF-424B is required for all applicants that have not updated their System for Award Management (SAM.gov) entity registration since February 2, 2019 to include the Federal financial assistance certifications and representations (certs and reps). If an applicant has updated their SAM.gov entity registration since February 2, 2019 to include the certifications and representations, then the SF-424B is not required."

The following forms and elements are required in each application, unless otherwise noted.

(1) Title page (one page): The title page must identify the Principal Investigator(s) (PI) and institutional representative, and clearly indicate which competition is being addressed by name and competition number. The title page should also include all co-PIs from Federal Institutions. If more than one investigator is listed on the title page, please identify the lead investigator. The lead PI and institutional representative should be identified by: full name, title, organization, telephone number, email, and address. The title page must include the names of all CAP/RISA teams and/ or expansion geography partners participating in the project. For paper submissions, the lead PI and the institutional representative must sign the title page. The total amount of Federal funds being requested should be listed for each budget year period.

(2) Abstract (one page): The abstract must be included and should contain the project title, an introduction to the problem, rationale, and a brief summary of the work to be completed. Abstracts must identify the name of the competition that is being targeted and must also include a paragraph describing the work's broader impacts and relevance to the competition that is being targeted.

(3) Results from prior research (two pages): The results of each prior research project led by the Principal Investigator(s) only during the last three years relevant to the proposed effort should be summarized in brief paragraphs. Because NOAA believes it is important that data sets developed with its support should be shared with the scientific community, PIs should also indicate how and when they have made their data accessible and usable by the community in the past.

(4) Project Narrative/Statement of Work:

The statement of work for all competitions is limited to 12 pages including figures. References are not counted towards the total page limit.

The Statement of Work should include:

1. Identification of the problem and decision context. Describe the major climate risks and related adaptation challenges in the region(s) and key gaps in addressing them. Explain the approach the project is taking to understand and/or address the identified challenges. Projects should explain how the project leverages CAP/RISA expertise across regions to meet a broader, cross regional, need for scalable solutions.

2. Description of the proposed project. Include the goals and objectives for the project, their relevance to BIL, their proposed methodology, community relevance, engagement strategies, and partnerships. This section should include a description of past work by the CAP/RISAs to be leveraged, transferred, or tested in a new region. This must include any past evaluation or success of the method and a justification for its fit to a new region.

3. Expected outcomes of the proposed project(s). Describe the scientific and societal contribution or advancement that each project will enable and the outcomes for local communities. How is this project moving regional adaptation forward? What is the plan for producing actionable information or outputs and which decisions will be influenced? How will this project give insight into infrastructure decision making? What are the direct and indirect benefits received by communities and individuals participating in the project? What are the metrics of success and how will you evaluate project and team outcomes? Include a description of how projects will communicate outcomes both at the community level and at a broader national or scientific level.

4. Project Management Plan. Describe the processes used to manage research team decisions and activities, the role of community partners in the project, and articulate how the management and leadership of the team will have mechanisms in place to allow projects to evolve as regional and partner needs emerge. This section should consider conflict resolution approaches both for team members and with external partners.

5. Societal benefits of the proposed project(s). Describe how this work will contribute to the well-being of society, particularly in expanding the capacity of people to adapt to climate impacts, and how you will measure or evaluate those contributions. Consider expected changes in capacities, behaviors, practices, policies, guidance, rules, regulations, standards, understanding, use of information, attitudes, and/or budget allocations as a result of proposed work.

(5) Statement on Justice, Equity, Diversity, and Inclusion (three pages):

Applicants are required to submit a statement on justice, equity, diversity, and inclusion

summarizing the role of the research team and the proposed activities in promoting JEDI in order to maximize transparency, accountability, and follow-through with collaborators and research participants. Applicants should show their proposed efforts prioritize benefits to

frontline communities. Where applicants are working, or are planning to work, with frontline communities, they should provide an overview of anticipated benefits that can be supported by measurable metrics and describe how the identified frontline communities will benefit from the work. Specifically, the statement must include:

1. A summary description of how the project has incorporated the principles of JEDI to broaden the participation of underrepresented groups, consider injustices, remove barriers to action, and create the conditions needed for frontline communities to adapt and thrive. Summarize where the project has integrated JEDI considerations into the research team composition, institutional partnerships, community partners, focus areas, and approaches employed in the proposed work. Include goals and metrics for assessing and adjusting JEDI efforts. See section I.B. for more information on JEDI considerations in the CAP/RISA program.

2. Identification of the frontline communities to which the anticipated project benefits will flow. Please be as specific as possible (include geographic identifiers at the lowest applicable scale, for example zip code, if applicable). Applicants are encouraged, but are not required, to use the White House's Climate and Economic Justice Tool (CEJST), find the tool here, <https://screeningtool.geoplatform.gov/en/#3/33.47/-97.5>.

3. Identification of Applicable Benefits for frontline communities. For the purpose of this initiative, which centers on engaged and collaborative research, direct benefits refer to those benefits directly received by communities including, but not limited to, financial resources, capacity building, plans, assessments, technical assistance, etc. Indirect benefits refer to those "spillover" benefits that have the potential to inform practices and policy that positively impact frontline communities, but are not received directly by them. These might include methods of data collection or engagement that more equitably involve frontline community members, uses of data and other information that include and/or highlights injustices within frontline communities, regional assessments that include frontline communities, etc. Benefits should be measurable and trackable.

4. A description of how anticipated benefits are expected to flow to frontline communities, with consideration of both direct and indirect benefits. For example, if a direct benefit is a risk assessment or a communications plan, how will that be made available and usable to the specific community? If the project generates indirect benefits, like new information on how to better include frontline communities in adaptation planning, how will that information flow from the project and potentially influence how other frontline communities engage in adaptation planning?

(6) Data/Information Sharing Plan (two pages):

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

(7) Letters of Support (Optional)

Letters of Support are not required. However, up to 5 letters may be submitted and can be used to supplement information included in the Full Proposal, and they will be taken into consideration when evaluating the proposal if submitted as part of the application. When collecting letters of support, applicants should prioritize partners whose terms of engagement and participation are already well developed or in the process of developing. Potential partners or partners at the very early stages of engagement should be described in the narrative as part of the proposal's engagement strategy.

(8) CAP/RISA Teams Participation Letters

All submissions must include a letter from the Lead PIs or Program Managers (PMs) of the relevant CAP/RISA teams, stating that the proposed project PIs are members of the team and that this project has been evaluated by teams' leadership for relevance to the teams' portfolios and cross-regional transferability.

(9) Budget Table and Narrative:

Budget Table: An itemized budget for all years and a total itemized budget must be included as a separate spreadsheet that breaks down the budget per object class category. Travel must be itemized to include destination, airfare, per diem, lodging, and ground travel.

Budget Narrative: A brief description of the expenses listed on the budget table and how they address the proposed work must be included. Item justifications must include salaries, equipment, publications, supplies, tuition, travel, etc. Costs for community engagement, including honorarium, capacity building, direct support etc. should be identified.

Investigators who will not be requesting funds for salaries must also be listed, indicating their estimated time of commitment. Purchases of equipment greater than \$5,000 must include a purchase versus lease justification.

A budget table and budget narrative should be included for all subawards (if applicable). If budget narratives are included for multiple subawards, include a summary narrative that describes the distribution of funds across subawards and what activities and team members each subaward is funding. This summary narrative will be used by reviewers to know which subaward to examine for specific budget questions related to the statement of work.

Duplicate work with different federally funded projects, commonly referred to as "double

dipping", is not permitted. As stated in the Code of Federal Regulations, more specifically, Subpart E- Cost Principles, 200.430 (i-vii), Standards for Documentation of Personnel Expenses. "Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed." Additionally, "Reasonably reflect the total activity for which the employee is compensated by the non-Federal entity, not exceeding 100% of compensated activities.

(10) Federal Budget Forms: Budget numbers corresponding with the descriptions contained in the statement of work and budget table must be included. In addition to including the total budget on the SF424, the application must include the total budget and budgets for individual years (if multiple years awards are relevant to the competition) in separate columns in Section B on page 1 on the SF424A. (Note that this revised 424A Section B format is a NOAA requirement that is not reflected in the Instructions for the SF 424A).

(11) Indirect Costs: A copy of the institution's current Indirect Cost Rate Agreement (IDCRA) must be included. The IDCRA does not, however, count as part of the required page limit. To obtain an indirect cost rate if your institution does not already have one, a grantee 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 part of the page limit.

(12) Vitae: curriculum vitae of no more than two pages each are requested with each application for lead Principal Investigators and Co-Principal Investigators. Reference lists should be limited to all publications in the last three years with up to five other relevant papers.

(13) Current and pending support: For each lead Principal Investigator and Co-Principal Investigator(s), submit a list of all current and pending Federal support that includes project title, supporting agency with grant number, investigator months per year, dollar value, and duration. Requested values should be listed for pending support.

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

Excerpt 2 CFR 200 Appendix I.D.3: Each applicant (unless the applicant is an individual or Federal awarding agency) that is excepted 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.

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 https://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.

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

Letters of intent (LOIs) should be received by email by 5:00 p.m. Eastern Time on February 1, 2023

Full applications for all competitions must be received by 5:00 p.m. Eastern Time, on March 29th, 2023

E. Intergovernmental Review

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

F. Funding Restrictions

Fees and profits are disallowed.

G. Other Submission Requirements

All applications should be submitted through grants.gov. If an applicant does not have Internet access, CPO Grants Manager Diane Brown should be contacted by mail at NOAA Climate Program Office (R/CP1), SSMC3, Room 12734, 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

1.a. Importance/Relevance and Applicability of Application to the Program Goals
(Relevance Review Weight = 70%,) (Final Weight= 28%)

This criterion ascertains whether there is intrinsic value in the proposed work and relevance to CAP/RISA, BIL goals, partners, and decision makers across any of the following levels: federal, tribal, regional, state, or local. This includes: 1) importance and relevance to the priorities of the competition the proposed work is applying to; 2) the significance of the project or the intellectual contribution; 3) the PI's record of making their data accessible and useable by the scientific and planning community in the past, and the procedures described in Section IV.B Data/Information Sharing Plan; and 4) the applicant's approach for engaging with decision makers and building networks of relationships to help support decision makers

with scientific information and deliver benefits for communities.

1. Justice, Equity, Diversity and Inclusion (Relevance Review Weight = 30%,) (Final Weight= 12%) This criterion also includes a separately scored assessment of the proposed project's integration of JEDI principles. This includes how the proposals have incorporated inclusion, diversity, equity and justice into their research team, project management, research methods, engagement process, and/or expected benefits (and plans for identification). This also should include the regional significance of the approach, the process for identifying and broadening participation of underrepresented groups, and the projects' consideration of inequalities and barriers related to climate impacts, resilience, and adaptation in vulnerable communities, and anticipated benefits of the project for frontline communities. Finally, approaches to ensuring transparency, developing metrics of success, and designing evaluation plans for inclusion, diversity, equity and justice will be considered.

2. Technical/Scientific Merit (Technical Review Weight = 70%) (Final Weight =42%) This criterion assesses whether the approach is technically sound and/or innovative, if the methods are appropriate, and whether the goals of the competition, including JEDI components, will be realized through clear project goals and objectives. This also includes an assessment of approach to interdisciplinary science or social science, plans for moving the scientific results into actionable and implementable products (locally and broadly), and an approach for evaluating the societal/regional/ national impact of the project. The above stated merit score will also include the applicant's approach to capacity-building and proposed methods for engagement with collaborators and decision-makers.

3. Overall Qualifications of Applicants (Technical Review Weight =20%) (Final Weight = 12%)

This criterion assesses whether the applicant team possesses the necessary education, experience, training, facilities, and/or administrative resources to accomplish the project. The above stated qualifications score will also include the PIs' record of collaborating with decision-making communities.

4. Project Costs (Technical Review Weight = 10%) (Final Weight =6%)

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

B. Review and Selection Process

Once a full application has been received, an administrative review will be conducted to determine compliance with requirements and completeness of the application. Each competition will be evaluated separately based on criteria provided in section V.A. For each

competition, proposals will be reviewed by a panel of experts who will score them for technical merit and relevance. Panels may consider independent peer mail reviews and panelists may consist of both Federal and/or non-Federal experts. Panels will not give consensus advice. We protect the identities of reviewers to the extent permitted by law.

The technical and relevance scoring is done as part of the same panel review with final ranking based on a combined technical/relevance score for each proposal. Proposals with a final score below 3.0 (out of a possible high score of 5) will not be considered for funding. Each reviewer will provide one score for each of three technical criteria: technical/scientific merit, overall qualifications of applicants, and project costs for each application, and one score for each of the two relevance criteria; importance/relevance and applicability of application to the program goals and JEDI. The technical review scores for each application will be combined using the weighting averages to produce a single numerical score. The relevance review scores for each application will be combined using the weighted averages to produce a single numerical score.

If a mail review and a panel review are both conducted as part of the evaluation, the mail reviews will be provided to the review panel for use in its deliberations prior to providing its ratings, but the Competition Manager will use only the numerical rank order of the peer review panel to determine the average score for each proposal.

The panel review weighting of scores for the individual criteria is shown in the following table:

Criterion	Technical Review Weight	Relevance Review Weight	Final Weight
Importance and Relevance/Applicability	0%	70%	28%
JEDI	0%	30%	12%
Technical/Scientific Merit	70%	0%	42%
Overall Qualifications of Applicants	20%	0%	12%
Project Costs	10%	0%	6%
Stage Total	100%	100%	100%
Final weighting for each stage score	60%	40%	100%

To determine the final score, the scores from the Technical Review and the Relevance Review will be combined, with a weighting of 60% for the Technical Review score and 40% for the Relevance Review score, leading to the overall weightings for each criterion reported in section V.A above. The final score for each application will be used to determine the numerical rank order of proposals within each Competition. Proposals with a final score

below 3.0 will not be considered for funding.

The Competition Manager will recommend applications to the Selecting Official in numerical rank order unless a recommendation out of rank order is justified based upon any of the factors listed in the following section. Should applications receive a tie score, and funding is not available for every tied application, the Competition Manager may preferentially recommend applications for funding also according to any of the factors listed in the following section. The Competition Manager will review the amounts requested for each selected application and recommend the total duration and the amount of funding, which may be less than the application and budget requested.

C. Selection Factors

The Selecting Official shall select awards in rank order unless a selection out of rank order is justified based upon any of the following factors:

- Availability of funding
- Balance/distribution of funds:
 - *Geographically
 - *By type of institutions
 - *By type of partners
 - *By research area
 - *By project types
- Duplication of other projects funded or considered for funding by NOAA/Federal agencies
- Program priorities and policy factors
- Applicant's prior award performance
- Partnerships with/participation of targeted group
- Adequacy of information necessary for NOAA staff to make a NEPA determination and draft necessary documentation before recommendations for funding are made to the Grants Officer

The Selecting Official makes final recommendations for awards to the Grants Officer who is authorized to obligate the funds.

D. Anticipated Announcement and Award Dates

Subject to the availability of funds, review of applications will occur during the 6-7 months following the full applications due date. CPO anticipates that funding decisions on applications will be made during spring 2023. Such decisions are contingent upon the final FY23 appropriation for NOAA by Congress and the final allocation of funds to CPO by NOAA. Funding for successful applicants is expected to begin in early September 2023 for most approved projects. Applications should use September 1, 2023, as the start date unless

otherwise directed by the Competition Manager.

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.

GRANTS OFFICER SIGNATURE. Proposals submitted in response to this solicitation are not considered awards until the Grants Officer has signed the grant or cooperative 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.

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>.

DEPARTMENT OF COMMERCE (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>.

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.

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 "Research Involving Human Subjects" found at <https://www.commerce.gov/oam/policy/financialassistance-policy>.

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, and the Council on Environmental Quality implementation regulations, 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. At the point of proposal submission, applicants are not required to complete the Environmental Compliance questionnaire found on the NOAA NEPA website <https://www.noaa.gov/nepa>. 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 (FAPIS) 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.

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.

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

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 a primary funding agency of fundamental and applied science 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-PD(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 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

In accordance with 2 CFR 200.328-9 and the terms and conditions of the award, financial reports are to be submitted semiannually and performance (technical) reports are to be submitted semiannually (every 6 months). Reports are submitted electronically through NOAA's Grants Online system.

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

Please visit the CPO website for further information at or contact the CPO Grants Manager, Diane Brown, by mail (see address above) or at diane.brown@noaa.gov. Please allow up to two weeks after receipt for a response.

VIII. Other Information

None.