

## ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY

### EXECUTIVE SUMMARY

**Federal Agency Name(s):** National Marine Fisheries Service (NMFS), National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**Funding Opportunity Title:** Species Recovery Grants to States (“Section 6 Program”)

**Announcement Type:** Initial Announcement

**Funding Opportunity Number:** NOAA-NMFS-PRPO-2013-2003429

**Catalog of Federal Domestic Assistance (CFDA) Number(s):** 11.472, Unallied Science Programs

**Dates:** Applications must be postmarked, provided to a delivery service, or received by [www.grants.gov](http://www.grants.gov) by 11:59 p.m. Eastern Daylight Time on Friday, October 12, 2012. Use of a delivery service other than U.S. mail must be documented with a receipt. PLEASE NOTE: It may take Grants.gov up to two business days to validate or reject an application. Please keep this in mind when developing your submission timeline.

**Application Submission:** Applications should be submitted electronically through the Grants.gov website at <http://www.grants.gov>. If on-line submission is not possible, hard copy applications may be submitted by postal mail or commercial delivery to NOAA/NMFS/Office of Protected Resources, ATTN: Lisa Manning, 1315 East-West Highway, SSMC3, Silver Spring, MD 20910. No facsimile or electronic mail applications will be accepted.

**Funding Opportunity Description:** States play an essential role in conserving and recovering species listed as endangered or threatened under the Endangered Species Act (ESA). Listed species under NOAA’s National Marine Fisheries Service’s (NMFS) jurisdiction may spend all or part of their life-cycles in state waters, and success in conserving these species depends largely on working cooperatively with the States. NMFS is authorized to provide Federal assistance to eligible State agencies to support the development and implementation of conservation programs for listed marine and anadromous species that reside within that State. This assistance, provided in the form of grants through the Species Recovery Grants to States Program, can be used to support conservation activities for endangered and threatened species, as well as monitoring of candidate species, recently delisted species, and species proposed for listing under the ESA. Funded activities may include development and implementation of management efforts, scientific research, and public education and outreach. Proposals should address priority actions identified in an ESA Recovery Plan, a State’s ESA Section 6 management plan, a State Wildlife Action Plan, or a NMFS-identified regional priority or need. Any State agency that has entered into an agreement with NMFS pursuant to section 6(c) of the ESA by the application deadline is eligible to apply under this solicitation. Proposals focusing

on Pacific salmonids will not be considered for funding under this grant program; such projects may be considered through the NMFS Pacific Coastal Salmon Recovery Fund. This document describes how to submit proposals for funding in fiscal year (FY) 2013 and how NMFS will evaluate and select proposals for funding. This document should be read in its entirety; some information has changed from the previous year.

## **FULL ANNOUNCEMENT**

### **I. Funding Opportunity Description**

#### **A. Program Objectives**

The principal objective of the Species Recovery Grants to States Program is to support the development and implementation of States' programs to conserve and recover threatened and endangered species under NMFS' jurisdiction. Funding may also support monitoring of candidate species, species proposed for listing, and recently de-listed species (see definitions below). Proposed activities may involve management, research, monitoring, and outreach activities or any combination thereof. Successful applications will be those that demonstrate a direct conservation benefit to the species or its habitat.

Proposals may address new or ongoing work. If the proposal includes a continuation of previous or ongoing work, a brief discussion of accomplishments to date and a justification for the continuation of the work must be included in the project description in order to receive full consideration.

**Candidate species.** A candidate species is one that is actively being considered for listing as either threatened or endangered under the ESA and is the subject of a positive 90-day finding but not yet the subject of a proposed rule, or a species for which NMFS has initiated an ESA status review and has announced the review in the *Federal Register* (see 71 FR 61022; October 17, 2006). Candidate species are listed at <http://www.nmfs.noaa.gov/pr/species/esa/other.htm>.

**Proposed species.** Proposed species are those that are currently the subject of a proposed rule to list as threatened or endangered under the ESA. A list of proposed species is available at <http://www.nmfs.noaa.gov/pr/species/esa/other.htm>.

**Recently delisted species.** Recently de-listed, for purposes of this solicitation, are those species de-listed within the past five years. A list of all de-listed species and the year de-listed are available at <http://www.nmfs.noaa.gov/pr/species/esa/other.htm>.

#### **B. Program Priorities**

General. Priority will be given to proposals addressing listed species as opposed to proposals that only address proposed, candidate, or recently de-listed species.

Proposals addressing listed species for which NMFS has released a draft or final Recovery Plan should indicate how the project would address one or more of the recovery objectives or actions identified in the relevant Plan and what priority level the actions are assigned by the Plan. Greater priority may be given to proposals addressing higher priority recovery actions or objectives as indicated by the particular plan. Recovery Plans are available at <http://www.nmfs.noaa.gov/pr/recovery/plans.htm>.

Priority may also be given to projects that involve regional activities, cooperation with other states, or an ecosystem-based approach (e.g., projects addressing threats focused on multiple species or species groups).

Proposals including measures by which performance or success of the project will be evaluated will receive higher priority over those that do not.

Management. Highest priority will be given to those projects that are designed to have a direct impact on recovery of listed species through development and implementation of management actions that reduce or eliminate threats. Proposals involving management activities should demonstrate a high probability of contributing to recovery of the species, especially through mitigation of existing threats or factors inhibiting recovery of the species. Management proposals may, for example, involve the development of an ESA section 10 conservation plan, habitat restoration or habitat conservation, or development and implementation of by-catch reduction measures.

Aspects of developing an ESA section 10 conservation plan that can be supported through this program include collecting and analyzing bycatch data, designing measures to minimize and mitigate the incidental take of listed species, and drafting a conservation plan and/or the associated incidental take permit application. Species for which this is appropriate include sea turtles, shortnose and Atlantic sturgeons, and other listed non-marine mammal species known to be taken as bycatch.

Proposals addressing habitat restoration can involve the engineering and design of a restoration project, actual implementation of a restoration activity, and/or science-based monitoring of a previously funded or simultaneously proposed NOAA habitat restoration project that will yield information on population benefits accruing to listed species resulting from the restoration action.

Habitat or land acquisition proposals must clearly identify the expected benefits for the target species or habitats on which they depend. Proposals should also discuss how the property is threatened by conversion from its natural, undeveloped, or recreational state to other uses; how existing and future uses will be managed consistently with long-term conservation of the target species; the likelihood that the project will be completed in a timely manner; and, if applicable, whether the project addresses an action identified in an ESA Recovery Plan. Other funding sources for a given acquisition should also be identified in the proposal.

Research and Monitoring. Proposals that involve research only will be considered a lower priority for funding relative to 'management proposals' described above. However, research proposals that are designed to fill critical data gaps and directly contribute to the management and recovery of eligible species may still be competitive under this solicitation.

Proposals involving scientific research should demonstrate a high probability of providing information that can be used to recover, manage, or improve current management strategies for a given species. Proposals involving scientific research on a listed distinct population segment of a taxonomic species or subspecies should demonstrate a high probability of providing information specific to the recovery and/or management of the particular distinct population segment. To do so, such proposals may need to include techniques (e.g., genetic analyses) to properly identify specimens to their distinct population segment. Research activities may, for example, focus on defining and characterizing threats to the species, evaluating methods to reduce or mitigate threats to the species, improving bycatch estimates (e.g., through observer programs), estimating effective population sizes, synthesizing or analyzing stranding or observer data, identifying and characterizing physical and biological features of important habitats (e.g. foraging habitats, spawning areas), or evaluating the effectiveness of a habitat restoration project.

Outreach. Proposals involving public education and outreach should demonstrate a high probability of improving or increasing public understanding of and participation in conservation activities. In order to be considered a priority for funding, proposals that exclusively address outreach activities should demonstrate how the proposed work will directly mitigate or reduce a significant threat(s) to the target species.

Outreach projects could, for example, involve developing outreach tools (e.g. websites, brochures), convening regional coordination workshops or meetings, or working with local fishermen or boaters to address a particular issue (e.g. hook and line entanglement, boat strikes). Note that all proposals should address the dissemination of results and/or information resulting from completion of the proposed activities as explained in detail under the evaluation criteria listed in section V.A. (Application Review Information) of this document.

Applicants interested in further discussion of funding priorities should contact their Regional Section 6 Program Coordinator listed in Section VII., Agency Contacts.

**C. Program Authority** 16 U.S.C. 661 *et seq.*; 16 U.S.C. 1535

## **II. Award Information**

### **A. Funding Availability**

NOAA anticipates that up to approximately \$4 million may be available under the FY 2013 Species Recovery Grants to States Program to support new awards. Awards are expected to range between about \$60,000 and \$600,000 in federal funding per year. The exact amount of funds that may be awarded will be determined during pre-award negotiations between the applicant and NOAA representatives. Funds have not yet been appropriated for this program, and there is no guarantee that sufficient funds will be available to make awards for all qualified projects. Publication of this notice does not oblige NOAA to award any specific grant proposal or to obligate any available funds.

If an application for a financial assistance award is selected for funding, NOAA has no obligation to provide any additional funding in connection with that award in subsequent years.

Notwithstanding verbal or written assurance that may have been received, pre-award costs are not allowed under the award unless approved by the Grants Officer in accordance with 2 CFR Part 225.

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

Project periods may extend up to a maximum of 3 years. For multi-year proposals, applicants must include project plans and separate budgets for each year of the project. Multi-year projects will be funded in one-year increments but do not compete for funding in subsequent budget periods within the approved award period. Rather, funding for subsequent years are added to the multi-year award provided demonstration of satisfactory performance by the recipient and provided funds to support the continuation of the project are available. If an applicant wishes to continue work on a funded project beyond the project period and obligated award funds have not been expended by the end of this period, the applicant can notify the assigned Federal Program Officer no later than 30 days prior to the end of the award period to determine eligibility for a no-cost extension. If, however, the money is expended and funds are needed to continue the project, the applicant should submit another proposal during the next competitive award cycle (e.g. FY 2014) or seek an alternate source of funding.

## **C. Type of funding instrument**

Under this solicitation, NOAA will fund grants. Grants will be funded in 12-month increments, with a maximum project period of 3 years.

## **III. Eligibility Information**

### **A. Eligible Applicants**

Eligible applicants are state agencies that have entered into an agreement with NMFS pursuant to section 6(c) of the ESA. The terms “state” and “state agency” are used as defined in section 3 of the ESA (16 U.S.C. 1532).

Currently eligible state agencies are listed here: <http://www.nmfs.noaa.gov/pr/conservation/states/>. Any state agency that enters into a section 6(c) agreement with NMFS by the grant application deadline is also eligible to apply.

Federal agencies or institutions are not eligible to receive Federal assistance under this notice. In addition, NOAA and NMFS employees shall not provide assistance in writing applications, write letters of support for any application, or otherwise confer any unfair advantage on a particular application. However, for activities involving collaboration with current NMFS programs, NMFS employees can write a letter verifying that they are collaborating with the project.

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

In accordance with section 6(d) of the ESA, proposals must include a minimum non-Federal cost share of 25 percent of the total project budget if the proposal involves a single state. If a proposal involves collaboration of two or more states, the minimum non-Federal cost share decreases to 10 percent of the total project budget. The project proposal and budget should reflect the work and responsibilities to be carried out by each of the cooperating states. The non-Federal cost share should be identified in the project budget and on the Standard Form (SF)-424A and may include in-kind contributions according to the regulations at 15 CFR Part 24. The source or sources of the non-Federal cost share is up to the particular applicants involved and may come from more than one entity.

Match requirements of section 6(d) of the ESA do not apply to insular areas covered by the Omnibus Insular Areas Act of 1977 (48 U.S.C. 1469a) including Guam, American Samoa, Northern Mariana Islands, and the U.S. Virgin Islands.

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

State agencies may apply for funding to conduct work on federally listed species that are included in their ESA section 6 agreement and any species that has become a candidate or a proposed species by the grant application deadline. State agencies may not apply for funding to conduct work on federally listed species that are not covered in their ESA section 6 agreement unless said species is added to the agreement within 60 days following the grant application deadline.

Projects focusing on Pacific salmonids will not be considered under this grant program. State conservation efforts for these species may be supported through the Pacific Coastal Salmon Recovery Fund. Species under the sole jurisdiction of the U.S. Fish and Wildlife Service will also not be considered.

Proposals cannot seek funding for projects that serve to satisfy regulatory requirements of the ESA, including complying with a biological opinion under section 7 of the ESA or fulfilling Federal mitigation requirements of an incidental take permit issued under section 10 of the ESA, or that serve to satisfy other Federal regulatory requirements (e.g., mitigation for Clean Water Act permits). An exception is granted for section 10 conservation plans that include conservation obligations pursuant to State law or local ordinances that are above and beyond the Federal mitigation requirements for that conservation plan and associated permit.

## **IV. Application and Submission Information**

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

The federal funding announcement and application instructions for this grant program are available via the Grants.gov website at <http://www.grants.gov>. Applicants without internet access can obtain application instructions from Lisa Manning, NOAA/NMFS/Office of Protected Resources, 1315 East-West Highway, Silver Spring MD 20910, (phone) 301-427-8466, (email) [Lisa.Manning@noaa.gov](mailto:Lisa.Manning@noaa.gov).

### **B. Content and Format of Application Submission**

There is no limit on the number of applications that can be submitted by the same Principal Investigator, agency, or State. Multiple applications submitted by the same applicant must, however, be clearly distinct projects.

State agencies that are interested in partnering on a particular proposal may submit a single application through a lead state agency. Alternatively, partnering states may instead elect to submit separate applications that include identical title pages, summaries, and project descriptions, and budget information and forms specific to the particular state agency submitting the application. Joint proposals structured in this manner must indicate they are a multi-state proposal and must list the other applicant state agencies on the title page. Regardless of format (i.e., a single, joint application; or separate, linked applications), multi-state proposals must clearly explain the nature of the collaboration within the body of the project description.

Proposals must adhere to the following provisions and requirements by the proposal submission deadline. Failure to follow these instructions will be reflected in lower scoring by reviewers (see Section V. Application Review Information).

The following forms are required as part of each application: Application for Federal Assistance (SF-424); Budget Information, Non-Construction Programs (SF-424A); Assurances, Non-Construction Programs (SF-424B); and Certifications Regarding Lobbying (CD-511). These forms are available on [Grants.gov](http://Grants.gov) and may be downloaded with the application package. For applicants submitting proposals by mail, all forms requiring signatures must be signed in ink (preferably blue ink).

Proposals and all attachments must be formatted for letter-sized paper (8.5" x 11"). Text should be no smaller than 10-point font, and all pages must be numbered. The Project Description is limited to 15 pages. Pages exceeding this limit will not be reviewed. Within the Project Description, tables and visual materials, including charts, graphs, maps, photographs, and other pictorial presentations are not included in the 15-page limitation. References cited are also not counted against the 15-page limit. Applicants are highly encouraged to submit a map or maps of the geographic location of the proposed work (as applicable); such visual information helps inform reviewers. Abbreviated CVs or resumes for all individuals named in the proposal should be appended to each application. Do not submit long form CVs and resumes. Appended material must not exceed a total of 10-pages and can also include letters of endorsement, an indirect cost rate agreement, permit information, related grant progress reports, or any other supporting information. Pages exceeding this limit will not be reviewed.

Proposals must include the following elements:

1. Title Page

Provide the project title, project duration (with a start date of July 1, 2013 or later unless applicants request and get approval for an earlier start date from the Program Officer, Lisa Manning; See Section VII, Agency Contacts), applicant name(s), name(s) of the Principal Investigator (or Project Manager) and any Co-Investigators (or Co-Managers), complete contact information (mailing address, email address, and phone number) for the applicant(s) and all Co-investigators (or Co-Managers), and a statement regarding the Federal, non-Federal, and total costs of the project. If the proposal is a multi-state proposal being submitted through multiple agencies, include a list of the other applicant state agencies.

2. Project Summary (300 word limit)

Provide a brief summary discussing the proposal's goals and objectives, the proposed activities, the geographic area where the activities would occur, the recovery objectives or actions as specified in an ESA Recovery Plan, a State Section 6 management plan, a State Wildlife Action Plan being addressed (as applicable), or the NMFS-identified regional research priority or need being addressed (as applicable), and expected outcomes and benefits of the proposed activities. If the proposal focuses on implementing recovery actions identified in a NMFS Recovery Plan, indicate the priority number or level assigned to the particular actions. This summary may be posted on our website if the project is funded.

### 3. Project Description (15-page limit)

The Project Description should be a clear statement of all work to be undertaken and must include the information listed below in (a)-(g). Multi-year proposals must include a project description that covers each year of the proposed award period. If multiple projects are included in the proposal, the information listed below must be included for each project. The 15-page limit does not change if a proposal includes multiple projects.

(a) Goals and objectives: Identify the specific problem(s) or opportunities the project intends to address and describe its significance to the conservation of the species. Identify the project objectives, which should be simple and understandable, as specific and quantitative as possible, and attainable within the time, money and human resources available.

(b) Narrative: Describe the methodologies or technical plan for activities that are to be conducted during each budget period of the project. Include detailed descriptions of the specific plan and/or methods that will be employed. Project milestones and the timelines (e.g. the number of months) necessary to meet them should also be discussed. Information about relevant permits necessary to conduct the work must be included. See Section IV.G. (Other Submission Requirements (Permits and Approvals)) below for further information about permits and approvals.

(c) Benefits or results expected (300 word limit): Identify the outcomes or results and the benefits to the species that should result from the successfully completed project. Discuss how the project's success in meeting the stated goals and objectives will be measured or assessed. Describe how these expected outcomes, results, or products will be applied and/or shared with appropriate user groups.

(d) Need for government financial assistance: Demonstrate the need for government financial assistance. List all other sources of funding that are or have been sought for the project.

(e) Federal, State and local government activities: List any plans or activities (Federal, State or local) this project would affect and, if applicable, identify the relationship between the proposed work and other ongoing work, or work planned, anticipated, or underway through Federal Assistance or other means. If the proposal is a continuation of previous or ongoing work, a brief discussion of results or accomplishments to date should be included; progress or final reports for previous awards may be included in the appendix.

(f) Environmental impacts: Discuss whether any negative environmental, biological, social, political, or economic impacts are expected as a result of the proposed activities. Also discuss any potential negative impacts on listed species or their critical habitat as a result of the proposed activities. If any negative impacts are anticipated, describe what steps will be taken to minimize or mitigate these impacts. Incidental take of protected species and



impacts to Essential Fish Habitat should be noted. This information is the basis for a determination of the level of analysis required under the National Environmental Policy Act (NEPA), so please be thorough. See Section VI.B. (Administrative and National Policy Requirements) below for further information about NEPA requirements.

(g) Project management: Describe how the project will be organized and managed and who will be responsible for carrying out project activities. The lead organization/individual and person listed as the technical contact should be identified as the Project Manager (PM) or Principal Investigator (PI). Use of sub-contractors or volunteer staff time to complete project activities and oversight of those individuals should be discussed. The PM/PI is responsible for all technical oversight and implementation of the approved work plan as delineated in the proposal. One PM or PI must be designated on each project, but the PM/PI may or may not be the applicant. However, if the applicant is not the PM/PI, there must be an explanation of the relationship between the applicant and PM/PI (e.g., applicant will be responsible for managing the grant funds and the PM will be responsible for completing the project milestones on time and within budget, etc.). Project participants or organizations that will have a significant role in conducting the project should be listed as Co-investigators or Co-Managers. Organizations or individuals that support the project, for example, researchers contributing data or materials, should be referred to as Cooperators. Copies of the PM's or PI's and all Co-investigator's/Co-Manager's current resumes or curricula vitae must be included as appendices.

#### 4. Total project costs and budget justification

Each application must include clear and concise budget information, both on the required Federal forms and in this section of the proposal. Multi-year applications must include separate budgets for each year of the proposed activities.

A spreadsheet or table listing itemized costs by category (e.g., salary, supplies, equipment, travel, contractual, indirect) must be provided. The proposed budget must indicate the Federal and non-Federal share *for each cost category*. Such budget detail must be provided for each year of multi-year proposals. Budget tables or spreadsheets must be formatted to fit letter-sized paper (8.5" x 11").

A budget justification in narrative form must also be provided to explain and justify all project costs, including contractual costs. This narrative must be organized to clearly correspond to the information provided in the budget table or spreadsheet. Detail provided in the spreadsheet and/ or the narrative must also be sufficient so that reviewers can interpret how costs were estimated or calculated, especially for costs over \$5,000 (including any contractual costs). For the non-Federal share, the itemized costs should be identified as cash or in-kind contributions. If in-kind contributions are included as part of the match, the basis for estimating the value of these contributions must be provided.

Applications must include OMB standard form (SF) 424A, "Budget Information – Non-construction Programs." All instructions should be read before completing the form, and the amounts per category and total amounts indicated on the form must correspond with amounts indicated on other proposal documents.

Helpful tips for developing your budget narrative and table can be found on our website at <http://www.nmfs.noaa.gov/pr/conservation/states/faq.htm>.

#### 5. Appendices (10-page limit)

Abbreviated curricula vitae or resumes of the PM/PI and any Co-Managers/ Co-Investigators should be included with the application. Applicants requiring ESA scientific research permits must also include evidence of such a permit (e.g. by providing the permit number) or evidence that they have submitted an ESA permit application. If indirect costs are being requested as part of the proposed budget, a copy of the requesting agency's indirect cost rate agreement must be provided. Additional material that is necessary or useful to the description of the project may also be provided (e.g. letters of endorsement, tables or visual materials).

### **C. Submission Dates and Times**

Applications must be postmarked, provided to a delivery service, or received by [www.grants.gov](http://www.grants.gov) by 11:59 p.m. Eastern Daylight Time on Friday, October 12, 2012. Applications submitted by U.S. Postal Service must have an official postmark; private metered postmarks are not acceptable. Use of a delivery service other than U.S. mail must be documented with a receipt. Proposals submitted after the deadline cannot be considered for funding. PLEASE NOTE: It may take Grants.gov up to two business days to validate or reject an application. Please keep this in mind when developing your submission timeline.

### **D. Intergovernmental Review**

Applications under this program are subject to Executive Order 12372, "Intergovernmental Review of Federal Programs."

### **E. Funding Restrictions**

#### **1. Indirect Cost Rates.**

The budget may include an amount for indirect costs if the applicant has an established indirect cost rate with the federal government. Indirect costs are essentially overhead costs for basic operational functions (e.g., utilities, rent, insurance) that are incurred for common or joint objectives and, therefore, cannot be identified specifically within a particular project. Applicants may use indirect costs or a portion of these costs as part of the non-federal cost share. A copy of the current, approved negotiated indirect cost agreement with the federal government must be included in the application. If the applicant does not have a current negotiated rate and plans to seek reimbursement for indirect costs, documentation necessary to establish a rate must be submitted within 90 days of receiving an award.

#### **2. Allowable Costs.**

Funds awarded cannot necessarily pay for all the costs that the recipient might incur in the course of carrying out the project. Allowable costs are determined by reference to the Office of Management and Budget Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments." A project begins on the effective date of an award agreement between the recipient and the Grants Officer and ends on the date specified in the award. Accordingly,

applicants cannot be reimbursed for time expended or costs incurred in developing a project or preparing the application; such expenditures also cannot be accepted as part of the cost share.

## **F. Other Submission Requirements**

### **1. Address for Submitting Proposals**

Applications should be submitted electronically through the Grants.gov website at <http://www.grants.gov>. NOAA strongly recommends that applicants do not wait until the application deadline to begin the application process through Grants.gov. To use Grants.gov, applicants must have a DUNS number and register in the Central Contractor Registry (CCR). Applicants should allow at least 5 business days to complete the CCR registration; registration is only required once. Also, it may take Grants.gov up to two business days to validate or reject an application. Please keep this in mind when developing your submission timeline. Following submission of applications through Grants.gov, applicants should receive two automated responses from Grants.gov: one confirms receipt of the application; the other confirms that the application has been forwarded to NOAA. If both confirmation messages from Grants.gov are not received, applicants should contact both the Grants.gov Helpdesk and the NMFS Office of Protected Resources to confirm the application has been transmitted to and received by NOAA.

For applicants lacking internet access, hard copies may be submitted (by postal mail or commercial delivery) to the NMFS Office of Protected Resources, Attn: Lisa Manning, 1315 East-West Highway, SSMC3, Silver Spring, MD 20910. Applications submitted by U.S. Postal Service must have an official postmark; private metered postmarks are not acceptable. Use of a delivery service other than U.S. mail must be documented with a receipt. Paper applications should be printed on one side only, on 8.5" x 11" paper, and not be bound in any manner. A signed (in ink) SF-424 must be included. No facsimile or electronic mail applications will be accepted.

### **2. Permits and Approvals**

It is the applicant's responsibility to obtain all necessary Federal, State, and local government permits and approvals where necessary for the proposed work to be conducted. If applicable, documentation of requests or approvals of permits must be included in the proposal package.

Most projects involving directed or incidental take of threatened or endangered species require permits under section 10 of the ESA (50 CFR 222.307 and 222.308). If an ESA permit covering the proposed activities has already been issued, the permit number must be provided in the application. Issuance of the necessary ESA permit(s) or evidence that the applicant has submitted a permit application is required in order for a proposal to be considered for funding. If the grant applicant is not the Principal Investigator (PI) or the permit holder, a copy of the authorization to work under the permit (e.g., designation as a Co-Investigator under the permit) or a letter of support from the permit holder is required.

Projects involving rescue of non-listed marine mammals in accordance with the regulations at 50 CFR 216.22, rescue or salvage of stranded or dead endangered sea turtles in accordance with 50 CFR 222.310, or take of threatened sea turtles in accordance with 50 CFR 223.206 do not require an independent ESA section 10 permit.

For further information on permit requirements and application procedures for federal natural resource permits, contact the NMFS Office of Protected Resources Permits, Conservation and Education Division (301-713-2289) or see <http://www.nmfs.noaa.gov/pr/permits/>.

If proposed activities will take place within National Marine Sanctuaries, National Parks, National Seashores, and other Federally designated protected areas, the applicant is responsible for requesting and obtaining any necessary permits or letters of agreement from the appropriate government agencies.

Applicants are expected to design their proposals so that they minimize potential adverse impacts on the environment. Applications will be reviewed to ensure that they have sufficient environmental documentation to allow program staff to determine whether the proposal is categorically excluded from further analysis, covered under an existing programmatic analysis, or whether additional analysis is necessary in conformance with requirements of the National Environmental Policy Act (NEPA). For those applications needing further analysis, affected applicants will be informed after the merit review stage and asked to assist by providing any information necessary to complete a draft Environmental Assessment or Environmental Impact Statement.

Failure to obtain other Federal, State, and local permits, approvals, letters of agreement, or failure to provide information necessary to complete environmental analyses where necessary (i.e., NEPA environmental assessments or documentation) may delay the award of funds if a project is otherwise selected for funding.

## **V. Application Review Information**

### **A. Evaluation Criteria**

Proposals will be evaluated by reviewers based on the criteria described here (with their relative weights):

#### **1. Importance/Relevance and Applicability of the Proposal to the Program Goals (35 Points).**

This criterion addresses whether there is intrinsic value in the proposed work and/or relevance to NOAA, Federal, regional, State, or local activities. Reviewers will consider whether proposals clearly identify project goals and objectives and whether those goals and objectives are applicable to conservation and recovery goals for threatened or endangered species, de-listed species, or candidate species as specified in a NMFS recovery plan, a state conservation plan, or a NMFS-identified regional priority or need. Reviewers will consider whether the proposal addresses the program goals and priorities as stated in sections I.A. and I.B. of this document.

Reviewers will also score the proposal based on their consideration of the contribution of potential outcomes, results, or products to species conservation and management goals; whether milestones and products are clearly identified; and whether performance measures for evaluating effectiveness of the completed project were clearly identified. Reviewers will consider whether the proposal is designed to have a direct impact on species recovery as a result of implementation of management actions. Reviewers will consider whether the proposal involves regional activities, or cooperation with other states, or has an ecosystem approach. (Score: 1-35 points;

where, for example, 1= no importance/relevance to the program goals or objectives, very limited potential to contribute to species recovery, no implementation of management actions, no partnering and/or ecosystem consideration; 18= moderately important/ relevant, reasonably likely to make some meaningful contribution to species recovery, has a regional or ecosystem approach; 35= extremely important/relevant, extremely likely to make a significant contribution to species recovery, involves implementation of significant management actions, involves a regional or an ecosystem approach.)

#### 2. Technical/ Scientific Merit (30 Points).

For proposals including management and outreach, this criterion addresses whether the approach is appropriate for achieving the stated goals and objectives, whether the approach will result in successful execution of the project, and if the anticipated results can be achieved in the time line specified. Reviewers will consider whether sufficient information is provided to evaluate the design of the project relative to the stated goals/objectives.

For proposals including research and monitoring, this criterion addresses whether the approach is technically sound, if the methods are appropriate for achieving the stated goals/objectives, and if the anticipated results can be achieved in the time line specified. Reviewers will consider the sufficiency of information to evaluate the project technically, the strengths and/or weaknesses of the technical design relative to securing productive results, and the inclusion of quality assurance considerations for data collected.

For all applications, reviewers will consider whether the proposal includes an effective mechanism for evaluating the project's success in meeting the stated goals and objectives. Reviewers will also evaluate whether application instructions contained in this document were followed. (Score: 1-30 points; where, for example, 1= completely unsound and/ or unlikely to meet the stated objectives, application instructions were not followed, and no performance measures included; 15= intermediately sound, and/ or reasonably likely to meet the stated objectives, application instructions generally followed; 30= extremely sound and highly likely to meet the stated objectives, application instructions followed thoroughly.)

#### 3. Overall Qualification of Applicants (10 Points).

This criterion addresses whether the applicant possesses the necessary expertise, experience, facilities, and administrative resources to accomplish the project. Reviewers will consider previous related experience and qualifications of the project's PM or PI, Co-Manager(s) or Co-Investigator(s) and other personnel, including designated contractors, consultants, and cooperators. Reviewers will also consider past award performance of the applicant(s) and PM/PI, if applicable. (Score: 1-10 points; where, for example, 1= completely unqualified and/or lacking the resources or capacity to accomplish the project, poor past award performance, 5= intermediate level of qualifications or experience and/or adequate resources and capacity to accomplish the project, satisfactory past award performance, 10= extremely qualified/ experienced, has all necessary resources and demonstrated capacity to accomplish the project, exceptional past award performance.)

#### 4. Project Costs (15 Points).

Reviewers will evaluate the budget to determine if it is sufficiently detailed, realistic and commensurate with the project needs and time-frame. The itemized costs and the overall budget must be adequately justified and appropriately allocated. Reviewers will consider whether sufficient detail was provided to evaluate how costs were estimated. (Score: 1-15 points; where,

for example, 1= unrealistic and lacking sufficient detail; 8= adequately detailed and realistic; 15= extremely detailed and realistic.)

**5. Outreach and Education (10 Points).**

This criterion addresses whether the project provides a focused and effective education and outreach strategy regarding NOAA’s mission to protect the Nation’s natural resources. Reviewers will consider whether project results or products will be shared appropriately given the nature of the proposed work and whether sufficient detail is provided to make this determination. Depending on the nature of the project, ‘outreach and education’ may include, for example, peer reviewed publications, presentations at professional meetings, development of brochures, internal agency meetings, public meetings, or distribution of project results to appropriate managers or management agencies. Proposals will be rated on whether the outreach/education discussed is appropriate for the type and nature of the proposal and whether the outreach/education is expected to be effective. (Score: 1-10 points, where 1= insufficient/ineffective outreach, 5= adequate outreach, 10= extremely effective outreach.)

**B. Review and Selection Process**

Screening, review, and selection procedures will take place in 3 steps: initial evaluation, merit review, and final selection by the Selecting Official (i.e., the Assistant Administrator for NMFS). Initial screening and evaluation of applications will be conducted to ensure that application packages have all required forms and application elements, clearly relate to the 2013 Species Recovery Grants solicitation, and meet all of the eligibility criteria.

Applications meeting the requirements of this solicitation will then undergo merit review. Each application will be reviewed by a minimum of four reviewers, who will independently evaluate and score proposals using the evaluation criteria provided in section V.A. (Evaluation Criteria) above. Merit reviewers will be individuals with appropriate subject-matter expertise and may be from Federal or state agencies, academic institutions, or non-profit organizations. The reviewers’ ratings will be averaged and used to produce a rank order of the proposals.

After applications have undergone merit review, the Selecting Official will make the final decision regarding which applications will be funded based upon the numerical ranking of the applications as well as the selection factors set forth in Section V.C. (Selection Factors) below.

**C. Selection Factors**

The merit review ratings provide a rank order of proposals to the Selecting Official for final recommendation to the NOAA Grants Officer. The Selecting Official shall award in the rank order of the review ratings unless a proposal is justified to be selected out of rank order based upon the following factors, where applicable:

- a. Availability of funding
- b. Balance/distribution of funds
  - i. Geographically
  - ii. By type of institutions
  - iii. By type of partners
  - iv. By research areas

- v. By project types
- vi. By species or species groups
- c. Whether this project duplicates other projects funded or considered for funding by NOAA or other federal agencies
- d. Program priorities and policy factors as set out in Sections I.A. (Program Objectives) and B (Program Priorities) and Section II. A. (Funding Availability)
- e. Applicant's prior award performance
- f. Partnerships with and/or participation of targeted groups
- g. 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

#### **D. Anticipated Announcement and Award Dates**

Subject to the availability of funds, review of proposals will occur during the fall of 2012, and funding is expected to begin during summer 2013 for most approved projects. Project start dates should be no earlier than July 1, 2013, unless an earlier start date request is approved by the Program Office.

### **VI. Award Administration Information**

#### **A. Award Notices**

Successful applicants will receive notification that the application has been recommended for funding to the NOAA Grants Management Division. This notification is not an authorization to begin performance of the project. 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 Project Manager/Principal Investigator of the project either electronically or in hard copy. Unsuccessful applicants will be notified that their proposal was not recommended for funding. Unsuccessful applications will be kept on file in the Program Office for a period of at least 12 months, and then destroyed.

#### **B. Administrative and National Policy Requirements**

##### 1. Department of Commerce Pre-Award Notification Requirements.

Administrative and national policy requirements for all Department of Commerce awards are contained in the Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements published in the Federal Register on February 11, 2008 (73 FR 7696). You may obtain a copy of this notice by contacting the agency contact(s) under section VII., or by going to the website at <http://www.gpoaccess.gov/fr/index.html>. Applicants whose proposed projects may have an environmental impact must furnish information requested to assist proposal reviewers in assessing the potential environmental consequences of supporting the project.

##### 2. Limitation of Liability.

Funding for programs listed in this notice is contingent upon the availability of Fiscal Year 2013 appropriations. Applicants are hereby given notice that funds have not yet been appropriated for the program listed in this notice. In no event will NOAA or the Department of Commerce be responsible for proposal preparation costs if these programs fail to receive funding or are cancelled because of other agency priorities. Publication of this announcement does not oblige NOAA to award any specific project or to obligate any available funds.

### 3. Universal Identifier.

Applicants should be aware that they are required to provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number during the application process. See the October 30, 2002, Federal Register notice (67 FR 66177; Notice of Proposed Requirement for Use of a Universal Identifier by Grant Applicants) issued by the Office of Management and Budget for additional information. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or via the internet (<http://www.dunandbradstreet.com>).

### 4. 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 that 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://ceq.hss.doe.gov/nepa/regs/ceq/toc\\_ceq.htm](http://ceq.hss.doe.gov/nepa/regs/ceq/toc_ceq.htm). Consequently, as part of an applicant's package, and under their description of their program activities, applicants are required to provide detailed information on the activities to be conducted, locations, sites, species and habitat to be affected, possible construction activities, and any environmental concerns that may exist (e.g., the use and disposal of hazardous or toxic chemicals, introduction of non-indigenous species, impacts to endangered and threatened species, impacts to non-listed marine mammals, 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 will also be required to cooperate with NOAA in identifying feasible measures to reduce or avoid any identified adverse environmental impacts of their proposed project. The 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.

## **C. Reporting**

Grant recipients will be required to submit financial and performance (technical) reports through the Grants Online system (<https://grantsonline.rdc.noaa.gov/flows/home/Login/LoginController.jpf>). All financial reports shall be submitted through Grants Online to NOAA's Grants Management Division in accordance with the award conditions. Performance reports should be submitted through Grants



Online in accordance with the award conditions. All performance reports will be submitted on a semi-annual schedule and must be submitted no later than 30 days following the end of each 6-month period from the start date of the award. The last semi-annual performance report may not be required depending on award conditions. Additional reporting on project outputs and outcomes may be required at the request of the Office of Protected Resources to facilitate program performance evaluation. A comprehensive final report is due 90 days after award expiration. Data collected by recipients under a Species Recovery Grant must be made available no later than two years after the award period concludes if requested by NOAA. Any reports or publication resulting from funded work should acknowledge funding received through the “NOAA Fisheries’ Species Recovery Grant Program.”

## **VII. Agency Contacts**

If you have any questions regarding this proposal solicitation, please contact the National Section 6 Program Coordinator, Lisa Manning (301-427-8466, [Lisa.Manning@noaa.gov](mailto:Lisa.Manning@noaa.gov)), or Heather Coll (301-427-8455; [Heather.Coll@noaa.gov](mailto:Heather.Coll@noaa.gov)). You may also contact one of the following NMFS Regional Program Coordinators for further guidance: Amanda Johnson, Northeast Regional Office ([Amanda.Johnson@noaa.gov](mailto:Amanda.Johnson@noaa.gov), 978-282-8463); Karla Reece, Southeast Regional Office ([Karla.Reece@noaa.gov](mailto:Karla.Reece@noaa.gov), 727-824-5348); Alison Agness, Northwest Regional Office ([Alison.Agness@noaa.gov](mailto:Alison.Agness@noaa.gov), 206-526-6152); Melissa Neuman, Southwest Regional Office ([Melissa.Neuman@noaa.gov](mailto:Melissa.Neuman@noaa.gov); 562-980-4115); Aleria Jensen, Alaska Regional Office ([Aleria.Jensen@noaa.gov](mailto:Aleria.Jensen@noaa.gov), 907-586-7248); David Nichols, Pacific Islands Regional Office, ([David.Nichols@noaa.gov](mailto:David.Nichols@noaa.gov), 808-9442243).